DRAFT MINUTES
COMMITTEE ON ORGANIZATION AND RULES
March 22, 2011

1. **Call to Order**

   A telephone meeting was called to order by Chair Achgill at 1:30 PM, Tuesday, March 22, 2011. Attendance was as follows:

   **Members**
   - Dennis Achgill, Chair
   - Nate Hurt
   - *Cass Tang
   - Shlomo Carmi, BOG liaison to COR

   **Staff**
   - Warren Leonard (Managing Director, Governance)
   - Nathalie Manzano (Manager, Board Operations)

   *Voted Electronically

2. **Adoption of the Agenda.** The Committee

   Voted: to adopt the agenda circulated on March 18, 2011 with revisions removing items VI.C1-3.

3. **Approval of Consent Agenda Items.** The Committee

   Voted: to approve by consent the following agenda items: IV and VI.A.

4. **Approval of the February 2, 2011 Minutes.** The Committee

   Voted: to approve the minutes as circulated on March 21, 2011.

5. **Operations and Organization Report.**

   A. **Proposed Appointments.** The Committee

   Voted: to accept the proposed appointments as shown in Agenda Appendix V.A.

6. **Rules Report.**

   A. **Constitutional Amendments.**

   1. **ASME Constitutional Article C6.1.2.**

      Voted: to accept the proposed revisions to the Constitution as shown in Agenda Appendix VI.A.1 and recommend Board of Governors for review in April 2011.
B. Proposed Revisions to Society By-Laws.

   1. B3.1.2 Fellows Review Committee.

      Voted: to accept the proposed revisions to the by-law with one additional modification as shown in Minutes Appendix I.


   A. Policy Review for Editorial Changes on Board of Directors was approved and Minutes Appendix II will be advanced to the Board of Governors for receipt.

   B. COR Nominating Committee was formed as Nate Hurt as the chair and Larry Luna and Loretta McHugh as members.

8. Proposed Date for Next Meeting.

   The next meeting date is pending the April 2011 Board of Governors meeting directives.


   The meeting was adjourned at 2:05 PM on March 22, 2011.
List of Appendices

I.  B3.1.2 Fellows Review Committee

II. Policy Review for Editorial Changes on Board of Directors
# Proposed Appointments to ASME Unit

<table>
<thead>
<tr>
<th>Internal Unit</th>
<th>Nominee</th>
<th>Appointment Position/Title</th>
<th>Appointment Term/Category</th>
<th>Initial Appointment</th>
<th>History</th>
</tr>
</thead>
<tbody>
<tr>
<td>Council on Standards and Certification</td>
<td>Joel G. Feldstein</td>
<td>Vice Chair Operations</td>
<td>6/2011 to 6/2014</td>
<td>N/A</td>
<td>Chair, Boiler and Pressure Vessel Committee</td>
</tr>
<tr>
<td>Council on Standards and Certification</td>
<td>Heidi Hijikata</td>
<td>Vice-Chair Strategic Initiative</td>
<td>6/2011 to 6/2014</td>
<td>N/A</td>
<td>Member, Council on Standards and Certification</td>
</tr>
</tbody>
</table>
In June, 2010, the BOG adopted the recommendations of the Task Group on Unit Nomenclature including a resolution that requires ASME units to move away from using “Board of Directors” and reserve that nomenclature only for the true governing body of ASME, the Board of Governors. With concurrence of ASME Legal, the five sectors responded with these new names to replace “Board of Directors”

- Council on Standards and Certification
- Council on Strategy and Outreach
- Centers Sector Board
- Institutes Sector Board
- Knowledge and Community Sector Board

A careful search of the entire ASME Constitution revealed only one reference to the term “Board of Directors” and thus a simple change to the ASME Constitution Article C6.1.2 is required to replace the term “Board of Directors” with the correct nomenclature.

Proposed motion for COR Action: (if appropriate)

Recommend endorsement by the BOG of the proposed amendment required by ASME’s move away from using the term “Board of Directors” and that this item proceed to the next ASME Business Meeting with the comment to reflect the BOG’s endorsement of the proposed amendment.
Proposed Constitutional Amendment  
Prepared February 25, 2011

In June, 2010, the BOG adopted the recommendations of the Task Group on Unit Nomenclature including a resolution that requires ASME units to move away from using “Board of Directors” and reserve that nomenclature only for the true governing body of ASME, the Board of Governors. With concurrence of ASME Legal, the five sectors responded with these new names to replace “Board of Directors”

- Council on Standards and Certification  
- Council on Strategy and Outreach  
- Centers Sector Board  
- Institutes Sector Board  
- Knowledge and Community Sector Board

A simple change to the ASME Constitution Article C6.1.2 is required to replace the term “Board of Directors” as shown below.

ARTICLE C6.1 MEETINGS OF THE SOCIETY

C6.1.1 Society-Wide Meetings of the Society shall be held at such time and place as the Board of Governors shall designate.

C6.1.2 General Meetings of the Society which are primarily for the presentation and discussion of technical papers shall be under the direction of the Board of Directors- Sector Board or Council of one or more of the sectors as appropriate.
SOCIETY POLICY

POLICY ON SOCIETY POLICIES

I. PREFACE

A. Article C4.1.1 of the Constitution and By-Law B8.1.5 give the authority to the Board of Governors to adopt, revise, or delete Society Policies in harmony with the Constitution and By-Laws and further describe the timing of adoption and implementation of Society Policies.

B. Recognizing the need for organizing the Society Policies in an order for reference, availability and filing, a numbering system was established. To assure content and uniformity, this preferred policy format was established to be followed wherever possible.

II. PURPOSE

A. To provide for the establishment of Society Policies defined as documents which set forth the rules and procedures, consistent with the Constitution and By-Laws, relating to some particular aspect(s) of the ASME organization and operation;

B. To set forth the format for such Society Policies, and to set forth the procedures for the adoption and revision of such Society Policies; and

C. To set forth the procedures for maintaining Society files and distribution of all current Society Policies.

III. POLICY

Insofar as it is appropriate, each Society Policy shall include the following sections, in order and in the format of this Policy (P-1.1).

A. Front Matter

A. Society Policy number (P-x.y) assigned by the Committee on Organization and Rules, the date of adoption of most recent revision and Policy title;

B. Body of the Policy

1. PREFACE, detailing the basis for the Society Policy;

2. PURPOSE(S), a general statement of purpose(s);

3. POLICY, a succinct statement of the Policy;
4. PROCEDURE, a statement describing implementation of the Policy.

5. Additional section(s) if required.

C. Style Guidelines

1. The numbering sequence for subsequent subsections shall be:

A. 1. a. 1) a)

2. No underlining shall be used.

3. Section titles shall be in caps.

4. Emphasis shall be noted by the use of bold face type, whether lower or upper case.

5. All caps in bold face is permitted.

6. For revisions, existing text to be omitted shall be enclosed within brackets or with tracked changes and the new text shown with a single-line underline or with tracked changes.

D. Closing Details

The name of the unit(s) of ASME responsible for the Society Policy, dates of original adoption, revision, editorial change, and reaffirmation;

E. Appendices (if required).

IV. PROCEDURE

A. Adoption and Revision

1. New Society Policies and revision of existing Society Policies shall be approved by action of the Board of Governors.

2. Initiating action shall be by the Board of Governors or by one of the sectors or committees reporting to the Board of Governors.
3. The proposed new Society Policy or revision shall be reviewed by the Committee on Organization and Rules, with consideration being given to the need for the Society Policy, format, compatibility with the Constitution and Society By-Laws and other Society Policies, and whether concerned units of ASME have considered the Society Policy.

4. Drafts for proposed new Society Policies and revisions shall be included in the Agenda for the meetings of the Board of Governors where their adoption is being considered. A recommendation from the Committee on Organization and Rules shall also be presented, concerning the conformance of the Society Policy under consideration with other Society Policies and the Constitution and By-Laws. At the meetings of the Board of Governors where the adoption of new Society Policies and revisions are considered, the initiating sector or committee reporting to the Board of Governors shall respond to any questions from the Board of Governors concerning the content of the Society Policy under consideration.

5. Each policy must be examined by the responsible sector or unit within six years of its adoption or most recent revision or reaffirmation. The Committee on Organization and Rules shall send the Society Policy to the unit having responsibility for it. The unit shall review the policy according to guidelines prepared by the Committee on Organization and Rules, and shall make a recommendation to reaffirm it unchanged, revise and reaffirm it, or eliminate it.

B. Distribution and Files

1. A list of all current Society Policies shall be included in MM-1, Constitution and By-Laws.

2. Notice of all new Society Policies and revised Society Policies shall be distributed to members of the Board of Governors and all other officers of the Society, chairs of sectors and committees reporting to the Board of Governors, and to all members of staff concerned with the activity involved.

3. Notice of all new Society Policies and revised Society Policies shall be given on the ASME internet site, with the indication that copies may be obtained on request.

4. An official file of all current Society Policies and previous versions shall be maintained at ASME Headquarters. Current Society Policies can also be found on the ASME website.

Responsibility: Committee on Organization and Rules

Adopted: January 4, 1957
Revised: November 30, 1957
June 14, 1958
November 15, 1973
March 16, 1975
May 26, 1978
June 17, 1982
June 14, 1985
(editorial changes 6/87)
(editorial changes 8/88)
(editorial changes- attachment 4/89)
June 18, 1992
(editorial changes 6/96)
(editorial changes 11/97)
(editorial changes with reaffirmation 1/98)
November 19, 1998 (reaffirmation)
(editorial changes 3/01)
June 1, 2005
June 7, 2008 (reaffirmation)
SOCIETY POLICY

ASME FOUNDATION GRANTS PROGRAM

I. PREFACE

The grants program of the ASME Foundation was established in 1997 from contributions so that ASME units could develop leading edge programs that help engineers fulfill their leadership role in society to make technology a true servant of all.

II. PURPOSE

A. To specify the type of projects eligible for financial support from the ASME Foundation.

B. To establish the minimum information to be included with the appropriation request, and to provide a procedure for review to affirm that funds are available, that the request complies with the established requirements, and that a reporting mechanism is specified for follow-up throughout the project.

III. POLICY

A. Projects eligible for financial support from the ASME Foundation include, but are not limited to, three program areas:

1. Technical Literacy

   The profession and the world will prosper most in a technically literate society of informed citizens, and because technology is the true servant of humankind in a modern society, the Foundation will seek to invest in early (K-12) math and science literacy and, at the college level, tuition assistance and scholarships for engineering students.

2. Career Planning and Skills Development

   Career planning to include management skills development and continuing professional education is critical to the best and fullest use of engineers. Proposals might include customer needs assessment programs, on-line and video training services, job banks and readily available, cost effective career and skill development options.

3. Technologically Sound Public Policy

   Stewardship, to help insure that technology is a servant to all, is equally important to the rational development of technology-based public policy. ASME needs to be the voice of reason at the table whenever and
wherever technology-based decisions are made that affect public policy. The Foundation will invest in programs to help provide the needed voice of reason, through unbiased technical advice, to government at all levels.

Eligible projects are not expected to be net revenue producers. Any project is eligible for consideration as long as it provides a benefit to mechanical engineering and/or to the Society. The principal limiting factor would be the availability of resources.

Funds may be used to augment existing, operating General Fund programs, but innovative projects are more likely to receive funding.

B. Requests for Foundation support will require the following approval procedure before funds are disbursed:

1. Any unit within ASME may propose a project.

2. Each Sector Board or Council of Directors will decide on a categorized list of projects requested by its units to present as a recommendation to the Board of Governors.

3. The Board of Governors is responsible for recommending to the Foundation Board a categorized list (highly recommended, recommended, or not recommended) of all appropriate projects requested by the sectors and committees; however, this categorization delegated by the Board of Governors to the Sector Management Committee.

4. The Foundation Board will review the list of grant recipients and make its decision as to the specific grant approvals. The Foundation Board may adjust the amount requested by the unit in order to accommodate the budget of funds available.

The timetable of events follows:

**June**

The ASME Foundation will report the amount of grant money available for the upcoming fiscal year to the Board of Governors. The Foundation will also provide general guidance as to its program priorities.

**July-August**

The sector and committee grant requests are categorized by the Sector Management Committee on behalf of the Board of Governors and submitted to the Foundation.
September
The Board will receive the categorized requests at its September meeting as a part of the information report of the Sector Management Committee.

November
The Foundation Board will review the list of grant requests and make its decision as to the specific grant approvals known as part of its report to the Board of Governors.

The Foundation Board will also advise the Board if any grant money remains for the balance of the fiscal year. If so, the above cycle is repeated with sector and committee requests going to the Board in its March agenda package and the decisions on requests being made at the Board meeting held during the second Society-Wide Meeting of the fiscal year.

C. Appropriations made from the ASME Foundation must have a projected completion date. To avoid reducing the funds available for grants in future years, grants of any duration, including multi-year grants, will normally be fully funded in the fiscal year of the requests.

D. The ASME unit receiving a grant will prepare and submit a final report to the Foundation, or will provide an annual progress report if the duration is greater than one year. A compilation of the reports will be included in the ASME Foundation Annual Report.

IV. PROCEDURE
A. All requests for an appropriation from the Fund must provide, as a minimum, the following information:

1. Title of the project.
2. Responsible sector, board and/or committee of the sector or committee of the Board of Governors.
3. Responsible Staff Member(s) and Project Director(s).
4. Scope of the Defined Project:
   a. Program areas (shown in Section III.A of this Society Policy) to be served.
   b. Specific objectives of the project. Objectives should be measurable and include a lasting benefit. If appropriate, short-term and long-term objectives should be listed.
   c. How the program is to be measured and from what baseline.
d. Organize a plan for carrying out the project. A detailed plan with milestones for funding, staff/equipment additions, key indicators of success as project progresses, etc., and a completion date is required.

5. Appropriation request:
   a. Statement of reason(s) that this project was not included in the regular budget.
   b. Statement of reason(s) that this project should not be deferred for inclusion in a subsequent regular budget.
   c. Budget details. A schedule of expenditures must be included.
   d. Proposals highlighting the availability of the matching funds will be given special consideration.
   e. The minimum grant amount is $20,000.

V. FUNDING

A. The ASME Foundation has established an endowment started with the proceeds of a special capital campaign conducted in 1996-97. Additions may be made to this endowment. The income from the endowment is used to fund grants in the three program areas shown in Section III.A. of this Society Policy.

B. At the ASME Foundation’s meeting during the second Society-Wide Meeting of the fiscal year the amount of grant money for the upcoming fiscal year will be approved. The amount available will be calculated based on the return on the endowment less an amount returned to principal to ensure its purchasing power less an amount to pay for administrative expenses for the ASME Foundation.

Responsibility: Board of Governors

Adopted: June 11, 1997
Revised: March 18, 2000
November 10, 2000
(editorial 6/1/05)
SOCIETY POLICY

SOLICITATION OF FUNDS

I. PREFACE

Society By-Law B4.4.4 states, "No gifts or bequests to the Society shall be accepted until they have been approved by the Board of Governors. Upon receipt, such gifts shall be invested and either the capital and/or the income shall be used for the specific purpose for which the gift was designated."

II. PURPOSE

A. To provide for the coordination of fundraising activities.

B. To prevent excessive solicitation of funds from any one source.

III. POLICY

All major fundraising approaches to companies and foundations and other potential donors for support of ASME projects (including projects involving ASME and other entities) must be coordinated through and approved by the Executive Director's office.

IV. DEFINITION AND SCOPE

A. Major fundraising efforts of the Society fund activities that do not fall within the normal programs and budgets of the Society.

B. Smaller projects which do not extend beyond the unit making the solicitation do not have to be coordinated through and approved by the Executive Director's office. For sections and student sections these might be appeals for support of specific activities (meetings, science fairs, etc) or regional projects that are restricted in scope and implication to the particular geographic area where the appeal is being made to local companies or to branches of a larger company. For technical divisions and technical subdivisions these might be defined by the total amount of the funds being sought. It is the responsibility of each sector to determine the maximum dollar level of exempt solicitations and to inform its constituency of that level.

V. PROCEDURE

A. Project descriptions and fundraising plans must have the voted approval and endorsement of the appropriate committee, board and sector before they are sent to the Executive Director's office. If the project involves more than one sector, board, or committee, then all units concerned must approve the project description and fundraising plan. An example of such a project is one initiated by a technical division, but requiring local fundraising.
B. Requests for approval must be sent by the sectors to the Executive Director, who shall respond within three weeks on whether they have or have not been approved. The Executive Director shall refer those requests to the Board of Governors which, in his judgment, he believes warrant Board action. A written explanation shall be provided with each rejection of a request or referral to the Board.

1. Student sections are to submit requests to the vice president for Global Communities; sections, subsections and local groups are to submit requests to the appropriate vice president; operating boards and committees are to submit requests to the appropriate vice president and the Chair of the Knowledge and Community Board of Directors.

2. Technical divisions and technical subdivisions are to submit requests to the vice president of the appropriate technical group operating board.

3. All boards and committees which are not responsible to a vice president (for example, one reporting directly to a sector) are to submit requests to the senior vice president (of the appropriate sector).

C. Each proposal must include a description of the proposed project and a detailed fundraising plan. Each project should be self-sufficient and no expenses should be obligated until it is clear that enough money is available to pay all expenses. If enough money is not obtained, the project should be canceled, unless the technical division or section or other unit of ASME has resources of its own which can be used to cover the deficit.

D. The project description must include the following:

1. Title of project
2. Responsible committee, board, or sector
3. Responsible staff member
4. Scope of the project
   a. Goals of the Society to be served
   b. Specific objective(s) of the project
   c. Plan for carrying out the project
   d. Budget for carrying out the project
   e. Date of beginning and completion
   f. Reporting procedure
E. The fundraising plan must include:

1. Timetable
2. Preliminary list of potential donors
3. Explanation of why those particular potential donors are being solicited
4. Sample letter to be sent to the potential donors
5. Sample thank you letter

F. Informational copies of the project description and fundraising plans must be sent to the chairs of non-involved councils and other managing directors after the project is approved.

G. All units are to keep records on both exempt and approved fundraising efforts and to report annually through their appropriate sector to the Executive Director identifying solicitation purposes, dollar levels and organizations providing support. The results of fundraising should be included in section and technical division financial reports, and this requirement should be detailed in the section Treasurer's Guide and similar operating guides for the technical divisions.

Responsibility: Committee on Finance and Investment

Adopted: June 14, 1985
Reaffirmed: August 6, 1995
Revised: (editorial changes 8/88)
          (editorial changes 9/89)
          (editorial changes 8/95)
          (responsibility reassigned 11/98)
          (editorial change 9/03)
          (editorial 6/1/05)
SOCIETY POLICY

APPROPRIATIONS FOR SECTIONS, SUBSECTIONS, GROUPS, STUDENT SECTIONS, AND TECHNICAL CHAPTERS

I. PREFACE

A. The Knowledge and Community Board of Directors, based on a recommendation of the Financial Operations Board, may provide funds to help defray operating expenses for the various units of the Society as outlined in this Society Policy.

II. SECTIONS, SUBSECTIONS, AND GROUPS

A. Each section, subsection, and group will submit a financial report covering the previous fiscal year, a budget for the current fiscal year, and a unit activity report for the previous year.

The annual appropriation schedule will be developed by the Financial Operations Board and submitted to the Knowledge and Community Board of Directors for approval as part of the normal budget process.

B. For a new section, subsection, or group, eligibility for appropriations will start on the first of the month following authorization by the Global Communities Operating Board. The amount of the first fiscal year’s appropriation will be calculated by taking the number of months to the end of the fiscal year, divided by 12, then multiplied by the annual appropriation.

Eligibility of officers of new units for financial support for attendance at district meetings will be at the discretion of the district leader, and contingent on funds being available.

C. Sections, subsections, and groups failing to submit the financial reports, budgets, and unit activity reports listed in Paragraph II.A shall be subject to a penalty of up to and including a loss of financial allocation for the current fiscal year.

III. STUDENT SECTIONS

A. Each student section will submit a financial report and a program report covering the previous fiscal year.

The annual appropriation schedule will be developed by the Knowledge and Community Sector and submitted to the Knowledge and Communities Sector Board of Directors for approval as part of the normal budget process.

B. For a new student section, eligibility for appropriations will start on July 1st following authorization by the Global Communities Operations Board.
Eligibility of officers of new student sections for financial support for attendance at training seminars and student conferences will be at the recommendation of the Vice President of Global Communities, and contingent on funds being available.

C. Student sections failing to submit the financial and program reports listed in Paragraph III.A. in accord with the Knowledge and Community Global Communities Operation Guide shall be subject to a penalty up to and including a loss of financial allocation for the current year.

IV. TECHNICAL CHAPTERS

A. Each technical chapter will submit a financial report covering the previous fiscal year, a budget for the current fiscal year, and a unit activity report for the previous year.

The annual appropriation schedule will be developed by the Knowledge and Community Board on Financial Operations and submitted to the Knowledge and Community Board of Directors for approval as part of the normal budget process.

B. For a new technical chapter, eligibility for appropriations will start on the first of the month following authorization by the Knowledge and Community Board on Global Communities and the Board on Technical Communities.

Eligibility of officers of new units for financial support for attendance at regional meetings will be at the discretion of the Vice President for Affinity Communities, and contingent on funds being available.

C. Technical chapters failing to submit the financial and program reports listed in Paragraph IV.A in accord with the Knowledge and Community Global Communities Operation Guide shall be subject to penalty of up to and including a loss of financial allocation for the current fiscal year.

Responsibility: Knowledge and Community Board of Directors
Reassigned from Council on Member Affairs 6/1/05

Adopted: January 19, 1984

Revised: December 13-14, 1984 (editorial changes 3/97)
( editorial changes 7/85) June 11, 1997
( editorial changes 9/85) June 11, 1987
June 16, 1988
March 15, 1989
September 14, 1989
March 15, 1991
June 18, 1992
September 17, 1992
March 17, 1994
March 17, 1995
SOCIETY POLICY

POLLING AND BALLOTTING PROCEDURE FOR HONORS, MEDALS AND AWARDS

I. PREFACE

A. By-Law B2.1 states in part: "To promote the art, science and practice of mechanical and multidisciplinary engineering and allied sciences to diverse communities throughout the world the Society shall:..." "...Offer awards and other honors to encourage contributions to engineering; confer awards and other honors in recognition of meritorious contributions to engineering."

B. By-Law B5.2.7.1 states, "The Committee on Honors, under the direction of the Board of Governors, shall recommend properly selected nominees for honors, medals, Honorary Members, and awards, and as required shall nominate recipients of joint awards, all subject to approval by the Board of Governors. However, the Board may delegate to the Committee on Honors the power to approve candidates for any honor, medal, or award other than Honorary Member or ASME Medalist."

C. The Committee on Honors Operation Guide describes the procedures of nominating and electing recipients of Honorary Membership, the ASME Medal and other honors, medals and awards.

II. PURPOSE

To define the polling and balloting procedures for honors, medals, and awards.

III. POLICY

A. All honors, medals and awards which are the responsibility of the Committee on Honors are to be decided with at least five members of the Committee present and voting, and with no more than one negative vote.

B. To approve the granting of any honor, medal, or award by ASME units other than the Board of Governors or the Committee on Honors it is required that:

1. A majority of the membership of the responsible council or sector Board of Directors, Board or Committee be present at the time of the voting;

2. A majority of the members of the council or sector Board of Directors, board or committee vote in the affirmative, with no more than one negative vote; and

3. There will be no proxy or absentee voting.
IV. PROCEDURE

A. Election or Recommendation by the Committee on Honors/General Awards Committee

1. Subject to the policies and procedures set forth in this Society Policy, the Board of Governors and each Committee shall adopt its own rules for the consideration of nominees for honors and awards.

2. The General Awards Committee shall make recommendations to the Committee on Honors for the following medals and awards:

Bergles-Rohsenow Young Investigator Award in Heat Transfer
Blackall Machine Tool and Gage Award
Edwin F. Church Medal
Student Section Advisor Award
Gas Turbine Award
Heat Transfer Memorial Award
Henry Hess Award
Holley Medal
Charles T. Main Awards
Melville Medal
Burt L. Newkirk Award
Prime Movers Committee Award
Worcester Reed Warner Medal
Arthur L. Williston Medal

The Committee on Honors, on behalf of the Board of Governors, shall elect the recipients of the above medals and awards.

3. The Committee on Honors, on behalf of the Board of Governors, shall choose the recipients of the following medals and awards:

Allan Kraus Thermal Management Medal
Barnett-Uzgiris Product Safety Award
Per Bruel Gold Medal for Noise Control and Acoustics
Daniel C. Drucker Medal
Thomas A. Edison Patent Award
William T. Ennor Manufacturing Technology Award
Fluids Engineering Award
Freeman Scholar Program
Y.C. Fung Young Investigator Award
Henry Laurence Gantt Medal
Melvin R. Green Codes and Standards Medal
Mayo D. Hersey Award
Patrick J. Higgins Award
Soichiro Honda Medal
Internal Combustion Engine Award
Johnson & Johnson Consumer Companies Inc. Medal
Warner T. Koiter Medal
Robert E. Koski Medal
James N. Landis Medal
Bernard F. Langer Nuclear Codes & Standards Award
H. R. Lissner Medal
Machine Design Award
McDonald Mentoring Award
Van C. Mow Medal
Nadai Medal
Edward F. Obert Award
Old Guard Young Engineers Award
Old Guard Prizes
Rufus Oldenburger Medal
Pi Tau Sigma-ASME Awards
Gustus L. Larson Memorial Award
Pi Tau Sigma Gold Medal
Charles Russ Richards Memorial Award
Performance Test Codes Medal
Marshall B. Peterson Award
James Harry Potter Gold Medal
Pressure Vessel and Piping Medal
Dixy Lee Ray Award
Ralph Coats Roe Medal
Safety Codes and Standards Medal
Milton C. Shaw Manufacturing Research Medal
R. Tom Sawyer Award
Ben C. Sparks Medal
Spirit of St. Louis Medal
J. Hall Taylor Medal
Timoshenko Medal
Yeram S. Touloukian Award
Frank Von Flue Award
George Westinghouse Medals
Henry R. Worthington Medal

4. The Committee on Honors shall make recommendations to the Board of Governors for the ASME Medal and Honorary Membership in the Society.

5. The Committee on Honors shall be responsible for the administration of the Dedicated Service Award.

6. The Committee on Honors shall maintain files and shall cooperate with any member or committee of the Society who wishes to make a nomination for the following Joint Awards:

   National Inventors Hall of Fame
   M. Eugene Merchant Manufacturing Medal of ASME/SME

7. Decisions of the Committee on Honors for those honors, awards and medals delegated to it by the Board of Governors shall be reported to the Board of Governors at its next meeting.

   The Board of Governors has the right to question any decision of the Committee on Honors.
8. The Committee on Honors will also be charged with determining the relevance of continuing ASME participation with the joint awards listed in IV.A.6 above, particularly in the event that the board of award becomes inactive or the objectives of the award board are revised. The Committee on Honors shall make the appropriate recommendation to discontinue any such relationship to the Board of Governors for consideration.

B. Election by the Board of Governors

1. In an executive session, nominations for the ASME Medal and Honorary Membership received from the Committee on Honors shall be discussed prior to any balloting.

Responsibility: Committee on Honors

Adopted: June 15, 1977

Reaffirmed: August 8, 1994

Revised: June 25, 1980
          November 19, 1982
          (editorial changes 12/83)
          September 13, 1983
          June 14, 1985
          June 16, 1988
          (editorial changes 6/88)
          (editorial changes 8/94)
          March 18, 2000
          (editorial changes 9/02)
          (editorial changes 6/1/05)
          (addition of two new awards in 6/07)
          June 2008
          (addition of three new awards in 6/08)
          (addition of one new award in 6/2009)
SOCIETY POLICY

AGREEMENTS OF COOPERATION AND AFFILIATION BETWEEN ASME AND OTHER ORGANIZATIONS BASED OUTSIDE THE UNITED STATES

I. PREFACE

Article C2.1.1 of the Constitution lists, among others, the following purposes of the Society: "Promote the exchange of information among engineers and others"; and "Broaden the usefulness of the engineering profession in cooperation with other engineering and technical societies." A variety of Society activities directed toward realization of these purposes are carried out through inter- and multi-society committees with ASME representation. Another means for carrying out these purposes are found in formal agreements of cooperation and/or affiliation with engineering and scientific societies or other organizations.

II. PURPOSE

To provide a uniform guide containing the minimum essentials for agreements while including the flexibility necessary to meet the various arrangements consistent with the uniqueness of the separate organizations and the extent of the relationship.

III. POLICY

A. It shall be the policy of the Society to encourage the development of formal agreements of cooperation and affiliation between ASME and other organizations, including individual societies and multi-society groups. For such agreements to be considered the following criteria shall be satisfied to some reasonable extent:

1. The agreement furthers the purposes of the Society as defined in the Constitution and By-Laws and as expanded by policy statements of the Society.

2. The agreement is with a not-for-profit organization with purposes and objectives which are common or compatible with those of the Society and which has levels of professionalism similar to those of the Society.

3. Agreements with membership societies shall be limited to those with reasonably equivalent and compatible membership qualifications. ASME membership criteria shall not be affected by the agreement.

4. The agreement results in explicit advantages to each party.

B. For agreements with membership societies, ASME may offer an associate service, varied in accordance with grades of membership, to members of the other society at a membership level of interest and potential use of an
equivalent service available to ASME members. The level of associate service shall be no higher than that furnished to Affiliate members of ASME and the fee for the service is to be determined to be consistent with costs associated with services available to that grade of membership.

C. The agreement must ensure that all ASME members are treated alike, independent of sex, race, national origin, citizenship, religious or political belief.

D. The agreement shall endorse the principle of unrestricted participation of citizens of all nations at international conferences. ASME may decline to participate in an international meeting if it considers any restrictions on the attendance of participants as too inhibiting.

E. The agreement shall specify in full the areas of agreement, methods of cooperation, respective rights and privileges of the parties entering into the agreement and the rights and privileges of the members of each organization.

F. The agreement will include no restrictions on ASME's interest or potential interest in establishing geographical or technical membership units of its members or in developing similar agreements with other organizations.

G. For agreements of cooperation with engineering societies of other countries, it is suggested that the agreement be based on the Model Agreement, which is a part of this Society Policy. However, agreements may be particularized as seems useful or required by special conditions related to a specific organization.

H. The copyright policy of one organization must be respected by the other organization.

I. The intellectual property of one organization may not be republished by the other organization without first obtaining written permission from the originating organization.

J. The agreement may provide periodic meetings of designated representatives of both organizations. At least two persons from each organization shall be appointed by the respective governing bodies, one of whom shall be the chief staff officer of that organization or his or her designated representative. These meetings shall take place not less frequently than every three years and a report of the meeting shall be provided to the Committee on Organization and Rules.

K. The agreement may provide for a committee on coordination for implementation and coordination of inter-organization events and actions. This coordinating committee shall be composed of at least two members from each organization. For ASME the members of the coordinating committee will be appointed by the Committee on Organization and Rules.

The committee on coordination shall select a chair and a secretary and provide an annual activities report to the Committee on Organization and Rules.

If the expected level of inter-organization activities does not warrant the appointment of a committee on coordination, each organization shall appoint one member to act as liaison. This person, together with his or her counterpart
from the other organization, will perform the same function that is expected from a committee on coordination.

L. Each agreement shall include provision for amendment and termination.

M. Monitoring the agreements and reviewing them periodically, to evaluate the attainment of purpose and effective operation, shall be the responsibility of the Executive Office, or the Knowledge and Community Sector for the Canadian and Mexican Agreements. Any difficulties or problems are reported to the affected Society units for resolution.

N. The Executive Office, or the Knowledge and Community Sector for the Canadian or Mexican Agreements, may recommend amendments to an agreement or its termination and transmit those recommendations to the Committee on Organization and Rules for review and action by the Board of Governors.

O. The agreement shall not inhibit the independence or autonomy of either party and shall assure that ASME shall not be responsible for actions of the other organization.

P. Any proposed agreement or protocol setting forth an agreement is neither valid nor binding until approved by the ASME Board of Governors.

IV. PROCEDURE

A. A recommendation for development of a formal agreement of cooperation or affiliation may be made by any individual or group, internal or external to ASME.

B. The recommendation shall be referred to the Committee on Organization and Rules for its consideration.

C. After consulting all ASME units having responsibility or interest which might be affected by the proposed agreement and working with its counterpart in the organization, a proposed agreement shall be submitted to the Committee on Organization and Rules for its consideration. If and when the Committee on Organization and Rules is satisfied with the proposed agreement, the Committee on Organization and Rules will submit the agreement to the Board of Governors with a recommendation for approval.

D. Agreements of cooperation or affiliation shall be maintained in a file which is kept current by the executive office of ASME. The files should also contain supporting and historical material.

E. A listing of all agreements of cooperation or affiliation shall be maintained on the ASME internet site.
V. MODEL AGREEMENT

By this Agreement, _________________________( ) and the American Society of Mechanical Engineers (ASME) establish a cooperative relationship in their areas of interest devoted to the promotion of the art, science and practice of mechanical engineering.

This Agreement sets forth the general principles which the parties propose to follow as they cooperate in the exchange of information and knowledge in order to promote the art, science and practice of mechanical engineering. The parties may from time to time also enter into agreements of cooperation with other organizations with respect to these matters.

No joint action will be allowed that would violate the laws and regulations of either country.

Each organization will respect the copyright policy of the other organization and agrees that intellectual property will not be republished without prior written permission from the originating organization.

Both organizations endorse the principles of unrestricted participation of citizens of all nations at international conferences. The intent for conferences administered or endorsed by both organizations shall be to secure freedom of citizens of all nations, irrespective of race, creed, color, religion, or political belief to enter either country for the purpose of attending such a conference. Both organizations will make every effort to comply with this policy unless such compliance is in direct conflict with the laws, regulations, or stated government policy of either country.

It is understood that either organization may decline to participate in international meetings or conferences where they consider such restrictions to be too inhibiting.

The following are the specific terms of this Agreement.

A. MEMBER ACTIVITIES

1. Attendance at Meetings

Members of each organization are welcome to attend and participate in conferences and general meetings of the other organization. As long as participants pay all relevant fees and meet all stated event requirements, there will be no restriction on their presence at such events.

2. Publications

Each organization’s publications shall be available for purchase to members of the other organization.

3. Membership

All who are members of one organization and who meet the membership requirements of the other organization may apply for membership in that
organization without need for formal references and without payment of initiation, application, or entrance fees. Instead of formal references, an applicant shall obtain certification of his or her membership from the chief staff officer of the member's own organization.

Each organization shall elect on a complimentary basis the chief staff officer of the other organization to the grade of membership for which he or she is qualified.

There are no restrictions on either organization in establishing geographical or technical membership units of its members or in developing similar agreements with other organizations.

4. Student Participation

If both organizations have student members, each organization will endeavor to gain the participation of the engineering student members of the other organization when student organization interests and the event warrant cooperation.

5. Identification

Members of each organization using the privileges under the Agreement shall furnish appropriate evidence of membership in their organization. This is especially important for attendance at meetings and for the purchase of publications.

B. ORGANIZATION ACTIVITIES

1. Observers

The governing body of each organization shall name a member who may be invited as an observer to those meetings of the governing body of the other organization at which matters of mutual interest to both organizations are to be discussed.

2. Communications

Each organization shall provide to the other organization advance announcements of conference programs, future meeting dates and locations, calls for papers, and news of mutual interest which the other organization may wish to publicize in its journals and newsletters.

To facilitate such exchange of information and to implement and coordinate interorganization events and actions, each organization shall appoint a coordinating committee of at least two members, or a liaison, to establish and maintain an active communication channel during the life of this Agreement.

3. Technical Publications Depositories

Each organization may designate a library in the country of the other organization as a depository for its technical periodical publications on a
reciprocal complimentary basis. Selection of the library shall be made with the recommendation and advice of the other organization and shall take into consideration the existence of organizations which already participate on a fee or exchange basis. Such periodicals shall include material normally provided all members of each organization as a part of their membership and copies of technical journals published on a serial basis, if appropriate.

4. Technical Activities

Each organization shall encourage its technical units to involve the related units of the other organization in international events for the exchange of technical information. If one organization plans to hold an event in the country of the other organization, it shall offer to involve the other organization at a level appropriate to the particular circumstances of the event. A written understanding of mutual responsibilities shall be exchanged between the two organizations during the early planning stages for each event. The various levels of involvement are sponsorship, co-sponsorship, and participation. (See P-12.1, Business Practices of Conferences and Events.

C. REVIEW, AMENDMENT, AND TERMINATION

The terms of the Agreement shall be reviewed by each organization triennially to make sure that it is fulfilling its purpose and is working well. Amendments to the Agreement may be proposed at any time but will not be valid until they have been approved by the governing bodies of both organizations.

The Agreement may be terminated by either organization six months after having provided a written notice to the other organization.

D. RATIFICATION

Any proposed Agreement or protocol setting forth an Agreement is not valid or binding until approved by each organization’s established procedures.

Responsibility: Committee on Organization and Rules/Knowledge and Community Board of Directors

Adopted: June 14, 1959

Revised: September 9, 1966
June 1975
June 10, 1983
(editorial changes 1/84)
June 14, 1985
March 6, 1986
(editorial changes 6/87)
December 18, 1987
June 16, 1988
(editorial changes 6/89)
(editorial changes 5/90)
(editorial changes 9/90)
March 20, 1992
(editorial changes 9/92)
March 11, 1993
(editorial changes 11/94)
(editorial changes 6/96)
(editorial changes 11/96)
June 11, 1997
June 6, 2001
(editorial 6/1/05)
SOCIETY POLICY

SERVICE ON ASME UNITS BY MEMBERS OF THE STAFF

I. PREFACE

By-Law B5.1.45 states: "The primary role of staff assigned to councils, boards and committees is to implement actions that are required to meet the objectives of the board or committee on a continuing basis. Working under broad lines of policy established by the council, board or committee, the staff will initiate programs, actively engage in the work, and make operating decisions necessary to carry forward the programs in a dynamic and efficient manner."

A. ASME volunteers establish policy.

The advice of staff is essential in the setting of policy.

B. ASME staff implements policy.

Volunteers assist in implementation of policy.

C. Below the level of the Board of Governors, decisions and often procedures are made by the Councils, Sectors, Boards, and Committees.

D. For this Society Policy the term "By-Law Unit" refers to a Council, Sector, Board or Committee for which the function and composition is given in detail in the By-Laws of the Society.

II. PURPOSE

A. To provide the method of action relating to the service of staff on units of the Society.

B. To provide for communication among the units of ASME as a responsibility of staff members of units.

III. POLICY

A. The volunteers and staff form a team in the joint effort for ASME.

1. It is important and necessary that appropriate staff persons be members of By-Law units of the Society. These staff persons must participate freely in the discussion and deliberations that precede a decision. Staff voting is defined in the ASME By-Laws pertaining to the unit or the unit’s Operation Guide.
2. Some units other than By-Law units will have a staff person as advisor to the unit or as a member of the unit, at the discretion of the appointing body or individual. These staff persons should understand they are part of the ASME team and this should be reflected in their participation in the work of the unit.

3. The situation for task forces is that of III.A.2.

B. The functions of the volunteers and the staff are different.

1. At the higher levels of the ASME organization, staff members of the By-Law units do not vote.

2. For units other than By-Law units voting by staff members is decided by the unit.

C. It is extremely important that the staff members of ASME units keep the volunteer members of the units informed about relevant interests, procedures, and plans of other units of ASME of which the staff members have knowledge.

1. The staff member is frequently the best informed source for liaison with other units of the Society.

2. The staff member should inform the unit of the potential effect of its proposals on other units of the Society.

IV. PROCEDURE

Staff members of units have the responsibility of advising the staff members of other units of proposals which have a potential effect upon the other units.

Responsibility: Committee on Organization and Rules

Transferred to the Committee on Staff from the Committee on Planning and Organization: June 12, 1996.

Transferred to the Committee on Organization and Rules from the Committee on Staff: June 1, 2005

Adopted: November 19, 1989

Revised: (editorial changes 11/88)
             (editorial changes 4/89)
             (editorial changes 6/96)
             (editorial changes 6/02)
             (reaffirmed 6/1/05)
             (reaffirmed with editorial changes 6/7/08)
I. PREFACE

The Board of Governors of ASME has determined that it is beneficial to the operation of ASME for each unit to have an operation guide.

II. PURPOSE

A. To set the minimum requirements for the operation guide and
B. To establish the procedure for maintaining the operation guide.

III. POLICY

Each unit of ASME is to have an operation guide.

A. It may be in the form of an ASME Manual.
B. It may be for a number of similar units, e.g., Districts.
C. It may be in addition to the by-laws of the individual units, e.g., Sections.

IV. PROCEDURE

A. Contents

1. The guide shall list the responsibilities of the unit, including those assigned by the ASME Constitution and By-Laws, the Society Policies, and any that are assigned by the Board of Governors.

2. a. The guide shall include an organization section defining the composition of the unit and the terms of the members, and listing the officers and their terms of office.

   b. Where appropriate, the guide shall include procedures for filling a vacancy in the office of vice president in the event the position becomes vacant during an incumbent’s term of office.

3. The guide shall include an operations section listing the operating procedures and the meetings.

4. The guide shall include budgeting procedures, fiscal responsibilities and reporting procedures where applicable and in conformity with Fiscal Policies of the society as stated in Society Policy P-2.9.
5. The guide shall include vision and/or mission statements or other statements of purpose or direction of the unit.

B. Review and Maintenance

1. For units reporting to the Board of Governors an up-to-date copy of the operation guide shall be provided to the Committee on Organization and Rules for review and to provide a single location and source for these guides. This review should occur at least every three years, or when significant changes take place.

2. For units reporting to councils or sectors an up-to-date copy of the operation guide shall be provided to and maintained within each council or sector as determined by each council or sector.

Responsibility: Committee on Organization and Rules

Adopted: June 11, 1987

Reaffirmed: November 19, 1998

SOCIETY POLICY

ALCOHOL AND CONTROLLED SUBSTANCES

I. PREFACE

It is important that ASME events be conducted in a manner and way which demonstrate to the public a responsible professional image and responsible citizenship.

II. PURPOSE

To state the ASME policy relative to the use of alcoholic beverages and controlled substances.

III. POLICY

A. It is ASME policy that alcoholic beverages:

1. shall not be the central focus of events in which units of ASME participate,
2. shall not be publicized as an inducement for attending an event in which units of ASME participate,
3. shall be served only by and at licensed establishments wherever possible,
4. shall only be available when non-alcoholic beverages are also available,
5. shall be served only in compliance with all Federal, State, and local laws and/or ordinances, and
6. shall be served only in compliance with the policies and regulations of the relevant educational institutions when students are involved.

B. Illegal use of controlled substances at events in which units of ASME participate is prohibited.

IV. PROCEDURE

Responsibility for ensuring compliance with this Society Policy is vested in the ASME unit(s) involved in the sponsorship of the event.
Responsibility: Knowledge and Community Sector Board of Directors
Reassigned from Council on Member Affairs 6/1/05

Adopted: June 6, 1990
Reaffirmed: September 20, 1996
Revised: (editorial changes 6/1/05)
SOCIETY POLICY

FORMATION OF VICE PRESIDENT POSITIONS

I. PREFACE

A. Article C5.1.1 of the Constitution states, "The Society membership may be divided into smaller units for administrative and technical activities."

B. Article C4.1.2 of the Constitution lists Society officers including vice presidents.

C. Article C4.1.5 states that a vice president shall be a corporate member of the Society who has reached at least the grade of Member. Qualifications of vice presidents and requirements of the office of vice presidents are further outlined in Society Policy P-4.3, Qualifications of ASME Elected Officers and Requirements of Office.

D. Society By-Law B5.1.1 states, "Subject to the approval of the Board of Governors, each sector shall have the power to establish its boards and committees."

E. Society By-Law B5.1.2 states, "Each board or committee, as described in the By-Laws, shall perform the duties prescribed therein, and those assigned to it by the sector to which it reports."

II. PURPOSE

To provide guidelines, criteria and procedures for the formation of vice president positions.

III. POLICY

A. Following the implementation of Continuity and Change effective July 1, 2005 the formation/creation of any vice president position must be preceded by a trial period of the unit for a period of at least three years. Any period of prior existence of a unit shall be considered against this requirement.

B. There are only a limited number of activities and programs that require a vice president to lead them. Not all worthwhile programs or activities need a vice president.

C. In those rare circumstances where this need or potential benefit can be demonstrated, the Board of Governors may act, based on a recommendation from a sector, through the Committee on Organization and Rules, to create an additional position of vice president.

D. When the Board of Governors votes to establish a position of a new vice president, the position is considered to be vacant until filled by election by the membership, or until the Board of Governors acts to name an individual as the
vice president. The Committee on Organization and Rules and the Nominating Committee may assist in the identification of individuals to serve as a vice president.

IV. PROCEDURE

A. Initial unit formation and development shall require a proposal to the Board of Governors. Criteria to establish a new vice president position are:

1. The new vice president shall head an already existing board.
2. The existing board shall have operated for at least three years.

B. Subsequent to the completion of the three-year trial period, the Board of Governors may request the development of a vice president position or a sector may propose such to the Board of Governors.

C. The proposal shall be reviewed by Committee on Organization and Rules. The proposal shall:

1. State the proposed new vice president position's responsibility and activity.
2. Outline the constituency of the proposed new vice president position, as well as the rationale, scope, projected programs and plans.
3. Justify the need and expected benefits of the proposed new vice president position.
4. Present the vision and mission statements for the board which are consistent with the ASME Vision and Mission, the ASME Goals, and the ASME Trends, Impacts, and Strategic Implications.
5. Present the goals and objectives for the first term of the proposed new vice president position.
6. Present a three-year budget and budget impacts for the board and the proposed new vice president position.
7. Project the impact of the proposed new vice president position on staff requirements, including staff personnel, staff services, and costs.
8. Project the impact of the proposed new vice president position on the Nominating Committee, including the extent of increase in size of the Nominating Committee, and the expense of additional Nominating Committee representatives and alternates.
9. Present the Operation Guide for the board to be headed by the proposed new vice president position.
D. Upon completion of the review by the Committee on Organization and Rules, the proposal, with the Committee's recommendations, will be presented to the Board of Governors for action.

V. DISCHARGE

A. As required by Society Policy P-4.9, Unit Evaluation Review, units of the Society shall review on a biennial basis, the charge, organization, activities, and continued need for that unit to function. The councils, sectors shall evaluate each vice president position. This responsibility should be included the Operation Guide of the sector.

B. The Board of Governors may dissolve a position of vice president through a By-Law change which removes the particular vice president position.

Responsibility: Committee on Organization and Rules

Adopted: September 11, 1994

Revised: (editorial changes 9/95)
          (editorial changes 3/01)
          June 1, 2005
          (reaffirmed 6/7/08)
SELECTION, NOMINATION AND APPOINTMENT OF SENIOR VICE PRESIDENTS

I. PREFACE

A. By-Law B4.1.6.4 states,

   Any vacancy in the office of senior vice president ... shall be filled by the
   Board of Governors.

B. Society Policy P-4.4, Appointment of ASME Volunteer Personnel to Non-
   elected Positions, covers nomination and appointment guidelines for all other
   non-elected volunteer positions.

C. Society Policy P-4.3, Qualifications of ASME Elected Officers, covers the
   positions of elected officers.

D. By-Laws B5.3.1.3, B5.4.1.3, B5.5.1.3, B5.6.1.3 and B5.7.1.3 specify each of the
   five sectors’ requirements for selection of candidates for senior vice president.

E. Article C4.1.4 of the Constitution states:

   A senior vice president shall be a corporate member of the Society who
   has reached at least the grade of Member. He or she shall serve a term
   of three years. Additional service as the same senior vice president may
   occur after an interruption of one or more years or following a partial
   term.

II. PURPOSE

A. To provide guidelines for selection, nomination and appointment of volunteers to
   the position of senior vice president.

B. To provide the procedure leading to appointment.

III. POLICY

Each of the five sectors is chaired by a senior vice president.

A. Sector Senior Vice President Position Description

   The following is a general position description for all senior vice presidents.
   This description may be supplemented by information that each sector
   specifies in its operation guide pertaining to its particular senior vice president
   position.
1. Role Within the Society Government

Senior vice presidents are officers of the Society and represent their sectors at the meetings of the Board of Governors, and the Committee on Finance and Investment whenever required. Senior vice presidents are the prime channel of communication between their sectors and the Board of Governors and the other sectors of the Society.

The senior vice president leads the sector in conducting its programs to accomplish the goals specified in ASME's strategic plan.

2. Role Outside ASME International

Senior vice presidents are expected to interact with government, business and academic leaders worldwide, as required to further the goals of the Society. They may authorize position statements of their respective Sectors in accordance with Society Policy P-15.1. Senior vice presidents may be appointed to represent ASME in other organizations or in joint activities with other groups.

3. Role Within the Sector

A senior vice-president has the executive decision-making authority to foster the goals of the Society within the framework of the Society Constitution, By-Laws and Policies, and the constraints of the sector's budget authority.

A senior vice president:

a. Is the senior officer of the sector and chairs the sector meetings,

b. Works closely with the vice presidents of the various units and boards within the sector to achieve their missions in support of the Society and in the development of the plans and metrics to assure the best use of Society resources,

c. Works closely with the senior staff of his or her sector to execute successful programs, and is the volunteer leader who is responsible for budget requests and budget management,

d. May call special meetings and executive sessions of the council or sector board of directors.

4. Required Attendance at Meetings

Senior vice presidents are expected to:
a. Attend and chair regular and special meetings and retreats of their sectors.

b. Represent the sector at meetings of the Board of Governors, the Committee on Finance and Investment and the Sector Management Committee.

c. Speak on behalf of their sectors at sector-sponsored administrative conferences of the other sectors.

5. Financial Commitment

Senior vice presidents may receive travel expense contributions from ASME as described in Society Policy P-4.5, Travel Expense Contribution, within the constraints of the approved budget for travel for the sector.

B. Individual Qualifications

1. A full understanding of the purposes and objectives of the sector.

2. Experience, judgment, and motivation closely related to the work of the specific sector on which he or she would serve.

3. Broad engineering expertise.

4. Broad leadership and management experience.

5. P.E. registration preferred but not necessary.

6. ASME membership grade – Member grade or higher.

7. Broad Society experience.

8. Additional qualifications as specified for the senior vice president position in each sector’s operation guide

C. Term of Office

The term of office of senior vice presidents shall be three years, beginning and ending during the second Business Meeting of the fiscal year. Additional service as the same senior vice president may occur after an interruption of one or more years, or following a partial term.

Should the senior vice president be unable to complete the term of office, the sector shall recommend a successor to the Board of Governors to fill the unexpired term, following procedures of Section IV of this Policy.
D. Guidelines.

1. The operation guide of each sector shall define the sector-specific roles, requirements and necessary qualifications for applicants to the position of senior vice president of that sector.

2. The candidates for senior vice president shall be selected from the past or current vice presidents and/or members-at-large of each sector, as specified in the Society's By-Laws.

3. Each sector will include procedures for nominations and selection in its operation guide.

IV. PROCEDURE

A. The sector that is seeking to select a new senior vice president begins and completes its selection process during the second year of the three-year term of the current senior vice president, and before the Board of Governors meets during the second Society-Wide Meeting of the fiscal year. One or more representatives from the Board of Governors review the generic requirements with the sector members prior to the sector beginning its selection process.

B. The sector presents the name and qualifications of its nominee at the Board of Governors' meeting during the second Society-Wide Meeting of the fiscal year that occurs at the end of the second year of the three-year term of the current senior vice president. This presentation is to be in written format that is similar to the Nominating Committee Application form, and contain questions to be addressed by the applicants including but not limited to:

1. What are the significant operational issues facing the sector, and how would you address these issues?

2. What are your plans to promote the activities of the sector towards achieving the Society’s goals?

3. What future goals do you propose?

C. The nominee may be asked to appear before the Board of Governors to present his or her qualifications and to address questions from the Board of Governors.

D. The Board of Governors reviews, deliberates, and approves or disapproves the sector’s nominee at the September meeting of the Board of Governors following its meeting during the second Society-Wide Meeting of the fiscal year referred to in paragraph IV.B.

E. If the nominee is approved as the new senior vice president, the term will begin at the end of the three-year term of the current senior vice president.
F. If the nominee is not approved, the sector selects a second nominee at its next November meeting and presents its second nominee to the Board of Governors at that November meeting. The Board of Governors reviews, deliberates and approves or disapproves the sector’s second nominee at the following March meeting of the Board of Governors.

G. In the event the Board of Governors does not approve the sector’s second nominee, the Board of Governors will select an interim senior vice president to serve for one year, and the sector will begin the selection process again in time to present another nominee to the Board of Governors during the second Society-Wide Meeting of the fiscal year. If this third nominee is approved, the term will begin at the end of the one-year term of the interim senior vice president.

H. The Board of Governors, the sector’s immediate past senior vice president and senior staff member have the responsibility to mentor and support the newly selected senior vice president for that sector.

Responsibility: Board of Governors
Adopted: November 16, 2001
Revised: June 1, 2005
SOCIETY POLICY

APPOINTMENT OF ASME REPRESENTATIVES TO OTHER ORGANIZATIONS

I. PREFACE

A. By-Law B5.8.1 states, “The Board of Governors or a council or sector board of directors may appoint a member or members of the Society to represent it at meetings of societies of kindred aim or at public functions. If time does not permit action by the Board of Governors or by a council or sector board of directors, such appointment may be made by the President or by the chair of a sector.”

B. B5.8.2 states, “The Board of Governors may appoint a member or members of the Society to represent the Society on committees organized by other societies, Government departments, or other groups.”

C. B5.8.3 states, “The Board of Governors may appoint such a number of members of the Society to represent the Society on boards of award of any joint activity recognized by the Board of Governors, as may be required by the by-laws of those activities.”

II. PURPOSE

A. To establish the reasons for representatives to other organizations,

B. To define the function of the representatives, and

C. To establish the procedure for implementation.

III. POLICY

A. The Purpose of ASME Representation

1. To support the activity of the other organization.

2. To provide useful information from the other organization to ASME as a guide to ASME policy and as a guide to some specific function of an ASME activity.

B. The Function of an ASME Representative

1. An ASME representative contributes to the work of the other organization.

2. An ASME representative provides continuous communication between the other organization and a particular ASME unit.

3. Only in unusual circumstances would an ASME representative be limited in his or her actions by instructions furnished by ASME.
4. In certain cases ASME will designate a member to undertake an assignment in another organization, serving as an individual rather than as a representative of the Society. An example of this is service on the board of a joint award.

IV. PROCEDURE

A. Qualifications

1. Representatives from ASME to other organizations shall be members of ASME.

2. Representatives from ASME should be knowledgeable in the policies and practices of the Society.

3. Representatives shall be selected for an ability to contribute to the work of the other organization and to provide an active communications link with an ASME committee, board, or sector.

4. Nominees must provide their own travel expenses. Society Policy P-4.5 provides conditions and limits pertaining to possible exceptions.

B. Assignment

1. With the exception of certain organizations of very broad scope, each organization to which ASME sends a representative is concerned with a subject or activity which corresponds to the responsibility of a specific ASME committee, board, or sector, as set forth in the Assignment of Duties approved by the Board of Governors. The Assignment of Duties are located in the Sector, Board or Committee Operation Guides.

2. The following ASME representatives will report directly to the ASME Board of Governors:

American Association of Engineering Societies
Board of Governors

Committee of Mechanical Engineering Society Presidents

Materials Properties Council

United Engineering Foundation Board of Trustees

3. Nominations and recommendations for the appointment of Society representatives will be sent to the Committee on Organization and Rules by the sectors or committees at the appropriate times. Responsibility for the nominations and the times when they are due will be set forth in the appropriate Assignment of Duties.
C. The process of nomination shall be:

1. The committee, board, or sector assigned by the Board of Governors with responsibility for each such nomination will present its initial nomination and reappointment on a form which will state the nominating and reporting responsibility as well as other pertinent information with regard to the appointment and reappointment. When a staff member signs the form, it is understood that he or she has acted on instructions from the sector, board, or committee.

2. In selecting and recommending nominees, it should be understood that the nomination information will be subject to review by the Committee on Organization and Rules and subsequently by the Board of Governors unless delegated.

3. Each nominee should understand the importance of regular attendance and should be given full opportunity to consider whether he or she has sufficient time to devote to the activity and what personal expenses will be required from the representative. Each nominee should also understand the importance of providing timely reports to the ASME unit to which he or she has a reporting responsibility.

D. Terms of Office

1. In those cases where the outside organization has an established sequence of appointments with a defined term of office, the ASME appointment will be made in accordance with this plan and term of office. Complete information concerning the plan and term of office must be included in the listing of nomination responsibility in the Assignment of Duties of the committee, board, or sector and also on the recommendation form.

2. In those cases where ASME is asked for representation with no reference to a specific term, ASME will make the appointment for a term determined by the responsible unit, and specified in their Operation Guide, not to exceed three years.

Individuals who have completed one or more terms of service may be reappointed for an additional term.

If the total continuous service in that position does not exceed 10 years, then the justification for reappointment shall be similar to the justification for the original appointment.

In the event of a reappointment for which total service would exceed 10 years, a statement must accompany the nomination setting forth specific reasons why this appointment is critical to the well being of ASME, and the exceptional circumstances involved.
E. Appointment

1. The appointment will be made by the Board of Governors.

2. Notification of the action will be forwarded:
   a. To the person appointed, by letter from the President of ASME.
   b. To the other organization by letter from the Executive Director.

F. Dues

1. Affiliation with some organizations includes an undertaking for the payment of dues. Authorization for such payment is not a part of the appointment procedure. Before a nomination is made the unit responsible for the nomination should ascertain either that no dues are involved or that payment of dues has been included in the ASME budget.

2. For information purposes, the amount of any dues obligation must be stated with the appointment information in the Assignment of Duties for the committee, board, or sector having the nominating responsibility.

Responsibility: Committee on Organization and Rules

Adopted: September 16, 1960

Revised:

- September 19, 1966
- June 18, 1975
- June 15, 1977
- October 27, 1978
- June 10, 1983
  (editorial changes 4/85)
  (editorial changes 6/87)
  (editorial changes 8/88)
- June 22, 1989
  (editorial changes 8/95)
  (editorial changes 3/99)
- November 19, 1999
  (editorial changes 3/01)
- June 1, 2005
SOCIETY POLICY

TRAVEL EXPENSE CONTRIBUTION

I. PREFACE

A. By-Law B4.4.6 states, "All payments for expenditures shall be made by the office of the Assistant Treasurer upon proper authorization, in accordance with the budget adopted by the Board of Governors."

B. This Society Policy applies to categories of volunteer travel that may either be ASME business specific, related to ASME internal administration, or where ASME has a relationship with an outside entity.

C. As a learned technical society, ASME expects that members who participate in the activities of the Society will normally be responsible for the expenses that they incur as part of their participation. In return, member participation contributes strongly to the professional growth of the engineer. Employers of ASME members benefit greatly by the professional growth of their employees. Because of these benefits to both employer and employee, it is expected that the member will be able to obtain travel costs from his or her employer, his or her own funds, or from other sources.

D. This Society Policy permits travel contribution for volunteers to those units where funding is available in the budget.

E. ASME has developed this Society Policy to take care of those cases related to certain specific activities of the Society for which the member is not able to obtain funding for travel from his or her employer or other sources.

II. PURPOSE

A. To explain the budget and expense contribution relationship.

B. To list the limits of expense contributions.

C. To establish the rules of qualification for an expense contribution.

D. To list the eligibility for travel expense contributions.

III. POLICY

A. The budget and expense contribution relationship.

1. Funding for travel expense contribution shall be included in the annual budget of the Society. In selecting the timing and location of meetings, consideration shall be given to the travel cost to ASME, the travel cost to the member or his or her employer, and the time away from home required of the member. Meetings which can be scheduled to take advantage of low air travel rates shall be encouraged. In addition,
persons traveling to meetings are encouraged to find the least expensive practical means of travel, where alternative fares are available. Large discount fares with penalties are also encouraged where the probability of cancellation is low. Penalties for cancellation will be paid where authorized by the unit leader.

2. Control of travel expense to ASME under this Society Policy is achieved by careful attention to the budget. During the preparation of the budget, each unit requests a certain amount of travel support for the activities under its control. A request for travel funds for a unit which does not report to a council or Sector Board of Directors should be prepared by that unit and sent to the Committee on Finance and Investment before the date on which, according to the budget preparation calendar, budget requests are due from the council or Sector board of Directors. When the budget is approved by the Board of Governors, ASME travel support for the specific unit activities is established for that budget year.

3. Transfer of travel funds in the budget.

Under rules specified by the Committee on Finance and Investment, each council or Sector Board of Directors may authorize transfer of travel funds in its budget from one travel line item to another travel line item. Subsequent to budget approval by the Board of Governors, Senior Vice Presidents may allow for travel support for new or expanded activities, provided that there is no change to total budgeted travel support for the Sector.

B. Basis for travel expense contribution.

1. Transportation.

a. Travel by air: Large discount fares with penalties are encouraged where the probability of cancellation is low. Penalties for cancellation will be paid where authorized by the unit leader. Otherwise, round-trip coach, should be utilized if available. When traveling internationally while working under United States government contract, a United States-flag air carrier should be used when practical. Airfares will be reimbursed. Local fares between the airport and the meeting site will be reimbursed.

b. Travel by public ground transportation: Round-trip rail and/or bus fare will be reimbursed. Local fares between the transportation terminal and the meeting site will be reimbursed.

c. Travel by private automobile: The mileage reimbursement rate for travel by private automobile is in accordance with United States Internal Revenue Service Guidelines, plus tolls and parking. Under non-emergency travel conditions, round-trips by private automobile shall not exceed 1600 kilometers or 1000 miles, unless it can be shown to be the most economical means of travel.
d. Travel by rental car: To be reimbursed at the same rate as for travel by private automobile. However, full costs may be included if no other transportation means are available. Car pooling should be encouraged.

2. Other expenses.

Actual reasonable subsistence and hotel room expenses, not exceeding $150 per day except as noted below, for each day or major part of a day at the meeting or on official Society business. Approval may be given for additional days if this results in an overall reduction in travel contribution.

If the reimbursement schedule of the location is equal to or greater than the ten-city index rate as stated in the "United States Government GSA Rates" (which includes international locations) the maximum ASME contribution would be $225 per day.

The ten-city index rate shall be determined annually at the beginning of each fiscal year by the ASME Finance Department, based upon the "United States Government GSA Rates" (which includes international locations). The ten cities will be selected from among recent and future sites for the Congress.

C. Rules for paying a travel expense contribution.

1. A travel expense contribution may be paid by ASME under the following conditions:
   a. The person is not able to obtain funding elsewhere.
   b. The person is among those eligible to receive a travel expense contribution because the activity he/she has completed is a budgeted activity.
   c. A request for a travel expense contribution is submitted on an official ASME form and in accordance with the rules related to that form.
   d. The travel expense contribution request form is approved by a member of the ASME staff authorized to approve it.

2. Every effort will be made to keep the unit and those eligible for travel contribution appraised of the status and availability of travel contribution funds for that activity for that period. Travel contributions cannot be made after the unit and those eligible have been notified that the travel budget has been committed and or expended. All persons at the meeting in question shall be considered on the same basis, with the date the expense report is submitted not being a factor.
D. Eligibility for travel expense contribution.

Persons participating in the types of activities described as follows may be eligible to receive a travel expense contribution whenever travel funds are available in the budget. The budget will be the deciding factor in determining what activities have funding; each unit is encouraged to keep a list of desired activities to budget travel contribution in its Operation Guide.

1. Board of Governors meetings, retreat and indoctrination meetings as determined by the President and available in the budget.

   Guests who are specially invited by the President or by the Board to attend a meeting of the Board of Governors, except guests representing a unit of ASME, who shall be eligible for travel expense contribution from the travel budget of the represented unit.

2. Meetings of the Standing Committees of the Board of Governors, as defined in the Society By-Laws as determined by the Board of Governors as available in the budget.

3. Other travel authorized by the President or the Board of Governors.

4. All Sector Meetings as determined by the appropriate Senior Vice President as available in the budget.

5. ASME representatives to the Accreditation Board for Engineering and Technology to attend meetings of the Accreditation Board for Engineering Technology as determined by the Centers Senior Vice President as available in the budget.

6. New members of the ASME/Accreditation Board for Engineering Technology Ad Hoc Visitors List to accompany the ASME member as an observer on one accreditation visit as determined by the Centers Senior Vice President as available in the budget.

7. Members designated by the Committee on Ethical Standards and Review to serve on ad hoc ethics investigations committees as determined by the Centers Senior Vice President as available in the budget.

8. Representatives to National Council of Examiners for Engineering and Surveying and the Exam writers to National Council of Examiners for Engineering and Surveying problem writing workshop sessions as determined by the Centers Senior Vice President as available in the budget.

9. The representative to the National Institute for Engineering Ethics as determined by the Centers Senior Vice President as available in the budget.
10. Nominating Committee.

Voting Members, Consultants (Past Chair and Past Secretary or designee), Past President Advisors to the Nominating Committee, Alternate Members who have specific assigned duties, incoming Voting Members and Alternates of the Nominating Committee to attend organizational meetings as available in the budget.

11. Old Guard Committee.

a. Old Guard Committee Members to attend the meetings of the Old Guard Committee as available in the budget.

b. Old Guard judges, contestants and contest winners at Old Guard Contests held during the Congress as available in the budget.

12. ASME Auxiliary.

Officers to attend the Board meetings of the Auxiliary as available in the budget.

13. Other organizations.

Representatives or delegates to other organizations as authorized by the Board of Governors as available in the budget.

Responsibility: Committee on Finance and Investment

Adopted: May 7, 1974

Renumbered from P-2.4: March 24, 1978
Revised:

- April 28, 1978
- June 25, 1980
- June 16, 1982 (editorial changes, 8/83)
- March 21, 1984
- June 20, 1986 (editorial changes, 6/87)
- December 18, 1987
- June 16, 1988 (editorial changes, 11/88)
- March 15, 1989 (editorial changes, 4/89)
- December 14, 1989
- June 6, 1990 (editorial changes, 3/91)
- March 15, 1991
- December 5, 1991
- September 17, 1992 (editorial changes, 10/92)
- March 11, 1993
- March 17, 1994
- June 9, 1994
- September 11, 1994
- November 10, 1994
- June 14, 1995
- September 17, 1995
- November 16, 1995
- March 15, 1996 (June 12, 1996)
- September 20, 1996
- March 14, 1997
- June 11, 1997
- September 19, 1997
- March 13, 1998 (responsibility reassigned, 11/98)
- (editorial change, 3/99)
- July 1, 1999 (revised at March 12, 1999 Meeting)
- June 7, 2000
- November 10, 2000
- June 12, 2002 (editorial changes, 9/02)
- November 22, 2002
- (editorial change, 3/03)
- (editorial change, 9/03)
- (editorial change, 6/04)
- June 12, 2005
- June 18, 2006
- April 25, 2008
SOCIETY POLICY

UNIT EVALUATION REVIEW

I. PREFACE

A. In order to carry out the aims of the Society, various councils, sectors, committees, and other units, as contained in the Society's Constitution and By-Laws are established to function in specific areas.

B. Society By-Law B4.1.10 states, "The Board of Governors may delegate to the councils, sectors and the standing committees reporting to the Board as established in these By-Laws, for a period of one year, specific responsibilities for the management of one or more programs of the Society, subject to the supervision of the Board and to any limitation prescribed by the Board of Governors or by applicable law."

II. PURPOSE

To provide a periodic review of the charge, organization, activities, and continued need for the various units indicated in Section I.

III. PROCEDURE

A. Each council, sector and each committee reporting to the Board of Governors shall review on a biennial basis the charge, organization, activities and continued need for each board and committee as specified in the Constitution and By-Laws. The results of this review shall be included in the Annual Report to the Board of Governors (P-4.8), recommending that the unit continue as existing, or that the unit be reorganized with a new charge, or that the unit be disband. Any changes in the By-Laws consistent with the recommended actions should be included.

B. Each council, sector and each committee reporting to the Board of Governors shall include a statement in the Annual Report to the Board of Governors (P-4.8) outlining the procedure used to assure the continuing usefulness of all boards, committees, and subcommittees for which it is responsible and a statement that the procedure was used in the evaluation of all sub-units for which each is responsible.

C. Recommendations may be submitted whenever a change is desired and need not be delayed until the Annual Report to the Board of Governors (P-4.8) is submitted.

Responsibility: Committee on Organization and Rules

Adopted: June 17, 1982
Revised:  
September 17, 1987  
(editorial changes 8/88)  
(editorial changes 9/89)  
(reaffirmed with editorial changes 8/6/95)  
(editorial change 3/01)  
(editorial changes 6/1/05)  
(reaffirmed 6/7/08)
SOCIETY POLICY

STUDENT MEMBERSHIP AND ESTABLISHMENT OF ASME STUDENT SECTIONS

I. PREFACE

A. Article C3.1.7 of the Constitution states: "A Student Member shall be a student regularly enrolled and working towards a degree in an approved curriculum, or towards an engineering degree in a regionally accredited institution."

B. By-Law B3.1.7 states: "An approved curriculum is one which leads to a degree in engineering or engineering technology."

C. The Knowledge and Community Board on Global Communities may authorize the organization of a student section in any school having an approved curriculum.

II. PURPOSE

A. Policies.
   1. To define the policy of ASME relating to student membership.
   2. To define the policy of ASME relating to student sections.

B. Procedures.
   1. To establish the procedure for attaining student membership.
   2. To establish the procedure for establishing student sections.
   3. To establish the procedures for appointment of advisors for student sections.
   4. To establish the procedures for the election of student section officers.
   5. To establish the procedures for withdrawal of student section charter.
III. POLICY

A. Attainment of Student Membership

1. A student regularly enrolled in an approved curriculum is eligible for student membership.

2. Any student regularly enrolled in a two-year pre-engineering curriculum which is equivalent to the pre-engineering part of an approved curriculum is eligible for student membership.

B. Establishment of student sections

1. An ASME student section may be established in any school having an approved curriculum.

2. An ASME student section may be established in any school having a two-year pre-engineering curriculum which is equivalent to the pre-engineering part of an approved curriculum.

IV. PROCEDURE

A. Attainment of Student Membership

1. A student enrolled in an approved curriculum may submit an application for student member status. Once approved by Services Staff, the student's name will be placed on the rolls of the Society, and the student will be informed of the action.

B. Establishment of Student Sections

Procedures for the establishment of a student section at a school shall be described in the Knowledge and Community Board on Global Communities’ Operation Guide.

C. Student Section Governance

1. Student Section Officers

   Annually, each student section shall elect officers including a chair and a governing body of at least three Student Members. Additional officers may be elected or appointed by the governing board.

2. Student Section Advisors

   Upon the recommendation of a student section, the local district leader shall designate, with the concurrence of the department head, a corporate member of the Society as student section advisor for one year to be a member ex officio of the governing body of the student section.
In the event a corporate ASME member cannot be found to serve as student section advisor, the district leader may request a one-year waiver of this requirement from the vice president of Global Communities.

D. Withdrawal of Student Section Charters

1. The Knowledge and Community Board of Directors shall have authority to withdraw the charter of a student section as it deems appropriate.

2. Notice of withdrawal to the student section and others concerned shall contain provision for complete dissolution of the student section not later than three years after such date of notification.

Responsibility: Knowledge and Community Board of Directors

Reassigned from Council on Member Affairs/Board on Young Engineers

Adopted: June 10, 1963

Revised:

December 3, 1970
June 18, 1975
February 23, 1978
June 25, 1980
December 13-14, 1984
June 14, 1985
(editorial changes 7/86)
(editorial changes 4/89)
(editorial changes 9/89)
March 15, 1991
June 13, 1991
June 18, 1992
September 17, 1992
November 10, 1994
March 17, 1995
June 9, 1999
(editorial changes 11/01)
(editorial changes 6/02)
September 13, 2003
June 1, 2005
SOCIETY POLICY
FORMATTION AND OPERATION OF
SECTIONS, SUBSECTIONS AND GROUPS

I. PREFACE
A. Article C5.1.1 of the Constitution states, "The Society membership may be
divided into smaller units for administrative and technical activities."
B. Article C5.1.2 of the Constitution states, "The provisions of the Constitution and
By-Laws and Society Policies established by the Board of Governors of the
Society shall govern the procedure of all units of the Society but no action or
obligation of such units shall be considered an action or obligation of the
Society as a whole."
C. By-Law B5.1.1 states, "Subject to the approval of the Board of Governors, each
sector shall have the power to establish its boards and committees."
D. By-Law B5.6.2.3 states in part, "The Board on Global Communities shall guide
the geographic activities of the Knowledge and Community Sector.”

II. PURPOSE
A. To provide for the formation of sections, subsections and groups.
B. To state the policy governing the operation of sections, subsections and groups.

III. POLICY
A. Sections, Subsections, and Groups
1. Formation of Sections, Subsections, and Groups
   a. Sections
      1) A section is normally formed as a result of the growth in
         members and activities of a subsection.
      2) A section may also be formed by petition of a body of
         members successfully completing a petition process.
   b. Subsections
      1) A subsection is normally formed as a result of the growth
         in members and activities of a group.
      2) A subsection may also be formed by petition of a body of
         members successfully completing a petition process.
3) A subsection is normally formed with the anticipation that through additional growth, section status will be sought within five years after formation of the subsection.

c. Groups

1) A group is formed by petition of a body of members successfully completing a petition process.

2) A group is normally formed with the anticipation that through additional growth, section or subsection status will be sought within five years after formation of the group.

B. Operation of a Section, Subsection, or Group

1. Expenditures

The rules and policies are given in the Sections Operation Manual for the control of section expenditures, and shall apply for subsection and group expenditures.

a. Sections

1) Any expenditure chargeable to the General Fund of the Society for the purpose of any section must be provided for in the annual budget approved by the Board of Governors. No liability otherwise incurred shall be binding upon the Society.

2) The normal annual formula Society support of a section shall be in accordance with the current formula appropriation from the General Fund as stated in Policy P-2.8.

b. Subsections and Groups

1) A subsection or group shall report its expenditures to the section on the proper Financial Report Form and the section will either forward the subsection report with the section report as required or incorporate the subsection report in the section report.

2) In the event that no parent section exists, the Knowledge and Community Board on Global Communities shall be the governing body.

2. Authorization of Funds
a. Sections

The normal annual formula Society support of a section shall be in accordance with the current formula appropriation from the General Fund as stated in Policy P-2.8.

b. Subsections and Groups

1) The sum specified in Society Policy P-2.8 and paid from the General Fund of the Society to the section for an authorized subsection or group shall be made available to the subsection or group with such additional funds (from section funds) as, in the judgment of the section executive committee, are necessary to permit the subsection or group treasurer to pay operating expenses, authorized by the proper subsection authority.

2) In the event that no parent section exists, the Knowledge and Community Board on Global Communities shall be the governing body. For units where the parent is the Knowledge and Community Global Board on Communities, the unit allocation per member normally provided to the section shall be provided to the unit, in addition to the subsection or group lump sum allocation.

3. Section Meetings

Each Section, Subsection and Group is advised and encouraged to host recognition events, and other similar ASME events, within non-restricted facilities which permit and promote inclusion of all ASME members, and potential new members, regardless of citizenship status.

4. Joint Activities: Sections

a. A section may arrange to hold joint meetings with other engineering organizations.

b. A section may also form jointly with other engineering organizations local multi-society engineering organizations, but the plan of such affiliation or organization, and the obligations assumed by the section and the Society thereby, shall first be approved by the Knowledge and Community Board of Directors on recommendation of the Vice President Global Communities. However, if the plan of such affiliation or organization contemplates that the Society, either alone or in conjunction with one or more other engineering organizations, will participate in or lend its name to any legislative, regulatory or political activity,
and/or that a separate organization will be formed having its own by-laws or other governing documents and/or letterhead and in which the Society may participate or with which the Society’s name may otherwise be linked, the vice president of Global Communities will forward the request for such affiliation or organization to the Assistant Treasurer for legal review. The request for affiliation or organization, modified to reflect the resolution of legal issues, if any, will be forwarded by the Assistant Treasurer to the Knowledge and Community Board of Directors, with a copy to the Global Communities Vice President. Any expenditures incurred in such an affiliation must be paid by the section from its own funds.

c. A subsection, or group may participate in joint activities with other engineering organizations in the communities of the subsections or groups only on approval of the Section Executive Committee and in accord with the provisions of the Society By-Laws.

d. For convenient cooperation with technical divisions, each district or section may appoint an individual or a committee to correspond with any technical division for the presentation of papers, holding of meetings, etc., within the particular district or section, and for communicating information that might prove of interest to the technical divisions.

e. Subject to the approval of the Conferences and Events Directorate of the Knowledge and Community Board of Directors any section participating in the conduct of a Society meeting or conference shall appoint the necessary special local committees which shall function in accordance with policies and procedures prescribed by the Board.

5. ASME Manual ML-10, Section, Subsection and Group Operations contain the guidelines for operation.
6. **By-Laws**

   a. **Sections**

   1) A section shall have by-laws adopted, and amended by vote of the section members and approved by the section executive committee. A copy of the by-laws will be filed with the Global Communities Vice President and the appropriate staff. The section secretary shall review them to assure basic agreement with the Constitution & By-Laws of the Society. The section by-laws will provide for the nomination and election of section officers and members of the section executive committee by the members of the section.

   2) The section by-laws will provide that the chair of the subsection or group is a member of the section executive committee with or without vote at the option of the parent section and that members of the subsection, being also members of the section, will participate in section activities, decisions and election, by letter ballot or otherwise.

   b. **Subsections and Groups**

   1) A subsection or group shall have by-laws adopted, and amended by vote of the section members and approved by the parent section executive committee. A copy of the by-laws will be filed with the Global Communities Vice President, the appropriate staff, and the parent section. The parent section secretary shall review them to assure basic agreement with the Constitution and By-Laws of the Society.

   2) In the event that no parent section exists, the Knowledge and Communities Board on Global Communities shall be the governing body.

**IV. PROCEDURE: FORMATION OF SECTIONS, SUBSECTIONS, AND GROUPS**

A. **Sections**

   1. **Formation of a Section**

      a. A section may be established when approved by the Global Communities Vice President based upon the recommendation of
the local district leader that there is sufficient leadership and interest to warrant meetings and related activities a section may be established.

b. The written request from a subsection having more than 300 members must be accompanied by a report showing that a letter ballot of all members in the defined area resulted in a simple majority of the members answering the ballot; and that of those answering, a simple majority favored the action.

c. An alternate to such an election would be notification to all subsection members of the proposed action, mailed at least 60 days prior to the petition date, and an endorsing letter approving the section formation from the parent section executive committee

B. Formation of a Subsection or Group

1. A subsection may be established when approved by the Global Communities Vice President based upon the recommendation of the local district leader that there is sufficient leadership and interest to warrant meetings and related activities, and upon the approval of the Knowledge and Community Board of Directors a subsection or group may be established.

2. A formal request must be submitted showing local jurisdictions to be included, the headquarters city and the approval of the leaders of the proposed subsection and the Officers of the parent section. In the event that no parent section exists, the Knowledge and Community Board of Directors shall be the governing body.

3. The formal request shall be upon presentation of a petition to the section by paid-up members within the defined area. The minimum number of petition signers shall be 50 for a subsection and 25 for a group.

4. The defined area must include a concentration of ASME members located at a distance from the normal center of section activities with sufficient leadership and interest to warrant meetings and related activities.

5. Such establishment shall include contiguous areas more remote to the normal center of section activities.

6. Departures from established local jurisdictions may be made only on recommendation of a district leader and with the approval of the Knowledge and Community Board of Directors.
7. The subsection or group shall provide regular periodic reports to the Global Communities Vice President to record the active status of the subsection or group. If the Global Communities Vice President determines the subsection or group to be deficient in its activity, a recommendation shall be made to the Knowledge and Community Board of Directors for the dissolution of the subsection or group.

8. The change in status from subsection to section or from group to subsection becomes effective on July 1, following the date of approval by the Knowledge and Community Board of on Global Communities to simplify the allotment of funds based on transfer of members.

Responsibility: Knowledge and Community Board of Directors
Reassigned from Council on Member Affairs 6/1/05

Adopted: April 29, 1953
Reaffirmed: September 18, 1998
Revised:
March 6, 1959
November 28, 1960
October 4, 1963
November 27-28, 1966
June 18, 1975
March 7, 1976)
October 15, 1976
January 27, 1978
January 19, 1984
(editorial changes 3/84)
(editorial changes 6/87)
(editorial changes 8/88)
(editorial changes 12/89)
(editorial changes/reaffirmation 9/98)
June 6, 2001
(editorial changes 6/04)
June 1, 2005
SOCIETY POLICY

CHARTERING OF AIRPLANES, SHIPS AND BUSES
ARRANGEMENTS FOR TOURS

I. PREFACE

A. By-Law B4.4.8 states: "Any contract or other obligation to pay money in the work of the Society shall be valid only when signed by the Executive Director, or the Assistant Treasurer."

B. The responsibility for safe conduct lies with the transportation company and it is essential that any contract for transportation clearly specify this liability.

II. PURPOSE

A. To confirm the ASME policy concerning potential liability resulting from a transportation-related accident.

B. To establish the procedures for transportation contracts to provide for members' needs and to protect ASME from liability in the event of an accident.

C. To meet the objectives of protecting the Society from liability relating to transportation accidents while permitting sufficient flexibility to make arrangements necessary for program activities.

III. POLICY

A. In the event that a unit of the Society desires to arrange the transportation of persons by a commercial entity in conjunction with an ASME activity, attention must be given, among other considerations, to the following:

1. By-Law B4.4.8 requirement for contracts which must be adhered to by all units of ASME.

2. The necessity to assure that the Society have no liability for bodily injury, death or damage to property resulting from an accident in such transportation.

B. The responsibility for safe conduct lies with the transportation company and it is essential that any contract for transportation clearly specify this liability. In the interests of its members, ASME requires that carriers be properly insured and that, if possible, ASME and its members be named in such insurance as insureds.

C. No member of an ASME council, sector, district, section, subsection, local group, student section, technical division, technical subdivision, committee, or other
unit is authorized to arrange in the name of ASME tours, consisting of ASME members or members and non-members.

This does not preclude arrangements for distribution to ASME members of brochures that do not contain the name of ASME or any ASME unit describing tours arranged by travel agents.

IV. PROCEDURE

A. Travel arrangements for airplanes and ships.
   1. Any unit of ASME which desires to charter, lease or rent an airplane or ship shall forward the proposed contract to the Executive Director for review, approval and signature by the Executive Director or Assistant Treasurer. The document must be accompanied by a full description of the planned activity.
   2. The persons making the arrangements shall make certain that the proposed contract includes a stipulation for insurance coverage, the amount of the coverage, and, if possible, provision that ASME and its members are included as named insureds.

B. Travel arrangements for buses.
   1. Arrangements for a bus (for activities such as plant visitations) may be made by an ASME unit locally, but only if a contract does not have to be signed and the expense of the bus is included in the ASME unit’s budget. Where a contract is required by the carrier, the contract shall be forwarded to the Executive Director, for approval and signature by the Executive Director or Assistant Treasurer.
   2. Arrangements for buses must be made only with state-approved carriers. In the case of a student section, arrangements may be made with the college or university with which the student section is associated. Other carriers may be used only with the specific approval of the Executive Director or the Assistant Treasurer.

C. Procedures relative to tours arranged by travel agents.
   1. Tour literature including brochures which request inclusion of the name of an ASME council, sector, district, section, subsection, local group, student section, technical division, technical subdivision, committee or other unit as prospective users must be submitted to the Executive Director or the Assistant Treasurer for approval prior to dissemination to ASME members.
   2. Tour literature must include a clause which specifies that ASME has no responsibility whatsoever with respect to the tour or any bodily injury, death or damage to property resulting from or occurring on the tour.

Responsibility: Knowledge and Community Board of Directors.
Reassigned from Council on Member Affairs/Board on Professional Practice & Ethics 6/1/05

Adopted: June 24, 1969

Revised: June 23, 1976  December 1, 1977
January 19, 1984  (editorial changes 6/87)
(editorial changes 8/93)  March 13, 1998
(editorial changes 6/03)  (editorial changes 6/1/05)
SOCIETY POLICY

ESTABLISHMENT OF ASME CONTESTS

I. PREFACE

A. By-Law B2.1 states in part, "To promote the art, science and practice of mechanical and multidisciplinary engineering and allied sciences to diverse communities throughout the world the Society shall ... Offer awards and other honors to encourage contributions to engineering; confer awards and other honors in recognition of meritorious contributions to engineering ... Encourage the personal and professional development of young engineers."

B. By-Law B5.3.2.4 states in part, "The Center for Career and Professional Advancement under the direction of the Centers Sector Board of Directors, is responsible for the activities of the Society that relate to the professional development of engineers and engineering students...”

C. Society Policy P-3.2, Establishment of New ASME Awards and Contests, covers those contests deemed by the Society to be within the purview of the Committee on Honors. This policy covers those contests not covered by Society Policy P-3.2.

II. PURPOSE

To provide minimum requirements for establishing ASME contests and to provide assistance and guidance to contest proposers and organizers.

III. POLICY

A. The Board of Governors encourages the establishment of contests to stimulate interest in engineering, provided they are conceived and administered in a manner worthy of the Society’s standing and prestige, and do not significantly overlap any existing ASME contest.

B. To establish an ASME contest the administrative procedures and criteria for the contest must be reviewed by Committee on Student Development under the Center for Career and Professional Advancement. The Committee on Student Development, through the Centers sector, shall make recommendations for action to the other sectors of the society.

C. Local contests, limited in scope, which do not extend beyond the local sponsoring unit do not have to be coordinated through and approved by the Committee on Student Development.

However, it is recommended that these contests also conform to the procedures in paragraphs IV.A.1 through IV.A.3. of this policy. A brief summary of the contest, promotional material, etc. should be sent to the Committee on Student Development for their information so they may help avoid overlap.
D. Upon the recommended action of the Committee on Student Development, the establishment of an ASME contest shall be by the approval of the Center for Career and Professional Advancement and the appropriate sector.

IV. PROCEDURE

A. The proposal for the conceptual establishment of a Society contest shall include, at least, all information listed in items 1 through 3:

1. The name of the contest which shall identify it as sponsored or cosponsored by ASME (e.g., the ASME Design Contest and the Padnos Environmentally Responsible Design Contest cosponsored by ASME).

2. A clear statement of the requirements of the contest including a definition of the fields of engineering to be covered. If several fields of engineering or Society activity are recognized by the contest, the proposer shall be joined by bodies that have competence in those areas.

3. A statement of the need for the contest, particularly in relation to other ASME contests and other societies’ contests in the field of engineering or activity in which the proposed award or contest is being offered.

B. The Committee on Student Development shall grant, in a timely manner, conceptual approval or shall provide a brief report indicating why conceptual approval was not approved. For final consideration, the following information must be provided.

1. A business plan for any new contest shall be presented to the Committee on Student Development for approval.

2. Proposed rules and procedures for the administration of the contest that shall include as a minimum:
   a. provisions for the selection of judges;
   b. descriptions of the methods to be used in advertising and promoting the contest;
   c. descriptions of the criteria and method of selecting contest winner(s);
   d. provisions for a periodic review of all the details of the proposed contest including name, purpose and criteria for selection of the winners; and
   e. provisions for funding and/or fund raising where required. (Policy P-2.7 Solicitation of Funds should be reviewed if fund raising is proposed.)

3. A description of the prize, whether medal, plaque, certificate, honorarium, monetary or other form. All prizes shall include a certificate
4. A statement that the contest will in no manner relate to the promotion, advertising, or sale of consumer products or services or constitute a lottery or other game of chance.

Responsibility: Centers Sector Board of Directors

Reassigned from Council on Member Affairs/Board on Young Engineers

Adopted: November 10, 1994

Revised: March 13, 1998
  (editorial change 6/98)
  (editorial change 6/03)
  (editorial change 9/03)
  June 1, 2005
  (editorial change 4/09)
SOCIETY POLICY

FORMATION AND REVIEW OF TECHNICAL DIVISIONS AND SUBDIVISIONS

I. PREFACE

A. Article C5.1.1 of the Constitution states “The Society membership may be divided into smaller units for administration and technical activities."

B. By-Law B5.6.1.1 states in part "The Knowledge and Communities Sector, under the direction of the Board of Governors, is responsible for activities of the Society relating to engineering communities and technical knowledge."

C. By-Law B5.6.2.2 states in part “The Board on Technical Communities shall guide the technically oriented activities of the Knowledge and Communities Sector.”

II. PURPOSE

To provide for the formation and review of technical divisions and subdivisions.

III. PROCEDURE

A. Procedure for Establishing a Technical Subdivision

1. When at least 100 members of the Society interested in a particular technical area favor the formation of a new technical subdivision, and at least 20 of these indicate their intention to make this venture their principal Society activity during the formative stages, they may draw up a petition for the establishment of a technical subdivision. The petition will outline the rationale, scope, projected programs, and plans for achieving technical division status.

2. The petition shall be sent to the Board on Technical Communities of the Knowledge and Community Sector, which will consider within a reasonable period of time the merits of the petition and the effects on existing technical divisions and subdivisions of the Society. Subsequently, the Board will recommend a technical group to which the new technical subdivision should be assigned.

3. If the initial petition is not endorsed by the Board on Technical Communities, the Board will state its reasons in a report to both the petitioners and the Knowledge and Community Sector Board of Directors.

4. Upon endorsement by the Board on Technical Communities, the petition with Board recommendations will be presented to the Knowledge and Community Sector Board of Directors for action.
5. If the Knowledge and Community Sector Board of Directors disapproves of the proposal, another petition may be submitted to the Board on Technical Communities after a period of six months.

6. After approval of the petition by the Knowledge and Community Sector Board of Directors, the Vice President for Technical Communities shall appoint a temporary chair of the new technical subdivision. The temporary chair will select the technical subdivision executive committee officers, and present these nominations to the technical group operating board for appointment in accordance with the by-laws of the designated technical group.

7. By February of each year, the technical subdivision will send the nomination of the incoming member to its executive committee to the operating board for action on the appointment.

8. The functions and responsibilities of the technical subdivision will be the same as those of a technical division.

9. Within three years after its approval by the Knowledge and Community Sector Board of Directors, the new technical subdivision's "primary interest" membership must reach 150 to maintain technical subdivision status.

B. Procedure for Establishing a Technical Division

1. A technical subdivision must meet the requirements for becoming a technical division within six years, or it will be discontinued. To become a technical division, it must have grown to a minimum of 300 "primary interest" members, and have developed a functional technical division structure.

2. A technical subdivision may request advancement to technical division level at any time once the requirements for technical division status have been reached (see B1 above.)

C. Maintaining Technical Division Status

1. A successful technical division maintains a progressive, long-range program and has a record of successfully reaching its goals. A successful technical division maintains a viable technical program (publications, conferences, or other technical activities of merit), participates in at least one technical event per year, and has a positive member growth rate. Generally, a technical division will have approximately 300 or more "primary interest" members, with a much larger "secondary interest" membership, and at least 30 members actively participating within the executive, technical, and general committees.

2. If a technical division fails to maintain a viable technical program, it will be put under review by the technical group operating board for a period of two years. Areas to be analyzed for a technical division under review will be: the use of its custodial and entrepreneurial funds; a review of the technology and other information presented through its technical
programs; a comparison to external organizations, if any, with similar objectives, and the technical group peer review. If the technical division does not satisfy the operating board review at the end of the review period, the operating board will recommend reorganization or a restructuring of the technical division to the Knowledge and Community Technical Communities.

D. Oversight

The technical group operating board shall review the operations, level of activity, and success of technical programs for each technical division within that technical group at intervals of not more than five years. In the case of new technical subdivisions, a review will occur three years after their initial approval and at the time of petition for elevation to technical division status.

Responsibility: Knowledge and Community Sector Board of Directors
Reassigned from Council on Engineering 6/1/05

Adopted: June 18, 1975

Revised: June 25, 1980
March 23, 1984
March 12, 1987
(editorial changes 8/88)
(editorial changes 6/89)
(editorial changes 8/94)
(editorial changes 9/01)
June 1, 2005
I. PREFACE

A. Article C5.1.1 of the Constitution states, "The Society membership may be divided into smaller units for administration and technical activities."

B. By-Law B5.6.1.1 states in part "The Knowledge and Community Sector, under the direction of the Board of Governors, is responsible for activities of the Society relating to engineering communities and technical knowledge."

C. By-Law B5.6.2.2 states in part "The Board on Technical Communities shall guide the technically oriented activities of the Knowledge and Community Sector.”

II. PURPOSE

A. The purpose of the ASME technical chapter is to provide an organizational mechanism by which the membership of an ASME section may participate in activities in selected technical areas, as appropriate to the interests of the membership.

B. The ASME technical chapter has the following set of characteristics:

1. Technical chapters promote the interchange of professional knowledge in defined technical-interest areas.

2. Technical chapters provide programs and activities for members within the local geographic area.

3. Technical chapter activities are integrated with technical division or subdivision activities.

4. Technical activities are integrated with section activities.

5. The technical chapter is easily formed.

III. POLICY

A. Definition of a Technical Chapter

1. A technical chapter is an administrative subunit of an ASME section, subsection or Group and a technical subunit of a technical division or subdivision. It consists of a minimum of 25 members of the parent section.
who show the related technical division or subdivision as their primary or secondary technical interest. (Any references hereinafter to a section also apply to a subsection or group.)

2. A technical chapter may be associated with more than one section. One section will be designated the primary host section.

3. Each technical chapter is normally associated with one technical division.

B. Technical Chapter Membership

1. A technical chapter member is a member of a section who is registered with the technical division in accordance with Society Policy P-14.1. In the event a technical chapter is associated with more than one section, chapter members may designate their section of association.

C. Technical Chapter Administration

1. The administration, approval, funding and record maintenance of all technical chapters shall be the responsibility of the Knowledge and Community Sector. The Knowledge and Community Sector Board of Directors must approve a petition for the formation of a technical chapter and must approve a request to disband a technical chapter. Changes in funding levels must also be endorsed by the Knowledge and Community Board of Directors Sector Board. The listings of current chapters and current leadership shall appear on the Knowledge and Community Sector portion of the ASME website.

2. The technical chapter shall operate according to technical chapter by-laws approved by the section executive committee and a majority of the technical chapter membership. Copies of the technical chapter by-laws shall be part of the Knowledge and Community Sector Operation Guide. Technical chapter by-laws shall, as a minimum, provide for the nomination and election of officers by the members of the technical chapter.

3. The section by-laws or Society Policies shall provide that the chair of the technical chapter is an ex-officio member of the section executive committee.

4. The technical chapter funds remain part of the primary host section funds and shall be included in the section financial reports and records. The technical chapter either may have its own treasurer or may request that the financial accounting be conducted by the treasurer of the primary host section. The technical chapter treasurer shall account for the funds of the chapter. A financial report form shall be filed annually with the host section treasurer.

5. An Annual Report shall be filed with the host section and associated section chair.
IV. PROCEDURE

A. Formation

1. A technical chapter is formed through a formal request by the section chair to the Vice President Technical Communities and to the chair of the technical division. This request shall include a petition signed by at least 25 individuals meeting technical chapter membership requirements and a list of interim officers appointed by the section chair.

B. The Petition

1. A petition to establish a technical chapter must contain the following:
   a. The name of the primary host section and any secondary host section(s).
   b. The name of the sponsoring technical division or Subdivision.
   c. The name of the organizer, who is designated the interim chair of the technical chapter.
   d. The signatures of at least 25 ASME members, other than Student Members, who are members of the host section and who show the sponsoring technical division as their primary or secondary interest area.

C. Approval

1. The request shall be approved by the Knowledge and Community Sector Board of Directors.

D. Establishment

1. Once approved, the technical chapter shall establish technical chapter by-laws and select its leadership.

E. Minimum Membership Requirement

1. A technical chapter shall be required to maintain an ongoing membership of not fewer than 25 members, other than Student Members, in order to receive funding from ASME.

F. Communications

1. The host section shall be informed of all meetings of the technical chapter and encouraged to include an announcement of the meeting in the section newsletters to its members. The host section shall receive any meeting attendance credits for activities conducted by those technical chapters which it manages.

G. Dissolution

A technical chapter may be dissolved if the chapter has failed to meet the criteria specified in IV.E.1. A notice of the impending dissolution must be given to the technical chapter by the host section at least three months before any
final action. The action will be reported to the Knowledge and Community Sector Board of Directors by the Vice President Technical Communities.

Responsibility: Knowledge and Community Sector Board of Directors
Reassigned from Council on Engineering/Council on Member Affairs

Adopted: June 18, 1992

Revised: (editorial changes 2/94)
(�ditorial changes 9/01)
June 1, 2005
SOCIETY POLICY:
“FORMATION AND OPERATION OF AFFINITY GROUPS”

I. PREFACE

A) Article C 5.1.1 of the Constitution states, "The Society membership may be divided into smaller units for administrative and technical activities."

B) Article C 5.1.2 of the Constitution states, "The provisions of the Constitution and By-Laws and Society Policies established by the Board of Governors of the Society shall govern the procedure of all units of the Society but no action or obligation of such units shall be considered an action or obligation of the Society as a whole."

C) By-Law B 5.1.1 states, "Subject to the approval of the Board of Governors, each Sector shall have the power to establish its boards and committees."

D) By-Law B5.6.2.4 (Knowledge and Community Sector – Affinity Communities) states "The Board on Affinity Communities shall guide the affinity and emerging activities of the Knowledge and Community Sector.

II. PURPOSE

A) To provide for the formation of Affinity Groups.

B) To state the policy governing the operation of Affinity Groups.

III. POLICY

A) Formation of Affinity Groups

1) "Self-forming” Affinity Groups: new Groups, independently instigated by members from diverse geographical locations, who have mutual interest in a specified technical or professional topic not currently addressed by any existing Knowledge & Community unit or ASME Sector.

Self-forming Groups shall be titled: “The [specified topic] Affinity Group of ASME.”

2) “Assigned” Affinity Groups: existing and functioning operating units of ASME, which may be transferred and accepted into the Knowledge & Community Affinity Communities structure by agreements between Sector Boards of Directors, or by instructions from the Board of Governors.

Existing Groups may continue the use of their prior title, or may select a new title which best describes their current mandates and responsibilities within the Society.
B) Operation of an Affinity Group

1) Expenditures: The rules and policies are given in the Affinity Group Operation Manual for the control of Affinity Group expenditures, and shall apply to all Affinity Groups per Society Policy 2.1.

   a) In accordance with Society Policy 2.1, any expenditure outside the Group’s authorized budget chargeable to the General Fund of the Society for the purpose of any Affinity Group must be provided for in the annual budget approved by the Knowledge & Community Sector Board of Directors. No liability otherwise incurred shall be binding upon the Society.

   b) A Group may set up a bank account for itself, or a custodial account with ASME. In either case, the Knowledge & Community Managing Director should be contacted to insure that ASME procedures are followed.

2) Authorization of Funds: The normal annual Society support of an Affinity Group shall be in accordance with the current Merit Funding program from the Knowledge & Community budget process.

3) Affinity Group Meetings: Each Affinity Group is advised and encouraged to meet at least once per year on topics relating to its mission and interests.

4) Joint Activities

   a) An Affinity Group may arrange to hold joint meetings with other engineering organizations.

   b) An Affinity Group may form jointly with other local engineering organizations or multi-society engineering organizations, but the plan of such affiliation or organization, and the obligations assumed by the Affinity Group and the Society thereby, shall first be approved by the Knowledge and Community Sector Board of Directors on recommendation of the Vice President, Affinity Communities. However, if the plan of such affiliation or organization contemplates that the Society, either alone or in conjunction with one or more other engineering organizations, will participate in or lend its name to any legislative, regulatory or political activity, and/or that a separate organization will be formed having its own by-laws or other governing documents and/or letterhead and in which the Society may participate or with which the Society’s name may otherwise be linked, the Affinity Communities Vice President, will forward the request for such affiliation or organization to the Assistant Treasurer for legal review. The request for affiliation or organization, modified to reflect the resolution of legal issues, if any, will be forwarded by the Assistant Treasurer to the Knowledge and Community Sector Board of Directors, with a copy to the Vice President, Affinity Communities. Any expenditure incurred in such an affiliation must be paid by the Affinity Group from its own funds.
5) Status Reports

a) Each Affinity Group shall provide regular periodic reports to the Vice President, Affinity Communities, to record the progress and active status of the Affinity Group. These reports may be posted on a CoP or other electronic forum.

b) Each Affinity Group shall submit Annual Financial Reports in compliance with ASME requirements.

c) Each Affinity Group shall provide a current-leadership contact-information roster to the Affinity Communities Operating Board, on an annual basis or better.

6. By-Laws

a) Each Affinity Group shall adopt by-laws. A “template” de-minimus set of by-laws which suffices for small groups will be provided by the Affinity Communities Operating Board.

b) Affinity Group by-laws will provide for the nomination and election of Group officers, as needed for its mission. At minimum, the Group shall have a Chair and Vice Chair.

IV. PROCEDURE: FORMATION OF AFFINITY GROUPS

A) “Self-forming” Groups

1) A group of members, desiring establishment of a new Affinity Group, shall provide a Petition to the Affinities Communities Operating Board for consideration. A Petition form is attached. Signatures may be affixed directly, or may be provided as a compilation of separate electronic messages.

2) The proposed Group shall provide assurances that the topic-of-interest is not currently addressed by geographically-convenient activities or by existing Society-wide technical programs, that at least six ASME members are involved, that there is sufficient leadership and interest to warrant meetings and related activities, and that the group’s common interest is consistent with ASME Goals and Mission.

3) The proposed Group shall be established by an affirmative act of the Affinity Communities Operating Board. Establishment of new Groups shall be reported promptly to the K&C Sector Sector Board of Directors and to K&C Staff. A Charter (possibly in electronic form) shall be provided to the leaders of the new Group.

B) “Assigned” Groups.

1) An existing and functioning Operating Unit from another Sector of ASME may be transferred into the K&C Affinity Communities structure only if so-recommended by the Sector Board of Directors or Council of that Unit’s prior Sector or Council and with the agreement of the K&C Sector Board of Directors.
Existing Units may also be transferred as directed by the ASME Board of Governors.

2) Existing and functioning Operating Units from other parts of the K&C Sector may be transferred into the K&C Affinity Communities structure by an act of the K&C Sector Board of Directors.

C) Changes in status of Group

1) If the Vice President, Affinity Communities, determines that an Affinity Group has completed its original purpose or has become dormant beyond recovery, a recommendation shall be made to the Affinity Communities Operating Board for the dissolution of that Group and the disposition of its funds.

2) If an Affinity Group grows in size and achieves a noticeable presence in the affairs of the Society, then the Affinity Communities Operating Board, in conjunction with the K&C Sector Board of Directors, may work to change the organizational status of that Group to one more appropriate to its function.

Responsibility: Knowledge & Community Sector Board of Directors

Adopted: April 23, 2010
PETITION TO ESTABLISH AN AFFINITY GROUP

To the Operating Board, Affinity Communities
Knowledge and Community Sector
ASME

We, the undersigned members in good standing of ASME, do hereby petition as witnessed by the signatures attached, the Affinity Communities Operating Board to constitute an Affinity Group of this Society, which will include the following defined area to further the interests of members consistent with the purpose and objectives of the Society.

Name of Affinity Group “____________________________________________ of ASME”

Purpose/Area of Interest ____________________________________________________

□ This area-of-interest is not currently addressed by any existing ASME program or Operating Unit (additional data may be attached): __________________________________________________________________________________________

Charter Members (Minimum of Six Required)

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□ Data for additional Charter Members may be submitted by using duplicate copies of this Petition, or by attaching e-mail messages, or by any equivalent method.
(Petition continued)

Name of Affinity Group “________________________________________________ of ASME”

Person completing this form:

Name: ________________________________

Member No. __________________________

Phone: ______________________________

e-mail: ______________________________

Address: ______________________________

Date of Petition ______________________

Date of Acceptance ___________________

________________________________________

Signature, Vice President, Affinity Communities
SOCIETY POLICY
REGISTRATION IN AFFINITY GROUPS

I. PREFACE

By-Law B5.6.2.4 (Knowledge and Community Sector – Affinity Communities) states “The Board on Affinity Communities shall guide the affinity and emerging activities of the Knowledge and Community Sector. Society Policy P-8.3 (Formation and Operation of Affinity Groups) describes the purposes, organization and activities of affinity groups. This Policy states the guidelines for member participation in those units.

II. PURPOSE

To state the policy for enrollment in affinity groups.

III. POLICY

A. Each individual member of ASME may register membership in one or more affinity groups of the Society.

B. The maximum number of affinity groups in which an ASME member may register has been set by the Board of Governors.

1. Member, Fellow and Honorary Member grades may enroll in three or fewer affinity groups.

2. Affiliate grade may enroll in one affinity group.

3. Student members may enroll in one affinity group.

Responsibility: Knowledge and Community Sector Board of Directors

Adopted: April 23, 2010
SOCIETY POLICY
METRIC SYSTEM

I. PURPOSE

To establish the ASME policy on conversion to the International System of Units (SI) and to set the procedure.

II. POLICY

The Society supports a national program of conversion to SI. ASME will cooperate with other organizations and societies in implementing this policy.

III. IMPLEMENTATION

A. All units in works, papers and periodicals published by ASME shall conform to SI. English units may be included.

B. The Codes and Standards Sector shall assure that codes and standards are published in SI units as determined by industry, government, and public needs.

Responsibility: Council on Standards and Certification
Codes and Standards Board of Directors

Approved: October 24, 1975
Reaffirmed: March 12, 1999
Revised: November 19, 1982
April 22, 1977
(Editorial changes 12/83)
(Editorial changes 6/88)
September 10, 1993
March 14, 2003
(editorial changes 6/1/05)
SOCIETY POLICY

BUSINESS PRACTICES OF CONFERENCES AND EVENTS

I. DEFINITIONS FOR THIS SOCIETY POLICY

A. The term "Event" shall mean a Society Unit’s meetings primarily focused on exchanging technical information, such as technical conferences or seminars, technical workshops and/or expositions, conducted at a site or electronically, and operated from or with a custodian fund. The Event Chair has the financial responsibility for the Event.

B. The term “Society Unit” shall mean chartered business units of the Society including Councils, Sector Boards, Sector Boards on Technical Communities, Technical Divisions, Institutes, and their subunits.

C. The term “Event Agreement” shall mean a contract relating to an Event.

D. The term “SMC” shall mean the Sector Management Committee of ASME.

E. The term “EC” shall mean the Event Committee.

II. PREFACE

A. Article C2.1.1 states in part, "The purposes of this Society are to: Promote the art, science and practice of mechanical and multidisciplinary engineering and allied sciences...."

B. By-Law B2.1 states in part, "To promote the art, science and practice of mechanical and multidisciplinary engineering and allied sciences to diverse communities throughout the world the Society shall:....Encourage the preparation of original papers on engineering topics. Hold meetings for the presentation and discussion of original papers and participate in international engineering congresses....."

C. Article C6.1.1 states, "Society-Wide Meetings of the Society shall be held at such time and place as the Board of Governors shall designate."

D. Article C6.1.2 states, "General Meetings of the Society which are primarily for the presentation and discussion of technical papers shall be under the direction of the Council or Sector Board of Directors of one or more of the sectors as appropriate."
E. By-Law B4.4.8 states, "Any contract or other obligation to pay money in the work of the Society shall be valid only when signed by the Executive Director, the Assistant Treasurer or, the Second Assistant Treasurer."

F. Article C5.1.1 states, “The Society membership may be divided into smaller units for administrative and technical activities.”

G. Article C5.1.2 states, "The provisions of the Constitution and By-Laws and Society Policies established by the Board of Governors of the Society shall govern the procedure of all units of the Society but no action or obligation of such units shall be considered an action or obligation of the Society as a whole.”

H. By-Law B5.1.3-4 states, “The primary role of volunteer members of councils, boards and committees will be to determine policies, develop programs, conduct studies, prepare reports, and advise the sector to which that council, board or committee reports on matters pertaining to specific assignments.”

I. By-Law B5.1.4-5 states, “The primary role of staff assigned to councils, boards and committees is to implement actions that are required to meet the objectives of the council, board or committee on a continuing basis. Working under broad lines of policy established by the council, board or committee, the staff will initiate programs, actively engage in the work, and make operating decisions necessary to carry forward the programs in a dynamic and efficient manner.”

J. By-Law B4.4.1 states, "All funds received shall be directed to the office of the Assistant Treasurer for proper recording and deposit in authorized bank accounts."

K. Events of the Society are held to provide an appropriate forum for the exchange of technical information - both in person and through electronic means. The Conferences normally consist of formal presentations, panel sessions, technical paper sessions, and poster sessions, as well as other types of group discussions, and sometimes include related committee administrative functions. Expositions are an addition to a conference for the purpose of enhancing technology transfer.

III. PURPOSE

A. To state the ASME policy for all Events operated from or with a custodian fund.

B. To provide the legal, administrative and financial guidelines and procedures to be followed for Events.

IV. POLICY

A. The policy of ASME is to encourage efforts of its Society Units and their cooperation with other recognized, technical organizations in events of interest to ASME members that serve to promote the art, science, and practice of mechanical and multidisciplinary engineering and allied sciences. ASME may
also conduct Events in association with governments, international trade associations, or commercial firms.

B. The Society may conduct, permit, or participate in Events and other similar activities that are of pertinent professional interest, are a benefit to the attendees and enrich the experience of the technical community. The technical community includes industry, academia, government, and the broader society.

C. It is the policy of ASME that no member of an Event organizing committee, organizing technical committee(s), or Society Unit(s) shall have a conflict of interest relative to the awarding of contracts relating to an Event. (See, Society Policy P-15.8 Conflict of Interest.)

D. In conducting, permitting, or participating in an Event, the Society shall require high ethical standards of its members and shall not permit practices to be conducted that are inimical or contrary to the aims and objectives of the Society. In situations where a member of an Event organizing committee is an ASME member and a member of another recognized technical organization co-sponsoring the Event, such conduct shall include, but not be limited to, disclosing such dual membership as well as any other potential conflict of interest to the relevant council or sector board and ASME legal staff.

E. The Society shall conduct or permit an exposition, or allow similar activity, only in conjunction with a meeting or conference conducted or co-sponsored by the Society.

F. Society conduct of, or participation in, expositions or other similar activities shall be subject to approval of the Board of the appropriate council or sector upon recommendation of the appropriate governing board, committee or other body.

G. Major new Events seeking development funds shall require Society Unit sponsorship and the appropriate Council or Sector Board approval. The new Event request should identify a Society Unit partner or combination of Society Units (e.g., Technical Communities and Institutes Sector). The new Event request should also include a plan to transfer responsibility for the Event to that Society Unit partner or combination of Society Units.

H. All expositions sponsored or co-sponsored by ASME or a Society Unit shall be conducted in a manner consistent with ASME’s 501(c)(3) tax status.

I. ASME shall enter into contracts only with entities that have legal capacity to contract. Contracts with councils, sectors, institutes, divisions or subdivisions of other entities with no independent legal existence are prohibited.

J. Society Units shall not commit funds in connection with an Event until a binding contract has been executed by the Executive Director, Assistant Treasurer or, if appointed, a Second Assistant Treasurer.

K. Events shall reasonably accommodate individuals with disabilities. Specific attention shall be paid to physical access to meetings, presentations, and other key elements of these events. Smoking is not permitted in meeting or function rooms of ASME events.
L. The Event organizers shall ensure that the conduct of the Event complies with United States law as well as the law of the site of the event.

V. CLASSIFICATION OF EVENTS

A. Events shall be classified as follows:

1. ASME Sponsorship

The classification “ASME Sponsorship” shall apply when the Event is organized solely by ASME or a Society Unit, and ASME will receive all of the revenue and bear all of the financial liability related to the Event. Society units shall take reasonable steps to maintain ASME ownership of Events.

2. ASME Co-Sponsorship

The classification ASME Co-Sponsorship shall apply when:

   a. The Event is organized by ASME or a Society Unit and one or more organizations and ASME will receive a share of the revenue or will bear a share of the financial responsibility and/or liability with the other organizations or

   b. ASME or a Society Unit is identified in the Event title or an ASME mark or logo is used.

In all cases when an Event is classified as a “Co-Sponsorship” the procedures described in section VIII shall apply. (A model “ASME Co-Sponsorship” letter of intent shall be maintained on the ASME website link.)

3. ASME Participation

   a. The classification of ASME Participation shall apply when an ASME Society Unit actively participates in an Event to the extent of organizing sessions or reviewing of papers, ASME is not identified in the title or advertisement of the Event in any manner, and ASME bears no financial responsibility for the Event.

   b. The Event must be conducted in a manner consistent with ASME sponsored events.

   c. In cases where an Event is classified as an “ASME Participation” the Society or Society Unit shall receive a full written indemnification from all Event sponsors and be named as an additional insured on the Event insurance policies. Any request for exceptions to this policy must be submitted to ASME Finance and must be accompanied by a full written explanation of the reasons for the requested exception. When an Event is classified as an “ASME Participation” the procedures described in section VII, infra, shall apply. (A model “ASME Participation” letter of intent shall be maintained on the ASME website.)
d. Nothing in this section of this policy should be read as precluding ASME members from participating as individuals in Events organized by other organizations, however reasonable steps should be taken to ensure that third parties are not led to believe that such participation is on behalf of ASME. If ASME members wish to individually participate in an Event, those members shall not collectively identify themselves as constituting a Society Unit. In addition, those members shall not employ the resources of the Society or a Society Unit when participating as individuals.

VI. BUSINESS PLANS AND BUDGETS

A. A business plan and budget is a prerequisite for Event approval. A business plan and budget shall be developed for an ASME Sponsored or Co-sponsored Event by the Society Unit(s) sponsoring or co-sponsoring the Event, and submitted to the EC for approval. The budget must first be approved by a representative of the Society Unit sponsoring or co-sponsoring the Event. Attendance estimates used in preparing the Event budget shall be realistic, based on prior experience of this and related events, and shall include consideration of current and anticipated economic conditions.

B. A Business Plan shall:

1. Discuss the business opportunities and Event scope. This includes breadth of topic and intended audience.

2. Identify the organizers and their experience in event planning, describe the participation of volunteers and ASME staff, describe the implementation of best practices, identify any prominent invited speakers, and describe the number of expected sessions to be held.

3. Identify the Society Units and outside organizations that will participate in technical planning.

4. If publications are planned, identify the form of publication of proceedings and any needed services to be supplied by ASME Publications.

5. Describe plans for paper review and other steps to assure high technical quality.

6. Describe plans for the expected means of Event promotion and advertisements.

7. The business plan template shall be maintained on the ASME website.

C. The budget shall include all expenses requiring payment for services for which disbursements are required. The budget shall include an estimate of salaries plus benefits, travel, and overhead for ASME staff supporting the Event. The cost of third party organizers, if any, shall also be included.
D. ASME internal services shall have the option to bid on all Events. In all cases where ASME internal services are not employed, competitive bidding procedures shall be used. A minimum of three external bid solicitations shall be employed by the Event organizers unless impracticable under the circumstances. If competitive bidding is not expected, the Event Chair is required to provide a written justification and seek approval in writing from the EC and ASME Legal Staff.

E. All analyses of prior Events used for budgeting purposes must employ a consistent means of comparison with respect to each budget analyzed.

F. All Event budgets shall be set to generate a minimum surplus (net above cost) of 15% over all budgeted expenses to ensure sustainable operation of the Unit. Exceptions to this policy will require prior approval of the Council or Sector Board responsible for the Society Unit.

G The EC shall receive reasonable funding from the ASME General Fund to support its activities. The EC shall submit an annual budget to the Committee on Finance and Investment (COFI) for approval.

H. All budgets for Events to be held outside of the United States shall address the laws of the location of the Event including, but not limited to, value added and other taxes, visa requirements, and any other local circumstances that could impact revenue or expenses.

I. During the course of Event planning, if substantial financial changes are made to the originally submitted budget, a revised budget shall be submitted to the EC for approval.

J. No member of the Event organizing board or Event organizing committee, their immediate family, employer or business he or she is closely associated with, shall receive compensation, monetary or otherwise, for services rendered in relation to an Event. This does not include awards or other honoraria that may be granted pursuant to ASME Awards policies or procedures. Immediate family shall mean spouse, domestic partner, brother, sister, children, ancestors as well as brothers, sisters, children, and ancestors of spouses or domestic partners.

K. Event registration fees shall be structured to reflect projected market conditions, in accordance with the specifications in the appropriate Sector Operation Guides. Where an Event and exposition are held jointly, the Event and exposition may be considered jointly for the purposes of determining whether the Event is self-supporting. However, expenses should be budgeted separately for accountability. For ASME Sponsored and Co-sponsored Events, the following rates for payment of Event registration fees shall apply:

1. Only Honorary ASME Members, ASME Life members, ASME Past Presidents, host district leaders, , and distinguished guests invited by the President or his designated representative, with the concurrence of the Event Chair, shall be exempt from Event registration fees.

2. Approved invited speakers and guests may be considered distinguished guests, and may be exempted from Event registration
fees, in accordance with the business plan and the budget for the conference at the discretion of the Event Chair.

3. Authors, presenters, session chairs, session vice chairs, and invited discussion participants shall be charged registration fees at the ASME member rates.

4. Members of reciprocating societies shall be charged at the ASME member rates.

5. Students and/or ASME Early Career members (0-10 years out from undergraduate graduation) may be charged a registration fee that represents a discount from member rates.

6. Whether those attending special functions only will be charged a registration fee shall be addressed in the Event business plan and reflected in the budget. If a registration fee is charged, it may be less than the full Event registration fee.

7. Whether those attending committee meetings only will be charged a registration fee shall be addressed in the Event business plan and reflected in the budget. If a registration fee is charged, it may be less than the full Event registration fee.

8. If a non-ASME member or non-ASME student member registers at an ASME Event and pays the non-member or student non-member rate, they will be eligible to receive a one-year ASME membership at no additional charge. The non-member shall complete a membership application and submit it within 90 days of the Event in order to receive this benefit.

9. If the Event registration fees are not waived, the registration fees for an ASME Life Member may be reduced at the discretion of Event organizers. If an ASME Life Member is making a technical presentation, such member shall pay the Member Author Presenter registration fee.

10. If the Event registration fees are not waived, the registration for an ASME Honorary Member may be reduced at the discretion of conference organizers. If the ASME Honorary Member is making a technical presentation, such member shall pay the Member Author Presenter registration fee.

11. The Event Chair may establish a registration fee waiver policy consistent with the business plan and the budget for the Event.

L. The budget shall identify the expected means of Event promotion, advertising and signage and shall describe in detail:

1. The proposed advertising, mailings, posters, in technical publications or journals and other promotions of the Event. All advertising and signage shall be of ASME quality and shall be consistent with ASME format as defined by the Technical Event and Conference Planning Guidelines.
ASME Events Department may provide additional guidance. Signage should be prominently displayed at Co-sponsored Events.

2. The cost of all advertising, mailings, posters, in technical publications or journals and other promotions of the Event.

M. No member of an Event Committee or Board shall have a conflict of interest relative to the award of contracts related to an Event.

N. Society Units shall have the authority to enter into non-binding letters of intent with other sponsors of Events.

O. Society Units shall not have the authority to negotiate contracts with other sponsors of Events.

P. Where a third party is employed to organize the Event, responsibility for assurance that Event logistics are performed in accordance with ASME policy shall be borne by the Event Chair. This includes responsibility to assure that all advertising and signage are consistent with this policy and that the ASME name and logo are prominently displayed in Event advertising, signage, and literature. Such standards shall be defined in the EC’s “Technical Events and Conference Planning Guidelines”. Guidance may be obtained from the EC and The ASME Events Staff.

VII. APPROVAL

A. Make-up and Duties of the EC:

1. The EC shall consist of experienced event organizers and representatives of the relevant Society Units. Membership will include at least one volunteer from each sector that regularly holds Events budgeted above $50,000 and at least one volunteer from each Technical Communities Operating Board Technical Group. Such sector representatives shall participate actively in reviewing and approving proposed Events from all ASME sectors. Additionally, the EC may recruit members at large who have expertise in organizing technical conferences and related events. Collectively, members shall have familiarity with the ASME Conference Calendar and with the broad set of technical conferences in which ASME participates.

2. The duties of this committee shall include: aiding Event organizers in writing business plans and budgets, providing other assistance in Event planning, providing Event advisors as appropriate, approving Events, soliciting and collecting post-Event reports, maintaining a database, capturing relevant historical data from past Events, and working with the Events Management Department in maintaining the ASME Conference calendar.

3. The EC shall take reasonable steps to insure consistency and avoid topical and scheduling conflicts within ASME’s portfolio of technical conferences.
4. The EC shall ultimately report to the SMC through the Board of Technical Knowledge Dissemination.

B. All Events with an expected gross revenue greater than or equal to $50,000 shall follow the procedures established by the EC and must be approved by the EC.

C. Events with actual or budgeted gross income of less than $50,000 shall be considered in accordance with the policies of the respective council or sector board.

D. Approval shall be based on submitted appropriate sector event approval request documents. A decision will be sent to the applicant within sixty days.

E. The criteria for approval shall include, but are not limited to:

1. Whether the proposed Event furthers the mission of ASME. This factor shall include, but not be limited to, likely technical quality, the likelihood that ASME will achieve or maintain prominence in the field, and synergy with other ASME activities.

2. Whether the proposed Event presents any financial and or liability risk to the Society.

3. Whether there is a conflict with other Events dealing with similar subject matter and whether an appropriate collaborative plan has been worked out among such Event organizers. In the event of an otherwise unresolved conflict, priority shall be given to Events of longer standing. The dates solicited shall not hinder the success of the Event nor inflict unnecessary cost.

4. Whether the location of the Event has been selected so as to maximize the success of the Event. Success factors shall include: (a) the proximity of local industry with an interest in the Event; (b) perception of attractiveness by potential attendees; (c) transportation and ease of accessibility in relation to the anticipated audience and (d) past history of success by prior Event organizers.

5. Whether ASME is to receive the copyright and publishing rights to any papers presented at the Event.

6. In the case of a Co-Sponsorship, whether ASME will conduct the peer-review of any papers. If ASME is not to conduct the peer-review, whether a credible peer-review process has been established.

7. Whether the Event has followed a fair, open and acceptable bidding process and whether any third party organizers will meet ASME quality standards.

8. The viability of the Event in the long-term.

9. In the case of an ASME Co-Sponsorship or ASME Participation, the distribution of financial and other risk between the parties.
10. The distribution between the sponsors of any surplus or loss relating to the Event.

11. The timeliness of the submission of the Event budget and business plan.


13. In the case of an ASME Participation, whether a full contractual indemnification and insurance have been obtained.

14. Past compliance with the audit procedures set forth in Section IX of this policy.

15. For established Events: (1) the ratio of accepted abstracts to rejected abstracts; (2) the ratio of no-show paid registrants to actual attendees; (3) the ratio of rejected papers to accepted papers; and (4) the ratio of submitted abstracts for paper presentation converted to presentation format. This information should address the prior two Events, if any. Historical information on the percent of papers recommended and/or appearing in archival journals, if available, shall also be included.

16. In the event that a proposed Event is not approved by the EC, the Event organizers shall be permitted to appeal the decision to the SMC. Any appeal shall be submitted to the SMC and EC in writing and shall set forth all facts supporting noncompliance with this policy. Noncompliance by the EC with this policy shall be the only ground for appeal.

VIII. LEGAL PROCEDURES

A. Any and all agreements or understandings relating to an Event that impose a duty upon ASME or a Society Unit shall be in writing and signed by all parties to the agreement. ASME signatories include the Executive Director, the Assistant Treasurer or, the Second Assistant Treasurer.

B. In all instances where ASME is not the sole sponsor, the Society or Society Unit shall negotiate with each and every sponsor a non-binding letter of intent setting forth the general terms relating to an Event.

C. The letter of intent shall include the following information: the identification of the subject matter of the conference, the proposed venue, the dates of the Event, the party or parties responsible for the technical content of the program (including peer review), the party responsible for on-site conference arrangements, general financial terms including the distribution of surplus/loss between the parties and the term of the proposed agreement.

D. The executed letter of intent shall be submitted with the appropriate sector event approval request documents to the EC. A copy of the executed letter of intent shall also be contemporarily submitted to ASME Legal.
E. Upon receipt of the executed letter of intent from the Society Unit, ASME staff shall, with the assistance of ASME Legal as necessary, negotiate contract terms and conditions with the parties identified in the letter of intent.

F. Once terms and conditions acceptable to ASME have been negotiated and the Event has received formal approval, the Executive Director, or Assistant Treasurer or, if appointed, the Second Assistant Treasurer shall execute an Event Agreement.

IX. AUDIT AND EVENT FINANCIAL REPORTS

A. Audits

1. Events where ASME has greater than a 50% financial responsibility and where actual or budgeted income or expense is $500,000 or more shall be audited by a professional independent auditor. The Event Chair and ASME Assistant Treasurer shall jointly identify an outside accounting firm or other fully qualified resource. The ASME Assistant Treasurer shall have final responsibility for the selection of the auditor. The completed audit shall be submitted to the Event Chair and ASME Assistant Treasurer.

2. Events where the actual or budgeted income or expense is less than $500,000 will be audited on a periodic basis. The ASME Assistant Treasurer or, if appointed, the Second Assistant Treasurer shall select the Events to be audited and the auditors. Any Events not selected for a random audit may be audited by a committee composed of individuals who have no direct or indirect responsibility for the financial transactions of the Event. Any completed audit shall be submitted to the Event Chair and the ASME Assistant Treasurer.

3. The Event Chair and ASME Assistant Treasurer shall jointly obtain an estimate of the audit fees for Events where ASME has greater than a 50% financial responsibility and where actual or budgeted income or expense is $500,000 or more which shall be incorporated in the Event budget and reported as a separate line item on Event financial report forms.

B. Event Financial Reports

1. For all Events, the Event Chair shall be responsible for the preparation of a detailed financial report for the Event, showing all relevant items of revenue and expense as well as an accounting for final disposition of any remaining funds. Unless a final financial Event report for a preceding conference is submitted, no proposals for that future Event will be approved.

2. For Events managed by ASME Events Management, the Event Chair and the ASME Director of Events shall ensure that preferably within three months, but no later than six months after the Event date: (1) the Event bank account is closed; (2) any remaining funds in any Event bank account are distributed; (3) any funds advanced by ASME or a Co-Sponsoring party are repaid; (4) the final detailed financial report has
been completed and delivered to ASME Finance; and if required, (5) an audit of the Event financial activities is completed. Failure to meet the foregoing milestones shall be considered, and may be a basis for disapproval of future related Events.

3. For Events managed by third parties, the Event Chair shall ensure that preferably within three months but no later than six months after the Event date: (1) the Event bank account is closed; (2) any remaining funds in the Event bank account are distributed; (3) any funds advanced by ASME or a Co-Sponsoring party are repaid; (4) the final detailed financial report has been completed and delivered to ASME Finance; and if required, (5) an audit of the Event financial activities is completed. Failure to meet the foregoing milestones shall be considered, and may be a basis for disapproval of future related Events.

C. Post-Event Reports. Within three months after the event, the sponsoring unit will provide the EC with a report discussing the success of the Event relative to the business plan. This includes attendance of each category of attendee, number of sessions held, average session attendance, number of papers submitted, number of papers accepted, and number of technical presentations.

X. PUBLICATIONS

A. Event papers may be published as symposia volumes, workshop volumes, proceedings or individual technical papers. (See Policy P-12.6, P-12.11 and P-12.13)

B. When an Event is an ASME Sponsorship, ASME shall receive the copyright and shall be the publisher of all papers presented at the Event.

C. When an Event is an ASME Co-Sponsorship and ASME issues the “call for papers” or is responsible for the peer-review of the majority of papers presented at the Event, ASME shall receive a copyright and shall be the publisher of the papers presented at the Event. The conference organizers in the course of negotiating the letter of intent may include a royalty payable to other entities involved in the event that conduct peer review of the minority of the papers presented at the event. Such royalty shall not exceed the percentage of papers peer reviewed by the other entity. ASME Publications may, at its discretion, grant a license to copyrighted materials.

D. No papers submitted in connection with an Event shall be published in the final archival proceedings unless at least one author presents the paper at the Event. For purposes of this policy, the final archival proceedings shall be the version registered with the Library of Congress and available from ASME Publications.

XI. INTERNATIONAL PARTICIPATION

A. ASME is committed to the principle of participation of citizens of all nations at Events.

B. Where ASME sponsors, co-sponsors, or participates in a conference, the host organization shall be committed to securing freedom of citizens of all nations,
irrespective of race, creed, color or religion, to enter or leave the host country for the purpose of attending such an Event.

C. The host organization shall make every effort to comply with this ASME policy unless such compliances are in direct conflict with the laws, regulations or stated government policies in the host country. ASME may decline to participate in international Events where it considers such restrictions to be too inhibiting.

XII. SENIOR GOVERNMENT SPEAKERS

Periodically, Event leaders wish to invite high level government officials to speak at Events. The appropriate staff support shall be consulted prior to issuing invitations to senior government officials. ASME’s Government Relations staff shall be consulted prior to issuing invitations to senior United States government officials such as the President of the United States, Vice President, Cabinet members, Federal department and agency heads, and members of Congress. Letters of invitation will be issued by the ASME President or Executive Director as appropriate. Any additional costs for security, accommodations, etc., shall be included in the Event budget.

XIII. APPLICATIONS AND REVISIONS

A. Written Event and publication contracts currently being performed shall not be subject to this publication policy during the term of such contracts. All future negotiated and/or renewed publishing contracts and Event Agreements shall be subject to this policy. Publishing contracts and Event Agreements shall not be renewed unless made compliant with this policy.

B. This policy shall be examined by an ASME Presidential Task Force every six years from the most recent revision or reaffirmation. The Task Force shall review the policy according to guidelines prepared by the Committee on Organization and Rules, and shall make a recommendation to reaffirm it unchanged, revise and reaffirm it, or eliminate it. (See Policy P-1.1)
SOCIETY POLICY

FISCAL POLICY RELATING TO MEETINGS AND EXHIBITS

I. PREFACE

A. Article C2.1 of the Constitution states in part: "The purposes of this Society are to: Promote the art, science and practice of mechanical and multidisiplinary engineering and allied sciences ... Promote the exchange of information among engineers and others ..."

B. Article C4.1.1 states in part: "The affairs of the Society shall be managed by a Board of Governors chosen from its membership which shall have full control of the activities of the Society, subject to the limitations of the Constitution and By-Laws, Society Policies, and the laws of the State of New York."

C. Article C4.1.11 states: "The deposit, investment, and disbursement of all funds shall be subject to the direction of the Board of Governors."

D. By-Law B2.1 states in part: "To promote the art, science and practice of mechanical and multidisiplinary engineering and allied sciences...... Hold meetings for the presentation and discussion of original papers and participate in international engineering congresses."

E. By-Law B5.6.1.1 states in part: “The Knowledge and Community Sector, under the direction of the Board of Governors, is responsible for the activities of the Society relating to engineering communities.”

F. Society Policy P-12.1, The Business Practices of Conferences and Events, states in part:

Expositions, in conjunction with a meeting of the Society, can provide an added service to the membership and broaden the sphere of the Society's usefulness to the profession and industry. There are three types of expositions in which the Society may be interested.

1. Expositions directly related to the technical program being presented at a meeting or conference.

2. Expositions conducted by units of the Society as direct adjunct to a meeting or conference.
3. Expositions owned/managed by a commercial firm.

G. Any perceived discrepancy between the statement of policy herein and the Society Policy P-2.9, Fiscal Framework, shall be resolved with P-2.9 prevailing.

II. PURPOSE

A. To define the fiscal policy of ASME for technical conferences; the International Mechanical Engineering Congress and Exposition, and ASME exhibits.

B. To explain the procedure to be followed to adhere to the fiscal policy.

III. POLICY

A. ASME technical conferences should be self-supporting.

B. When the Society is the sole sponsor of an exhibit the objective is, as a minimum, self-support.

C. The Knowledge and Community Sector Board of Directors may permit an exception to self-support for a technical conference or ASME exhibit for the first three years.

D. The Board of Governors shall delegate the development of appropriate Conference Operation Guides that will contain procedures consistent with III.A., III.B., III.C. and IV.B

IV. PROCEDURE

A. Conference registration fees.

1. The objective of establishing a conference fee is to achieve, as a minimum, an overall break-even status for technical conferences in which ASME assumes any financial responsibility.

2. Recommended items to be covered when establishing a conference registration fee include the Direct Conference Expenses as listed in Appendix I.

   Note: The Appendix is for information and is not a part of this Society Policy.

3. The Knowledge and Community Board on Programs and Activities in conjunction with Events Management is responsible for planning conferences of the Society.

B. The International Mechanical Engineering Congress and Exhibit, (the Congress) registration fees.
1. The registration fees for the Congress shall be in accordance with the Congress Operation Guide to cover all budgeted expenses relative to the technical sessions.

2. Expenses relative to other activities at the Congress will be budgeted in accordance with the Congress Operation Guide.

C. ASME exhibits fees and charges.

At an ASME-sponsored exhibit managed by Headquarters Staff, the booth space charges and other fees shall insure that the income, at least, meets direct expenses.

Responsibility: Knowledge and Community Sector Board of Directors

Reassigned to BOG on February 16, 2005 from Council on Member Affairs/Conferences and Events Directorate

Reassigned from CMA/Conferences and Events Directorate 6/12/05

Adopted: June 10, 1983

Reaffirmed: January 26, 1996

Revised: (editorial changes 12/83)
(editorial changes 3/84)
(editorial changes 6/87)
(editorial changes 8/88)
(editorial changes 12/89)
(editorial changes 11/94)
(editorial changes 1/96)
(editorial changes 6/04)
June 12, 2005
APPENDIX I

RECOMMENDED BUDGET ITEMS FOR ASME CONFERENCES

Note: Not all items will be needed for every event.

Travel
Promotion
Production: Calls for Papers/Advance-Final Program
Telephone/Teleconferences
Postage
Stationary and Supplies
Signage
Labels
Forms and Tickets
Badges and Holders
Certificates
Reproduction
Office Services
Graphics
On-Site Registration Personnel
Section Allotment
Session Aids
Food and Beverage
Bus Transportation
Security
Exhibit Contractors
Machine Rental
Chair’s Fund for Awards/Gifts
Credit Card Collection Fees
Honorariums
Professional Meeting Services and Overhead
3% Contingency
SOCIETY POLICY

PUBLISHING PRACTICES FOR TECHNICAL UNITS OF ASME

I. PREFACE

A. Article C2.1.1 of the Constitution states in part, "The purposes of the Society are to: Promote the art, science and practice of mechanical and multidisciplinary engineering and allied sciences;.....Promote the exchange of information among engineers and others;....."

B. By-Law B2.1 states in part, ".....Publish papers and reports and disseminate knowledge and experience of value to engineers....."

C. The dissemination is frequently accomplished by the Society through the publication of the results in books, special publications, papers, reports, journals, and in other Society publications as described in Society Policy P-12.6 (ASME Editorial Policy on Publications).

1. P-12.6 covers MECHANICAL ENGINEERING, ASME NEWS, Hybrid Journals, Transactions, APPLIED MECHANICS REVIEWS, Technical Books, and Special Publications such as Proceedings and Symposia volumes and Technical Papers.

2. The issuance and distribution of these publications are important means by which the Society fulfills its purpose.

D. Society Policy P-12.13 applies to the Publications, listed in I.C. It does not include publications cited in P-12.9 (Annuals and Manuals) and P-12.12 (Publications with Limited Distribution), nor does it include publications in conjunction with Professional Development courses or not-for-sale publications summarizing technical developments (e.g., International Gas Turbine Institute Technology Reports).

II. PURPOSE:

A. To provide for the dissemination of the results of the efforts of technical units of ASME;

B. To identify the responsible unit of ASME for administering and carrying out the Society's publishing practices;

C. To define the procedures for publication and dissemination of the works generated by technical units of ASME; and

D. To provide the conditions for publication of a work using an outside publisher.
III. **POLICY**

All technical units within the Society are encouraged to disseminate the results of their efforts. For any effort underwritten by ASME, ASME is expected to be the publisher of such works and to be the copyright holder or the licensee to distribute such works.

IV. **PROCEDURE**

A. For publication of a work using ASME facilities:

1. Under the direction of the Knowledge and Community Sector, and its Publications Directorate have the responsibility of administrating and carrying out the Society's publishing policies, except for those relating to codes and standards which are the responsibility of the Codes and Standards and Certification Sector. Works referring to, or quoting, material from any code or standard document must be reviewed by the appropriate Codes and Standards and Certification body before the technical unit submits the work for publication.

2. The technical units (institutes, technical divisions, boards, committees, task forces, etc.) are encouraged and expected to utilize the publishing facilities of ASME to disseminate the information developed under ASME auspices. Because use of the ASME name, seal, emblem and initials carries with it legal implications, it is essential to establish a consistent and centralized process mechanism. The emblem and the initials are registered trademarks of The American Society of Mechanical Engineers.

3. The technical unit involved in generating a publication for sale is to first offer it to the Society for publication. The Knowledge and Community Sector Board of Directors will determine whether or not the publication is suitable for publication and/or marketing by the Society.

4. In publishing works under IV.A.1,2, and 3 of this Society Policy, the ASME logo, trademarks, symbol etc., may be used, as appropriate, to identify the publisher of the work. These identifying marks and symbols may also be used with approval of the Knowledge and Community Sector Board of Directors.

Responsibility: Knowledge and Community Sector Board of Directors

Reassigned from Council on Engineering/Conferences and Events Directorate 6/12/05

Adopted: March 12, 1987

Reaffirmed: March 14, 2003

Revised: (editorial changes 8/88)
          (editorial changes 12/89)
          (editorial changes 1/96)
          (editorial changes 6/04)
          June 12, 2005
SOCIETY POLICY

USE OF MEMBER DATA

I. PREFACE

A. Definitions:

As used in this policy,

"Membership database" refers to a central repository for data concerning the members of ASME, in any form or format.

"Member data" refers to information regarding individual members of ASME. This may include information of a personal nature, such as name, address, date of birth, employment information, etc.; or information pertaining to an individual's membership in ASME, such as years of membership, membership grade, offices held, order information, participation, demographics, etc.

"Unit" or "units" refers to any ASME internal organizational entity formally recognized by the Board of Governors for the purpose of carrying out the Society's mission (e.g., councils, sectors, districts, sections, subsections, groups, technical divisions, technical groups, institutes, technical chapters, affinity groups, and designated organizations, such as the ASME Foundation).

B. Providing ASME member data to the Society leadership entails some risk of misuse, whether intentional or unintentional.

C. Use of ASME member data by the Society's leadership is perceived as a beneficial volunteer management tool to assist the organization and operation of the units of ASME.

D. The membership database contains confidential and proprietary information about ASME Members.

II. PURPOSE

A. To amplify the applicability of Society Policy P-15.8, "Conflicts of Interest," with regard to the handling and use of ASME member data.

B. To provide guidelines for the development and use of mailing lists or other listings developed from member information contained in the membership database for the internal use of the units of ASME and to establish the relationship with respect to the mailing lists covered by Society Policy P-12.8, "Distribution of Mailing Lists."

C. To present procedures and guidelines to minimize the risk of misuse.
III.  POLICY

A.  The membership database and the information contained therein are the exclusive property of ASME; the member data contained within the membership database may be made available on loan to ASME Members in unit leadership positions solely for internal use by units of ASME.

B.  The following limitations apply to the use of member data:

1.  The member data provided to ASME members in leadership positions is for the exclusive internal use of units of ASME.

2.  The member data provided to ASME members in leadership positions may be used to analyze the demographics or other dimensions of ASME units, to produce rosters and other listings, and to generate mailing lists for use within ASME units.

3.  Any mailing labels or lists generated from this data are for the exclusive, internal use of ASME units. The data may not be in any way exchanged, sold, lent, given, or bartered to any other person, company, or organization except as provided herein for transfer to other members or to mailing-services for the sole and specific purpose of processing mailings for use within ASME units. All other uses of ASME mailing lists, in whole or in part, shall be governed by Society Policy P-12.8, "Distribution of Mailing Lists." Further direction or information for external uses of mailing lists must be obtained from the Director of Marketing in accordance with Society Policy P-12.8.

4.  Copies of Member Data

   a.  Access to member data for a unit will be made available to up to six members in leadership positions of those units defined in paragraph IV.A.1 of this Society Policy upon verification of the requirements in paragraph IV.A.2 of this Society Policy.

   b.  Copies of each unit's member data may be made for backup or archive purposes, or as part of analyzing the unit's membership or producing rosters or other lists. All copies and archived data, as well as any lists, rosters and reports containing information on individual ASME members, are bound by the same limitations and restrictions as the original data. The original recipient of the data is responsible for maintaining and ensuring control of the data in accordance with this Society Policy. This responsibility may not be transferred.

   c.  An ASME unit may provide copies of name and mailing address information only to other organizations for the sole and specific purpose of providing services for correspondence internal to that unit of ASME upon approval of the Director of Marketing. The Director's approval is contingent on receipt from the proposed organization of signed agreements to comply with this Policy and with Policy P-15.8, "Conflicts of Interest."
5. ASME does not provide any warranty as to the accuracy of the data contained within the membership database, nor does it warrant that the data format is compatible with any particular brand or type of computer system or software.

6. The performance of all recipients of member data under the terms of this Society Policy shall also fall under ASME Policy P-15.8, "Conflicts of Interest." The recipients' execution of the agreements to this Society Policy and to Society Policy P-15.8, "Conflicts of Interest," is required.

IV. PROCEDURE

A. Provision of Member Data to ASME Units.

1. Access to current member data by units of the Society is provided to all vice presidents, district leaders, section and technical division chairs, and not more than six members in leadership positions in each unit of the Society, as defined in I.A above and to leaders of other units approved by the Knowledge and Community Sector Board of Directors.

2. Prior to authorizing access to member data verification will be made of each individual's acceptance of this Society Policy, of Society Policy P-15.8, "Conflicts of Interest" and that the individual's member record contains a current position code for one of the leadership positions as required by this Society Policy.

3. Upon receipt of the current member data, the authorized individuals shall make the necessary provisions to avoid any use of outdated information. Such previous versions or archive copies shall continue to be subject to the control requirements of this Society Policy.

4. The Knowledge and Community Sector Board of Directors will determine what information from the membership database will be included in the member data provided to units. The sector will annually review the data provided to units under this Society Policy.

B. Use of the Member Data.

1. Questions regarding uses of member data should be directed to:

   ASME
   Managing Director, Knowledge & Community
   Three Park Avenue
   New York, NY 10016-5990

2. Transfers of member data onto a hard disk or any other form of shared resource system, including, but not limited to a mainframe computer, require appropriate security provisions to protect the data from unauthorized access or use.

3. Upon request by the Executive Director of ASME or his/her designee, all data and any copies made thereof shall be immediately returned to the
Society or destroyed. At that time, the Member responsible for the data shall certify in writing to the Managing Director, Knowledge and Community all original data and any copies have been returned or destroyed and that all of the data that had been loaded onto a hard disk or other form of shared resource system has been permanently deleted.

4. Violations of this Society Policy shall be reported to the Executive Director of ASME or his/her designee, so that ASME may take action to protect the confidential and proprietary nature of its member data.

5. Recipients of this data by virtue of their signed agreement with this Policy and Society Policy P-15.8, "Conflicts of Interest," assume full responsibility for adherence to these Society Policies.

C. Corrections to the Membership Database.

All additions, deletions, and corrections to the membership database identified by the leaders of ASME units, or their designees, should be documented and forwarded to:

ASME
Membership Development Department
Three Park Avenue
New York, NY 10016-5990

Appropriate authorization for any change must include the date, the member's name, current office, and his or her signature.
ASME Member Data User Agreement

I request access to member data for the __________________________
district / section / subsection / group / technical division / technical group /
institute /technical chapter of ASME.

I understand that the data contains confidential and proprietary information
about members of ASME.

I have read and agree to adhere to Society Policy P-12.14, "Use of Member
Data," and its limitations on the use of this data.

I have also read and agree to adhere to Society Policy P-15.8, "Conflicts of
Interest," in regard to my use of this data.

______________________________________________________________
Signature   ASME Unit

______________________________________________________________
Name (Please Print)   Date

Mail or FAX to:
ASME Managing Director, Knowledge and Community
Three Park Avenue
New York, NY 10016-5990
FAX: 212-591-7671

______________________________________________________________
Responsibility: Knowledge and Community Sector Board
Reassigned from Council on Member Affairs 6/12/05
Reassigned from the Committee on Planning and Organization
6/11/97

Adopted: September 14, 1989

Revised: (editorial changes 8/93)
June 11, 1997
June 9, 1999
September 23, 2001
June 12, 2005
November 13, 2010
ASME SOCIETY POLICY

ANNUAL MEETING AND CONGRESS

I. PURPOSE

A. To identify the roles, responsibilities, accountabilities and authorities for the ASME Annual Meeting (AM) and the ASME Congress (IMECE).

B. To establish effective and consistent annual planning, delivery and management of these events.

II. DEFINITIONS

A. ASME Annual Meeting (AM)

1. Formerly known as the Summer Annual Meeting (SAM), the vision for the ASME Annual Meeting (AM) is:

a. The primary event for ASME members and other professionals to assemble for personal and professional growth, to exchange information on how they are dealing with common challenges, to learn about developments affecting the future of the profession, to celebrate significant developments and recognize outstanding contributors, and to help set the future direction of the Society.

2. The objectives are:

a. To provide program content that draws ASME members to the event to learn from high-profile technical and business leaders through a series of plenary sessions and tutorials.

b. To have a sound financial model that drives business-like decisions and assures the generation of a net surplus to support future growth of the event.

c. To support and build the ASME brand by delivering a high-quality event that exceeds the expectations of presenters and attendees.
B. ASME Congress (IMECE)

1. Vision for ASME Congress:
   a. A venue for fostering innovation by facilitating the connecting of “hubs of knowledge” that exist among engineers and scientists from around the world.

2. The objectives are:
   a. To serve as the premier annual event for engineers and scientists to present their recent research results and exchange insights into novel approaches to mechanical engineering problems.
   b. To address a wide array of systems and processes involving traditional mechanical engineering principles or disciplines (e.g., Materials, Solid Mechanics, Heat Transfer, Fluid Flow, System Dynamics, and others), interdisciplinary technologies, and emerging technologies.

III. POLICY

A. ASME Annual Meeting (AM)

1. General
   a. ASME Annual Meeting (AM) will consist of:
      1) Annual Meeting Sessions, and;
      2) Governance, Society-Wide Events & Business Session. The two events are co-located and coordinated for synergistic benefit to the membership, but have separate budgets and registration fees.

2. Annual Meeting Sessions

   Annual Meeting Sessions, including content, calls for papers, and review of submissions (if any), on-site programming and other directly-related activities such as on-site social events, food and beverage will be the responsibility of the Strategic Management Strategy and Outreach (SM) Sector, through an Annual Meeting (AM) Steering Committee. The AM Steering Committee will be formed and managed by SM Strategy and Outreach.

3. Governance, Society-Wide Events & Business Session

   Governance, Society-Wide Events & Business Session will be the responsibility of the Executive Director (ED). The ED may delegate authority to appropriate staff such as Governance, Honors, Event Planning, etc.
4. **Budget**

The budget for the event will be part of the ASME operating budget, and separate lines will be shown for the Annual Meeting Sessions, and Governance, Society-Wide Events and Business Session. The AM Steering Committee and Executive Director will be responsible for planning and delivering their respective portions of the event, within the respective budgets.

**B. ASME Congress (IMECE)**

1. **General**
   
a. ASME Congress (IMECE) will consist of:

   1) A Technical Conference (TConf), and;

   2) Governance, Society-Wide Events & Business Session. The two events are co-located and coordinated for synergistic benefit to the membership, but have separate budgets and registration fees.

2. **Congress Technical Conference (TConf)**

The Technical Conference (TConf), including program, logistics, content, calls for papers, and review of submissions, on-site and other directly-related activities such as specific Technical Conference social events, food and beverage will be the responsibility of the Technical Communities (TC), of the Knowledge & Community (K&C) Sector, through a Congress Steering Committee (CSC). The Congress Steering Committee (CSC) will be formed and managed by Technical Communities (TC).

3. **Governance, Society-Wide Events & Business Session**

Governance, Society-Wide Events, such as the Honors Program & Business Session will be the responsibility of the Executive Director (ED). The ED may delegate authority to appropriate staff such as Governance, Honors, Event Planning, etc.

4. **Budget**

The budget for the event will be part of the ASME operating budget, and separate lines will be shown for the Technical Conference, and Governance, Society-Wide Events and Business Session. The Congress Steering Committee and Executive Director will be responsible for planning and delivering their respective portions of the event, within the respective budgets.

**C. Event & Publication Planning**
All Annual Meeting and Congress events will use ASME Events Management, Marketing & Sales, Publications and other ASME services for needed support, so as to maximize planning coordination and successful delivery.

D. Coordination & Communications

The responsible parties for the Annual Meeting and Congress are also responsible for the necessary coordination & communication to plan, deliver and evaluate all events successfully. Planning and program delivery is to be done so as to minimize “competitive events” and to maximize the event success for all attendees.

E. Site Selection

Site selection for the Annual Meeting will be the responsibility of the Executive Director in conjunction with the Annual Meeting (AM) Steering Committee. Site selection for IMECE will be the responsibility of the Executive Director in conjunction with the Congress Steering Committee. Site selection options and decision-making will take place a minimum of one year in advance, and further in advance where possible.

Responsibility: Strategic Management Board of Directors; Council on Strategy and Outreach/Knowledge and Community Sector Board of Directors

Adopted: April 24, 2008
I. PREFACE

A. Article C2.1.1 of the Constitution states in part, "The purposes of this Society are to: ....Promote the exchange of information among engineers and others;...."

B. This Society Policy deals with the editorial aspects of the ASME publications that operate under the auspices of the Publications Directorate Knowledge and Community Sector. (This document to be used in conjunction with Society Policy P-12.10, Fiscal Policy Relating to Publications.) The publications currently include:

1. Periodicals
   a. General Interest
      1) MECHANICAL ENGINEERING
      2) ASME NEWS
   b. TRANSACTIONS and other Journals of the ASME
   c. Other
      1) APPLIED MECHANICS REVIEWS

2. Conference Proceedings, Technical Handbooks and Manuals

3. Individual Technical Papers (Pamphlets)

4. ASME Press

C. Additional periodicals and publications may be added from time to time and shall also be under the direction of the Publications Directorate Knowledge and Community Sector.

D. Titles and descriptions used in the text of this Society Policy are understood to mean the following:

1. ASME Staff:
   a. Editor, MECHANICAL ENGINEERING -- responsible for content and editorial matters relating to MECHANICAL ENGINEERING.
   b. Editor, ASME NEWS -- responsible for the content and editorial matters of the ASME NEWS.
   c. Director, Technical Publishing -- responsible for the publication of ASME TRANSACTIONS, APPLIED MECHANICS REVIEW, Technical Papers, Conference Proceedings, Manuals and
2. Volunteer positions
   a. Editor, ASME (TRANSACTIONS) Journals -- a member of ASME appointed by the Publications Directorate to supervise and be responsible for the editorial content of a TRANSACTIONS Journal. An Editor of ASME TRANSACTIONS shall not serve concurrently as Editor-in-Chief of any other technical journal, whether for a non-profit society or for a commercial publisher.
   b. Associate Editor, ASME (TRANSACTIONS) Journals -- an ASME member who, with the approval of the relevant division and the Publications Directorate, works under the direction of the Editor to assist in editing, reviewing, and helping revise manuscripts submitted to a TRANSACTIONS journal which relate to the member's specialized knowledge.

II. PURPOSE
   A. To state the editorial policy relating to ASME publications.
   B. To provide the procedure for publications.

III. POLICY
   A. Oversight responsibility for the content in ASME publications resides with the Publications Directorate and is exercised by the appropriate publication editors.
   B. Opinions expressed by the Editor of an ASME publication, by a special page or a column contributor, or by a freelance writer contained in an ASME publication, which in some cases may differ from those held by officers and members, should not be proscribed. Further, to be of utmost service to the Society in cases of controversial issues, all sides shall be presented with the understanding that the opinions of the authors will not necessarily be and, in many cases, cannot be those subscribed to by the Society.

IV. PROCEDURE
   A. All ASME publications covered by this Society Policy shall contain a disclaimer which indicates that the opinions expressed are those of the author(s) or editor(s) and that they do not necessarily reflect the opinion of the Society, its members, or its officers (By-Law B7.1.3).
   B. Under the authority of the Publications Directorate, "special pages or columns" in publication covered by this policy may be assigned to Sectors, groups, or divisions within ASME. The agency sponsoring approved special
pages or columns shall submit material to the appropriate publication editor according to the guidelines stated in the appropriate publication Operation Guide as set by the Publications Directorate. The enforcement of the guidelines shall be the responsibility of the Editor of said publication. Unresolved questions between the Editor and any segment responsible for special pages or columns shall be referred to the Publications Directorate.

C. The Editor, MECHANICAL ENGINEERING, shall be solely responsible within the guidelines established by the Publications Directorate for the selection and presentation of editorial material. The Editor shall make reasonable attempts to assure the technical accuracy of editorial material through appropriate research and review procedures.

D. The Editor, ASME NEWS, is responsible for the editorial content of the newspaper within the guidelines established by the Publications Directorate.

E. An Editor of an ASME Journal shall be nominated by the appropriate unit (normally the Executive Committee of an ASME Technical Division, Sector or Institute) for a term not to exceed five years unless recommended for a reappointment for one additional term of five years, subject to approval and appointment by the Publications Directorate.

F. Editors may be assisted by Associate Editors in the selection and editing of the content of a specific TRANSACTIONS Journal. The Associate Editors are nominated by the Editors with the consent of the appropriate unit, subject to approval and appointment by the Publications Directorate. The term of office shall be three years. Reappointment by the Publications Committee for another term shall be limited to a maximum continuous service of six years.

G. The Editor of each TRANSACTIONS Journal shall have the ultimate responsibility for its technical content. The Editor is authorized to accept or reject any communication submitted to the Journal for publication.

H. Technical papers presented at ASME Conferences and Meetings that are grouped according to common subject matter are referred to as proceedings or symposia. The technical unit that sponsors or co-sponsors the conference or meeting is responsible for the editorial content of these publications.

I. No paper may carry an ASME designation unless it has undergone a review based on procedures established by the Publications Directorate.

| Responsibility: Knowledge and Community Sector Board of Directors |
| Reassigned from Council on Engineering/Publications Directorate 6/1/05 |
| Adopted: June 16, 1970 |
| Reaffirmed: September 18, 1998 |
Revised:  
December 9, 1976  
January 14, 1980  
June 25, 1980  
(editorial changes 2/83)  
November 17, 1983  
(editorial changes 8/87)  
(editorial changes 8/88)  
March 14, 1990  
(editorial changes/reaffirmation 9/98)  
March 18, 2000  
June 6, 2001  
November 16, 2001  
(editorial changes 6/04)  
June 1, 2005
PUBLICATIONS DIRECTORATE OF THE KNOWLEDGE AND COMMUNITY SECTOR
GUIDELINES FOR ASME NEWS

1. The Editor, ASME NEWS shall plan each issue. He/she will be responsible for the form and content of the periodical and the assessment of the newsworthiness of the material selected for publications.

2. a) The Editor shall provide space for direct communication from the volunteer leaders of the Society and Boards, Committees and Technical Divisions of the Sectors of the Society.

   b) Regular direct communications will be specifically approved by the Publications Directorate and will be reviewed annually.

   c) There shall be no change in coverage provided for direct communication without discussion with the unit of the Society that is involved and approval of the change by the Publications Directorate.

3. The Editor shall submit to the Editorial Advisor all final copy before printing for review of issues covered that may affect the Society or the public perception thereof.

4. Where commercial products or services are treated editorially, the Editor shall exercise discretion in the presentation without stated or implied endorsement of the product or service.

5. In reporting issues of a controversial nature where ASME has taken a position, the Editor shall report the ASME position along with any report of the contra side of the issue.

6. The editor shall review all legal matters that affect ASME with the Society's Committee on Legal Affairs and ASME legal counsel before publication.

7. ASME NEWS will announce all future meetings in which ASME is sole sponsor, or joint sponsor with another organization or organizations. It will not promote competitive meetings, or those sponsored by other groups within the editorial columns of the newspaper.

8. All direct communications from ASME Staff members will be reviewed by the Editorial Advisor before publication.

9. Articles and surveys that deal with functions of organizational units of the Society shall be reviewed by the appropriate Sector and the Managing Director, supporting such Sector before publication.
PUBLICATIONS DIRECTORATE OF THE KNOWLEDGE AND COMMUNITY SECTOR
GUIDELINES FOR MECHANICAL ENGINEERING

1. The Editor, MECHANICAL ENGINEERING (ME) magazine shall plan each issue based upon his/her assessment of the relative importance of developments in mechanical engineering and the interest of the membership. He/she shall be responsible for form and content of the magazine. The Editor shall consult with the MECHANICAL ENGINEERING Advisory Board in planning editorial content.

2. The content of MECHANICAL ENGINEERING shall be selected to serve all technical disciplines of ASME.

3. The Editor of MECHANICAL ENGINEERING shall strive for the highest technical accuracy through research and review among the volunteer experts of ASME and other competent authority.

4. Where commercial products or services are treated editorially, the Editor shall exercise discretion in the presentation without stated or implied endorsement of the product or service.

5. In reporting issues of a controversial nature where ASME has taken a position, the Editor shall report the ASME position along with any report of the contra side of the issue.

6. The Editor shall be sensitive to the legal implications of material to be published in MECHANICAL ENGINEERING and shall consult the Society's Committee on Legal Affairs and ASME legal counsel when legal questions arise.

7. The Editor will provide space for direct technical communication from the Codes and Standards Sector—Council on Standards and Certification and Knowledge and Community Sector.

8. Promotion of conferences and calls for technical papers will be limited to ASME conferences, or conferences jointly sponsored by ASME and other technical organizations.

9. Volunteer-authored articles shall be encouraged.
SOCIETY POLICY

PERMISSION FOR REPRINTING OF ASME PUBLICATIONS

I. PREFACE

A. Article C2.1.1 of the Constitution states in part: "The purposes of this Society are to: . . ."

"Promote the exchange of information among engineers and others; . . ."

B. By-Law B2.1. states in part: "To promote the art, science and practice of mechanical and multidisciplinary engineering and allied sciences to diverse communities throughout the world the Society shall:"

"Encourage the preparation of original papers on engineering topics."

"Hold meetings for the presentation and discussion of original papers and participate in international engineering congresses."

"Publish papers and reports and disseminate knowledge and experience of value to engineers."

"Publicize the engineering profession through the achievements of engineers."

C. By-Law B7.1.1 states: "The Publications Directorate shall be in charge of publications of the Society, except that the Codes and Standards and Certification Sector shall be in charge of codes and standards."

D. By-Law B7.1.2 states: "The publications of the Society shall consist of (a) the TRANSACTIONS OF THE ASME; (b) MECHANICAL ENGINEERING; and (c) such other publications as may be authorized by the sectors within the limitations of the budget."

E. By-Law B7.1.3 states: "The Society shall not be responsible for statements or opinions advanced in papers or in discussion at meetings of the Society or of its Technical Divisions or Sections, or printed in its publications."

F. By-Law B7.1.5 states: "The Society reserves the right to copyright any of its papers, discussions, reports, or publications."

II. PURPOSE

A. To state the policy related to permission for reprinting of ASME publications.

B. To provide the procedure relating to permission for reprinting of ASME publications.
III. POLICY

A. It is the policy of ASME to give wide publicity to papers read before it.

B. Reprinting of copyrighted material emanating from the Codes and Standards and Certification Sector is permitted only with the specific consent of the Society, which must be obtained from ASME Headquarters. Such consent will be granted only in accordance with the current policy of the Codes and Council on Standards Sector and Certification.

C. All Publications emanating under the direction of the Publications Directorate of the Council on Engineering are copyrighted. The use of a copyright for the Society's technical and journal publications is designed not to prohibit dissemination of technical results by others, but to control against abuses of the privilege.

D. Authors and readers should be made aware of this policy. Authors should be advised that advance copies of their papers may be given to others by them or by ASME with the understanding that any publication be in accordance with this policy.

IV. PROCEDURE

A. Technical paper reproduction without the requirement of special permission.

Technical papers which appear at ASME technical meetings or ASME sponsored or co-sponsored conferences and which are not produced through ASME Technical Divisions and the ASME staff-administered control group, i.e., papers which are not assigned an ASME preprint number, may make no reference to the Society or to the ASME meeting at which they are presented.

B. Technical paper reproduction requiring special permission or endorsement.

1. Reproduction of material contained in collected articles or bound volumes consisting primarily of ASME-generated papers requires special prior permission.

2. A specific reproduction request is necessary for the use of papers published in APPLIED MECHANICS REVIEWS, MECHANICAL ENGINEERING, ASME NEWS and TRANSACTIONS, and any other publications of this type.

C. Specific prior written endorsement by the Technical Division sponsoring the event is required for distribution of material relating to panel sessions at ASME meetings and brought to the sessions by panel members listing ASME and the meeting at which the presentation was made.

The material to be distributed must include a disclaimer clearly stating that the opinions are those of the author and do not reflect those of the Society.
D. Taping of ASME-sponsored or co-sponsored sessions or meetings for personal use or for subsequent distribution is permitted only when previous authorization in writing has been granted by the author, presenter, or panel member whose comments are to be taped, as well as by the session chair.

Responsibility: Knowledge and Community Sector Board of Directors
Reassigned from Council on Engineering/Publications Directorate 6/1/05

Adopted: June 15, 1971
Reaffirmed: March 14, 2003
Revised: June 15, 1977
June 14, 1978
June 20, 1986
March 14, 1990
(editorial changes 6/97)
(editorial changes 6/04)
June 1, 2005
SOCIETY POLICY

DISTRIBUTION OF MAILING LISTS

I. PREFACE

A. Article C2.1.1 states in part: "The purposes of this Society are to: Promote the art, science and practice of mechanical and multidisciplinary engineering and allied sciences .... Promote the exchange of information among engineers and others ..."

B. One means for fulfilling these purposes is making available the Society mailing lists in order to distribute information concerning meetings and educational courses, and technical and professional products and services.

II. PURPOSE

A. To provide coordinated procedures for approving the use of the Society mailing lists for the distribution of literature pertaining to meetings and conferences, educational courses, exhibitions and other such technical and professional products and services.

B. To provide procedures designed to promote and protect the interests of ASME and its members.

III. POLICY

A. Relating to Technical Meetings and Educational Courses

1. Mailing lists will be rented only for the dissemination of information concerning meetings and courses that relate to the technical and professional interests of the members.

2. Approval of Rental of Mailing Lists

   a. Approval for rental of technical division mailing lists must be granted by the appropriate technical division, subject to the limitations of subparagraphs III.A.3 and III.A.4.

      A technical division may give blanket approval for the use of its list(s) to the responsible staff support for that technical division.

   b. Approval for rental of district and/or section mailing lists must be granted by the appropriate district and/or section, subject to the limitations of subparagraphs III.A.3 and III.A.4.

      A district and/or section may give blanket approval for the use of its list(s) to the staff support.
3. No ASME mailing list may be supplied to an outside Organization when a similar event, open to the general membership, is scheduled by a unit of ASME within three months of the event (either before or after) for which the mailing list has been requested.

4. Society members may have their names deleted from mailing lists supplied to outside organizations.

5. To provide a coordinated procedure for approving the use of the mailing lists of the Society all requests shall be submitted to the Services Staff.

B. Relating to Approved Members Interests Programs

1. Requests from vendors for rental of the ASME mailing list in support of membership benefits programs that are approved by the Knowledge and Community Board on Programs and Activities shall be submitted to the Services Staff.

2. Society members may have their names deleted from the mailing list supplied.

C. Relating to Technical and Professional Products and Services.

1. ASME Mailing lists may be supplied to outside organizations whose product or service is not in direct competition with those products and services offered by ASME as determined by the Services Staff.

2. An appeal to modify the decision of the Services Staff may be made in writing to the Executive Director or Assistant Treasurer.

3. The Executive Director or Assistant Treasurer will decide following consultation with the appropriate unit of the Society. The decision of the Executive Director or Assistant Treasurer shall be final.

4. Society members may have their names deleted from mailing lists supplied to outside organizations.

5. To provide a coordinated procedure for approving the use of the mailing lists of the Society all requests shall be submitted to the Services Staff.

IV. PROCEDURE

A. A Society member who desires to have his/her name deleted from the mailing lists rented to outside organizations may submit a written request at any time or may check the appropriate block when returning the annual dues statement.

B. Requests from outside agencies for mailing lists for the distribution of externally generated literature shall be made using the signed List Rental Agreement attached to this Policy.
C. The responsibility for requesting from the applicable unit(s) of the Society, approval to rent, sell, or lend mailing lists shall rest with the Services Staff.

D. The rental request and/or purchase order must contain a sample or program outline prior to the rental of the mailing list.

E. No ASME mailing list shall be supplied to an outside organization when a similar event is scheduled within a three month period (either before or after) by a section, district, technical division, or Society unit of ASME as shown on the ASME Calendar of Events available at the time the mailing list is processed.

F. A restrictive statement prohibiting the reproduction of the mailing list shall be included with every mailing list that is distributed.

G. The Services Staff shall be responsible for compliance with this Society Policy.

Responsibility: Knowledge and Community Sector Board of Directors
Reassigned from Council on Member Affairs/Council on Education 6/1/05

Adopted: January 14, 1977

Revised: June 14, 1978
June 10, 1983
June 15, 1984
September 10, 1986
(editorial changes 8/88)
(editorial changes 9/89)
(editorial changes 8/93)
June 9, 1999
March 17, 2001
June 1, 2005
List Rental Agreement

To: Mr. John Panza
ASME
Three Park Avenue
New York, NY 10016-5590

Fax: (212) 591-7143

ASME Job#________

Program/Offer:_____________________________________________________________

Please review the following Terms and Conditions Agreement the buyer must adhere to when renting ASME lists. This document must be reviewed, signed, and returned to ASME’s Services prior to the release of any ASME Mailing List. Lists will be held until the signed document is received by ASME. This list is monitored. Violation of the terms outlined in the List Rental Agreement will result in further action.

Terms & Conditions

We understand this list is provided in confidence and the names are the property of ASME.

We understand that only the information approved by ASME can be included in the mailing piece.

We and our service organizations further agree that all the names and addresses furnished to us:

- are provided to us on a rental basis for a single one-time mailing only. Multiple mail dates must be approved
- will be used only for the program for which the list was supplied.
- will not be copied, reused, sold, or used by anyone other than ourselves.
- will be mailed on the date specified in the written order.

We and our service organizations agree NOT to:

- use for any other mailing other than that approved by ASME
- enhance our house files by using names/addresses or other information from the rented list.
- retain “change of address” information or “address correction” requests on rented lists for any purpose.
- use any method to detect, alter, or eliminate any decoy names.
- add telephone numbers to rented lists.
- use rented lists for telemarketing, personnel, or membership recruitment.

We recognize that ASME’s approval of a specific mailing program does not guarantee approval of future requests.

Today’s Date_____________________________________________________________________
Company’s Name_____________________________________________________________________
Your Signature
Title:
Mail Date:

(If no mail date is listed, mailing is assumed completed 35 days from shipping date. Please advise of all changes in mail dates.)

Attention: Tax Exempt Organizations
We are required to determine if the Internal Revenue Service classifies renters of our mailing lists under Internal Revenue code Section 501c3. If you are so classified, please supply this information:

Federal EIN: _ _ - _ _ _ _ _ _ _
SOCIETY POLICY

ANNUALS AND MANUALS

I. PREFACE

Society By-Law B7.1.2 states in part, “The publications of the Society shall consist of: ... Such other publications as may be authorized by the sectors within the limitations of the budget.”

II. PURPOSE

To provide guidance on the preparation and control of ASME annuals and manuals.

III. POLICY

Publications subject to this policy are:

A. Annuals — Reference publications which are issued at regular intervals. The period is usually annual but in special circumstances may be two or three years.

B. Manuals — Reference publications which typically will contain information on procedures and will be reissued whenever a revision becomes desirable.

IV. PROCEDURE

A. Listing of Annuals and Manuals

Staff maintains a current listing of all annuals and manuals. This listing should be published on the inside front or rear cover of each annual and manual. The information on this list should include, as a minimum, the following:

1. Code Number — The code number should consist of two letters and a number. The first letter should be either an A for an annual or an M for a manual. The second letter should indicate the category of the publication, as follows:

   C for general interest directories;
   L for Operation Guides;
   M for documents with material for all members; and
   S for special interest materials.

   The number following the two letters distinguishes that publication from others in the same category.
2. Name of the Publication

3. Latest Publication Date — Each revision should carry a new date. A copy of each revision or an initial issue should be sent to the Committee on Organization and Rules.

4. Source — The listing should indicate how each publication may be obtained. Some may be available from the ASME Order Fulfillment Department and others from the ASME unit which is responsible for that publication.

B. Control

When existing annuals and manuals are revised, the listing described in IV.A must be updated.

Before starting work on new annuals and manuals, the Committee on Organization and Rules should be advised of the plans for preparation and publication. The notification should include a statement of the need for and purpose of any new annual and manual. The Committee on Organization and Rules should:

1. Determine whether the proposed publication should be designated as an annual or manual, assign an appropriate code number and, when the publication is issued, add it to the list described in III.

2. Determine whether the subject matter of the new annual or manual falls exclusively within the domain of the ASME unit which plans to issue it and, if the subject area is of interest to other units of ASME, the initiating unit should be requested to work in collaboration with other units having an interest in it.

C. Distribution and Inventory

All annuals and manuals should be printed in sufficient quantities so that there will be enough to respond to individual requests for copies after the normal distribution to people who use the publication regularly. Each officer of the Society should receive a copy of each revision or new issue. The ASME unit responsible for a given publication shall maintain a distribution list.

On at least an annual basis, preferably in September or October, ASME NEWS or MECHANICAL ENGINEERING and the ASME internet site shall include the current list of annuals and manuals with instructions about how copies may be obtained.

Responsibility: Committee on Organization and Rules
Adopted:  June 10, 1983

Revised:  (editorial changes 8/84)
       June 14, 1985
       (editorial changes 6/87)
       (editorial changes 8/88)
       (editorial changes 8/93)
       (editorial changes 8/94)
       (editorial changes 6/96)
       (editorial changes 11/97)
       (editorial changes 3/01)
       June 12, 2005
SOCIETY POLICY

STUDENT LOAN FUND

I. PREFACE

A. Article C2.1.1 of the Constitution states in part, "The purposes of this Society are to:...Foster engineering education;......"

B. Article C4.1.11 of the Constitution states, "The deposit, investment, and disbursement of all funds shall be subject to the direction of the Board of Governors."

C. By-Law B5.3.2.2 states in part: "The Center for Education, under the direction of the Centers Sector Board of Directors— is responsible for the activities of the Society that relate to engineering education."

II. PURPOSE

A. To state the policy pertaining to student loans.

B. To provide a procedure relative to student loans.

III. POLICY

A. The ASME Student Loan Program is designed to provide timely financial assistance to ASME Student Members who might experience undue hardship in completing their degree studies due to the unavailability of sufficient financial aid through the normal student financial programs.

B. The ASME Student Loan Program shall be administered under the Centers Sector, which shall be responsible for ensuring that the available funds are used as fully as possible.
C. The following conditions shall govern the issuing and repaying of loans:

1. The applicant shall be an ASME Student Member in good academic standing, and be enrolled full-time in an approved mechanical engineering or mechanical engineering technology degree program.

2. The maximum amount borrowed by an individual at any one time shall not exceed an amount set annually by the Centers Sector.

IV. PROCEDURE

A. The loan application shall be recommended by the applicant's Department Head or Chair who shall verify the student's academic status.

B. Approval and processing of the loan application shall be the responsibility of the Center for Education.

C. Loans shall be repaid within three and one-half years from the date of completion of degree requirements for which the loan is granted, or termination of enrollment in the degree program for which the loan was granted.

D. By permission of the Managing Director, Centers, repayment of a loan may be postponed without interest until after the completion or termination of full-time graduate studies. At that time, the repayment schedule resumes at the point that it was postponed when the graduate program was begun.

E. Loans shall not bear interest until six months after the borrower completes degree requirements or terminates enrollment in the degree program for which the loan was granted. The loan shall then bear interest on the outstanding balance at the per annum rate in effect at the time the loan was granted. The interest shall be set at one percent below the Government Guaranteed Student Loan Rate.

F. Loans not repaid within three and one-half years as specified in IV.C. and D. will be considered delinquent and any unpaid balance will bear interest at the rate set annually by the Centers Sector Board of Directors, in consultation with the Committee on Finance and Investment.

G. A promissory note in a form approved by the Centers Sector Board of Directors shall be signed by the borrower and a co-signer who will assume a legal obligation to ensure the repayment of the loan.

H. The ASME Student Loan Program shall be promoted to ASME Student Members, Heads (or Chairs) of Mechanical Engineering and Mechanical Engineering Technology Departments.

Responsibility: Centers Sector Board of Directors
Reassigned from Council on Education 6/12/05

Adopted: March 16, 1975
Revised:  June 23, 1976
  (editorial changes 6/89)
June 10, 1983
  (editorial changes 12/83)
January 19, 1984
  (editorial changes 3/84)
  (editorial changes 2/85)
June 20, 1986
  (editorial changes 4/88)
June 8, 1983
December 5, 1991
March 17, 1994
June 7, 2000
June 12, 2005
SOCIETY POLICY

ASME SCHOLARSHIP PROGRAMS

I. PREFACE

A. Article C2.1.1 of the Constitution states in part, "The purposes of this Society are to: .....Foster engineering education;....."

B. Scholarship programs are effective in stimulating interest in engineering education and will reflect credit on ASME provided they are conceived and administered in a manner worthy of the Society's standing and prestige.

C. For the purpose of this Society Policy, a scholarship shall be considered to be a grant made to a student to enable or assist the student in pursuing an educational program in mechanical engineering or mechanical engineering technology at the undergraduate or graduate level.

II. PURPOSE

A. To state the policy pertaining to ASME scholarships.

B. To provide the procedure for ASME scholarships.

III. POLICY

A. The ASME encourages the establishment of scholarship programs as a support to engineering education in fulfillment of the Society's stated purpose.

B. Any recognized unit of the Society may establish a scholarship program identified as an ASME program under that particular unit by following the procedures of IV.

IV. PROCEDURE

A. The unit of the Society wishing to establish a scholarship program shall prepare a document describing the organization and management procedures that will control the scholarship program.

B. The unit shall submit a request for approval of a proposed scholarship program to the vice president responsible for its activities.

C. The vice president will secure approval of the proposed program by a vote of the board chaired by the vice president.

D. Upon favorable vote of that board, a copy of the document required under IV.A shall be provided to the Managing Director for the Centers Sector.
E. The generation and disbursement of funds will be in compliance with Society Policy P-2.1 "Custodian and Operating Funds-technical divisions, research committees and sections."

Responsibility: Centers Sector Board of Directors

Reassigned from Council on Education 6/12/05

Adopted: June 1, 1979
Reaffirmed: August 6, 1995
Revised: June 10, 1983
(editorial changes 6/87)
(editorial changes 8/88)
(editorial changes 6/89)
March 16, 2002
June 12, 2005
SOCIETY POLICY

REGISTRATION IN TECHNICAL DIVISIONS, SUBDIVISIONS AND INSTITUTES

I. PREFACE

By-Laws (B5.5 Institute Sector) and B5.6 ((Knowledge and Community Sector) and Society Policies P-8.1 (Formation and Review of Technical Divisions and Subdivisions) and P-16.3 (Guide for Formation of Institutes) describe the purposes, organization and activities of technical divisions, technical subdivisions and institutes. This Policy states the guidelines for member participation in those units.

II. PURPOSE

To state the policy for enrollment in technical divisions, subdivisions and institutes.

III. POLICY

A. Each individual member of ASME may register membership in one or more technical divisions and/or subdivisions and/or institutes of the Society.

B. The maximum number of technical divisions and/or subdivisions and/or institutes in which an ASME member may register has been set by the Board of Governors.

1. Member, Fellow and Honorary Member grades may enroll in five or fewer technical divisions and/or subdivisions and/or institutes.

2. Affiliate grade may enroll in three or fewer technical divisions and/or subdivisions and/or institutes.

3. Student members may enroll in one technical division or subdivision or institute.

Responsibility: Institutes Sector Board of Directors / Knowledge and Community Sector Board of Directors

Reassigned from Council on Member Affairs/Board on Member Interests & Development 6/12/05

Adopted: February 20, 1947

Reaffirmed: March 14, 1997
Revised: June 11, 1963
June 22-25, 1969
June 18, 1975
January 27, 1978
June 7, 2000
June 10, 1983
(editorial changes 9/88)
December 14, 1989
June 12, 2005
SOCIETY POLICY

LIFE MEMBERSHIP FOR CALVIN W. RICE LECTURERS

I. PREFACE

By-Law B3.2.11 reads in part: "Life Membership means membership without payment of dues. Upon becoming exempt from dues, the member continues in the previous grade of membership but the word 'Life' is added."

II. PURPOSE

To establish the conditions for conferring of Life Membership for a special situation.

III. POLICY

A. A grade of Life Membership will be conferred upon members who are selected to deliver the Calvin W. Rice Lecture.

A grade of Life Membership will not be conferred upon a person who is or who is about to become an Honorary Member of ASME.

B. A grade of Life Membership will be conferred upon non-members who deliver the Calvin W. Rice Lecture.

For non-members, the Services staff will recommend an appropriate grade of membership not higher than Member. (Examples: Life Member, Life Affiliate Member.)

Responsibility: Knowledge and Community Sector Board of Directors

Reassigned from Council on Member Affairs/Board on Member Interests and Development 6/1/05

Adopted: October 15, 1956

Reaffirmed: August 5, 1994

Revised: November 21, 1980
June 10, 1983
January 19, 1984
(editorial changes 6/87)
(editorial changes 9/88)
(editorial change 2/94)
SOCIETY POLICY

BASE DUES AMOUNT AND STUDENT MEMBER DUES

I. PREFACE

A. Article C9.1.1 of the Constitution and By-Laws states: "Any changes to the dues must be approved by at least two-thirds of the voting members of the Board of Governors. A dues increase shall be limited to the change in the Consumer Price Index since the previous dues increase. A dues decrease shall not be limited."

Article C9.1.2 states: "Any proposed dues increase beyond the limit contained in C9.1.1 must be submitted to the corporate membership for approval by letter ballot."

B. By-Law B3.2.10 states: "The Board of Governors shall, from time to time, as seems necessary, establish the dues for a Student Member and the corresponding services rendered."

II. PURPOSE

To set the current Base Membership Dues and Student Member Dues.

III. POLICY

A. The current Base Membership Dues is $134.00. The amount to appear on dues statements may be rounded down to a whole dollar amount, but the Base Membership Dues amount will serve as the basis for future Base Membership Dues calculations.

B. The current Student Membership Dues is $25.00.

IV. PROCEDURE

The Board of Governors shall annually review and change, as necessary, the current Base Membership Dues and/or the current Student Membership Dues.

Responsibility: Board of Governors

Adopted: November 10, 2000
Revised: March 16, 2001
July 1, 2002 (revised at 3/02 meeting)
March 3, 2003
June 1, 2005
SOCIETY POLICY

RECOGNITION OF DECEASED MEMBERS

I. PURPOSE

To provide for an appropriate and uniform recognition upon notice of the death of a member.

II. PROCEDURE

A. For all members, as soon as possible after receipt of notification of death, publish in ASME NEWS the names and biographical information.

B. For Past Presidents and for other distinguished members when special recognition seems desirable:

1. Flowers, where appropriate, will be sent for the funeral and an Officer or other Society member will be designated to represent the Society at any ceremonies.

2. Publish a special tribute or obituary in ASME NEWS.

C. The number of members who died during the year shall be reported at the first Business Meeting of each fiscal year.

Responsibility: Knowledge and Community Sector Board of Directors

Reassigned from CMA/Board on Member Interests & Development

Adopted: January 27, 1949

Updated: October 21, 1966

Reaffirmed: November 21, 1980
February 6, 1994
March 18, 2000

Revised: June 13-14, 1973
June 18, 1975
June 10, 1983
December 18, 1987
(editorial changes 6/1/05)
SOCIETY POLICY

INACTIVE MEMBERSHIP STATUS

I. PREFACE

By-Law B3.1.6 states: “All procedures relating to admissions to and promotions in membership, except Honorary Member and Fellow membership grades, shall be administered by the Services staff in accordance with the policy set by the Board of Governors.”

II. PURPOSE

A. To establish the conditions under which a member may be granted inactive membership.

B. To provide the policies and procedures related to inactive membership status for members of all grades, including Student Members qualified for Member grade.

III. DEFINITION

Activities which qualify a member for inactive membership status include enrollment in the following:

1. Armed Service
2. Peace Corps
3. Full-time Graduate Study

IV. POLICY

A. Dues suspension for members of all grades.

1. Enrollment in qualifying activities is required for suspension of dues and the granting of inactive membership status.

2. During the period of inactive membership status, the member will not receive the usual Society publications or other services, except as under IV.A.3.

3. The member may subscribe to any publications or other services at member rates.

4. The member will retain his/her original date of election.
5. Student Members qualified for Member grade will retain their date of promotion.

6. The inactive years will not be included in the ultimate determination of dues-exempt status.

7. Within six months following termination of the qualifying activity the member may request restoration to active membership status.

8. If no request is received within six months following termination of the qualifying activity the member will be dropped.

V. PROCEDURE

A. Dues suspension

1. The member may apply to the Executive Director for suspension of dues for the period the member is involved in a qualifying activity.

2. The Student Member qualified for Member grade and enrolled in a qualifying activity must make the request for promotion when applying to the Executive Director for suspension of dues for the period of enrollment in the qualifying activity.

3. The member will receive a special membership card and will be carried on an inactive membership roster for a period not to exceed three years.

4. At the end of the three-year period if an extension of inactive membership is not requested or restoration to active membership is not requested the member shall be dropped.

B. Restoration to active membership status

1. A member who has been on inactive membership status must apply to the Executive Director for restoration to active membership status within six months of the member's termination of the qualifying activity.

2. A member who has been enrolled in a qualifying activity but did not request inactive membership status and was dropped may apply to the Executive Director to have such action rescinded. This request must be made during the time of the qualifying activity or within six months following termination of the qualifying activity.

3. Upon payment of prorated dues from the date of application until the next September 30 the member will be transferred to the active membership status and receive the usual Society publications and services.

4. A member who has been on inactive membership status and does not apply for restoration to active membership status prior to six months following termination of the qualifying activity must seek reinstatement by the procedure contained in Society Policy P-14.4.
Responsibility: Knowledge and Community Sector Board of Directors

Reassigned from Council on Member Affairs/Board on Member Interests and Development 6/12/05

Adopted: October 26, 1951

Reaffirmed: November 21, 1980
January 26, 1996

Revised: November 6, 1964
June 14, 1965
June 18, 1975
June 10, 1983
(editorial changes 9/88)
(editorial changes 4/89)
(editorial changes 1/96)
(editorial changes 11/01)
(editorial changes 6/02)
June 12, 2005
SOCIETY POLICY

REINSTATEMENT OF DROPPED OR RESIGNED MEMBERS

I. PREFACE

A. By-Law B3.1.6 states, "All procedures relating to admissions to and promotions in membership, except Honorary Membership, shall be administered by the Services staff in accordance with the policy set by the Board of Governors."

B. By-Law B3.2.11 states,

"A member who has paid dues for 35 years and in addition has (a) reached the age of 65 years, or (b) retired from his or her regular work will be considered a life member."

"Life Membership means membership without payment of dues. Upon becoming exempt from dues, the member continues in the previous grade of membership but the word 'Life' is added."

"Any changes in the life membership criteria are subject to approval of the Board of Governors."

"Effective March 18, 2000 and not retroactively, student years of membership will be included in the count of total years of membership as long as the graduated Student Member pays the first year Member dues (continuous membership from Student Member to Member)."

II. PURPOSE

A. To establish the procedure and terms for reinstatement of membership with a new and current date of membership.

B. To establish the procedure and terms for reinstatement of membership including reinstatement of the original date of membership.

III. PROCEDURE

A. Reinstatement at the current date will be automatic unless otherwise requested by the dropped or resigned member.

1. Within three years from the date of termination of membership.

   Reinstatement may be requested in writing to the Services staff without the formality of a new application.

2. Beyond three years from the date of termination of membership.
Reinstatement requires completion of a new application.

3. Initial dues will be prorated (with the exception of members who were dropped during the current program year) from the beginning of the month following the date of notification of approval to September 30 and shall be payable within 90 days after the date of notification.

4. Reinstatement shall be complete upon receipt of dues per statement.

B. Reinstatement at original date will be arranged upon written request of the dropped or resigned member.

1. Within three years from the date of termination of membership.

   Reinstatement may be requested in writing to the Services staff without the formality of a new application.

2. Beyond three years from the date of termination of membership.

   Reinstatement requires completion of a new application.

3. Dues for the current year and all years not paid from original date of membership shall be payable within 90 days after the date of notification of approval.

4. Reinstatement shall be complete upon receipt of dues per statement.

5. Full credit is given toward Life Membership for all years for which dues are paid.

6. Members who are dropped prior to the January drop date of the current program year, who attend Society-wide level meetings or Professional Development courses, pay the non-member rate, and apply for reinstatement within 90 days of the event, shall have their dues paid for the current program year.

Responsibility: Knowledge and Community Sector Board of Directors

Reassigned from Council on Member Affairs/Board on Member Interests and Development 6/12/05

Adopted: June 24-25, 1969

Revised:

June 10, 1983
November 21, 1980
March 11, 1988
(editorial changes 8/88)
(editorial changes 6/87)
(editorial changes 4/89)
September 10, 1993
September 11, 1994
SOCIETY POLICY

DUES AND SERVICE CHARGES

I. PREFACE

A. Article C9.1.1 of the Constitution and By-Laws states: “Any changes to the dues must be approved by at least two-thirds of the voting members of the Board of Governors. A dues increase shall be limited to the change in the Consumer Price Index since the previous dues increase. A dues decrease shall not be limited.” Article C9.1.2 states: “Any proposed dues increase beyond the limit contained in C9.1.1 must be submitted to the corporate membership for approval by letter ballot.”

B. By-Law B3.2.10 states: "The Board of Governors shall, from time to time, as seems necessary, establish the dues for a Student Member and the corresponding services rendered."

C. By-Law B3.2.11 states:

"A member who has paid dues for 35 years and in addition has (a) reached the age of 65 years, or (b) retired from his or her regular work will be considered a life member."

"Life Membership means membership without payment of dues. Upon becoming exempt from dues, the member continues in the previous grade of membership but the word life is added."

“Any changes in the life membership criteria are subject to approval of the Board of Governors.”

"Effective March 18, 2000 and not retroactively, student years of membership will be included in the count of total years of membership as long as the graduated Student Member pays the first year Member dues (continuous membership from Student Member to Member).”

D. By-Law B3.2.12 states: "Any member except Student Member may pre-pay dues for life by paying the Society at one time the present worth of an annuity equal to the member’s dues for the remaining required dues period.

"A prepaid member will become a life member 35 years after the date when his or her continuous membership began and in addition has (a) reached the age of 65 years, or (b) retired from his or her regular work."

II. PURPOSE

A. To list the dues schedule.

B. To provide the policy and procedure for special situations.
III. DUES AND SERVICE CHARGES

A. Policy P-14.15 states the current Base Dues Amount set by the Board of Governors. The percentage of the Base Dues Amount for each grade of membership is as follows:

<table>
<thead>
<tr>
<th>Grade</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Honorary Member</td>
<td>0.0%</td>
</tr>
<tr>
<td>Fellow</td>
<td>100%</td>
</tr>
<tr>
<td>Member</td>
<td>100% (see Note below)</td>
</tr>
<tr>
<td>Affiliate</td>
<td>100%</td>
</tr>
<tr>
<td>Student Member</td>
<td>As stated in Policy P-14.15</td>
</tr>
</tbody>
</table>

In each case, the dollar value will be rounded down to a whole number value.

Policy P-14.8 extends special consideration to members of long standing by reducing the dues of those not gainfully employed but who do not qualify for the Life Member membership grade.

Note:
The Member dues schedule shall be incremental for the first four years:
a. following the award of a baccalaureate degree, or
b. following the award of an advanced degree after continuous study since the award of a baccalaureate degree.

The incremental schedule does not require continuous membership or prior ASME student membership and will allow eligible participants to drop out and rejoin in the schedule at the appropriate place in the sequence. The incremental schedule is as follows:

<table>
<thead>
<tr>
<th>Years following graduation</th>
<th>Percentage of Base Dues Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-1 year</td>
<td>40%</td>
</tr>
<tr>
<td>1-2 years</td>
<td>55%</td>
</tr>
<tr>
<td>2-3 years</td>
<td>70%</td>
</tr>
<tr>
<td>3-4 years</td>
<td>85%</td>
</tr>
</tbody>
</table>

B. Service Charge (effective July 1, 1999):

An annual service charge assessment will be required of members who become dues exempt as of January 1, 1995 (with the exception of pre-paid life members and honorary members). The service charge is 25% of the Base Dues Amount.

IV. POLICY

A. Special situations for Student Members

1. A Student Member recommended by the Student Section Advisor or his or her Student Section may be elected by the Knowledge and Community Sector Board of Directors to Member, the election being subject to graduation.

2. A Student Member shall not remain in grade of Student Member beyond the end of the calendar year of graduation or termination of enrollment as a student.
3. To be eligible for promotion to Member grade, the graduated Student Member must be a paid-up Student Member and a member of an ASME Student Section at the time of graduation. Student Members who are not members of an ASME Student Section will be promoted to Member grade or Affiliate grade after review by the Knowledge and Community Sector Board of Directors. The graduation date must also be provided to complete the process. Student Members not graduating may provide a new graduation date and retain student status.

4. A graduated Student Member accepting promotion by the payment of 40% of the annual dues for a Member is entitled as a Member for the first year to all the rights and privileges for which a Member pays higher dues.

5. Student Members who are classified as freshman by the school in which they are enrolled may elect the dues exempt limited membership option. Such students are eligible for all membership benefits except a subscription to ME magazine and ASME News.

B. Life Member (Dues Exempt)

1. By-Law B3.2.11 states the requirements.

2. Within six months after a member has completed the continuous dues payment requirement, he or she shall be advised of the Life Member provision in By-Law B3.2.11 and requested to notify the Society at such time as he or she has actually retired from regular work.

C. Prepaid dues

By-Law B3.2.12 states the conditions.

D. Special situations for membership for two or more corporate members in a household.

The combined dues may be reduced by the portion of one member's dues attributed to the Mechanical Engineering magazine upon written request of the members and agreement that only one copy of ME will be delivered to the household.

E. Conditions specific to member in countries other than the United States of America

1. All dues of members shall be paid in United States Dollars, except as provided for in IV.E.3.

2. Payment for ASME publications by any person or organization must be paid in United States Dollars, except as provided for in IV.E.3.

3. ASME will maintain and publicize a list of acceptable currencies that may be used, within limits established by the Assistant Treasurer, in lieu of U.S. dollar. In addition, where currency restrictions and other problems make payment in United States Dollars for items IV.E.1 and IV.E.2 impossible or difficult, the Executive Director of the Society is authorized...
to accept payment in other currencies or arrange for the exchange of funds with recognized engineering organizations on a reciprocal basis.

a. Payments should be on a basis of the rate of exchange in effect at the time the obligation for dues or publications become due.

b. Funds in currencies other than United States Dollars accumulated by engineering organizations and in depositories shall be available for use in those countries as authorized by the Executive Director.

c. Bank accounts are to be established if necessary for the depositing of funds paid by members, other engineers, schools, and libraries unable to utilize the reciprocal arrangements with engineering organizations in countries other than the United States of America.

d. These alternatives may be canceled when free exchange of currencies permits.

Responsibility: Knowledge and Community Sector Board of Directors
Reassigned from Council on Member Affairs/Board on Member Interests and Development 6/12/05

Adopted: November 25, 1945
Revised:

June 15, 1977
June 15, 1978
June 13, 1979
June 27, 1980
June 10, 1983
(editorial changes 7/84)
March 7, 1985
(editable changes 7/85)
June 20, 1986
September 11, 1986
(editable changes 6/87)
(editable changes 9/88)
(editable changes 12/88)
March 15, 1989
December 14, 1989
November 29, 1990
(editable changes 12/91)
March 17, 1995

September 17, 1995
June 11, 1997
June 10, 1998
June 9, 1999
(editable changes 3/00)
June 7, 2000
November 10, 2000
June 6, 2001
(editable changes 11/01)
July 1, 2002 (revised at 6/01 meeting)
September 13, 2003
June 12, 2005
SOCIETY POLICY

SOCIETY NAME, LOGO, SEAL, EMBLEM, INITIALS, TITLES, IDENTIFICATION AND CERTIFICATES

I. PREFACE

A. The preamble of the ASME Constitution and By-Laws defines and illustrates the seal and emblem of the Society.

II. PURPOSE

A. To illustrate and designate the use of the name, acronym/logo, initials, seal, and emblem of the Society.

B. To establish the rules and criteria governing the name, acronym/logo, initials, seal, emblem, titles, identification, commemorations and certificates of the Society.

C. To assign the responsibility for notification of misuse of the name, logo, seal, and emblem of the Society and designate the procedure for taking action.

III. POLICY

A. DESIGNATION AND ILLUSTRATION OF THE SOCIETY NAME, ACRONYM/LOGO, INITIALS, SEAL AND EMBLEM.

1. In official usage, the Society name shall be designated as either THE AMERICAN SOCIETY OF MECHANICAL ENGINEERS, or the acronym ASME.

2. The official Society seal is as shown in the accompanying illustration. This seal constitutes part of the incorporation of the Society under the laws of the State of New York and is utilized as a seal to be fixed to official documents. The design indicates the lever of Archimedes, capable of lifting the world if supported at an appropriate fulcrum point.

3. The official Society logo is shown in the accompanying illustration. The logo symbolizes both the Society’s history and its future and incorporates the ASME acronym and a globe. The logo colors are blue and black. It is used to indicate Society relationships or activities. Application has been made with the U.S. Patent and Trademark office to make this a registered trademark. The detailed instructions for use of the logo and name are shown in Graphics Guidelines Manual.
4. The official Society emblem is as shown in the accompanying illustration. The emblem incorporates the Society initials within a four-leaf clover design. It is a proprietary symbol to imply conformity with Society standards and practices.

The Society has registered its cloverleaf as a trademark. The registration mark must always appear with the cloverleaf on all printed material created, developed and owned by the Society. The designation is to be placed at the lower right of the cloverleaf between the M and S, as shown. The detailed instructions for use of the emblem and name are shown in the Graphics Guidelines manual.

5. The official Society initials and their format usage shall be: ASME. The initials ASME have been registered as a trademark. When the Initials are used as a primary display on a product created, developed or produced and distributed by the Society, the trademark registration must appear at the lower right of the E, as shown:

B. USE OF THE ASME NAME, ACRONYM, LOGO, SEAL, EMBLEM AND INITIALS

1. The ASME name and its distinctive emblem have become internationally recognized through their use on Society publications, on its letterheads, codes and standards, membership certificates, certificates of award, honors, awards and its membership pins and badges. Without official authorization from the Board of Governors, no unit or Member of the Society may institute or use a logo different in format or display from the official logo. The Board of Governors has designated that the ASME logo will be used on all ASME materials. The only exceptions are ASME Codes and Standards and membership pins and badges, which still use the cloverleaf (emblem).

2. The formal use of the Society name and logo is to be reasonably uniform and is restricted for identification of Society or Member involvement in officially authorized activities. For joint activities, any printed or other visual materials developed in relation to that activity shall, unless particularly inappropriate, include use of the Society name and logo and emblem in a manner consistent with the significance of the Society and its role in the sponsorship of that activity. The Society name and logo shall constitute a primary display component of any printed or other visual materials, with any additional identification of a Society unit or group in a subsidiary display mode.

3. The Executive Director under the direction of the Board of Governors has responsibility for instituting standards and measures related to the manner and form of display of the Society name, logo, seal and emblem and for control and monitoring of such usage.

4. Members of ASME committees, boards, or other units must use care and good judgment in the use of ASME letterheads and envelopes. A letter written on ASME stationery must clearly distinguish personal comments and opinions of the writer from official positions of ASME based on the ASME Articles of the
Constitution, By-Laws, Society Policies, rules, procedures, or voted actions of units of ASME.

This exercise of care is necessary so that it is clear to the reader that the writer is not representing ASME in all comments on an ASME letterhead or material enclosed within an ASME envelope.

C. CRITERIA FOR INDIVIDUAL-USE ITEMS UTILIZING THE ASME NAME AND EMBLEM

Members may display the Society name, logo, seal, and emblem on certificates, plaques, pins, badges, and in applicable titles in their individual capacities according to the following criteria:

1. Each Member of the Society shall be entitled to obtain and display a certificate of membership, signed by the President and the Executive Director of the Society. A membership plaque or ornament purchased through the Society also may be displayed. Certificates of Membership shall display the ASME logo.

2. All Members of the Society in good standing shall have the right to use their applicable title -- either spelled out or abbreviated as follows:

<table>
<thead>
<tr>
<th>Title</th>
<th>Abbreviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Honorary Member</td>
<td>Hon. Mem. ASME</td>
</tr>
<tr>
<td>Fellow</td>
<td>Fellow ASME</td>
</tr>
<tr>
<td>Member</td>
<td>Mem. ASME</td>
</tr>
<tr>
<td>Affiliate</td>
<td>Affiliate ASME</td>
</tr>
<tr>
<td>Student Member</td>
<td>Student Mem. ASME</td>
</tr>
</tbody>
</table>

Those who additionally have Life membership status may so indicate by the term "Life" preceding the appropriate membership designation.

3. Each Member shall be entitled to wear the Society logo membership pin which distinguishes the various grades of membership or office according to the approved color scheme, or similarly approved jewelry.

The approved pin color scheme is as follows:

<table>
<thead>
<tr>
<th>Title</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>(*)President</td>
<td>Gold background with diamond inset in center</td>
</tr>
<tr>
<td>(*)Governor</td>
<td>Gold or blue background with emerald inset in center</td>
</tr>
<tr>
<td>(*)Vice President</td>
<td>Gold or blue background with ruby inset in center</td>
</tr>
<tr>
<td>(*)Senior Vice President</td>
<td>Gold or blue background with ruby inset in center</td>
</tr>
<tr>
<td>(*)Honorary Member</td>
<td>Gold background with pearl inset in center</td>
</tr>
</tbody>
</table>
**4.** Each Society Member, Auxiliary Member, and staff member holding an official position in the Society shall be entitled to wear a name badge which incorporates the Society emblem or logo and, as desired and appropriate, may additionally indicate Professional Registration and the Society unit with which the individual is associated. Badges may only be worn in connection with business of the Society.

Such badges may be purchased through the Society or agencies approved by the Society. Badge design and format shall be uniform and approved by the Executive Director.

Badge color codings and designs require prior approval by the Executive Director. Presently approved are:

- **Society Officers and Past Presidents:** White badges with blue lettering
- **Other Past Officers of the Society:** Light blue badges with white lettering
- **Fellows:** Gold-colored badges with blue lettering
- **Honorary Members:** Platinum colored badges with black lettering
- **Committee Personnel:** Blue badges with white lettering
- **ECLIPSE Interns:** Green badges with white lettering
- **Members of Staff:** Red badges with white lettering

**D. RULES GOVERNING DISPLAY AND USE OF ORNAMENTATIONS USING THE SOCIETY NAME, ACRONYM, LOGO, EMBLEM OR INITIALS**

1. Other than its use on name badges, it is the policy of the Society that the use of the Society logo be reserved for the identification of the Society or one of its units or of its activities. Society members, staff members or others associated with the Society are not authorized to use the logo or emblem on their personal stationery or letterheads, business cards or other identification.

2. Units of the Society must use the Society name and logo on their publications and letterheads. All such letterheads and publications should additionally indicate the name of the section, technical division, committee or other unit of the Society.
3. A special series of ASME logos has been developed for use with the symbol stamps in the field of Codes and Standards. Their use is controlled by the Council on Codes and Standards Board of Directors and Certification under authorization of the Board of Governors.

4. Members holding elected office in the Society or holding non-elective office or membership in the various sections, technical divisions, boards, Codes and Standards and technical or research committee or other Society units may use the appropriate title of office or membership only in connection with Society activities.

Such designation of office or membership may not be used for personal endorsement or identification of personal engagement in non-ASME-related activities.

5. No other official use of the Society name, acronym, logo, seal, emblem or initials is permitted without specific prior approval of the Board of Governors.

E. MISUSE OF ASME NAME, ACRONYM, LOGO, SEAL, EMBLEM OR INITIALS

1. Should any misuse or abuse of the Society name, acronym, logo, seal, emblem or initials be noted by a Member of the Society, Society Headquarters should be notified with substantiating evidence. Individual action should not be undertaken by any Member of the Society.

2. Action against misuse or abuse of the Society name, acronym, logo, seal, emblem or initials shall be taken by the Executive Director following instructions from the Board of Governors.

Responsibility: Committee on Organization and Rules

Adopted: October 15, 1956

Revised: September 9, 1966
January 5, 1968
March 5, 1971
June 18, 1975
December 9, 1976
June 17, 1982
(EDITORIAL CHANGES 2/83)
(EDITORIAL CHANGES 12/83)
June 16, 1988
(EDITORIAL CHANGES 11/88)
(EDITORIAL CHANGES 6/89)

September 17, 1992
(EDITORIAL CHANGES 2/93)
(EDITORIAL CHANGES 8/93)
September 10, 1993
(EDITORIAL CHANGES 3/97)
(EDITORIAL CHANGES 3/01)
(EDITORIAL CHANGES 11/01)
November 22, 2002
June 12, 2005
(EDITORIAL CHANGES 3/19/09)
SOCIETY POLICY

RECOGNITION OF YEARS OF MEMBERSHIP

I. PREFACE

ASME International appreciates the need to recognize members of long standing. This Society policy addresses the recognition of members of long standing.

II. PURPOSE

To provide a policy for recognition of long continuous membership in the Society.

III. POLICY

A. Twenty-five Years

1. When a Fellow, Member or Affiliate has paid dues continuously for 25 years, a 25-year rocker, similar to the past chair's rocker, and an inscribed certificate will be purchased for the individual.

2. The Section of which the recipient is a member will be offered the opportunity to present this rocker and certificate. In instances where the Section chooses not to participate in this recognition activity or when the member is not a member of a Section, the rocker and inscribed certificate will be sent directly to the recipient with an appropriate transmittal letter.

B. Thirty-five Years

When a Fellow, Member or Affiliate attains Life Membership (dues exempt) status in accordance with By-Law B3.2.11 a certificate properly inscribed as "Life Fellow," "Life Member" or "Life Affiliate" shall be sent with a covering letter signed by the President of ASME.

C. Fifty Years

1. Upon completion of 50 years of continuous membership, a Fellow, Member or Affiliate shall be presented with a 50-year pin.

2. The presentation of the 50-year pin shall be made at an appropriate occasion by the recipient's Section. If the member is not a member of a Section the pin will be sent directly to the recipient with an appropriate transmittal letter.
D. Seventy-five Years

1. Upon completion of 75 years of continuous membership, a Fellow, Member or Affiliate shall be presented with an inscribed certificate and a letter from the President of ASME.

2. The presentation of the inscribed certificate shall be made at an appropriate occasion by the recipient's Section. If the member is not a member of a Section the certificate will be sent directly to the recipient with an appropriate transmittal letter.

IV. IMPLEMENTATION

Effective with the approval of the revision, March 18, 2000, and not retroactively, student years of membership will be included in the count of total years of membership as long as the graduated Student Member pays the first year Member dues (continuous membership from Student Member to Member).

Responsibility: Knowledge and Community Sector Board of Directors
Reassigned from Council on Member Affairs 6/1/05

Adopted: February 1, 1963

Reaffirmed: June 1, 2005

Revised: June 25, 1969
March 5, 1971
June 18, 1975
June 17, 1982
June 10, 1983
June 20, 1986
(editorial changes 9/88)
March 11, 1993
(editorial changes 8/93)
March 18, 2000
(editorial changes 11/01)
SOCIETY POLICY

SPECIAL CONSIDERATION FOR MEMBERS OF LONG STANDING

I. PREFACE

A. By-Law B3.2.2 states: "The dues of any member or the entrance fee of a prospective member may be remitted for any special reason by the Services staff, with the exception being when a new dues structure is created. In this case, it must be approved by the Board of Governors liaison to the Services area."

B. By-Law B3.2.2.1 states: "A member may appeal the Services staff’s decision on the remittance of “dues under special reason” to the Board of Directors of the Knowledge and Communities Sector Board."

II. PURPOSE

To provide uniform procedures for extending special consideration to members of long standing.

III. POLICY

A. Members of long standing are those who have 25 or more years of paid membership.

Special consideration may be extended to members of long standing who are not yet qualified to become dues-exempt life members per By-Law B3.2.11, who are not gainfully employed, and who have been judged worthy of special consideration because of inability to pay dues because of retirement or ill health.

B. Members of long standing who are granted special consideration in accordance with item III.A. above shall retain their current grade of membership under one of the following options:

1. Reduced dues of one-half the full rate, with full membership benefits.

2. No payment of dues with full membership benefits, except ME Magazine and ASME News. There shall be no accumulation of years of membership.

C. Members in the above two categories shall reaffirm their status annually.

D. The information for the above options shall be included on all dues statements.

E. Each case shall be considered on its individual merits.
F. Implementation is vested with the Knowledge and Community Sector Board of Directors.

G. Cases not defined in III.A. or III.B. shall be forwarded to the Knowledge and Community Sector Board of Directors for action as authorized by By-Law B3.2.2.

Responsibility: Knowledge and Community Sector Board of Directors

Reassigned from Council on Member Affairs/Board on Member Interests & Development 6/12/05

Adopted: June 12, 1968

Reaffirmed: November 21, 1980
March 12, 1999

Revised: June 13, 1973
November 15, 1973
June 18, 1975
June 10, 1983
(editorial changes 9/88)
November 12, 1992
March 18, 2000
June 12, 2005
SOCIETY POLICY

SPECIAL CONSIDERATION FOR UNEMPLOYED MEMBERS

I. PREFACE

A. By-Law B3.2.2 states: “The dues of any member or the entrance fee of a prospective member may be remitted for any special reason by the Services staff, with the exception being when a new dues structure is created. In this case, it must be approved by the Board of Governors liaison to the Services area.”

B. By-Law B3.2.2.1 states: “A member may appeal the Services staff’s decision on the remittance of “dues under special reason” to the Board of Directors of the Knowledge and Communities Sector Board.”

II. PURPOSE

To provide uniform procedures for extending special consideration to Members unemployed in engineering.

III. POLICY

A. The Executive Director, or the Staff member designated by the Executive Director, may extend special consideration to Members who are unemployed in engineering.

These considerations may take the following forms:

1. Defer the withholding of publications for the succeeding six-month period for Members whose dues are unpaid by January 2 in those cases where they advise the Executive Director in writing that they are actively seeking engineering employment and are currently unemployed as an engineer.

2. Retain those Members who have not paid their current year’s dues in those cases where they have notified the Executive Director in writing prior to June of a given fiscal year that they are not and have not for at least six months been employed in engineering and are currently seeking employment in engineering.

3. Forgive one year’s dues for those Members who have notified the Executive Director in writing and are still not employed in engineering as of September 30 of a given fiscal year and are seeking employment in engineering, or who were not employed in engineering for a period of six months or more between July 1 and June 30 of the same fiscal year.
B. Consideration of extending a year of membership privileges without payment of dues may also be given to graduated Student Members who qualify for promotion to Member grade and who advise the Executive Director that they are unemployed as an engineer and are actively seeking engineering employment. This consideration may be extended when the notice to the Executive Director is accompanied by the application for promotion.

Responsibility: Knowledge and Community Sector Board of Directors

Reassigned from Council on Member Affairs/Board on Member Interests & Development 6/12/05

Adopted: June 13, 1973

Revised: June 18, 1975
September 24, 1980
June 10, 1983
(editorial changes 9/88)
(editorial changes 4/89)
September 10, 1993
(editorial changes 11/01)
6/12/05

Reaffirmed: March 12, 1999
I. PREFACE

A. Article C2.1.1 of the Constitution states in part, "The purposes of this Society are to:...Promote the exchange of information among engineers and others:...."

B. By-Law B2.1. states in part, "To promote the art, science and practice of mechanical and multidisciplinary engineering and allied sciences to diverse communities the Society shall: ..... Encourage a high standard of citizenship among engineers and their participation in public affairs... Publicize the engineering profession through the achievements of engineers."

II. PURPOSE

A. To define the objectives of the ASME program for public awareness.

B. To establish minimum procedures for implementing the program/policy.

III. POLICY

A. ASME's Public Awareness program has the following objectives:

1. To foster communication from ASME to engineers, to the other professions, and to the general public for better understanding of the role of engineering and the contributions of engineering to society.

2. To increase public awareness and appreciation of the contributions of engineers and the public service provided by ASME.

3. To educate members of the public in technical and engineering subjects so that they may form enlightened and intelligent opinions on matters of public concern, such as pending legislation.

4. To provide access to accurate information on specific technical and engineering subjects to public interest groups or agencies acting in the public interest.

5. To enhance the status of the engineer by showing the engineer as a professional, with sound ethics, integrity, and a sense of social responsibility.

6. To create and disseminate materials about mechanical engineering as a career.

7. To inform ASME members about services available within the Society.
B. All public awareness activities are carried out in conjunction with the appropriate ASME unit as the source for technical and other required information.

IV. PROCEDURE

A. These objectives are to be reached through methods which include but are not limited to:

1. Print and electronic media;
2. Educational films, videotapes, slide shows and public service messages;
3. Printed material (news releases, brochures, pamphlets, newsletters, posters, etc.), recordings, and other communications; and
4. Personal appearances.

B. To reach these objectives, these activities may be carried out by any unit of the Society.

C. Because each ASME member is a representative of the Society, all members to some degree are participants in the public awareness process.

D. Any unit of the Society that chooses to hire a public relations agency must

1. present a proposed contract to the Communications Department for review,
2. obtain approval of the proposed contract from the Executive Director or his/her designee, and
3. have the actual contract signed by the Assistant Treasurer or the Executive Director.

All related activities must be coordinated through the ASME Communications Department to assure that a consistent corporate identity and message is carried forward.

E. MS-73, Graphic Guidelines/The American Society of Mechanical Engineers shall be utilized where appropriate, not only in Public Awareness activities, but in all ASME materials.

Responsibility: Centers Sectors Board of Directors/Center on Public Awareness

Reassigned from Council on Public Affairs/Board on Public Information 6/12/05

Adopted: December 9, 1976
Reaffirmed: January 26, 1996
Revised: June 10, 1983
June 22, 1989
(editorial changes, 3/03)
June 12, 2005
I. PREFACE

A. By-Law B5.3.2.3 states in part, “The Center for Leadership and Diversity, under the direction of the Centers Sector Board of Directors, shall promote diversity and inclusion throughout the Society and is responsible for the Society’s activities that relate to leadership development.” The Center’s mission is to promote “… leadership, diversity and inclusion throughout ASME by advising governance and leadership on results, skills, strategies and tactics and by providing programs and leadership training. The Center focuses on attracting, developing and retaining new and existing members who will play key roles in enabling Society growth and organizational effectiveness, building stronger customer and market focus, and promoting public recognition of the Society and its members.”

B. Society Policy P-4.1, Agreements of Cooperation and Affiliation between ASME and Other Organizations Based Outside the United States, states, “the agreement must ensure that all ASME members are treated alike, independent of sex, race, national origin, citizenship, religious or political belief,” and “The agreement shall endorse the principle of unrestricted participation of citizens of all nations at international conferences. ASME may decline to participate in an international meeting if it considers any restrictions on the attendance of participants as too inhibiting.”

C. Society Policy P-4.3, Qualifications of ASME Elected Officers and Requirements of Office, states that selection of ASME officers is based on the candidates’ qualifications and abilities.

D. Society Policy P-4.4, Appointment of ASME Volunteer Personnel to Non-Elected Positions, states that recruitment, selection, nomination, and appointment decisions are based on the candidates’ qualifications and abilities.

E. Society Policy P-4.14, Society-wide Affiliations between ASME and Other Societies and Organizations, states “The affiliation document shall include the following provisions: All ASME members shall be treated alike, independent of gender, ethnicity, national origin, citizenship, religious or political belief…”

F. Society Policy P-4.16, Selection, Nomination and Appointment of Senior Vice Presidents, states that the selection of ASME Senior Vice Presidents is based on the candidates’ qualifications and abilities.

G. Society Policy P-12.1, Business Practices of Conferences and Events, states, “conducting, permitting, or participating in an exposition, or other similar activity, the Society shall require high ethical standards by those with whom it is
associated, and shall not permit practices to be conducted that are inimical or contrary to the aims and objectives of the Society.”

H. Society Policy P-15.9, Policy Against Discrimination (Including Discriminatory Harassment) – Members, states that discrimination based on race, color, religion, sex, national origin, age, citizenship status, disability, covered veteran or military status or any other characteristic protected by state or local equal opportunity laws shall not be tolerated.

I. ASME is committed to a diverse and inclusive membership.

J. The continued success and growth of ASME depends on a talented, well-motivated volunteer leadership drawn from diverse backgrounds.

II. PURPOSE

A. This policy is intended to establish a framework that reflects the Society’s commitment to a diverse and inclusive membership as defined below.

B. This policy is intended to direct ASME units to raise awareness and gain an understanding of diversity and inclusion as outlined in Section III.

C. This policy is intended to direct ASME units to ensure that their decision making addresses diversity and inclusion as outlined in Section III.

III. POLICY

ASME is committed to making its leaders, members, stakeholders, suppliers and service providers aware of ASME Core Values on diversity and inclusion. This will be accomplished through training, written and verbal communications and explicit statements, as appropriate.

IV. PROCEDURE

ASME shall dedicate time and resources to ensure the active participation as well as leadership opportunities of talented individuals from all segments of society. ASME-sponsored events and practices shall enable inclusion, diversity of thought, innovation, and sustainable achievement. ASME units shall design product offerings and services with an understanding of the preferences and needs of its diverse members and customers. ASME suppliers and service providers shall be aware of and demonstrate respect for the ASME Core Values.

ASME shall encourage its Sectors and units to discuss policies that reflect and embrace diversity and inclusion.
V.  CORE VALUES

In performing its mission, ASME adheres to these Core Values. The ASME Core Values are intended to guide leadership and membership towards conscious behavior, and are important to upholding and maintaining the integrity of the profession as described in this Policy.

ASME Core Values:
- Embrace integrity and ethical conduct
- Embrace diversity and respect the dignity and culture of all people
- Nurture and treasure the environment and our natural and man-made resources
- Facilitate the development, dissemination and application of engineering knowledge
- Promote the benefits of continuing education and of engineering education
- Respect and document engineering history while continually embracing change
- Promote the technical and societal contribution of engineers

VI.  ASME SUPPORTS THE FOLLOWING DEFINITIONS

A. Diversity is “the ways in which we differ as individuals or organizations, and the
communalities and similarities that justify and motivate all people and entities to
work collaboratively together in order to achieve mutually beneficial outcomes.”
It includes differences such as age, gender, ethnicity, physical appearance,
thought styles, religion, nationality, socio-economic status, belief systems, sexual
orientation and education. Diversity that is recognized, valued and most
importantly, strategically managed within and without an organization can drive
successful outcomes and business results.

B. Inclusion is creation of opportunities and the elimination of barriers that allow all
people to participate in and contribute to ideation, planning, projects, programs,
processes, teams, organizations, social activities, fun or any other meaningful
opportunity, that helps achieve successful outcomes.

C. Strategic Diversity is the effective deployment of strategies that leverage the
strengths of all people and/or of an organization in order to operate successfully
within a diverse marketplace or within a uniquely different society, institution,
partnership or similar entity.

D. Managing Diversity is the ability to effectively inspire and enable all people to

1) align to a common vision
2) communicate effectively and assure understanding
3) know and accept what is of value to others
4) leverage the strengths of others and trust their commitment to deliver as
   agreed, and
5) appropriately recognize and celebrate successes often.

Responsibility: Centers Sector Board of Directors/Center on Leadership and
Diversity
Reassigned from Council on Public Affairs/Board on Diversity and Outreach 6/12/05
SOCIETY POLICY
ENGINEERS’ LICENSING

I. PREAMBLE

ASME recognizes engineering in the varied disciplines as a learned profession that affects each individual and the public at large to a continuously increasing extent. This Society Policy is intended to recognize both the rapid changes taking place in the utilization of engineers and changes in the organization of engineering service groups. ASME regards the work and service performed by engineers to include responsibility for contributing to the betterment of the human experience, including the health, safety, welfare, and property of the public, and in so doing, engineers accept their share of responsibility on any project or design with which they are involved.

II. POLICY

ASME endorses licensing as being in the best interest of the public and the profession. ASME encourages licensed engineers to identify themselves with the appropriate title in all communications and acknowledges that such identification is in the public and professional interest. The awareness by the public and by the engineering community engendered by licensing will enhance engineering as a single and noble profession.

III. RECOMMENDATION

ASME recommends:

A. That any person in responsible charge of the practice of engineering be a legally licensed engineer.

B. That legally licensed engineers be addressed or referred to in all written communications or publications as such by use of the appropriate title.

C. That ASME members that practice engineering become licensed as soon as qualified so as to join members of other societies in enhancing engineering as one, single profession.

D. That all qualified engineers who are educators become licensed and that they include in the engineering education curricula material concerning professional licensing.

E. That each section of ASME present one program annually at a section meeting on the subject of engineering licensing and cooperate with authorized licensing bodies and other Professional Societies in offering courses for examination preparation.

IV. IMPLEMENTATION

A. ASME encourages all practicing members of other professional and technical societies to become licensed as soon as qualified.
B. ASME encourages all engineers to continue to update their own competence to keep pace with the growing demands for professional and responsible leadership.

The Board of Governors of ASME, having endorsed the concept of engineering licensing by all those who practice the art and science of mechanical engineering, further supports the concept that a regular program of technical and professional renewal, generally termed Continuing Professional Competency, be required for the continuation of licensure.

While the specific requirements for Continuing Professional Competency remain the province of legally authorized licensing bodies, ASME is supportive of the Model Rule written by the National Council of Examiners for Engineering and Surveying for implementing this position.

C. ASME encourages all engineers to accept the responsibility for their work and their portion of any design or product as a distinct mark of their professionalism.

D. ASME offers its facilities, liaison, encouragement and financial support to the efforts to obtain the maximum possible uniformity in licensing procedures and requirements, including assistance in preparation of professional examinations.

E. ASME charges its Center for Career and Professional Advancement to prepare or select annually an information article on licensing to be published in the MECHANICAL ENGINEERING Magazine, ASME NEWS, or on asme.org.

F. ASME directs the attention of all its members and other engineers to the need for thoughtful concern with licensing problems in the future.

G. Society Policy P-14.12 indicates specific licenses that are recognized as equal to the eight years of active practice requirement for any grade of Society Membership and to the five years of responsible charge requirement for Member grade.

Responsibility: Centers Sector Board of Directors/Center for Career and Professional Advancement
Reassigned from Council on Member Affairs/Board on Professional Practice & Ethics 6/12/05

Adopted: April 6, 1936
Revised: February 9, 1970
December 4, 1975
June 25, 1980
March 21, 1984
(editorial changes 8/88)
December 5, 1991
March 13, 1998
March 18, 2000
June 12, 2005
(editorial changes 4/09)
SOCIETY POLICY

ETHICAL CONDUCT VIOLATION PROCEDURES

I. PREFACE

A. Article C2.1.1 of the Constitution states in part, “The purposes of this Society are to: ... Promote a high level of ethical practice. In all professional and business relations the members of the Society shall be governed by the Code of Ethics as stated in the Society Policies.”

B. By-Law B2.1 states in part: “To promote the art, science and practice of mechanical and multidisciplinary engineering and allied sciences to diverse communities throughout the world the Society shall:...”

ETHICAL PRACTICE
Maintain a Code of Ethics of Engineers consistent with the standards of the profession.

Promote and encourage practice in the profession within this code.

Arrange for adjudication within the structure of the Society for violations of the code brought to its attention.”

C. ASME requires ethical conduct by its members and adherence to the provisions of the Constitution, By-Laws, Society Policies, and the Code of Ethics. There may be occasions when a complaint of unethical conduct is filed against a member of the Society, and the following procedure is designed to insure a prompt, thorough investigation and disposition of the matter. It is in the best interests of the member against whom a complaint has been filed, the Society, and the profession that such matters be handled in an impartial and confidential manner. Members and staff involved in the investigation, hearing and disposition of such cases shall not disclose particulars of any case except as required by their assigned duties.

D. Occasionally, complaints are brought to the attention of the Society rising out of a dispute between an employer or employee or between the parties to a contract. Ordinarily, such disputes are properly resolved through legal and commercial channels and not through an ethical complaint and inquiry.

E. The Committee on Ethical Standards and Review and the Executive Director of the Society have the responsibility for implementing the procedure defined in this Society Policy.

F. At any phase of a complaint the Executive Director may, at his or her discretion, request the advice of Legal Counsel.
G. An individual’s ethical conduct shall be evaluated on the basis of the Code of Ethics and Conflicts of Interest Policy as in effect on the date when a given action or omission took place. The review of such conduct, however, shall be conducted in accordance with the Ethical Conduct Violation Procedures in effect on the first date when a complaint is submitted. If the Ethical Conduct Violation Procedures are amended prior to the completion of the review process, such amendments shall not affect the review of pending matters except insofar as the Board of Governors, in amending the Ethical Conduct Violation Procedures, specifically approves retroactive effect for any portion or all of the amended Procedures.

II. PURPOSE

A. To state the Society’s policies related to alleged violation of the Code of Ethics and alleged violation of the Conflicts of Interest Policy.

B. To provide a fair and responsible procedure for handling complaints and charges of violation of the Code of Ethics or the Conflicts of Interest Policy.

III. POLICY

If a member against whom a complaint has been filed resigns prior to the final disposition of the case, or is administratively dropped from the Society’s membership rolls (for reasons such as not paying dues in a timely manner, not signing a conflict of interest statement, etc.), the Society will accept the resignation or may initiate the termination of membership with the stipulation that the person may not reapply for membership. At its discretion the Society may continue the investigation and disposition of the case in accordance with this Society Policy. Member records of persons removed for unethical conduct violations, or administratively dropped while subject to the ethics violation process will be kept by the Society.

IV. PROCEDURE

A summary of the procedure under this Society Policy is contained in the annexed flowchart for informational purposes only. Accordingly, in the event of any divergence between the flowchart and this Society Policy, the terms of this Society Policy shall govern.

A. Complaint Phase

1. Any person contemplating a complaint under this Society Policy may (but is not required to) participate in the following consultative procedure prior to the submission of his or her complaint:

   a. The person shall notify the Society’s Managing Director, Centers, orally or in writing, that he or she is considering the filing of an ethics complaint and wishes to participate in the Society’s pre-complaint consultative procedure. This notification shall include the name(s) of the person(s) contemplating the complaint and the person(s) who would be subject to the complaint.
b. The Managing Director, Centers, shall promptly notify the members of the Committee on Ethical Standards and Review, whereupon those members of the Committee who have no conflict of interest with respect to the possible complaints shall promptly draw lots to determine which of their number will provide pre-complaint consultation.

c. Within thirty (30) days of the initial notification to the Managing Director, Centers, the Committee member selected by lot to provide pre-complaint consultation (the “consulting member”) shall notify the person contemplating a complaint and provide consultation to him or her with respect to:

i. The identification and clarification of the ethical issues, if any, presented by the proposed complaint.

ii. The completion of the Society’s complaint form in a manner that fulfills as nearly as possible the requirements of this Society Policy for complaints.

iii. The applicable procedures under this Society Policy, with the objective of assisting the person contemplating a complaint to understand the phases and nature of an ethical complaint under this Society Policy.

d. The consulting member shall at all times maintain neutrality and shall explain to the person contemplating a complaint that the role of the consulting member is limited to assisting the Society’s membership to ensure that there is fair access to a forum for the impartial consideration of good-faith ethical complaints.

e. Once a complaint is filed, the consultation period shall be concluded, and the consulting member shall thereupon recuse himself or herself from further review of or participation in the matter. Without limiting the generality of the foregoing, there may be no post-complaint consultation by the consulting member. Additionally, the consulting member may terminate the consultation period at any time at his or her discretion, without regard to whether a complaint is filed, if he or she concludes that further consultation would not serve a useful purpose.

2. To initiate action, a signed and dated written complaint shall be filed with the Executive Director of the Society. The written complaint must be prepared using the form of complaint supplied by the Society for this purpose and state with particularity (a) the name or names of those members of the Society who are the subject of the complaint (referred to hereinafter collective as the “member subject to the complaint”), (b) those specific provisions of the Society’s Code of Ethics or the Conflicts of Interest Policy which the member subject to
the complaint is alleged to have violated, and (c) the alleged facts which are alleged to establish each such alleged violation (including without limitation those specific provisions of the Constitution, By-Laws or Policies of the Society, if any, by which the subject(s) of the complaint have allegedly failed to abide). The complaint may be filed by any interested person or group within or outside the Society. The complaint shall conclude with the following statement by the complainant:

“All facts alleged in this complaint are, to the best of my knowledge, true, correct and complete, and I have neither knowingly misrepresented nor knowingly omitted any information which would be material to the evaluation of the merits of this complaint. I understand that if the foregoing statements are untrue and I am a member of the American Society of Mechanical Engineers, I may have violated the Society’s Code of Ethics. I understand that the entire contents of my complaint including my identity may be disclosed to the individual or individuals referenced in my complaint during the course of any Hearing Board review of my complaint, and I consent to such disclosures."

3. No complaint shall be maintained or upheld pursuant to this Society Policy unless such complaint is submitted to the Society pursuant to this Society Policy within five (5) years after:

a. the date of the incident (or last of a series of related incidents) constituting the alleged violation; or, if later,

b. the earliest date on which the complainant had knowledge, or on which a member of the Society reasonably should have had knowledge, that any such incident (or series of related incidents) might constitute a violation reportable under this Society Policy.

4. The Executive Director, upon receipt of a complaint of alleged unethical conduct, shall within thirty (30) days:

a. acknowledge receipt of the complaint to the complainant by Certified Mail,

b. ascertain whether the person against whom the complaint has been made is currently a member of the Society,

c. determine whether the complaint fulfills the requirements of IV.A.2, and

d. if the requirements of either IV.A.4.b or IV.A.4.c or both of them are not met, notify the complainant by certified mail (return receipt requested) that the complaint has been rejected
because it fails to fulfill either IV.A.4.b or IV.A.4.c or both of them, as the case may be.

The rejection of a complaint pursuant to this IV.A.4 may not be appealed. Such complaint may be revised and resubmitted, and the date of any such resubmission shall be the submission date for purposes of IV.A.3.

5. If the complaint is not rejected pursuant to IV.A.4, the Executive Director shall within sixty (60) days of receipt of the complaint:

a. send the Chair of the Committee on Ethical Standards and Review a copy of the complaint received, and

b. decide, with concurrence of the Chair of the Committee on Ethical Standards and Review, whether the complaint is barred from further consideration

(i) by reason of IV.A.3,

(ii) because it involves a dispute between an employer or employee or between the parties to a contract which dispute is properly resolved through legal or commercial channels,

(iii) because it raises issues that are trivial, frivolous or harassing in nature, or

(iv) because the facts alleged in the complaint, even if true, would not constitute violations of the Code of Ethics or the Conflicts of Interest Policy.

6. If the complaint is barred as provided in IV.A.5.b, the Executive Director shall notify the complainant by Certified Mail that the complaint is barred for such of the reasons set forth in IV.A.5.b as shall apply. The rejection of a complaint pursuant to this IV.A.6 may not be appealed except in connection with the complainant’s appeal, if any, pursuant to IV.A.8 of a rejection of the written explanation hereinafter provided for. However, the complainant may, within sixty (60) days of receipt of the Executive Director’s notification and as the complainant’s sole and exclusive remedy, submit to the Executive Director a written explanation of why the reasons for barring the complaint are unfounded. Such written explanation shall be signed and dated and shall conclude with the following statement:

"All facts alleged in this explanation are, to the best of my knowledge, true, correct and complete, and I have neither knowingly misrepresented nor knowingly omitted any information which would be material to the evaluation of the merits of this explanation or the complaint to which it relates. I understand that if the foregoing statements are untrue and I
am a member of the American Society of Mechanical Engineers, I may have violated the Society's Code of Ethics. I understand that the entire contents of this explanation including my identity may be disclosed to the individual or individuals referenced in my complaint or this explanation during the course of any Hearing Board review of my complaint or this explanation and I consent to such disclosures.”

The permitted lapse of time between the submission of the initial complaint and the submission of the written explanation described in this IV.A.6 shall be disregarded for purposes of applying IV.A.3. If such explanation is not timely submitted, the complaint is barred and, even if revised, the complaint may not be resubmitted. Once the complaint is barred, the Executive Director shall close the file on the matter and retain the file in the records of the Society for not less than ten (10) years from the date on which the initial complaint was received by the Society.

7. The Executive Director shall within sixty (60) days of receipt of the written explanation, if any, received pursuant to IV.A.6:

a. send the Chair of the Committee on Ethical Standards and Review a copy of the explanation received, and

b. decide, with concurrence of the Chair of the Committee on Ethical Standards and Review, whether to accept the explanation and refer the complaint to the Committee on Ethical Standards and Review (as provided below) or reject the explanation and the Executive Director shall notify the complainant by certified mail (return receipt requested) that the complaint has been rejected pursuant to this IV.A.7.

8. The rejection of a written explanation pursuant to IV.A.7 may be appealed to the Committee on Ethical Standards and Review, but only if the appeal is received by the Office of the Executive Director not more than sixty (60) days after the notification described in IV.A.7.b. Any such appeal shall conclude with the following statement by the member:

“All facts alleged in this appeal are, to the best of my knowledge, true, correct and complete, and I have neither knowingly misrepresented nor knowingly omitted any information which would be material to the evaluation of the merits of this appeal. I understand that if the foregoing statements are untrue, I may have violated the Society’s Code of Ethics. I understand that the entire contents of this appeal including my identity may be disclosed to the individual or individuals referenced in my complaint or this appeal during the course of any Hearing Board review of my complaint and this appeal, and I consent to such disclosures.”
The appeal shall be denied unless the complainant demonstrates to the satisfaction of the Committee on Ethical Standards and Review that the rejection of the written explanation and the underlying complaint was arbitrary and capricious, in which event the matter shall be handled as provided in IV.A.10. The decision of the Committee on Ethical Standards and Review may not be appealed. If the rejection of the written explanation is not timely appealed or if the appeal is not sustained by the Committee on Ethical Standards and Review, the complaint is barred and, even if revised, may not be resubmitted.

9. If the Executive Director and the Chair of the Committee on Ethical Standards and Review do not concur as to any matter for which their concurrence is required under IV.A.5.b or IV.A.7.b, the matter shall be presented to the President of the Society, whose determination shall govern and may not be appealed, or, if the complaint shall involve the President as either a witness or the member subject to the complaint, the matter shall be presented to the Board of Governors (other than the President), whose determination shall govern and may not be appealed.

10. If the complaint is not rejected pursuant to IV.A.4 or IV.A.5, the Executive Director shall within thirty (30) days of the last to occur of (x) the receipt of the complaint, (y) the receipt of the written explanation described in IV.A.6, or (z) the vote of the Committee on Ethical Standards and Review sustaining an appeal as described in IV.A.8 notify the complainant that the matter is being referred to the Committee on Ethical Standards and Review, and within sixty (60) days of the last to occur of such events, the Executive Director and the Chair of the Committee on Ethical Standards and Review shall prepare (in consultation with legal counsel) a statement of preliminary charges and the Executive Director shall:

a. Notify the member subject to the complaint, by certified mail (return receipt requested), that an ethical complaint has been filed,

b. Include with the notification a copy of the statement of preliminary charges and the following statement:

i. That the preliminary charges allege matters to be within the scope of the Code of Ethics or Conflicts of Interest Policy of the Society,

ii. That an investigation will be made to determine if the complaint is substantiated by facts, and

iii. That the member is encouraged to respond within thirty (30) days and to inform the Society of his or her preferred address.
c. Designate an Investigator from the Society’s staff or membership to conduct an investigation of the matter, and

d. Provide the Investigator with a copy of the complaint, any written explanation provided pursuant to IV.A.6, and a copy of the statement of preliminary charges (the complaint and preliminary charges not to foreclose the Investigator from determining that there may have been violations of provisions of the Code of Ethics or the Conflicts of Interest Policy other than or in addition to those cited in the complaint or the preliminary charges).

The designation of an Investigator pursuant to this IV.A.10 may not be appealed.

11. In any case in which a complaint or other written or oral submission (including without limitation testimony at a Hearing) in connection with the submission, investigation and review of an ethical complaint contains statements or makes omissions that may give rise to an ethical complaint against the individual making the complaint or other submission, the Executive Director shall submit the relevant information to the Secretary of the Society, whose responsibility it shall be to evaluate the information and determine whether to make an ethical complaint in respect of such individual’s conduct. This IV.A.11 shall not limit the right of any other person to make a complaint in respect of such individual’s conduct, provided the person making the complaint has properly obtained the information on which his or her complaint is based.

B. Investigative Phase

1. The Investigator shall hold individual informal conferences on the subject matter of the complaint with the member against whom a complaint has been filed, the complainant and any other persons known or believed to have knowledge of the matter (such other persons, the “witnesses”), and shall advise each of them that his or her legal counsel, if desired, may be present at such conferences. In the conduct of these informal conferences, the following should be kept in mind by all concerned:

a. the purpose is to determine if there is cause for further action by the Society,

b. the investigation is not a legal hearing, but an informal conference to determine the facts in the matter, and the member is not “accused” by the Society in a legal sense,

c. the greatest tact must be exercised by the Investigator,

d. if, during the conference, information is obtained which suggests the need to broaden the scope of the investigation,
the Investigator must conduct such additional investigation before completing the investigation of the matter, and

e. at the start of each conference, the Investigator should advise each witness that the information may or may not be used in a Hearing and it may be furnished to the member subject to the complaint.

2. After the Investigator is assured that all pertinent information concerning the matter has been secured, he or she shall prepare a detailed written report giving all data concerning the matter and send the report to the Chair of the Committee on Ethical Standards and Review.

3. Reasonable expenses incurred by the Investigator shall be paid by the Society.

4. Based on a review of the report of the Investigator during a face-to-face meeting of a simple majority of the members of the Committee on Ethical Standards and Review, the Committee shall make one (1) of the following determinations on the basis of the Investigator’s report:

a. That the facts, as found by the Investigator, do not support the complaint and as such do not provide a sufficient basis for any further action by the Society, in which case the matter shall be handled as provided in IV.B.5, or

b. That the facts, as found by the Investigator, appear to establish a violation of the Code of Ethics or Conflicts of Interest Policy that is minor and as such does not warrant suspension or expulsion of the member subject to the complaint, in which case the matter shall be handled as provided in IV.B.6, and IV.B.7, or

c. That the facts, as found by the Investigator, appear to establish a violation of the Code of Ethics or Conflicts of Interest Policy that is severe and as such may warrant suspension or expulsion of the member subject to the complaint, pursuant to a formal statement of charges adopted by the Committee on Ethical Standards and Review as a part of its determination, in which case the matter shall be handled as provided in IV.B.8.

Within thirty (30) days of a determination under this IV.B.4, the Chair of the Committee on Ethical Standards and Review shall notify the Executive Director in writing of such determination, such notification, in the case of a determination described in IV.B.4.c, to include the formal statement of charges adopted pursuant to IV.B.4.c. A determination pursuant to this IV.B.4 may not be appealed.

5. If there is a determination, pursuant to IV.B.4.a, that the facts, as found by the Investigator, do not support the complaint and as such
do not provide a sufficient basis for any further action by the Society, the Executive Director shall within thirty (30) days of receiving the notification specified in IV.B.4:

a. notify the Board of Governors of the determination,

b. by certified mail (return receipt requested), notify the complainant, the member subject to the complaint and all witnesses who have been interviewed by the Investigator that the matter is closed pursuant to this IV.B.5, and

c. shall close the official file on the matter and retain the file in the records of the Society for not less than ten (10) years from the date on which the initial complaint was received by the Society.

A complaint disposed of pursuant to this IV.B.5, even if the complaint is revised, may not be resubmitted.

6. If there is a determination, pursuant to IV.B.4.b, that the facts, as found by the Investigator, appear to establish a violation of the Code of Ethics or Conflicts of Interest Policy that is minor and as such does not warrant suspension or expulsion of the member subject to the complaint, the Chair of the Committee on Ethical Standards and Review shall within thirty (30) days of such determination notify the member subject to the complaint by certified mail (return receipt requested) (with a copy to the Committee on Ethical Standards and Review and the Executive Director) that a letter of warning/admonishment is forthcoming at the end of a period of sixty (60) days, such notification to include a proposed draft of such letter of warning/admonishment.

7. At the end of the period of sixty (60) days described in IV.B.6, the Chair shall send the letter of warning/admonishment to the member subject to the complaint by certified mail (return receipt requested) (with a copy to the Committee on Ethical Standards and Review and the Executive Director), unless such member shall have timely appealed the determination to send the letter of warning/admonishment (pursuant to IV.C), after which appeal the Chair shall send the letter of warning/admonishment (insofar as the letter shall be determined in the appeal to be warranted) or shall send notification that the proposed letter of warning/admonishment is withdrawn (insofar as the letter shall be determined in the appeal to be unwarranted), such letter or notification to be sent to the member subject to the complaint by certified mail (return receipt requested) (with a copy to the Committee on Ethical Standards and Review and the Executive Director) within thirty (30) days of the determination of his or her appeal pursuant to IV.C.5 or IV.E.9, as the case may be. Within thirty (30) days after the Chair sends a letter of warning/admonishment or notification that a proposed letter of warning/admonishment is withdrawn, the Executive Director shall:
a. provide the Board of Governors with, as the case may be, a copy of the letter of warning/admonishment or a copy of the notification that the proposed letter of warning/admonishment is withdrawn,

b. by certified mail (return receipt requested), notify the complainant and all witnesses who have been interviewed by the Investigator that the matter is closed pursuant to this IV.B.7, and

c. shall close the official file on the matter and retain the file in the records of the Society for not less than ten (10) years from the date on which the initial complaint was received by the Society.

A complaint disposed of pursuant to this IV.B.7, even if the complaint is revised, may not be resubmitted.

8. If there is a determination, pursuant to IV.B.4.c, that the facts, as found by the Investigator, appear to establish a violation of the Code of Ethics or Conflicts of Interest Policy that is severe and as such may warrant suspension or expulsion of the charged, the Executive Director, within thirty (30) days of receipt of the notification described in IV.B.4

a. shall notify the President in writing that a Hearing Board is mandated pursuant to IV.B.4 and shall provide the President with a copy of the complaint, a copy of the formal statement of charges against the charged member, and a copy of the Investigator’s report, and

b. shall notify the charged member in writing that a Hearing Board is mandated pursuant to IV.B.4 and that further information will be forthcoming once the Hearing Board has been appointed.

C. Appeal Phase (Proposed Letters of Warning/Admonishment)

1. No letter of warning/admonishment shall be sent at the end of the period of sixty (60) days described in IV.B.6 if the Executive Director of the Society shall receive before the end of such period from the member subject to the complaint either:

a. a signed written statement setting forth mitigating circumstances to explain why the member’s alleged misconduct does not warrant a warning or admonishment,

b. a signed written request for a meeting or telephone conference with the Chair of the Committee on Ethical Standards and Review to present mitigating circumstances to explain why the
member’s alleged misconduct does not warrant a warning or admonishment, or

c. a signed written statement alleging facts in addition to or different from those found by the Investigator, explaining why such alleged facts demonstrate that a warning or admonishment is not warranted, and requesting that the matter be referred to a Hearing Board for a determination;

provided in each case that the signed written statement or request is accompanied by the statement described in IV.C.2.

2. Any written statement pursuant to IV.C.1.a or IV.C.1.c shall conclude with the following statement by the member subject to the complaint:

“All facts alleged in this statement are, to the best of my knowledge, true, correct and complete, and I have neither knowingly misrepresented nor knowingly omitted any information which would be material to the evaluation of the merits of this statement. I understand that if the foregoing statements are untrue, I may have violated the Society’s Code of Ethics.”

Any written request pursuant to IV.C.1.b shall conclude with the following statement by the member subject to the complaint:

“All facts that I will allege in the meeting or telephone conference I am hereby requesting will be, to the best of my knowledge, true, correct and complete, and I will not knowingly misrepresent or knowingly omit any information which would be material to the evaluation of the merits of the facts I will allege. I understand that if I make statements that are untrue, I may have violated the Society’s Code of Ethics.”

3. If a meeting or telephone conference is requested pursuant to IV.C.1.b, such meeting or telephone conference must take place, if at all, within thirty (30) days of the Executive Director’s receipt of the written request for such meeting or telephone conference (unless the Chair of the Committee on Ethical Standards and Review consents to extend such period). If it does not take place within such time period, a letter of warning/admonishment shall be issued as if no request had been timely submitted pursuant to IV.C.b.1. The Chair of the Committee on Ethical Standards and Review shall designate the time and place of any meeting or telephone conference requested pursuant to IV.C.1.b and may request staff assistance by the Society.

4. Following consultation with the Committee on Ethical Standards and Review, the Chair of the Committee shall determine, on the basis of the complaint, the report of the Investigator, and the information supplied pursuant to IV.C.1, whether and to what extent a letter of warning/admonishment is warranted or, if a Hearing Board has been
requested, whether a Hearing Board is warranted. A determination pursuant to this IV.C.4 shall be made (and the Chair shall provide written notification to the Executive Director of such determination) not less than thirty (30) days after the first to occur of (i) the receipt of a written statement provided in accordance with IV.C.1.a or IV.C.1.c or (ii) the conduct of a meeting or telephone conference requested pursuant to IV.C.1.b. Except as provided in IV.D, a determination pursuant to this IV.C.4 may not be appealed.

5. If, pursuant to IV.C.4, a proposed letter of warning/admonishment is determined to be warranted or unwarranted, in whole or in part, the matter shall be handled as provided in IV.B.7 for situations in which proposed letters of warning/admonishment are appealed and deemed warranted or unwarranted, as the case may be. If a proposed letter of warning/admonishment is deemed warranted only in part, there shall be both a letter of warning/admonishment with respect to those matters deemed warranted and a notification of withdrawal of the proposed letter of warning/admonishment with respect to those matters deemed unwarranted. A determination that a Hearing Board is unwarranted shall be treated as a determination that a letter of warning/admonishment is warranted.

6. If, pursuant to IV.C.4, a Hearing Board is determined to be warranted, the Executive Director, within thirty (30) days of receipt of the notification described in IV.C.4

a. shall notify the President in writing that a Hearing Board is mandated pursuant to IV.C.4 and shall provide the President with a copy of the complaint, a copy of the Investigator’s report, a copy of the proposed letter of warning/admonition, a copy of the written statement described in IV.C.1.c, and a copy of the determination of the Chair of the Committee on Ethical Standards and Review provided pursuant to IV.C.4.

b. shall notify the member who is subject to the complaint in writing that a Hearing Board is mandated pursuant to IV.C.4 and that further information will be forthcoming once the Hearing Board has been appointed.

D. Appeal Phase (Letters of Warning/Admonishment)

1. Notwithstanding the closure of a matter pursuant to IV.B.7.b, a member who receives a letter of warning/admonishment may appeal the matter to the Board of Governors, provided the letter of appeal is received by the Office of the Executive Director not later than thirty (30) days after the letter of warning/admonishment is sent to the member. Any such appeal shall conclude with the following statement by the member:

"All facts alleged in this appeal are, to the best of my knowledge, true, correct and complete, and I have neither
knowingly misrepresented nor knowingly omitted any information which would be material to the evaluation of the merits of this appeal. I understand that if the foregoing statements are untrue, I may have violated the Society’s Code of Ethics.”

2. A member’s appeal shall be disqualified if it is made directly to members of the Board of Governors or is accompanied by direct communications with the Board of Governors. The member and his or her legal counsel shall be permitted to meet with the Board of Governors only at its option. The appeal shall be denied unless the member demonstrates to the satisfaction of the Board of Governors (a) that the procedure for issuance of such a letter was not followed and (b) that no letter of warning/admonishment was warranted.

3. In the event of an appeal, the Board of Governors may elect to remand the matter to the Chair of the Committee on Ethical Standards and Review for further consideration, in which case a further unfavorable determination may not be appealed other than for a further failure to follow the procedure for the issuance of a letter of warning/admonishment.

E. Hearing Phase

1. The President shall, within thirty (30) days of receipt of the notification described in IV.B.8 or IV.C.6 appoint a Hearing Board composed of three (3), four (4), or five (5) members of the Committee of Past Presidents, such appointment to be made by certified mail (return receipt requested). The President shall include with the appointment a copy of the materials supplied to the President pursuant to IV.B.8 or IV.C.6, as the case may be. The President shall designate one (1) member of the Hearing Board as its Chair. The President shall simultaneously notify the Executive Director and the Board of Governors of the appointees to the Hearing Board. The appointment of the members of a Hearing Board and the appointment of its Chair may not be appealed.

2. At the time the Hearing Board is appointed, the President shall also designate one (1) additional member of the Committee of Past Presidents as an alternate member of the Hearing Board. Once the alternate appointee has joined the Hearing Board, the President shall have the authority to fill any other vacancies which arise by reason of the resignation or death of a Hearing Board appointee. Notwithstanding the foregoing, no alternate appointee may join the Hearing Board and no vacancy may be filled after the commencement of the Hearing.

3. Each appointee shall review promptly the materials provided pursuant to IV.E.1 and shall notify the President within thirty (30) days of
receipt of such materials of his or her resignation from the Hearing Board if there exists any conflict of interest, friendship, prejudgment, or other prejudice that might interfere with his or her ability to consider the matter in a disinterested manner, whereupon the alternate member of the Hearing Board shall join the Hearing Board.

4. Promptly upon receipt of notification of the President’s appointees to the Hearing Board, the Office of the Executive Director shall contact the charged member (in matters described in IV.B.8) or the member subject to the complaint (in matters described in IV.C.6) in writing or by telephone in order to ascertain dates, times and locations that would be convenient or inconvenient for the Hearing. The Office of the Executive Director shall provide the information to the Chair of the Hearing Board. Such information is ascertained as a courtesy only, and the Hearing Board shall in no way be limited in setting the date, time and location of the Hearing by reason of such information.

5. Within thirty (30) days of notification of their appointment, the members of the Hearing Board shall confer by telephone or other means to determine a convenient date, time and place for the Hearing. The date selected shall be such as to afford at least thirty (30) days notice of the Hearing to the following “interested parties”: the complainant, the charged member or member subject to the complaint, the Investigator and all other persons who will be invited to provide testimony at the Hearing.

6. The Executive Director shall notify the interested parties by certified mail (return receipt requested) of the date, time and place of the Hearing. In matters described in IV.B.8, the notification to the charged member shall be accompanied by a copy of the statement of charges. In matters described in IV.B.8 or IV.C.6, the notification to the charged member or member subject to the complaint, as the case may be, shall also be accompanied by a copy of the report of the Investigator.

7. In order to respond to the statement of charges or the proposed letter of warning/admonition, the charged member or member subject to the complaint, as the case may be, is eligible (but not required) (a) to appear at the Hearing in person, with legal counsel if desired, and (b) to provide a written statement to the Hearing Board. Although the member’s attendance is not required, he or she is urged to attend.

8. The Hearing shall be conducted as follows:

   a. Attendance at Hearings shall be limited to:

      1) members of the Hearing Board,
      2) the Executive Director and other designated Society staff members,
      3) the Investigator,
4) the charged member or the member subject to the
complaint, as the case may be, and his or her invitees
5) the complainant,
6) witnesses,
7) a qualified court reporter,
8) Legal counsel for the Society and for any of the above if
desired,
9) observers from the Committee on Ethical Standards and
Review.

b. The charged member or member subject to the complaint, as
the case may be, and his or her counsel shall have the right to
be present throughout the Hearing and the right to question
any witness, the complainant, if present, and the Investigator.

c. A record of the Hearing shall be made by a qualified court
reporter. A transcript will be prepared of the Hearing and a
copy made for the Society and a copy made for the charged
member or member subject to the complaint, as the case may
be.

d. The Chair of the Hearing Board shall preside.

9. The Agenda for the Hearing shall be as follows:

a. Opening statement by the Chair of the Hearing Board
containing a summary of the issues before the Hearing Board
(to be accompanied with distribution to all present of the
statement of charges or the proposed letter of
warning/admonishment, as the case may be).

b. Statement by the Chair that the Hearing Board will limit its
deliberations and voting to the statement of charges or the
proposed letter of warning/admonishment, as the case may be.

c. Opening statement by the charged member or member subject
to the complaint, as the case may be, or his or her counsel (the
opening statement to be made at the option of the charged
member or member subject to the complaint).

d. Presentation by the Investigator of evidence relating to the
matter.

e. Defense or rebuttal by the charged member or member subject
to the complaint (the defense or rebuttal to be made at the
option of the charged member or member subject to the
complaint). (If no defense or rebuttal is presented either in
person or in writing, the Hearing Board shall proceed with the
Hearing on the basis of the statement of charges or proposed
letter of warning/admonishment, as the case may be, the
materials presented to the Hearing Board pursuant to IV.E.1, and Investigator’s oral presentation at the Hearing).

f. A short recess to allow the Hearing Board members opportunity to review the evidence and prepare questions.

g. Opportunity for members of the Hearing Board to question any witness; the charged member or member subject to the complaint, as the case may be, if present; the complainant if present; and the Investigator.

h. Closing statements, if desired, by the Investigator and by the charged member or member subject to the complaint, as the case may be, or his or her counsel (the closing statement by or on behalf of the charged member or member subject to the complaint to be made at the option of that member).

i. The Chair shall then close the Hearing and the Hearing Board shall go into executive session to discuss the evidence presented and reach a decision.

10. An alleged violation of the Code of Ethics or Conflicts of Interest Policy shall be sustained or deemed to have been proven only if the preponderance of the evidence establishes facts which, if true, would constitute a violation of the Code of Ethics or Conflicts of Interest Policy. Accordingly, the Hearing Board is charged with evaluating both (a) the sufficiency of the allegations to establish a violation of the Code of Ethics or Conflicts of Interest Policy and (b) the truth of those allegations.

11. The Hearing Board shall determine the case by voting by ballot. A majority vote of the entire Hearing Board shall prevail.

12. The following procedure will be followed sequentially in the case of matters involving the appeal of a proposed letter of warning/admonishment:

a. With respect to each provision of the Code of Ethics or Conflicts of Interest Policy alleged in the proposed letter to have been violated, the Hearing Board shall determine in a separate ballot with respect to each such provision whether the alleged violation has been sustained or proven.

b. If no alleged violation is voted to have been sustained or proven, the member subject to the complaint shall be declared “cleared of all allegations,” whereupon the procedure in IV.B.7 for situations in which proposed letters of warning/admonishment are appealed and deemed unwarranted shall be followed.
c. If any alleged violation is voted to have been sustained or proven, the issuance of a letter of warning/admonishment with respect to those violations only shall be deemed to be warranted, whereupon the procedure in IV.B.7 for situations in which proposed letters of warning/admonishment are appealed and deemed warranted shall be followed.

d. If a proposed letter of warning/admonishment is deemed warranted only in part, there shall be both a letter of warning/admonishment with respect to those matters deemed warranted and a notification of withdrawal of the proposed letter of warning/admonishment with respect to those matters deemed unwarranted.

e. Except as provided in IV.D, a determination pursuant to this IV.E.12 may not be appealed.

f. The remaining portions of IV.E shall not apply with respect to matters involving the appeal of a proposed letter of warning/admonishment.

13. The following procedure will be followed sequentially in the case of matters involving a statement of charges:

a. With respect to each provision of the Code of Ethics or Conflicts of Interest Policy alleged in the statement of charges to have been violated, the Hearing Board shall determine in a separate ballot with respect to each such provision whether the alleged violation has been sustained or proven.

b. If no alleged violation is voted to have been sustained or proven, the member subject to the complaint shall be declared “cleared of all charges.”

c. If one (1) or more charges are sustained, a ballot shall be taken on the question: “Shall the Hearing Board recommend that the charged member be expelled from the Society?” A vote of two-thirds of the entire Hearing Board shall be required for expulsion.

d. If the ballot on expulsion fails to carry, a ballot shall then be taken on the question: “Shall the Hearing Board recommend that the charged member be suspended for one (1) year from the Society?” A majority vote of the entire Hearing Board shall prevail.

Suspension shall withdraw all rights and privileges of the member, but it shall not affect any Society insurance protection.
e. If the ballot on suspension fails to carry, a ballot shall be taken on the question: “Shall the Hearing Board recommend that the charged member be sent a letter of censure?” A majority vote of the entire Hearing Board shall prevail.

f. If the ballot on censure fails to carry, the charged member shall be declared “cleared of all charges.”

g. If the charged member has resigned without right of reapplication and is subsequently “cleared of all charges,” suspended, or censured, per IV.E.13.b, d or e, the words, “without right of reapplication” shall be removed from the charged member’s resignation record.

h. If the charged member has resigned without right of reapplication and is subsequently expelled, per IV.E.10.c, the member’s resignation shall remain “without right of reapplication.”

14. Within five (5) business days of its determination with respect to a matter involving a statement of charges, the Hearing Board shall provide written notification of the determination (including the text of any opinion in which the determination is recorded) (the “decision”) to the Executive Director, the President, and the Chair of the Committee on Ethical Standards and Review.

15. A determination by the Hearing Board that a charged member is “cleared of all charges” may not be appealed, and the complaint in the matter is barred and, even if revised, may not be resubmitted.

16. Within thirty (30) days after receipt of a decision that a charged member is “cleared of all charges,” the Executive Director shall:

a. provide the Board of Governors and the members of the Committee on Ethical Standards and Review with a copy of the decision,

b. by certified mail (return receipt requested), provide all interested parties with a copy of the decision together with notice that the matter is closed pursuant to IV.E.15,

c. shall deposit the decision in the official file of the matter, close such file, and retain the file in the records of the Society for not less than ten (10) years from the date on which the initial complaint was received by the Society.

17. Within thirty (30) days after receipt of a decision that a charged member has violated the Code of Ethics or Conflicts of Interest Policy, the Executive Director shall:
20

P-15.4

4/23/09

a. provide the Board of Governors and the members of the Committee on Ethical Standards and Review with a copy of the decision,

b. provide the Board of Governors with a copy of the materials supplied to the President pursuant to IV.B.8 and a copy of any written statement submitted by or on behalf of the charged member pursuant to IV.E.7.b, and

c. by certified mail (return receipt requested), provide the charged member with a copy of the decision and notification that, unless the decision is appealed within thirty (30) days as provided in IV.F.1, the Hearing Board’s determination will be reviewed by the Board of Governors pursuant to IV.F.5.

18. The expenses incurred by the Hearing Board for travel of the Hearing Board members, the court reporter, the Society’s legal counsel, and witnesses required by the Hearing Board shall be covered by the Society. The charged member or member subject to the complaint shall be responsible for any expenses relating to the member’s defense, including counsel and witnesses.

F. Review and Appeal Phase (Expulsion, Suspension or Censure)

1. If a Hearing Board determines that a member has violated the Code of Ethics or Conflicts of Interest Policy, the member may appeal the matter to the Board of Governors, provided the letter of appeal is received by the Office of the Executive Director not later than thirty (30) days after the notification described in IV.E.14.c is sent to the member. Any such appeal shall conclude with the following statement by the member:

“All facts alleged in this appeal are, to the best of my knowledge, true, correct and complete, and I have neither knowingly misrepresented nor knowingly omitted any information which would be material to the evaluation of the merits of this appeal. I understand that if the foregoing statements are untrue, I may have violated the Society’s Code of Ethics.”

2. A member’s appeal shall be disqualified if it is made directly to members of the Board of Governors or is accompanied by direct communications with the Board of Governors. The Board of Governors will review the record of the Hearing, the written request for the appeal and any written statement submitted by or on behalf of the charged member and will hear the charged member in person or by his or her legal counsel. The appeal shall be denied unless the member demonstrates to the satisfaction of the Board of Governors (a) that there were substantial errors in significant information presented to the Hearing Board, (b) that there is additional information, not made available to the Hearing Board, which might
reasonably have led it to a different result, (c) that the Hearing Board’s decision was erroneous, or (d) that the Hearing Board failed to follow the procedures set forth in IV.E. Procedural errors prior to the Hearing shall not be grounds for the appeal of a Hearing Board decision.

3. The Board of Governors may take the following action after the appeal:

a. The Board of Governors may sustain the decision of the Hearing Board and implement the recommended action against the charged member.

b. The Board of Governors may sustain the decision of the Hearing Board, but modify the recommended action against the charged member to a less serious action.

c. The Board of Governors may dismiss the charge against the charged member.

4. If the Board of Governors elects action under IV.F.3.a. or b., the following voting rules shall apply (notwithstanding any contrary provision of the Society’s Constitution or By-Laws):

a. An affirmative vote of seven (7) members of the Board of Governors, at a meeting where a quorum is present, shall be required to confirm a decision of the Hearing Board leading to the expulsion of the charged member.

b. An affirmative vote of six (6) members of the Board of Governors, at a meeting where a quorum is present, shall be required to confirm a decision of the Hearing Board leading to the suspension or censure of the charged member.

5. If the charged member does not appeal the decision of the Hearing Board, the Board of Governors shall at its next regularly scheduled meeting vote on whether to confirm the decision of the Hearing Board and to implement the recommended action. If the Board of Governors elects not to confirm the decision of the Hearing Board, the Board of Governors shall determine such actions as it deems fitting and proper.

6. It shall be within the discretion of the Board of Governors to determine what portion, if any, of its fact-finding and deliberations concerning an appeal under this IV.F shall be conducted in executive or special session.

7. Within thirty (30) days of a decision by the Board of Governors, the Executive Director shall:

a. provide the Chair of the Committee on Ethical Standards and Review with written notification of the decision together with
any accompanying explanations provided by the Board of Governors, to be used for the future guidance of the Committee in its administration of ethical matters brought before it,
b. by certified mail (return receipt requested), provide all interested parties with written notification of the decision together with notice that the matter is closed pursuant to IV.F.6,
c. shall deposit a copy of such written notification in the official file of the matter, close such file, and retain the file in the records of the Society for not less than ten (10) years from the date on which the initial complaint was received by the Society.

8. Decisions of the Board of Governors may not be appealed. A complaint disposed of by the Board of Governors, even if the complaint is revised, may not be resubmitted.

9. All files concerning ethical complaints and the resolution thereof shall be confidential and may not be disclosed except by authority of the Board of Governors. The records shall be retained for a period of not less than ten (10) years from the date on which the initial complaint was received by the Society. The proceedings may be synopsized and made anonymous for later publication for instructive purposes.

10. The membership shall be notified of all disciplinary actions taken by the Board of Governors under this IV.F for violations of the Code of Ethics or Conflicts of Interest Policy, by publication of a suitable notice in MECHANICAL ENGINEERING or ASME NEWS. The name of the disciplined member shall not be published. However, the action of the Board of Governors, including the name of the disciplined member, shall be reported to the section chair and appropriate Society officers.

Responsibility: Centers Sector Board of Directors/Center for Career and Professional Advancement/Committee on Ethical Standards and Review

Reassigned from Centers Sector Board of Directors/Center for Professional Development, Practice & Ethics/Committee on Ethical Standards and Review 4/23/09

Reassigned from Council on Member Affairs/Board on Professional Practice & Ethics 6/1/05

Adopted: June 18, 1975

Revised: September 29, 1978
June 25, 1980
November 17, 1983
(editorial changes 3/84)
June 14, 1985
(editorial changes 6/87)
(editorial changes 3/88)
June 18, 1989
June 6, 1990
(editorial change 2/94)
November 21, 1996
(editorial changes 9/97)
June 9, 1999
(editorial changes 6/02)
(editorial changes
September 23, 2005
November 5, 2006
(editorial changes in responsible unit 4/09)
Complaint sent to Executive Director

Executive Director acknowledges receipt

Is person against complaint made a member of ASME?

Requirements of IV.A.2 fulfilled?

Executive Director tells complainant complaint rejected

Executive Director sends CESR Chair copy of complaint

E.D. and Chair decide - Is complaint barred?

Executive Director and CESR Chair disagree

President decides if case is barred, either path A or B then followed

No

Yes

No

Yes

No
A

Executive Director sends letter to complainant saying complaint is barred

IV.A.6

Complainant sends explanation?

IV.A.6

Yes

E. D. and CESR Chair should accept explanation?

IV.A.7.b

No

Executive Director and CESR Chair disagree

Yes

President decides if appeal should be granted, case is closed or path B is followed

IV.A.9

Complainant can appeal to CESR, which decides if case is closed or if path B is followed

IV.A.8
Executive Director notifies complainant and member subject to complaint and designates an Investigator

Investigation conducted

Facts do not support case
Executive Director notifies parties case closed

Facts support severe violation
CESR decides next action

Facts establish minor violation
Executive Director asks member if he/she will accept letter of admonishment

No
Member sends appeal

Yes
CESR Chair sends letter to member with copy to BOG. Case is closed.

No
Yes
President appoints Hearing Board and hearing is conducted

**IV.E.1**

Are any violations sustained?

- **No**
  - Member is cleared of all charges.  
  
  **IV.E.13.b**

- **Yes**
  
  Expel or Suspend member?

  - **Expel**
    - **E**
  
  - **Suspend**
    - **E**

  - **Neither**

Send letter of censure?

- **No**
  - Member is cleared of all charges  
  
  **IV.E.13.f**

- **Yes**
  - **E**
CESR Chair, in consultation with CESR determines if letter or Hearing Board is warranted

IV.C.4

Letter

Letter of admonishment sent

IV.C.5

Hearing Board warranted

IV.C.6

President appoints Hearing Board, which decides if letter should be written

IV.E.12

E

Member appeals expulsion/suspension/letter of censure?

IV.F.1

No

Yes

BOG decides on final

BOG makes final
SOCIETY POLICY

HISTORY AND HERITAGE LANDMARKS

I. PREFACE

Society By-Law B5.3.1.1 states in part, “The Centers Sector...is responsible for the activities of the Society...to celebrate the contributions of engineers to the well-being of humankind.”

II. PURPOSE

A. The American Society of Mechanical Engineers wishes to:

1. Encourage mechanical engineers and others to become aware of their technological heritage;
2. Inform the public of such contributions;
3. Foster the preservation of the physical remains of historically important engineers works;
4. Provide an annotated roster of landmarks, sites, and collections in mechanical engineering for engineers, students, educators, historians, scholars and travelers;
5. Promote the inclusion of information about such achievements in guidebooks and maps for use by the general public; and finally,
6. Call attention to the great mechanical engineers who were associated with the invention, development or production of these singular technological achievements.

B. Occasionally a certain work may be recommended as a joint landmark with other professional or engineering organizations.

III. POLICY

The criteria to designate historic mechanical engineering work are:

A. The work must be an example of mechanical engineering. Where the historic mechanical engineering work is part of a larger entity, the mechanical engineering work must be specifically identified in the nomination.

If the work is designated, the designation will be specific to the mechanical engineering work and not to the larger entity.
B. The work must be:

1. An artifact that was (or could have been) conceived, designed, developed, or constructed by a mechanical engineer, and/or

2. A body of knowledge, analytical tool or code of practice developed or produced primarily by a mechanical engineer for use primarily by mechanical engineers, and/or

3. A place of historic significance to the practice and profession of mechanical engineering.

For 1., 2., and 3. above, the Policy is to designate tangible mechanical engineering work, e.g., artifacts, and not to designate something that is conceptual only or no longer exists. Similarly, processes will not be designated, but the associated machinery may be.

C. The work must represent a significant step in the history of mechanical engineering.

D. The work must have made a contribution to humanity in general and the profession and/or practice of mechanical engineering in particular.

A military work (e.g., weaponry) will be considered for designation in terms of its contribution to the practice of mechanical engineering.

E. The work must be distinguished by being unique (e.g., one-of-a-kind, last-surviving example of a widely used type) or possessing some other distinction. Complete reconstructions are usually not designated, but will be considered on their merits.

F. The designation of the historic mechanical engineering work must:

1) Enhance the public's understanding of the role of mechanical engineers in society, and/or

2) Celebrate and enhance the profession of mechanical engineering in general, and ASME in particular.

Preference will be given to a work that is accessible to mechanical engineers, historians, and the public.

G. Although work of any age will be considered for designation, sufficient time must have elapsed to enable objective judgment to be made of its lasting value.

H. The work should be tangible, visible, and accessible to mechanical engineers, historians, and/or the public.

I. The ASME designation should be the first such recognition of the historic mechanical engineering significance of the work by a professional society or historical organization. If such recognition has already been made, the Policy is
to only consider a designation by ASME when it adds important value to the existing recognition.

Works already in museum collections are considered for designation only under extraordinary circumstances since their importance is already recognized.

IV. PROCEDURE

A. PROCEDURES FOR NOMINATING LANDMARKS (INCLUDING HERITAGE SITES AND COLLECTIONS)

The ASME member who nominates a candidate for landmarking has the responsibility for submitting the nomination form with proper documentation, written acceptance of ASME unit sponsorship, and appropriate district, community, and correspondent notifications. ASME unit sponsorship includes responsibility for completion of the designation process through the preparation, execution and funding of the designation ceremony and publication of the approved commemorative brochure.

B. PROCEDURE FOR NOMINATING JOINT LANDMARKS

The Chair of the History and Heritage Committee will forward the nomination to the appropriate organization, requesting consideration of joint sponsorship with ASME. The nominating ASME unit will be advised of the action.

When Landmarks are co-sponsored, the staff liaisons of the respective organizations work closely together on brochure copy, invitations, mailing lists and ceremony details with the involved ASME units. All costs are shared equally.

C. APPROVALS

When a Landmark is approved by the Committee, the Chair informs the nominator in writing. The staff works closely with the sponsoring unit in arranging the ceremony, brochure, invitations and plaque casting.

D. FUNDING

Although there is no quota on the number of landmarks to be designated each year, the location, designation ceremony costs, availability of funds, and other factors must be considered in arranging the specific designation date and ceremony.

E. DEFERRALS

Decision on a proposed landmark may be deferred for lack of sufficient information until the next Committee meeting. In these cases the Chair writes to the nominator explaining the reason for the deferral, what further information is required and when the next meeting will be, so that the nominator has time to respond. This information is sent to the staff liaison for transmittal to the History and Heritage Committee.
F. REJECTIONS

When a proposed landmark is rejected, the chair writes to the nominator, explaining why the nomination did not meet the criteria. The nominator may return to the Committee with additional information asking that the nomination be reconsidered.

G. DESIGNATION PROCEDURES

A formal designation ceremony is held for each Landmark. In addition to the ceremony, a brochure is prepared and a plaque is made for permanent display at the Landmark. The formal designation is developed with the assistance of the ASME staff liaison and generally includes a brief ceremony, a luncheon, dinner, or suitable refreshments, and tour where appropriate. The President of ASME is generally present, as is a representative of the History and Heritage Committee.

H. BUDGETING

The History and Heritage Committee’s budget contains modest funds for plaques, Committee representation, staff assistance in planning, web publishing, promoting and related communications and to assist sponsoring ASME units with the printing of commemorative brochures and invitations, should aid be necessary. Nominating sponsors (ASME units) are responsible for all other expenses incurred, and this may include funds raised or provided in-kind from local sponsors and the landmark owner. The History and Heritage staff liaison should be consulted early in the planning stages for assistance.

Responsibility: Centers Sector Board of Directors/Board on Public Awareness

Reassigned from Council on Public Affairs/Board on Public Information 6/12/05

Adopted: January 19, 1984

Reaffirmed: March 17, 1995

Revised: (editorial changes 6/87)
          (editorial changes 8/88)
          March 17, 1995
          June 12, 1996
          (editorial changes 11/97)
          June 9, 1999
          June 12, 2005
ASME requires ethical practice by each of its members and has adopted the following Code of Ethics of Engineers as referenced in the ASME Constitution, Article C2.1.1.

CODE OF ETHICS OF ENGINEERS

The Fundamental Principles

Engineers uphold and advance the integrity, honor and dignity of the engineering profession by:

I. using their knowledge and skill for the enhancement of human welfare;
II. being honest and impartial, and serving with fidelity their clients (including their employers) and the public; and
III. striving to increase the competence and prestige of the engineering profession.

The Fundamental Canons

1. Engineers shall hold paramount the safety, health and welfare of the public in the performance of their professional duties.

2. Engineers shall perform services only in the areas of their competence; they shall build their professional reputation on the merit of their services and shall not compete unfairly with others.

3. Engineers shall continue their professional development throughout their careers and shall provide opportunities for the professional and ethical development of those engineers under their supervision.

4. Engineers shall act in professional matters for each employer or client as faithful agents or trustees, and shall avoid conflicts of interest or the appearance of conflicts of interest.

5. Engineers shall respect the proprietary information and intellectual property rights of others, including charitable organizations and professional societies in the engineering field.

6. Engineers shall associate only with reputable persons or organizations.
7. Engineers shall issue public statements only in an objective and truthful manner and shall avoid any conduct which brings discredit upon the profession.

8. Engineers shall consider environmental impact and sustainable development in the performance of their professional duties.

9. Engineers shall not seek ethical sanction against another engineer unless there is good reason to do so under the relevant codes, policies and procedures governing that engineer’s ethical conduct.

10. Engineers who are members of the Society shall endeavor to abide by the Constitution, By-Laws and Policies of the Society, and they shall disclose knowledge of any matter involving another member’s alleged violation of this Code of Ethics or the Society’s Conflicts of Interest Policy in a prompt, complete and truthful manner to the chair of the Committee on Ethical Standards and Review.

The Committee on Ethical Standards and Review maintains an archive of interpretations to the ASME Code of Ethics (P-15.7). These interpretations shall serve as guidance to the user of the ASME Code of Ethics and are available on the Committee’s website or upon request.

| Responsibility: | Centers [Sector] Board of Directors/Center for Career and Professional Advancement/Committee on Ethical Standards and Review |
| Reassigned from Centers [Sector] Board of Directors/Center for Professional Development, Practice and Ethics/Committee on Ethical Standards and Review 4/23/09 |
| Reassigned from Council and Member Affairs/Board on Professional Practice & Ethics 6/1/05 |
| Adopted: | March 7, 1976 |
| Revised: | December 9, 1976 |
| | December 7, 1979 |
| | November 19, 1982 |
| | June 15, 1984 |
| | (editorial changes 7/84) |
| | June 16, 1988 |
| | September 12, 1991 |
| | September 11, 1994 |
| | June 10, 1998 |
| | September 21, 2002 |
| | September 13, 2003 |
| | (editorial changes 6/1/05) |
| | November 5, 2006 |
| | (editorial changes to the responsible unit 4/09) |
I. PREAMBLE

Each individual acting for or in the name of ASME is in a position of trust. Particularly since ASME holds as paramount the safety, health, and welfare of the general public, each such individual has fundamental responsibility to exercise impartial professional judgment to enhance the practice of mechanical engineering in the public interest. This Society Policy is intended to further assure the objectivity and public confidence in the integrity of all Society deliberations and statements, by establishing guidelines and procedures concerning conflicts of interest. It is acknowledged and understood that competent and knowledgeable individuals of recognized abilities, qualifications and interest who participate in professional activities may have potential conflicts of interest. This Society Policy establishes guidelines and procedures to enable such individuals to act ethically and to uphold the integrity of the Society's policies, rules, codes and standards.

II. POLICY

A. The potential for a conflict of interest exists whenever a person owes a loyalty to multiple interests or organizations. Having different interests or loyalties does not constitute a conflict of interest when the action desired by each interest is the same. This situation may be described as a community of interest.

B. A conflict of interest occurs only when loyalty to one interest would impel a course of action different from that impelled by another interest. For example, while acting for or on behalf of the Society, a volunteer may consider a matter which directly affects the specific rather than the collective interests of the individual's employer or a competitor of the employer.

In such instances, there could be a conflict of interest between exercise of the volunteer's independent professional judgment on behalf of ASME and the public and the individual's loyalties and responsibilities to his or her employer or another entity.

C. In many ASME standards-writing committees and other committees, the procedures for appointment provide for a balanced or diversified representation among the various categories of interest within the scope of that committee's concern. This "balance of interest" minimizes the instances of appearance of conflict of interest by preventing situations in which a single interest group could control the action on an issue. Accordingly, where general categories of interest were considered in appointing a balanced committee or other group, an individual's identification with the particular interest shall not be grounds for raising an issue of the appearance of a conflict of interest. This is particularly so because the removal of one or more individuals representing a particular
category of interest on conflict of interest grounds could upset the planned balance of economical and technical interests.

D. It is nevertheless the duty of volunteers acting for or on behalf of the Society to be aware of the possibility of a conflict of interest between their responsibilities to ASME and the public on the one hand and to their employer or another entity on the other. All volunteers have a fundamental responsibility to refrain from participating in Society decision-making when a competing interest precludes or inhibits the exercise of the volunteer’s independent professional judgment on behalf of ASME, or when the nature of the competing interest is such that the volunteer’s continued participation would unreasonably jeopardize the integrity of the decision-making process.

III. RESPONSIBILITIES

A. Individual Responsibilities

In instances where it is clear to individual volunteers that their judgment with respect to a matter pending before ASME is controlled by their loyalty to a competing interest, they should disqualify themselves and refrain from participating in the deliberations and decision-making regarding the conflict-affected matter.

This does not preclude their attendance and participation at any meeting of a committee or other body on the same basis as any non-member of the committee or other body.

In instances where individual volunteers believe that there may be the appearance of a conflict of interest, as in II.C above, although they believe that their independent judgment will not be affected by a competing interest, the volunteers should nevertheless avail themselves of at least one of the following consultative courses of action:

1. If an individual is serving on a council, sector, board, division, committee, section, subcommittee or other decision-making body, the individual should make certain that all concerned with the projected deliberations or decision-making clearly understand the facts and circumstances involved in this possible conflict situation. Then following due consideration of the circumstances involved, unless a three-fourths majority concur by secret ballot that the continued participation will not unreasonably jeopardize the integrity of the decision-making process, the individual shall refrain from participation in deliberations not open to non-members and decision-making regarding the conflict-affected matter. Such disqualification considerations may be either referred or appealed (in the first instance, to the appointing committee or supervisory body, if any, and then (if unresolved) to the conflict of interest oversight body designated by the Board of Governors pursuant to Section IV., below) by
the chair of the committee, subcommittee or other body, the individual volunteer or any other participant in the potential conflict of interest consideration;

2. If the individual is acting for or on behalf of ASME other than in a committee or group participation capacity, or if an individual serving on a committee or group wishes to bypass the step described in Section III.A.1, the individual should bring the potential conflict of interest matter directly to the attention, in the first instance, of the appointing committee or supervisory body, if any, and then (if unresolved) to the attention of the conflict of interest oversight body designated by the Board of Governors pursuant to Section IV., below.

B. Challenges by Other Members

Any member of a council, sector, board, division, committee, section, subcommittee or other decision-making body who believes that the continued participation of any other member of that body may unreasonably jeopardize the integrity of the decision-making process may call for the consultative courses of action set forth in Sections III.A.1 and III.A.2 above.

IV. IMPLEMENTATION

Individuals participating as volunteers in ASME activities have the primary responsibility for assuring their adherence to this Society Policy. Nonetheless, given the sensitive nature of these considerations and the interest of the Society in preserving the integrity of its reputation and processes, ASME retains responsibility for oversight in this area. Accordingly, the Board of Governors hereby assigns oversight responsibility for this Society Policy to the ASME Committee on Ethical Standards and Review. The Committee on Ethical Standards and Review shall have authority to review questions of conflicts of interest and to render opinions thereon. The Committee on Ethical Standards and Review may authorize the Chair of the Committee on Ethical Standards and Review to issue a letter of warning or admonishment to persons who violate this policy or request that the Chair to refer the matter to the Executive Director for processing as an ethics complaint under policy P-15.4. A decision of the Committee on Ethical Standards and Review shall be binding and final if a letter of warning or admonishment is the course of action.

V. ASME STAFF

The provisions of this Society Policy are applicable to the ASME staff, as well as to the members of councils, sectors, boards, divisions committees, sections, subcommittees, other decision-making bodies and individuals acting for or on behalf of ASME, as set forth above.
VI. USE OF ASME TITLES

The use of Society titles for members holding elected and non-elected office shall follow the guidelines stated in paragraph III.D.4 of Society Policy P-14.6, Name, Seal, Emblem, Initials, Titles, Identification and Certificates. Violations of these guidelines shall be considered under violations of the Code of Ethics. (See Society Policy P-15.7, Ethics.)

VII. USE OF ASME STATIONERY


VIII. NOTICE

Each time an individual is elected or appointed to a position, or appointed to represent ASME in any capacity, including all members of ASME standards writing committees, the individual shall at the time of election or appointment be sent a copy of this Society Policy and Society Policy P-15.7, Ethics and P-14.6, Society Name, Seal, Emblem, etc., and should be advised to adhere to the provisions of these policies as a condition of acting for or representing the Society.

IX. ACCEPTANCE

Before taking office, unless there is in ASME's files a prior signed acceptance of Society Policy P-15.8, each member of a councils, sector, board, division, committee, district, section subcommittee, or other decision-making body, as designated by each sector, and each individual elected or appointed to act for or on behalf of ASME shall state in writing adherence to the conditions of this Society Policy. If this signed Statement is not on file, the member may not take office.

Additionally, an Annual Disclosure regarding Conflicts of Interest shall be submitted by voting members of the Board of Governors, the Executive Director, Treasurer, Assistant Treasurer, Secretary, Assistant Secretary, and key employees (as defined by the Internal Revenue Service).

Note that when either Policy P-14.6 or P-15.8 receives substantive revision as determined by the Board of Governors, all persons required to have a Conflict of Interest Statement on file shall receive a copy of the revised Policy and shall be requested to sign a new Conflict of Interest Statement.

X. OVERSIGHT

At least twice a year, the Executive Director of ASME shall submit a report to the Committee on Ethical Standards and Review certifying that the requirements of Section VIII, Notice, and Section IX, Acceptance, have been met, and shall include names of those not in compliance.
Should there be any occurrence where a member does not re-sign a Conflict of Interest Statement and forward it to the Society within 90 days, the Executive Director shall inform the pertinent council, board, committee, sector or other body requiring the execution of a Conflict of Interest Statement that the member is in violation of Section IX of Policy P-15.8 and may not continue in office or further represent ASME.

When action is taken by a member to comply with this Policy, that individual will be reinstated to their position and allowed to represent ASME in their previous position.

| Responsibility: | Centers Sector Board of Directors/Center for Career and Professional Advancement/Committee on Ethical Standards and Review |
| Reassigned from Centers Sector Board of Directors/Center for Professional Development, Practice and Ethics/Committee on Ethical Standards and Review 4/23/09 |
| Reaffirmed from Council on Member Affairs/Board on Professional Practice & Ethics 6/1/05 |
| Adopted: | June 23, 1976 |
| Revised: | November 18, 1982 (editorial changes 2/83) |
| | June 14, 1985 (editorial changes 11/85) |
| | (editorial changes 9/86) |
| | June 11, 1987 (editorial changes 3/88) |
| | (editorial changes 7/88) |
| | (editorial changes 11/88) |
| | September 11, 1994 |
| | March 15, 1996 |
| | November 21, 1996 (editorial changes 3/97) |
| | (editorial changes 6/04) |
| | (editorial changes 6/1/05) |
| | (editorial change in responsible unit 4/09) |
| | September 14, 2009 |
SOCIETY POLICY

POLICY AGAINST DISCRIMINATION (INCLUDING DISCRIMINATORY HARASSMENT) -- MEMBERS

I. PREFACE

A. Discrimination (including discriminatory harassment) by a member of ASME against any other member or ASME employee or job applicant on the basis of race, color, religion, sex, national origin, age, citizenship status, disability, covered veteran or military status, or any other characteristic protected by state or local equal employment opportunity laws, shall not be tolerated.

B. Discrimination (including discriminatory harassment) by a member of ASME against an individual who is neither a member nor an employee or job applicant of ASME on the basis of race, color, religion, sex, national origin, age, citizenship status, disability, covered veteran or military status, or any other characteristic protected by state or local equal employment opportunity laws, is also of concern to ASME when the conduct occurs on ASME premises or during an ASME activity.

C. Conduct in violation of this Policy is grounds for discipline by ASME, up to and including expulsion from membership.

II. PURPOSE

A. To state the ASME policy against discrimination (including discriminatory harassment) by members.

B. To describe the types of conduct prohibited by this Policy.

C. To establish a procedure for dealing with violations of this Policy.
III. POLICY

A. ASME prohibits discrimination on the basis of race, color, religion, sex, national origin, age, citizenship status, disability, covered veteran or military status, or any other characteristic protected by state or local equal employment opportunity laws with respect to any decision or recommendation made by a member concerning (a) the participation of another member in an ASME activity or (b) the hiring, performance evaluation or a work assignment of an ASME employee.

B. Prohibited discriminatory conduct also includes conduct by a member that constitutes harassment based on race, color, religion, sex, national origin, age, citizenship status, disability, covered veteran or military status, or any other characteristic protected by state or local equal employment opportunity laws.

1. Examples of such conduct are racial or ethnic slurs and threatening, intimidating or hostile acts directed at a particular sex or religion, or directed at a member or ASME employee because of his or her national origin or color.

2. Harassment does not require an intent to offend. Thus, when unwelcome by the recipient, certain conduct meant as a joke, a prank, or even a compliment can lead or contribute to harassment.

C. Sexual harassment is a specific type of discriminatory harassment. ASME prohibits conduct that constitutes sexual harassment. Unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature constitutes sexual harassment for purposes of this Policy when:

1. Submission to such conduct is made explicitly or implicitly a term or condition of an individual’s work assignment at ASME or participation in any activity of ASME;

2. Submission to or rejection of such conduct by an individual is used as the basis for decisions or recommendations affecting such individual’s employment at ASME or participation in any activity of ASME;

3. Such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance at ASME or participation in any activity of ASME.

D. No member with a leadership role is at any time to (1) threaten or imply that an individual’s submission to or rejection of a sexual advance will in any way influence any decision, recommendation or evaluation regarding that individual’s employment at ASME or participation in any activity of ASME; or (2) make any decision or recommendation concerning an
individual’s employment at ASME or participation in any activity of ASME on such a basis.

E. Other conduct by members in ASME's workplace or in connection with any ASME activity that creates or could lead or contribute to an intimidating, hostile or offensive work environment, whether it be in the form of physical, visual or verbal harassment, is also prohibited. Such conduct includes, but it is not limited to:

1. repeated unwelcome sexual flirtations, advances, or propositions;
2. verbal abuse of a sexual nature;
3. graphic verbal comments of a sexual nature about an individual's body;
4. sexually degrading words used to describe an individual;
5. the access to, or display or distribution of, sexually suggestive objects or pictures (including via the use of computers); and
6. inappropriate touching of an individual.

F. ASME also prohibits retaliation against any ASME member for making a good faith report or complaint of an alleged violation of this Policy, or for participating in an investigation of such a report of complaint, under the procedures set forth below.

IV. PROCEDURE

A. Any member who believes that he or she has been subjected to any behavior by any ASME member or employee that violates this Policy should immediately bring the matter to the attention of the appropriate individual as set forth in paragraphs 1. and 2. below. Members who have information about conduct violative of this Policy directed toward other members or any ASME employee are also encouraged to report the relevant facts pursuant to this Policy. Prompt reporting is very important so that ASME can take action to stop the conduct before it is repeated.

1. If the alleged victim and the alleged offender are members who are not employees of ASME, the complaint should be made to either of two members of the Committee of Past Presidents that have been designated by that Committee to serve in this function, currently Susan Skemp and Reginald Vachon, by e-mailing asmepastpresidentcontact@asme.org. Those individuals (and any other chair, leader, or vice president who may receive information concerning the existence of such a complaint) should immediately report the complaint to the Executive Director, regardless of whether the complaint was written or oral.

2. If either the alleged victim or alleged offender is an employee of ASME, the complaint should be brought to the attention of the
Executive Director. If the alleged offender is an employee of ASME, the procedures set forth in Sections IV.B. and IV.C. for handling the complaint will not apply. Instead, the Executive Director will report the complaint to ASME’s Human Resources Department, and the complaint will be handled in its entirety in accordance with ASME’s Employee Handbook (the applicable section(s) of which shall be available to any member upon request). If the alleged victim is an employee of ASME but the alleged offender is a member, the complaint will be handled in accordance with ASME’s Employee Handbook, except that upon determining that this Policy has been violated, the Human Resources Department will report that determination to the Executive Director and the Vice President for Career and Professional Advancement, who will decide whether disciplinary measures are appropriate in accordance with Section IV.C.4. below, and Sections IV.C.5. and IV.C.6. below will also apply.

3. If either the alleged victim or alleged offender is neither a member nor an employee of ASME, but the alleged incident occurred on ASME premises or during ASME activities, the Executive Director shall, based on the circumstances, determine what, if any, action should be taken. If the alleged incident did not occur on ASME premises or during ASME activities, the Executive Director shall inform the complainant that ASME has no jurisdiction and will accordingly take no action.

B. Upon receiving a report of an alleged violation of this Policy by a member against another member, the Executive Director shall proceed as follows:

1. The Executive Director and the Vice President for Career and Professional Advancement, shall, in consultation with each other, decide whether an attempt should be made to resolve the complaint via communication with the complainant and the alleged offender ("facilitation"). If they decide to pursue facilitation, the Executive Director, the Vice President for Career and Professional Advancement or another individual selected by the Executive Director in consultation with the Vice President for Career and Professional Advancement shall serve as the facilitator. Should facilitation result in resolution, the resolution agreed to by the complainant and the alleged offender shall be committed to writing and signed by both parties.

2. If the Executive Director and Vice President for Career and Professional Advancement decide that the matter should be formally investigated (whether or not it is referred to facilitation), the complainant will be informed and should promptly forward to the Executive Director a signed complaint detailing the allegations. In such a case, the procedures set forth in Section C below shall apply.

3. Notwithstanding any other provision of this Policy, the Executive Director, President or the Board of Governors may investigate any
An investigation of any complaint submitted pursuant to Section IV.B.2. shall proceed as follows:

1. The Executive Director or the Vice President for Career and Professional Advancement will investigate or appoint another individual to investigate. The investigator will conduct interviews of the complainant, the alleged offender and other individuals as necessary.

2. After completion of the investigation, the investigator will make a written report to the Executive Director and the Vice President for Career and Professional Advancement, who will determine whether this Policy has been violated.

3. If the Executive Director and the Vice President for Career and Professional Advancement determine that this Policy has not been violated: (i) the complainant and alleged offender will be so informed; (ii) any written records concerning the investigation will be kept by the Executive Director in a confidential file for three years and will be destroyed at the end of that period if within that period no similar complaint against the alleged offender has been found to be valid; and (iii) no further action will be taken.

4. If the Executive Director and the Vice President for Career and Professional Advancement determine that this Policy has been violated, they will decide on any appropriate remedial measures and/or disciplinary measures, up to and including expulsion from ASME, and inform the offender and the Board of Governors of their decision in writing. The Executive Director or the Vice President for Career and Professional Advancement will also inform the complainant of the determination that the Policy has been violated, and, if applicable, of any remedial measures, and will determine what, if anything, the complainant shall be advised about any disciplinary measures taken as to the offender.

5. The individual found to have violated this Policy may request in writing that the Board of Governors review the investigation process for compliance with Sections IV.C.1 – IV.C.4. of this Policy (or, if relevant, ASME’s Employee Handbook). Any such request must be received by the Board of Governors within ten (10) days after the date the individual was informed of the decision. The Board of Governors will not review the merits of the decision. The Board of Governors will complete its review within thirty (30) days of receiving a timely written request. Any remedial and/or disciplinary measures will be held in abeyance pending completion of the Board of Governors' review.

6. If the Board of Governors conducts a review and finds that the investigation complied with the relevant procedures, the remedial
and/or disciplinary measures decided upon by the Executive Director and the Vice President for Career and Professional Development will be taken. If the Board of Governors finds that the investigation did not comply with the relevant procedures, they may recommend (i) that the case be closed; (ii) that further investigative steps be taken in accordance with the appropriate policy; or (iii) if the failure to adhere to procedure was insignificant, that the remedial and/or disciplinary measures decided upon by the Executive Director and the Vice President for Career and Professional Advancement be carried out. The Executive Director and the Vice President for Career and Professional Advancement will take any further action necessary to resolve the complaint in accordance with the Board of Governors' recommendation.

D. If the Vice President for Career and Professional Advancement or Executive Director decides to abstain from participating in handling any complaint or report of an alleged violation of this Policy, he or she shall be replaced as follows:

1. In the case of the Vice President for Career and Professional Advancement, the President shall appoint a replacement.

2. In the case of the Executive Director, he or she shall be replaced by the Deputy Executive Director with the greatest seniority. If such Deputy Executive Director decides to abstain, he or she shall be replaced by the President, or, if he or she decides to abstain, the immediate Past President.

3. In the event all of the individuals holding the positions specified above shall abstain, the Board of Governors shall appoint from its membership two individuals to fulfill the roles of the Vice President for Career and Professional Advancement and the Executive Director under this Policy.

E. ASME will strive to keep the identity of persons making complaints pursuant to this Policy as confidential as possible.

F. It is a violation of this Policy for any retaliatory action to be taken or threatened against an individual who in good faith reports or provides information about a possible violation of this Policy or who in good faith participates in a related investigation or exercises any other right protected by the equal employment opportunity laws. In the event that a member believes he or she has been retaliated against for such action, he or she should use the reporting procedures outlined in Section IV.A. of this Policy to report the pertinent facts promptly. ASME will investigate and take appropriate action in the manner described above.

G. The making by a member of a complaint pursuant to this Society Policy which such member knows to be false or the providing by a member of information which such member knows to be false relating to such a complaint is a violation of the Code of Ethics of Engineers and may be the
subject of a complaint against such member brought pursuant to Society Policy P-15.4. Any complaint of a violation of this Policy that has been determined to have been knowingly false shall be expunged from any and all records of ASME relating to the alleged offender.

H. The procedures for handling complaints set forth in Sections IV.C. and IV.D. above will also apply:

1. If a complaint of a violation of this Policy is made against a member of ASME by an individual who is neither a member nor an employee of ASME, and the alleged incident occurred on Society premises or during Society activities; and

2. If a complaint of a violation of this Policy is submitted to the Chair of the Committee on Ethical Standards and Review as an alleged ethical violation.

Responsibility: Centers Sector Board of Directors/Center for Career and Professional Advancement

Reassigned from Centers Board of Directors/Center for Professional Development, Practice and Ethics 4/23/09

Reassigned from Council on Member Affairs/Board on Professional Practice and Ethics 6/1/05

Adopted: September 10, 1993

Revised: March 12, 1999
(editorial changes 6/05)
June 8, 2008
(editorial changes 4/09)
SOCIETY POLICY

RESEARCH

I. PREFACE

Article C2.1.1 of the ASME Constitution presents a list of the purposes of the Society that defines the extremely broad interests of the Society.

II. PURPOSE

To provide the policies and procedures needed to govern the operation of the Society's Center for Research and Technology Development.

III. POLICY

In order to accomplish these objectives the Society has established the Center for Research and Technology Development (CRTD) and adopted the following policy to govern its operation:

A. Governing Board

1. The CRTD shall be governed by a Board on Research and Technology Development (BRTD).

B. Organizational Units

1. In accordance with B5.6.2.2. of the Society By-Laws, research committees, task forces, expert panels, consortia, and other organizational units in specifically assigned technological areas may be established by the BRTD. They shall organize their own procedures and, when appropriate, shall plan, conduct, and report upon a project or projects within their designated scope, under the general direction of the BRTD.

C. Assessment of Research Needs and Establishment of Research Priorities.

1. The BRTD and its organizational units shall carry out on a continuing basis the assessment of research needs in the field of mechanical engineering and the establishment of research priorities.

D. Research Projects

1. Where research projects are to be carried out as ASME-sponsored research, the Research Committee or Task Force must first receive
approval from the BRTD. The approval of a project authorizes the Research Committee or Task Force to approach potential donors such as industry, government, or other appropriate funding agencies for funds for supporting the project and to negotiate with research groups for carrying out the work. If sufficient support is offered, a proposed contract shall be prepared for review, and approval if warranted, by the BRTD (or its executive committee) and the Executive Director or Assistant Treasurer. If approved, either the Executive Director or the Assistant Treasurer must sign the contract before work may commence.

a. The CRTD shall strive to operate all of its research projects on a financially self-supporting basis. Accordingly, the budgets associated with new project proposals shall seek full compensation for all anticipated direct costs for the proposed project including staff time, fringe benefits and travel. Additionally, such proposals shall include an assessment for the indirect costs associated with conducting such projects (e.g. postage, rent, phone, IT support, and staff training). The amount of this assessment shall be calculated at the beginning of each fiscal year by the Society’s Controller. Charges for staff salaries and indirect costs shall accrue to the General Fund of the Society.

b. To assure that the Society’s research projects are reasonably priced, the BRTD shall be authorized to offer partial cost sharing with potential users of the Center’s services.

c. Project budgets may include a charge for subcontract management, set by the BRTD, that accrues to the General Fund of the Society. The purpose of this charge is to generate revenue to reflect the added value and offset the costs associated with preparing bids and proposals and providing volunteer and staff oversight of the Center’s operations.

d. Project budgets may also include a Fee for Advanced Research, set by the BRTD to be used to provide seed money for portfolio development, for new R&D projects of national interest, to assist the BRTD and its research or planning committees in carrying out their supervisory functions and to provide a quick response to requests for assistance by Federal agencies, the Congress and other appropriate organizations. Such funds shall be disbursed in accordance with Society Policy P-2.1.

e. If, at any stage of a particular project it appears that the costs of performing that project will exceed the funding available, the responsible unit shall either acquire the necessary additional funds from external organizations, use its own resources (e.g., its own general custodial account, as opposed to the specific project account), or negotiate a change in the scope of work with the sponsor and subcontractors.
E. Cooperation with Other Institutions

1. The CRTD shall facilitate the development and application of technology by encouraging partnerships among organizations from industry, government, and academia.

F. Conflict of Interest in Research Contracts

1. Sponsorship of research projects by ASME Research Committees inherently endows each such project with the prestige of the ASME name. This conveys to prospective or active contributors of financial support implicit assurance that available funds will be spent wisely for intelligently planned and efficiently executed work designed to produce useful results. For this reason, it is imperative that Society-sponsored research projects be planned and executed using the highest levels of technical competence, financial integrity, and professional ethics.

2. ASME consistently and strongly opposes actions that involve actual or potential conflicts of interest. See Policy P-15.8 for detailed guidance.

3. Similarly, in order to avoid internal inconsistencies and possible conflicts of interest, if any proposed research project relates to an area of technology covered or addressed by an existing or proposed code and standard supervised by the Society's Codes and Standards and Certification Sector, appropriate representatives of that Sector should be consulted prior to the undertaking of such project.

G. Patents

1. Because patentable discoveries are always possible in research, all agreements with individuals and with research agencies shall contain provisions concerning patent rights.

2. Such provisions shall be for the purpose of precluding unauthorized and possibly restrictive exploitation of discoveries arising from Society-sponsored research as well as for the purpose of encouraging the use of such discoveries for the benefit of the profession and humankind.

3. Such provisions shall recognize the need for flexibility in order to give proper credit to a contractor for his prior knowledge or technology, and accordingly will follow three different patterns, as appropriate to the specific conditions of the project. The appropriate pattern is to be determined prior to signing a contract.

   a. In all cases, each research agency or individual will be required, upon entering a project, to agree in writing to make prompt and full disclosure to the Research Committee of any invention which may be patentable and which results from the research contract.

   b. Where the contract is in a field of science or technology where any likely discovery can be attributed primarily to the work funded through the Society, then each research agency or
individual must agree to assign any and all rights to said invention to ASME or its designee if so requested by ASME. In such an event ASME shall have the right, at its discretion, to prosecute one or more patent applications with respect to said invention at its expense, and the contractor shall be required to cooperate fully in such prosecution and in the subsequent enforcement of any rights under any resulting patents. In such cases the contractor may (if ASME so agrees) acquire a royalty-free, non-exclusive license, with the right to sub-license, under any patents issued on said inventions.

c. Where the purpose of the contract is to build upon existing knowledge or technology, and it is in a field of technology in which the contractor has acquired technical competence and has an established commercial position, the contractor may acquire the exclusive rights throughout the world in and to any resulting invention.

4. If and when the Society acquires any patent rights it will exercise diligence in bringing the invention into public use. To this end, the Society may either administer the invention itself or alternatively entrust its administration to a patent management agency of its choice.

H. General Benefit

Contributions for research may be received only on the basis of general benefit to humankind, the profession, or industry. Contributors may be acknowledged in reports of the research and, when useful to the research, contributors may participate in technical advisory capacity.

IV. PROCEDURE

A. Research Project Approval

1. Each suggested research project shall be presented for approval to the BRTDB. If the BRTD considers the proposed project to be appropriate for ASME sponsorship, it shall authorize the appropriate CRTD organizational unit to conduct the project. Alternatively, the BRTD may choose to refer the proposal to any other group with relevant expertise. The Knowledge and Community Sector Board of Directors shall be given written notification of all approved projects.

2. When insufficient time is available to seek the entire BRTD’s approval on a proposal, the Executive Committee has the authority to review and approve a proposal on the BRTD’s behalf. The proposal, along with a mail ballot, will be sent to each BRTD member for endorsement.

Responsibility: Knowledge and Community Sector Board of Directors

Reassigned from Council on Engineering/Board on Research and Technology Development 6/1/05
Adopted: September 11, 1959

Revised: March 3, 1967
April 27, 1973
November 27, 1973
June 18, 1975
April 23, 1976
June 15, 1984
(editorial changes 9/84)
(editorial changes 6/87)
January 2, 1989
June 13, 1991
(editorial changes 9/91)
June 18, 2003
(editorial changes 9/03)
(editorial changes 6/1/05)
SOCIETY POLICY

GUIDE FOR FORMATION OF INSTITUTES

I. PREFACE

A. Article C2.1.1 of the ASME Constitution lists among the purposes of the Society the following:

1. "Promote the exchange of information among engineers and others", and
2. "Broaden the usefulness of the engineering profession in cooperation with other engineering and technical societies."

II. PURPOSE

A. To provide a definition and description of types of institutes.
B. To provide a guide for the formation of an institute.
C. To provide for oversight and evaluation.

III. DEFINITIONS AND DESCRIPTIONS

A. The term "Institute" has been added to ASME nomenclature to provide additional flexibility by permitting new organizational arrangements which do not fit within the previously existing ASME structure.

B. Institutes must have operational goals consistent with ASME's goals and may possess all or some of the following attributes:

1. Strong potential for prospering in ASME.
2. Provision for a systematic, purposeful, managed, innovative, forward-thinking operation plan.
3. A self-sufficient activity having its own staff and revenue sources.
4. Legal separation, where necessary, through formation of a 501(c)(3) subsidiary corporation.

C. Forms of Institutes

1. An Institute whose activities primarily require an outside relationship, a 501(c)(3) subsidiary corporation.
2. An Institute that is formed from an existing outside organization whose activities fit those of ASME.
3. An Institute formed within the ASME structure whose activities would require an outside relationship.

4. An Institute that develops from inside the present Society structure.

D. Criteria for Becoming an Institute

The criteria for becoming an Institute are established by the Institutes Sector Board of Directors under the direction of the Board of Governors. The criteria are as follows:

1. The business must generate a surplus, net of all business and operational costs, including reimbursement of ASME administrative costs.

2. The annual gross revenue of the business must exceed $1 Million.

3. Must have an established governance board.

4. Must have a charter approved by the Board on Institutes Sector Board of Directors and the ASME Board of Governors.

5. Must have a vision and mission statement consistent with ASME and the Institute’s focused, sustainable business activities.

6. The dedicated staff and volunteers of the Institute will direct all of its activities, technical and administrative, in accordance with ASME operating procedures.

E. Fledgling Institute operations may be approved by the Institutes Sector Board of Directors and authorized to operate under an Incubator function until the time the specific operations can meet the aforementioned criteria.

IV. PROCEDURE

The Board of Governors, upon recommendation from the Institutes Sector Board of Directors, may consider and approve the establishment of an Institute. Proposals for establishment of an Institute require the following:

A. Statement of purpose.

B. Description of the governance, membership, degree of autonomy, and relationship to existing ASME structure.

C. Statement of applicable attributes of Institutes as listed in III.B, and III.D.

D. Statement of how the proposed activities will provide revenue sources to fund operation of the Institute and how these activities will be consistent with ASME’s tax exempt status.
E. Statement of the magnitude or nature of the proposed activities which greatly exceed or are not well served by present ASME structure.

F. Provision for submittal of the following documents to the Institutes Sector Board of Directors and ASME Board of Governors for review and assessment:

1. Annual activities reports
2. Budgets, business plan, and operations plan
3. Financial reports
4. Minutes of meetings of the governing board or other body.

G. Sunset provisions. Should the Institute become unsustainable the Institute will report this fact to the Board on Institutes for recommendations to the Board of Governors.

Responsibility: Institutes Sector Board of Directors
Reassigned from Committee on Organization and Rules 6/12/05

Adopted: June 15, 1988
Reaffirmed: August 5, 1994
Revised: June 6, 2001
June 12, 2005
SOCIETY POLICY

IGTI and IPTI ROLES AND RESPONSIBILITIES

I. PREFACE
A. Article C2.1.1 of the ASME Constitution lists among the purposes of the Society the following:

1. "Promote the exchange of information among engineers and others", and

2. "Broaden the usefulness of the engineering profession in cooperation with other engineering and technical societies."

B. By-Law B5.5.1.1 describes the Institutes Sector as:

1. "Under the direction of the Board of Governors", and

2. "Responsible for the activities of the Society relating to ASME Institutes and ASME business and unit incubation activities.”

C. Society Policy P-16.3, Guide for Formation of Institutes provides information on the definition and description of institutes provides a guide for the formation of new institutes as well as oversight, evaluation and sunset provisions.

II. PURPOSE OF POLICY
A. To provide guidance on the operations of the International Gas Turbine Institute (IGTI) and the International Petroleum Technology Institute (IPTI).

B. To clarify the authority, roles and responsibilities of the IGTI and IPTI Boards and ASME staff.

C. To record an agreement between the Board of Governors and the Boards of IGTI and IPTI.

III. DEFINITIONS AND DESCRIPTIONS
A. Both IGTI and IPTI are led by a separate Sector Board of Directors. When the term “Institute Sector Board of Directors” is used in procedures (below) this refers to a specific Institute, either IGTI Institute Board of Directors or IPTI Institute Board of Directors.

B. “Managing Director” used below refers to a specific Managing Director of either IGTI or IPTI.
IV. PROCEDURES

1. The recruitment of the Managing Director of each ASME Institute shall be an ASME headquarters staff responsibility with criteria obtained from and recommended selection by each Institute’s Board of Directors.

2. Each Institute’s Board of Directors, with concurrence by the ASME Executive Director, shall have authority to terminate the employment of the Managing Director of their Institute. Also, the ASME headquarters staff termination procedures shall be followed.

3. With concurrence of the Institute’s Board of Directors and the ASME Executive Director, the Managing Director of an Institute shall have the authority to select ASME staff personnel reporting to him/her. In consultation with the Institute’s Board of Directors and in accordance with the ASME personnel policies, ASME Headquarters Human Resources shall be responsible for the development of the salary range of staff reporting to the Managing Director of an Institute. The primary recommendation to pay a specific amount within the salary range shall rest with the Managing Director of an Institute, with the concurrence of the Institute’s Board of Directors and the ASME Executive Director.

4. With the concurrence of the Institute’s Board of Directors and the ASME Executive Director, the Managing Director of an Institute shall have the authority to make the decision to terminate the employment of ASME staff personnel reporting to him/her. In this event, the ASME headquarters staff termination procedures shall be followed.

5. The Managing Director of an Institute shall report to that Institute’s Board of Directors through the Chair. The Managing Director of an Institute shall be responsible to the ASME Executive Director to ensure that the Institute’s technical, operating and administrative activities conform to ASME Policy.

6. The goals and policies of an Institute are set by that Institute’s Board of Directors, as established by the Assignment of Duties. It shall be the responsibility of the Managing Director of an Institute to plan and implement the programs necessary to accomplish the goals and administer the policies.

7. In consultation with other members of the Institute’s Board of Directors and the ASME Executive Director, the Chair of each Institute shall prepare and sign the performance appraisal form for the Managing Director of their respective Institute and submit it to the Executive Director for review and for proper personnel retention. The Managing Director of an Institute shall have only one performance appraisal form placed in his/her personnel file annually and that will be one initiated by the Chair of the Institute’s Board of Directors and reviewed by the ASME Executive Director. Further, in consultation with other members of the Board, it will be the responsibility of the Chair of the Institute’s Board of Directors to recommend to the Executive Director the salary level for the Managing Director of their Institute subject to review by the Executive Director/Staff Performance Review Committee (EDSPRC).

8. The Managing Director of an Institute shall be responsible for preparing and signing the performance appraisal for all staff members reporting to him/her. He/she will also be responsible for recommending to the Chair of their respective Institute’s Board of Directors and the ASME Executive Director, the salary level for those staff members, subject to review by the Executive Director/Staff Performance Review Committee (EDSPRC).
9. This policy represents an agreement between the Board of Governors and each Institute’s Boards of Directors. Any changes to this policy shall follow due process including full consultation with each Institute’s Board of Directors and the ASME Board of Governors.

Responsibility: Board of Directors, Institutes Sector Board

Responsibility: Institutes Sector Board of Directors

Adopted: April 25, 2008