

## 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

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

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)  
(editorial changes 1/14)

## SOCIETY POLICY

### CERTIFICATES OF APPRECIATION

#### I. PREFACE

In 1945 ASME addressed the need to provide a statement of appreciation and thanks for service to ASME by adopting a Society Policy establishing Certificates of Appreciation.

#### II. PURPOSE

To provide a Society Policy for the presentation of Certificates of Appreciation from ASME to members for service to ASME.

#### III. POLICY

- A. Each year a Certificate of Appreciation for service to the Society, signed by the President and Executive Director, may be presented to:
  1. Retiring members of the Board of Governors and retiring Society officers.
  2. Retiring members of the Nominating Committee.
  3. Retiring members of committees reporting to the Board of Governors.
- B. Certificates of Appreciation for service to the Society may be presented to the persons listed below at the end of their terms of office. Certificates of Appreciation may not be authorized later than one year after the end of the term of office. Exceptions to this time limitation may be made only by the Board of Governors.
  1. Student section advisors, upon recommendation by the Board on Leadership and Recognition in the Student and Early Career Development Sector, and approval by the Senior Vice President of the Student and Early Career Development Sector. To be signed by the President, Senior Vice President, and Executive Director.
  2. Chairs of groups, upon recommendation by the executive committee and approval by the Sector Management Committee. To be signed by the President, Chair of the Sector Management Committee, and Executive Director.
  3. Chairs and members of boards and committees reporting to a sector and chairs of committees reporting to boards, upon recommendation by the unit and the Chair (if any) and approval by the sector board (if any). To be signed by the President, Senior Vice President (if applicable), Chair (if applicable), and Executive Director.
  4. Technical and Associate Editors of Transactions Journals, upon recommendation by the Technical Committee on Publications and Communications. To be signed by the President, and Executive Director.

C. Certificates of Appreciation may be presented to the following:

1. Selected persons for outstanding leadership and/or especially effective service in the development of standards and codes sponsored by the Society, upon recommendation of their associates and approval by the Standards and Certification Council. To be signed by the President, Senior Vice President for Standards and Certification and Executive Director.
  2. Selected persons for outstanding leadership and/or effective service in the field of research sponsored by the Society, upon recommendation by their associates and approval by the applicable sector board. To be signed by the President, Senior Vice President, and Executive Director.
  3. Selected members of the Society who have exhibited unusual and outstanding service in areas of Society activities not covered in other parts of this Society Policy, upon approval by the Board of Governors. To be signed by the President, Senior Vice President (if applicable), and Executive Director.
- D. Certificates of Appreciation will not be awarded to members for contributions made while serving as members of the ASME staff.
- E. A person may not receive two Certificates of Appreciation for the same activity.

Responsibility: Committee on Honors

From the Committee on Planning and Organization to the Committee on Honors August 5, 1994

Adopted: April 27, 1945

Revised: March 2, 1956  
February 6, 1959  
September 8, 1961  
November 3, 1961  
July 10, 1963  
December 13, 1963  
October 21, 1966  
January 6, 1967  
June 13-14, 1973  
March 16, 1975  
May 21, 1976  
October 28, 1977  
March 7, 1980  
June 27, 1980  
June 16, 1982

June 10, 1983  
(editorial changes 1/84)  
(editorial changes 1/85)

June 14, 1985  
(editorial changes 6/87)  
(editorial changes 8/88)  
(editorial changes 2/93)  
(editorial changes 8/94)  
(editorial changes 9/95)  
(editorial change 6/01)  
(editorial change 6/02)  
(editorial change 6/04)  
(editorial changes 6/1/05)  
(editorial changes 6/10)  
(editorial changes 11/12)  
(editorial changes 1/20/15)  
(editorial changes 3/26/18)

## SOCIETY POLICY

### ELECTION OF GOVERNORS

#### I. PREFACE

By-Laws B6.1.3 and B6.2 cover the election of Governors and the proxy procedure. This Society Policy provides additional details about this process.

#### II. PURPOSE

- A. To describe the positions involved;
- B. To describe the nominating processes;
- C. To describe the voting procedure; and
- D. To describe the procedure for handling proxies.

#### III. POLICY

It is an underlying philosophy of ASME that "the position shall seek the individual; the individual or their supporters should not seek the position." This policy defines the procedures through which the Society elects Governors guided by this philosophy.

#### IV. PROCEDURE

##### A. OVERVIEW

1. The election of Society Governors takes place at the first Business Meeting of each fiscal year. The results of the election shall be based upon the valid proxies and the votes of corporate members voting in person. The elective positions covered by this procedure are the Elected Governors. The Elected Governors shall be of Member grade or higher.

##### B. NOMINATIONS

1. A slate of nominees for the election at the first Business Meeting of each fiscal year is determined by the Nominating Committee, which is convened during the Second Business Meeting of the previous fiscal year. The Nominating Committee is representative of the Society as a whole, since it consists of members designated by the various operating units of the Society and elected by the corporate membership. The Nominating Committee convened during the Second Business Meeting of the fiscal year will have been elected in this manner during the same business meeting in the previous fiscal year.
2. In addition to the proposals for Society Governors which come from the various nominating processes or procedures of the units, other proposals may be submitted by the Society membership. Such proposals are encouraged by publicizing in ASME NEWS or MECHANICAL ENGINEERING the elective positions to be filled.

3. The number of nominees on the slate proposed by the Nominating Committee shall be one for each vacancy.

C. VOTING

1. In accordance with the New York Not-for-Profit Corporation Law, the Society voting procedures provide for the issuing of proxies authorizing the three most recent available Past Presidents to cast proxy votes for the election of Governors. Proxy forms shall be provided to the corporate members 10 to 60 days prior to the first Business Meeting of each fiscal year.
2. The form of the proxy shall permit the corporate member to authorize voting for nominees designated on the proxy but to withhold authorization for voting on other matters.

D. PROXIES

1. One week prior to the first Business Meeting of each fiscal year, a Committee of Inspectors of Proxies and Ballots, appointed by the President, shall meet to supervise the examination, validation and counting of the proxies.
2. In counting the proxies for election of Governors, the Committee of Inspectors of Proxies and Ballots shall consider any authorization to vote in favor of any particular nominee as valid provided that the intent of the executing member is clear, even though the proxy statement with regard to voting for another office or any other matter for any reason be declared invalid.
3. Since proxies for voting at the first Business Meeting of each fiscal year may be withdrawn or replaced up until the time of voting, the proxy statement may include a message urging that the proxy be executed and mailed to arrive at a designated address by some designated date in order to facilitate the work of the Committee of Inspectors of Proxies and Ballots.

Responsibility: Nominating Committee

Adopted: October 15, 1956

Reaffirmed: June 12, 1996  
March 12, 2013

Revised: September 16, 1960  
September 9, 1966  
June 18, 1975  
June 17, 1981  
(editorial changes 12/83)  
March 12, 1987

(editorial changes 8/88)  
September 14, 1989  
June 6, 1990  
(editorial changes 9/95)  
June 9, 1999  
June 1, 2005  
November 15, 2014  
(editorial changes 3/18)  
April 19, 2022

## SOCIETY POLICY

### PROCEDURES FOR AMENDMENTS TO THE CONSTITUTION AND BY-LAWS

#### I. PREFACE

Article C8.1 indicates procedures for amendments to the Constitution. By-Law B8.1 indicates procedures for amendments to the Constitution and By-Laws and Society Policies.

#### II. PURPOSE

To amplify the procedures indicated in Article C8.1 and By-Law B8.1 in the Constitution and By-Laws.

#### III. PROCEDURE

##### A. Constitutional Amendments

1. An amendment to the Constitution may be proposed in writing at any Business Meeting of the Society provided it has the written endorsement of at least 20 corporate members<sup>1</sup> in good standing. The amendments shall be placed on a proxy ballot if the corporate members present at the meeting, not less than 20 voting in favor thereof, shall so decide. Proxy ballots for voting on the Amendment shall be provided to the corporate members of the Society.
2. The proxy ballot shall solicit the authorization by the member for the three most recent available past Presidents or any one of them to exercise the vote of the corporate member either for or against the proposed amendment. A member voting by proxy ballot shall return the signed proxy ballot in a manner specified by the Society, which may be by mail, facsimile or electronic mail, provided such electronic mail is transmitted with information from which it can be reasonably determined that the proxy ballot was authorized by such member.
3. Proxy ballots shall be considered valid for each amendment for which the intent of the voter is clear and the proxy ballot conforms with the regulations for voting. Proxy ballots received after the closing date specified on the proxy ballot shall not be counted.
4. In accordance with Articles C8.1 and B6.2.3 of the Constitution and By-Laws, the President shall appoint a Committee of Inspectors of Proxies and Ballots whose duty shall be to canvass the votes cast by the corporate members on proposed amendments. The term of these Committee members shall end when their report of the canvass of the amendment ballot has been presented and received at a Business Meeting of the Society.

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<sup>1</sup>Corporate members are ASME members of Fellow and Member grade, or Honorary Members who have been elevated from one of these grades.

5. The proxy ballots with respect to amendments shall be opened as they are received by designated members of the ASME staff, or by an independent organization retained for that purpose, and counted so that the Committee members can readily oversee the compilation. The Committee of Inspectors of Proxies and Ballots shall report the results of the proxy voting at the next Society Business Meeting. Following the report of the Committee, the Presiding Officer shall conduct a vote on the proposed amendment. Corporate members present who have not executed proxy ballots may vote at the meeting. Corporate members present who have executed proxy ballots but have withdrawn proxy ballots prior to the tabulation presented by the Committee of Inspectors of Proxies and Ballots may also vote at the meeting. Corporate members holding valid proxy ballots may vote those proxy ballots at the meeting. An amendment to the Constitution shall become effective after this report of the Committee members, provided that two-thirds of those voting have voted in favor of the amendment.

**B. By-Law Amendments**

New By-Laws or amendments to existing By-Laws shall be submitted in writing for approval in preliminary form at any meeting of the Board of Governors. At a subsequent meeting the Board of Governors may by majority of the Entire Board of Governors adopt or amend By-Laws in harmony with the Constitution. A new By-Law or an amendment shall take effect immediately upon its adoption by the Board of Governors.

Responsibility: Committee on Organization and Rules

Adopted: April 17, 1975

Reaffirmed: June 7, 2008  
May 10, 2013

Revised: April 24, 1978  
June 17, 1982  
(editorial changes 12/83)  
(editorial changes 6/87)  
(editorial changes 8/88)  
(editorial changes 9/89)  
(editorial change 2/93)  
(editorial change 6/96)  
March 12, 1999  
(editorial changes 3/01)  
(editorial changes 11/01)  
(editorial changes 6/1/05)  
November 15, 2014  
April 19, 2022



## SOCIETY POLICY

### CUSTODIAN AND OPERATING FUNDS TECHNICAL DIVISIONS, RESEARCH COMMITTEES, SECTIONS AND OTHER SOCIETY ACTIVITIES

#### I. GENERAL

- A. An ASME activity is defined as a division, research committee, section or other member unit.
- B. Custodian Funds are defined as sums of money raised by an ASME activity for approved activities or projects and maintained by the Treasurer of the Society in the general accounting of the Society. The procurement of such funds is to be by methods consistent with character, professional standing and best interest of the Society. Authority for the use of these funds remains with the appropriate ASME activity.
- C. Operating Funds are defined as sums of money similar in source and usage to Custodian Funds but maintained separately by an ASME activity with banks or other recognized local financial institutions. The names and addresses of the financial institutions in which Operating Funds accounts are maintained must be reported annually, in the month of July, to the Committee on Finance with the names of those individuals authorized to make withdrawals.
- D. All expenditures from Custodian and Operating Funds shall be made for purposes of the Society in accordance with Society Policies. Prior to the engagement of any individual on a regular and continuing basis to perform services for a unit of the Society, the proposed action is to be submitted to the Executive Director for approval.
- E. The Chief Financial Officer shall render to the chair of each ASME activity which has a Custodian Fund, a financial statement of its fund at the close of every month in which any change in the amount of the fund has occurred.

#### II. TECHNICAL DIVISIONS

- A. A technical division that wishes to expand its activities beyond those provided by appropriations from the Society through the use of monies which it procures by efforts independent of the general activities of the Society, must obtain approval of the Knowledge and Community's Technical Communities Operating Board with concurrence of the Committee on Finance for establishment of any new Custodian Fund or Operating Fund in the books of the Society.

- B. A technical division whose activities are such that it is necessary for expenditures to be made directly by the technical division and which has an approved budget under paragraph II.E. may request, in addition to its Custodian Fund, approval from the Committee on Finance to establish an Operating Fund.
- C. All monies received and expended by a technical division are to be included in the annual financial report of the Society. All income and expenditures are to flow through to the financial statements in the following manner:
  - I. All monies received are to be deposited in a Custodian Fund account recorded in the books of the Society.
  - 2. All expenditures are to be made from this Custodian Fund account upon the written request of two members of the Society authorized by the executive committee of the technical division. Technical group Directors may approve expenditures in amounts not to exceed \$2000 after obtaining approval by telephone or otherwise from two authorized members of the technical division executive committee. Copies of such approved invoices shall be sent to these members for their records;
    - or
  - 3. Alternatively, after establishing a Custodian Fund account, a technical division Operating Fund may be established at a level based upon the size of the approved technical division budget and specified in the request for approval of establishment of the Operating Fund. The original sum will be withdrawn from its Custodian Fund. The Operating Fund is to be reimbursed up to the approval level from the Custodian Fund upon submission of paid invoices. Receipts are to be deposited in the Custodian Account in the books of the Society;
    - or
  - 4. Alternatively, a technical division authorized to establish an Operating Fund may deposit money directly into the Operating Fund accounts and submit an annual financial statement prepared by a Certified Public Accountant in a format acceptable to the Society's auditors. This statement must be submitted not later than July 25 for the fiscal year ended June 30.
- D. If the Society is put to additional expense by the activity of a technical division, the General Fund of the Society is to be reimbursed to an extent to be determined by the Board of Governors acting upon the advice of the Committee on Finance who shall request the advice of the technical community's operating board directing the division.
- E. When an activity of a technical division involves total annual expenditures of \$100,000 or more, the division must prepare an itemized Budget and

submit it to the Committee on Finance for review and recommendation to the Board of Governors during the next year for approval prior to any commitments for the subsequent year.

- F. If, as a result of the division's activities, a special publication is made available for sale by the Society, the price to be paid by the Society into the Custodian Fund or Operating Fund which has borne the expense of the publication is to be determined by the Board of Governors acting upon the advice of the Committee on Finance who shall request the advice of the technical group operating board directing the sponsoring technical division.
- G. In the event of the discharge or dissolution of a technical division which has a Custodian Fund, Operating Funds, or both, the disposition of any balance remaining in such Funds shall, upon recommendation of the Committee on Finance, be determined by the Board of Governors.

### **III. RESEARCH COMMITTEES**

- A. Due to the nature of the Research Committees activities their Custodian Fund accounts are to be maintained in the books of the Society with all receipts and expenditures flowing through to the Society's financial statements.
- B. Expenditures are to be made from the Custodian Fund upon the written approval of two authorized members of the Research Committee and the ASME Director, Research.

Alternatively, the Director, Research may approve expenditures, in amounts not to exceed \$2000, after obtaining approval by telephone from two authorized members of the Research Committee. Copies of such approved invoices shall be sent to these two members for their records.

- C. The Center for Research and Technology Development 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, proposal development, fund raising, and staff training). The amount of this assessment shall be determined through negotiations with ASME's cognizant federal agency. Charges for staff salaries and indirect costs shall accrue to the General Fund of the Society.

To assure that the Society's research projects are reasonably priced, the Board on Research and Technology Development shall be authorized to offer partial cost sharing with potential users of the Center's services.

- D. If, as a result of activities, a special publication is made available for sale by the Society, the price to be paid by the Society into the Custodian

Fund which has borne the expense of the publication is to be determined by the Board of Governors acting upon the advice of the Committee on Finance who shall request the advice of the Board directing the sponsoring research Committee.

- E. When monies which are being collected for a specific research project are insufficient to initiate the activity, the monies collected are to be returned to the donors in full at their option. In the event that there is an excess of monies after completion of a project, the disposition of the excess is to be determined by the Board on Research and Technology Development.

#### IV. **SECTIONS**

- A. Receipt and Disbursement of Funds
1. Monies from the General Fund are disbursed to sections, subsections, groups and technical chapters by appropriations in accordance with Society Policy P-2.8. In addition, monies may be solicited for special local activities in accordance with Society Policy P-5.3.
  2. These Society organizations receiving and/or disbursing funds may account for the money in an annual financial statement prepared on forms available from headquarters. The due date of the financial statement is September 30 for the Society's fiscal year ending June 30. The section is responsible to insure that the financial activities of any subsection, local group, or technical chapter affiliated with it are accounted for in its financial statement submission.
  3. Appropriations received from the ASME General Fund must be accounted for separately from monies derived from local activities.
- B. All monies received and disbursed by a section and its affiliates are to be included in the annual financial report of the Society. Where appearing hereafter, the word "section" includes its affiliated subsections, local groups and technical chapters. The presentation of the financial activities will flow through to the financial statements in one of the following manners:
1. For a section with (a) no money received or expended other than from ASME appropriations or (b) a section whose receipts or expenditures from other than the ASME appropriations totals less than \$15,000:

An annual financial statement shall be prepared on the approved ASME forms and audited by two members of the section's auditing committee who are not members of the section's executive committee.
  2. For a section whose receipts or expenditures from other than ASME appropriations totals \$15,000 or more:

- a. An Operating Fund shall be established at a level based upon the size of the total budget approved by the section executive committee. All excess money over the approved Operating Fund balance is to be deposited in a Custodian Fund account and recorded in the books of the Society.

The Operating Fund is to be maintained in a manner similar to an impress or petty cash fund. The Operating Fund is to be reimbursed up to the approved level from the Custodian Fund account upon submission of authorized paid invoices. All receipts are to be deposited in the custodian account in the books of the Society.

An annual financial statement prepared on the approved ASME forms and audited by two members of the section's auditing committee who are not members of the section's executive committee must be submitted.

or

- b. Alternatively, a section authorized to establish an Operating Fund shall deposit money directly to the Operating Fund account and shall submit an annual financial statement prepared by a Certified Public Accountant in a format acceptable to the Society's auditors. This statement must be submitted not later than September 30 for the administrative section year ended June 30.
3. When an activity of a section involves total annual expenditures of \$100,000 or more, the activity must prepare an itemized budget and submit it to the Committee on Finance, for recommendation to the Board of Governors during the next year for approval prior to any commitments for the subsequent year.
- C. In the event of the dissolution of a section or its affiliates which has a Custodian or Operating Fund, or both, any balance remaining in such Funds shall, upon recommendation of the Committee on Finance, be disposed of as determined by the Board of Governors.
  - D. The names and addresses of the financial institutions in which section funds (or their affiliates) are maintained must be reported annually with the section's annual financial statement with the names of those individuals authorized to make withdrawals.

**V. OTHER SOCIETY ACTIVITIES**

- A. All monies received and disbursed by other Society activities not covered elsewhere in this Policy must also be included in the annual financial report of the Society.
- B. Other Society activities shall establish Custodian and/or Operating Funds in the same manner as set forth for sections as included in IV.B.2 and must submit an annual financial statement prepared on an approved ASME form and audited by two members of the other Society activity who are not members of its governing body.
- C. The names and addresses of the financial institutions in which funds are maintained must be reported annually with the annual financial statement with the names of those individuals authorized to make withdrawals.

Responsibility: Committee on Finance

Adopted: December 1, 1977

Revised: June 10, 1983  
June 15, 1984  
(editorial changes 8/88)  
June 13, 1991  
September 11, 1994  
(editorial changes 6/96)  
September 20, 1996  
June 9, 1999  
June 1, 2005

## SOCIETY POLICY

### INVESTMENT POLICY OF THE SOCIETY

#### I. PREFACE

Investment authority of the BOG and COF

##### A. BOG

Article C.4.1.11 of the Society's Constitution states: "The deposit, investment, and disbursement of all funds shall be subject to the direction of the Board of Governors."

##### B. COF

1. By-Law B4.4.5 states: "The Committee on Finance, under the direction of the Board of Governors, shall be responsible for the management of the securities of the Society."
2. By-Law B5.2.5.1 states: "The Committee on Finance, under the direction of the Board of Governors, shall supervise the financial affairs of the Society, and shall support the Board and its committees by conducting an annual review of the Society's budgets."

#### II. PURPOSE

A. The purpose of this investment policy (the "Policy") is to set forth the standards and guidelines governing the investment and management of the Society's financial assets by the Society's Board of Governors (the "BOG"), Committee on Finance (the "COF") and staff, as well as its Investment Consultant (defined below) and investment managers.

B. The goal of the Policy is to provide for:

1. Preservation and marketability of principal;
2. Maintenance of purchasing power;
3. Reasonable yield on invested funds; and
4. Minimum idle cash in working funds.

#### III. POLICY

##### A. Financial Assets Of The Society

###### 1. Working Capital

The Working Capital is the amount required for short-term operating and program expenses.

###### 2. Investment Portfolio

The Investment Portfolio includes Reserve Funds, Endowment Funds and any other funds designated by the BOG as part of the Investment Portfolio.

- a. Reserve Funds are funds held in reserve to support the Society's future operations and strategic initiatives and to serve as a resource during economic downturns.
- b. Endowment Funds include temporarily and permanently restricted endowment funds.

B. Investment Objectives And Guidelines

1. Working Capital

The Working Capital will be invested, so far as practical, in income earning short-term U.S. Government securities, in short-term notes of well financed corporations, or various money market funds.

2. Investment Portfolio

- a. The Investment Portfolio will consist of equities, fixed income securities and other types of investment (as defined below).
  - 1) Preservation of principal must be a prime consideration of investment.
  - 2) "Other types of investment" may include the following: purchase of real estate for use by the Society; purchase of real estate as a source of rental income; and other prudent investments. This type of investment may be made after economic analysis demonstrates that it will produce a return equal to or greater than the return earned through equities and fixed income securities.
- b. Following are permitted investments and constraints recommended by the COF and approved by the BOG:
  - 1) Investments shall be limited to readily marketable securities, registered with the SEC.
  - 2) There shall be no leverage used in the Investment Portfolio.
  - 3) No purchase shall be made in securities issued by an investment manager or any of its affiliates.

- 4) No equity securities of a single issuer, or its affiliates, shall comprise more than 5% of the equity portion of any investment manager.
- 5) Equity holdings in American Depository Receipts (ADR's) and other U.S. dollar denominated foreign securities, listed on the U.S. exchanges or on NASDAQ, must not exceed 20% of the portfolio, measured at market value.
- 6) All equity portfolios are to be fully invested at all times, with cash and cash equivalents not to exceed 5% of the total market value of the account. This maximum of 5% may be temporarily (not to exceed 30 calendar days) exceeded as a result of a sale of securities, or when newly allocated funds are received into the account.

#### C. Diversification And Allocation

1. Investments of the Investment Portfolio will be diversified to limit the risk of loss resulting from the concentration of assets in a specific type of investment, specific maturity, specific issuer or sector unless the COF determines that, because of special circumstances, the purposes of a fund is better served without diversification. The COF will periodically review the diversification strategy but it must review any decision to not diversify on an annual basis.
2. From time to time COF may set, based on the financial and economic conditions, ranges for the allocation of equities, fixed income securities and other types of investment in the Investment Portfolio. Staff will monitor external manager compliance with the asset allocation ranges on a monthly basis. In the event that the asset allocation ranges are not being met, staff will advise the Investment Consultant to take corrective action. The Investment Consultant will then develop alternatives and options to be presented to the COF for discussion and approval.

#### D. Delegation To External Agents

1. To the extent it considers prudent, the COF may delegate management and investment decisions to one or more external agents, such as a bank, investment advisor, investment manager or custodian, except where prohibited by the terms of a gift instrument.
2. The COF will act in good faith and with the care an ordinarily prudent person in like position would exercise under similar circumstances in (i) selecting, continuing or terminating the external agent; (ii) establishing the scope and terms of the delegation, including the compensation to be paid; and (iii)

monitoring the agent's performance and compliance with the scope and terms of the delegation.

3. The COF, in making the decision as to whether to delegate such functions to a specific external agent, shall conduct such due diligence as the BOG deems appropriate, such as reviewing information regarding the external agent's experience, personnel, track record and proposed compensation as compared to appropriate peers.
4. An external agent to which management and investment authority is delegated owes a duty to the Society to exercise reasonable care, skill and caution to comply with the scope and terms of the delegation.

#### E. Investment Consultant

1. The COF will appoint a professional investment consultant (the "Investment Consultant") for advice on the investment allocation and on the specific investments to be purchased and sold. The Investment Consultant should be qualified to manage an investment portfolio, have a documented track record of investment portfolio management results and be independent of investment sales. The COF will choose the Investment Consultant, monitor his/her performance, and make changes as deemed necessary.
2. The COF will review with the Investment Consultant the asset allocation and performance at the quarterly COF meetings. Based on input from the Investment Consultant, the COF will determine if any changes to the Investment Portfolio are necessary. The Investment Consultant will research and provide appropriate investment options, and the COF will make the final decision.

### IV. PROCEDURE

#### A. Performance Review & Reporting

1. Reports on investments in the Investment Portfolio will be provided to the appropriate Society committees in a format and on a schedule approved by the COF.
2. Internal & External – Monthly and quarterly reports on the performance of investments will be provided by the Society's Finance Department to the appropriate committees and participating Society Units.
3. Reports of investment performance will include:
  - a. The return on the Investment Portfolio;
  - b. Comparisons against the established benchmarks; and
  - c. The effect of the investments on Society reserves.

4. The Investment Consultant will independently provide the COF with quarterly reports on the performance of the Investment Portfolio.

B. Guidelines On Prudent Investing

1. Standard of Care

Each person responsible for managing and investing an institutional fund of the Society will do so in good faith with the care an ordinarily prudent person in a like position would exercise under similar circumstances and will consider both the purposes of the Society and the purpose of each institutional fund. The term "institutional fund" refers to each fund held by the Society other than an asset held not for investment but primarily to accomplish a programmatic purpose of the Society.

2. Factors Requiring Consideration

In managing and investing an institutional fund, the following factors, if relevant, will be considered:

- a. General economic conditions;
  - b. The possible effect of inflation or deflation;
  - c. The expected tax consequences, if any, of investment decisions or strategies;
  - d. The role that each investment or course of action plays within the Society's overall investment portfolio;
  - e. The expected total return from income and the appreciation of investments;
  - f. Other resources of the Society;
  - g. The needs of the Society and the institutional fund to make distributions and to preserve capital; and
  - h. An asset's special relationship or special value, if any, to the purpose of the Society.
3. Management and investment decisions about an individual asset will be made not in isolation but rather in the context of the portfolio of an institutional fund as a whole and as part of an overall investment strategy having risk and return objectives reasonably suited to the fund and the Organization.
  4. COF will diversify the assets of an institutional fund unless it prudently determines that, because of special circumstances, the purposes of the fund are better served without diversification. Any decision not to diversify will be reviewed as frequently as circumstances require, but at least annually.
  5. Within a reasonable time after receiving property, COF will make and carry out decisions concerning the retention or disposition of the property or the

rebalancing of its portfolio, in order to bring the institutional fund into compliance with the Organization's purposes and distribution requirements as necessary to meet the Organization's other circumstances and the requirements of applicable law.

6. A person with special skills or expertise, or selected in reliance upon his or her representation that he or she has special skills or expertise, will use those skills or that expertise in managing and investing institutional funds.
7. The BOG or COF may delegate to an external agent the management and investment of an institutional fund to the extent that an institution could prudently delegate under the circumstances and will act in accordance with the prudence standard described above in selecting, continuing or terminating the agent, establishing the scope and terms of the delegation, and monitoring the agent's performance and compliance with the scope and terms of the delegation. The delegating body will take reasonable measures to assess the independence of external agents selected to manage and invest institutional funds, including any conflicts of interest the agent has or may have.

These Guidelines on Prudent Investing are included in this policy in accordance with the requirements of New York law.

#### C. Review Of The Investment Policy

The COF will review the Policy, and may amend the Policy, from time to time as necessary to reflect developments affecting the Society's finances and activities, subject to BOG approval. The COF must notify the members of the BOG of any amendment to the Policy at least thirty (30) days prior to the effective date of the amendment.

Responsibility: Committee on Finance

Adopted: October 14, 1956

Revised: October 20, 1960  
September 6, 1968  
June 19, 1975  
March 24, 1978  
September 29, 1978  
June 10, 1983  
November 28, 1990  
June 13, 1991  
(editorial change 6/96)  
(editorial change 6/1/05)  
June 23, 2013



P-2.3  
6/1/05

## SOCIETY POLICY

### BUDGET AND FINANCIAL ADMINISTRATION

#### I. FINANCIAL ADMINISTRATION POLICIES

##### A. General:

1. New activities shall not be authorized by the Board of Governors without assurance that the funds required to support both the direct and the administrative expenses of the activity will be available.
2. The Committee on Finance and the Board of Governors will have reported to them on a periodic basis throughout the fiscal year, an Analysis of Interim Results. An Analysis of the Results for the Fiscal Year End shall also be presented following the close of each fiscal year.
3. Appropriations or Inter-fund transfers of unrestricted funds shall be made by the Board of Governors with the recommendation of the Committee on Finance.
4. The monies in the various funds of the Society shall be invested in accordance with the Society Policy P-2.2.

##### B. Development Fund:

A Development Fund shall be maintained to provide the initial expenses of special projects of a developmental nature in accordance with Society Policy P-2.5. Appropriations from development funds shall normally support such projects for not more than two years.

##### C. Travel Expense Contributions:

1. Maximum travel expense contributions shall be in accordance with Society Policy P-4.5.
2. While Society Policy P-4.5 sets forth all those who are eligible for travel expense contributions, the monies available for this purpose are limited to funds included in each unit's budgeted travel expense item(s). Transfer of funds from other activities to increase funds available for travel expense contributions is not permissible.

## II. RESERVES

The Contingency Reserve shall be maintained to provide a basic source of financial security in the event of catastrophic downturn in income or meet unexpected expenses caused by major emergency needs.

The Contingency Reserve goal shall be recommended annually by the Committee on Finance, and approved by the Board of Governors, as a percentage of the trailing three-year average of General Fund operating expenses.

Funds in excess of the Contingency Reserve Target goal may be used for initiatives as recommended by the Committee on Finance and approved by the Board of Governors.

Responsibility: Committee on Finance

Adopted: June 1959

Approved: On an annual basis (approximately) from 1960-1983

Reaffirmed June 1, 2005

Revised: January 19, 1984  
(editorial changes 4/85)  
June 20, 1986  
September 10, 1986  
(editorial changes 8/88)  
(editorial changes 9/89)  
(editorial changes 3/90)  
(editorial changes 9/90)  
March 14, 1991  
March 20, 1992  
(editorial changes 6/96)  
June 9, 1999  
March 15, 2003



P-2.4  
6/19

## SOCIETY POLICY

### INSURANCE REQUIREMENTS FOR CONTRACTORS TO ASME

#### I. PREFACE

ASME contracts with many individual consultants, independent contractors, and others providing services to ASME. These individuals and firms, when under contract with ASME, present the potential for insurance claims and litigation against ASME based on acts or omissions by the individuals or firms acting in behalf of ASME or on a caprice of their own.

#### II. PURPOSE

- A. To establish guidelines for insurance coverage required of individuals and firms contracting with ASME;
- B. To establish the procedure for implementation; and
- C. To provide guidance in the event this Society Policy requires further clarification.

#### III. POLICY

- A. Individual consultants, vendors, and contractors are required to provide proof of insurance because ASME may be exposed to potential liability as a result of the engagement.
- B. These consultants, vendors, and contractors shall provide ASME with relevant certificates of insurance of an amount sufficient and from an insurance provider of sufficient financial strength as determined by the ASME Executive Director and/or Chief Financial Officer, who may utilize the advice of ASME insurance broker, legal counsel, or other professionals as necessary.
- C. Wherever practicable, contracts with consultants, vendors and contractors should provide for indemnification of ASME against liabilities resulting from acts or omissions of such service providers, their employees and agents.
- D. If further clarification of the applicability or requirements of this Policy is required with respect to any activity, the Executive Director or Chief Financial Officer shall be consulted.

Responsibility: Committee on Finance  
Transferred from Committee on Legal Affairs: 6/1/05

Adopted: September 11, 1994

Revised: November 19, 1999  
September 13, 2003  
June 5, 2019

Reaffirmed: June 1, 2005



P-2.6  
6/19

## **SOCIETY POLICY**

### **CAPITAL ADDITIONS, FURNITURE, FIXTURES AND EQUIPMENT**

#### **I. PREFACE**

- A. 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."
- B. By-Law B4.4.6 states: "All payments for expenditures shall be made by the office of the Chief Financial Officer upon proper authorization, in accordance with the budget adopted by the Board of Governors."
- C. Any perceived discrepancy between the statement of policy herein and the Society Policy P-2.9 shall be resolved with P-2.9 prevailing.

#### **II. PURPOSE**

- A. To provide a policy for expenditures of funds for capital additions, furniture, fixtures and equipment.
- B. To establish a procedure for the purchase of capital assets, except real and equity, including:
  1. Budgeting requirements,
  2. Purchasing approval, and
  3. Accounting requirements.

#### **III. POLICY**

- A. Each unit reporting to the Board of Governors anticipating an expenditure for capital assets must submit a budget request.
- B. The "capital budget" must include all items costing \$3,000 or more.

**IV. PROCEDURE****A. Budget.**

1. A capital budget will be prepared each year and submitted to the Committee on Finance and Investment.
2. After reviewing the capital budget, the Committee on Finance will submit it to the Board of Governors for its approval at the time of the General Fund Budget approval.
3. The capital budget will include all items or groups of a like item costing \$3,000 or more to be purchased in the ensuing budget year as well as a projection for any subsequent year.
4. Unusual and non-recurring major projects must be submitted for approval with sufficient lead time for proper review and funding even if all or part of such projects are beyond the ensuing budget year.
5. Items of new or replacement office equipment may be grouped under an Executive Director's equipment fund of \$100,000 each budget year.
  - a. Any individual piece of furniture or fixture costing \$1,000 or more in place must be listed separately.
  - b. Each proposed purchase for the field offices costing \$1,000 or more must be itemized separately.
6. Leased items will be treated the same as other capital expenditures with regard to the total value of the items leased.

**B. Purchasing approvals.**

1. Major purchases of capital assets included in the approved annual budget require a formal purchase request which shall contain the cost, vendor bids, and the reason for the purchase.
2. Purchase requests will include specific approval(s) when the on-site-cost per item, total amount of lease, or system is:
  - a. Up to \$50,000 — Executive Director or Executive Director's designee.
  - b. \$50,000 or more — Executive Director.

3. Requests for additional capital expenditures during a fiscal year that were not approved by the Board of Governors as part of the annual budget approval process, are subject to the following approvals:
  - a. Committee on Finance: total of all non-budgeted expenditures if less than \$100,000.
  - b. Board of Governors: total of all non-budgeted expenditures exceeding the first \$100,000.

C. Accounting.

1. Capital expenditures will be recorded in the asset account of the Society and depreciated in accordance with their useful lives or as follows:

ASSET CLASS	YEARS
Leasehold Improvements	20
Furniture and Fixtures	15
Equipment (General computer equipment, machines, etc.)	5
Personal Computers and Peripherals	3
Motor Vehicles	3

2. The write-off of the capital assets will be charged to a depreciation account in General Administration and allocated in accordance with the accounting policies of the Society.
3. Field office assets will be charged to the respective field office depreciation accounts.

Responsibility: Committee on Finance

Adopted: September 14, 1982

Reaffirmed: June 1, 2005

Revised: (editorial changes 6/87)  
(editorial changes 4/89)  
June 22, 1989  
September 17, 1992  
March 11, 1993  
(editorial changes 6/96)  
June 9, 1999  
June 5, 2019

## SOCIETY POLICY

### SOLICITATION AND ACCEPTANCE OF FUNDS

#### I. PREFACE

Society By-Law B4.4.4 states, No grant, gift or bequest to the Society shall be accepted until it and any restrictions thereon have been approved by or under the authority of the Board of Governors. Upon receipt, such grants, gifts, and bequests shall be invested and used for the Society's purposes and in accordance with any restrictions thereon mandated by the donor and approved by or under the authority of the Board of Governors. The Executive Committee of the Board of Governors may accept unrestricted grants, gifts, or bequests with a value of less than \$2,500,000.

#### II. PURPOSE

- A. To provide for the coordination of fundraising activities.
- B. To prevent excessive solicitation of funds from any one source.
- C. To state the requirements for accepting funds.
- D. To allow legally permissible updates to the original gift provisions.

#### 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 ASME 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. The threshold amount for a major fundraising effort is \$5,000.
- B. Smaller projects which do not extend beyond the unit making the solicitation and are budgeted at less than \$5,000 do not have to be coordinated through and approved by the ASME Executive Director's office. For sections and student sections these might be appeals for restricted contributions in 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). Closely related projects may not be disaggregated for purposes of attempting to circumvent the definition of major fundraising efforts.

- C. A gift should be deemed “unrestricted” only if there is no donor-imposed restriction on the management, investment or purpose of the property being donated. A restriction on purpose would include any restriction requiring that such property be held for a particular programmatic purpose and/or for the purpose of being an endowment fund (whether in support of general operating purposes or in support of a specific programmatic purpose) and/or otherwise limiting ASME’s unfettered use of the gift or the earnings thereon.

## 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 ASME 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 ASME Executive Director, who shall respond within three weeks on whether they have or have not been approved. The ASME Executive Director shall refer those requests to the Philanthropy Committee which, in his or her judgment, he or she believes warrant Committee action. A written explanation shall be provided with each rejection of a request or referral to the Committee.
1. Technical divisions, subdivisions, professional sections, subsections, and student sections are to submit requests to their staff representative who will forward to the unit's Senior VP for approval to start the process.
  2. All other boards and committees (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.
- Some government jurisdictions require organizations to register in order to conduct fundraising campaigns among its citizens. ASME staff will assist the proposal writer to see if registration is needed or is already in place for the jurisdictions whose citizens are being solicited.
- 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. The letter must include the value of any goods or services that are received as part of the contribution (for example, the value of a meal that is part of a fundraising gala) as well as other statements that may be required or recommended to comply with federal tax laws.
- 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 ASME Executive Director identifying solicitation purposes, dollar levels and organizations providing support. The results of fundraising should be included in the group's financial reports, and this requirement should be detailed in the group's operation guide.
- H. Funding for an award, scholarship, or project named after an individual must come from the individual himself or herself or his or her family except as otherwise authorized under the provisions of Section V.B. Personal contributions from the employers or friends of the individual may also be made once such an award is established by the individual or his or her family.

Many individuals make significant volunteer contributions to ASME. Sufficient funds are not available to recognize all those worthy of having an award, scholarship or project named in their honor. As such, segregated funds from an ASME unit may not be used to endow an award, scholarship or project named after an individual.

However, if an ASME unit develops a unique case to solicit funds in the name of an individual, the unit may submit it under the provisions of Section V.B. of this Society Policy for consideration.

- I. The following guidelines for accepting grants, gifts, and bequests apply:
  1. The Managing Director of Philanthropy may accept an unrestricted grant, gift, or bequest to ASME of cash or publicly traded securities in an amount up to \$500,000.
  2. The Executive Committee may accept an unrestricted grant, gift, or bequest to ASME of cash or publicly traded securities in an amount up to \$2,500,000, as stated in Society By-Law B4.4.4.
  3. The acceptance of a restricted grant, gift or bequest of cash or publicly traded securities will be subject to the same thresholds for acceptance as stated above if the restriction is one for which the Board of Governors expressly authorized funds to be raised.
  4. The acceptance of any other grant, gift, or bequest (including any charitable remainder trust, regardless of the assets being used to establish it) will require approval by the Board of Governors.
- J. Grants, gifts, and bequests are accepted when they are found to contribute to the approved purposes of ASME in accordance with the following principles:
  1. A gift will not be accepted if the funds were acquired by other than legal means, or that clear title to the donated asset does not flow directly from the donor to ASME.
  2. A gift will not be accepted if in the judgment of the Board of Governors the gift is too restrictive in purpose, requires expenditures beyond ASME's resources, or is not aligned with or compromises the Purposes, Mission, Vision or Values of ASME.
  3. A gift will not be accepted if in the judgment of the Board of Governors the intended purpose of the gift and/or being associated with the donor of the gift could damage ASME's reputation, standing or integrity or be contrary to ASME's Purposes, Mission, Vision, and Values.
  4. At the request of the donor, ASME may treat a gift as anonymous. However, a gift will not be treated as anonymous with the purpose of shielding ASME from damage to its reputation or disguising the gift which it would otherwise not have accepted.

5. The acceptance of a gift does not imply nor mean that ASME endorses or approves of a donor's views, opinions, businesses, or activities.

K. The following guideline for repurposing a gift applies:

1. ASME may repurpose an unspent or endowed gift to a new ASME use if, due to changes in ASME programs or applicable laws and regulations, the gift cannot be used as originally envisioned by the donor, provided such repurposing is permissible under the governing instrument.

If the governing document permits repurposing of a gift, the Philanthropy Committee may recommend to the Board of Governors that it direct the gift to a new use or other needs of ASME that conform as closely as possible to the donor's intent. If the terms of a gift agreement do not permit the repurposing of a gift, ASME will seek permission from the donor and prepare any necessary documentation, when possible, or from the New York Attorney General and the court if the donor is deceased or otherwise unavailable.

L. The following guideline for returning a gift applies:

1. ASME may return a gift to the donor if the Board of Governors determines, taking into account the views of the Philanthropy Committee, that retention of the gift could cause damage to ASME's reputation, standing or integrity to be associated with a specific donor or use a gift for its intended purpose and that the return of the gift meets the legal standard of prudence.

In this case, the disposition of the gift will be guided by ASME's Purposes, Mission, Vision, and Values and will depend on the specific circumstances of the case and any legal restrictions imposed by the gift agreement.

M. The following guidelines apply to naming an award, scholarship, or project:

1. In general, ASME will not approve proposals for naming where, in its judgment, doing so is not aligned with ASME's Purposes, Vision, Mission and Values and/or being associated with the proposed name could damage ASME's reputation, standing or integrity.
2. The Board of Governors reserves the right, on reasonable grounds, to revoke or terminate ASME's obligations regarding a naming if, including, but not limited to:
  - a. The Board of Governors determines, taking into account the view of the Philanthropy Committee that ASME's association with the donor could damage ASME's reputation, standing or integrity or be contrary to ASME's Purposes, Mission, Vision, or Values.

- b. In the case of a naming associated with a gift the donor fails to fulfill the terms of the gift and is therefore not entitled to or be eligible for the naming.

Responsibility: Philanthropy Committee

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 changes 6/1/05)  
(editorial changes 7/12)  
(editorial changes 3/18)  
June 5, 2019  
June 15, 2020



## SOCIETY POLICY

### FISCAL FRAMEWORK

#### I. PREAMBLE

- A. Article C4.1.1 of the Constitution reads: "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 limitation of the Constitution and By-Laws, Society Policies and Procedures, and the Laws of the State of New York."
- B. Article C4.1.11 of the Constitution reads: "The deposit, investment and disbursement of all funds shall be subject to the direction of the Board of Governors."
- C. The Board of Governors at its meeting in December 1986, recognizing the need to provide general policy guidance for the management of overall fiscal affairs of the Society, adopted a "Fiscal Policy Framework". Relevant sections of the Fiscal Policy Framework are summarized and incorporated herein.

#### II. PURPOSE

To serve as a guide for all units in fiscal and program planning and in program analysis and evaluation.

#### III. POLICY

- A. All Society Policies with fiscal impact upon ASME must meet or exceed the minimum requirement of this Society Policy as relates to fiscal responsibility and accountability content.
- B. The beneficiary or beneficiaries of a program shall provide a basis for determining the extent to which ASME will subsidize or support a program.
  - 1. Where the individual is the chief beneficiary, the fully burdened cost of the program must be recovered by the fees or charges to the participants or recipients of the program. Exceptions may be made during the initial development phase of the program. When feasible, as determined by the market, a surplus should be the target.
  - 2. Where ASME, the field of engineering, and /or the public is the chief beneficiary, the proportion of ASME funding support shall be established by the Board of Governors.

- C. Wherever possible, the overall ASME budget should be structured so that cost and benefit associated with a particular program are embodied in the same unit. Responsibility, accountability, and control for that particular program should also rest within the same unit.
- D. If III. C. is not possible, then the proportion share of ownership by various units shall determine the responsibility, accountability, and cash flow related to the program.
- E. The Board of Governors shall establish the following for each program:
  - 1. Direct program responsibility of ASME;
  - 2. Budget for the program; and
  - 3. Surplus or cost proportions.
- F. If there are to be financial arrangements for the distribution of program income between units of ASME, those arrangements should be governed primarily by consideration of the Risk/Benefit distribution. If units wish to share in the surplus income, they should be willing to risk sharing in any potential loss. The degree of risk exposure shall determine the share of the benefit.
- G. New program development provisions.
  - 1. Budget allocations for new programs shall be contingent upon the following:
    - a. Proposal documents containing the description of the program, the need for the program, the anticipated income and expenditures, and contingency plans for situations where actual results substantially differ from those projected;
    - b. The funds available for all new programs; and
    - c. The priority for programs as established by the Board of Governors.
  - 2. It should be recognized by all units of the Society that, to the extent new programs are initiated that require a subsidy or net financial support by the Society, and absent any new source of income to the Society, financial support to existing programs will have to be cut back and/or programs will have to be terminated.
- H. Definition
  - 1. A "beneficiary" may be an individual, ASME, the field of engineering, or the public.
  - 2. A "program" may be a service, a product, a conference, or such other activity of ASME.

3. The "fully burdened cost" includes the direct and indirect costs.
4. The "benefits" of a program include the tangible benefits and the intangible benefits, as evaluated by the Board of Governors.

Responsibility: Committee on Finance

Adopted: June 16, 1988

Reaffirmed: June 1, 2005

Revised: (editorial changes 9/89)  
(editorial changes 6/96)  
(editorial 6/1/05)

## **SOCIETY POLICY P-2.13**

### **GRANTS, DONATIONS, GIFTS AND SPONSORSHIPS BY GROUPS**

#### **I. PREFACE**

Constitution Article C2.1.1 states in part that the purposes of ASME are to “Promote the art, science and practice of mechanical and multidisciplinary engineering and allied sciences to diverse communities throughout the world” and “To broaden the usefulness of the engineering profession in cooperation with other engineering and technical societies.”

#### **II. PURPOSE**

This Policy is established to provide ASME Groups, specifically Technical Divisions and Professional Sections, with specific criteria when considering providing financial Grants, Donations, Gifts and Sponsorships to other ASME units or outside professional organizations using Segregated Funds. This Policy specifies the types of projects eligible for financial support, the types of organizations eligible to receive this support and the internal approval process required prior to granting the request.

#### **III. POLICY**

Grants, Donations, Gifts and Sponsorships to other ASME units or outside professional organizations should increase ASME’s impact in fulfilling its purpose to engage in the dissemination of knowledge, technical standards, research, education, professional standards, usefulness of the profession and ethical practice.

#### **IV. DEFINITION AND SCOPE**

##### **A. Projects Eligible for Support**

1. Activities that clearly support the vision and mission of ASME, as established by the Board of Governors (BOG).
2. Activities that are clearly aligned with the ASME Strategy, as established by the BOG.
3. ASME Foundation-sponsored and approved activities, such as the ASME INSPIRE STEM education program.
4. Activities that promote Diversity & Inclusion in engineering practice.
5. Technical literacy programs which may include STEM, K-12, Robotics, Job Fairs, and sponsorships to inspire students to enter the Group's specific area of study.
6. Career planning and skill development activities which may include management skills development and continuing professional engineering education. These may include vocational training, job fairs, local online and video educational courses or support to local ASME Student Sections.
7. Research and Development activities that provide direct support and input to the donor Group's activities, is important to the rational development of technology-based public policy or provides unbiased technical advice to governments at all levels.

B. Eligible Recipient Organizations:

1. U.S. organizations that have current 501(c)3 status, as determined by the Internal Revenue Service, that align with and amplify ASME's purpose. This category excludes national organizations such as the American Cancer Society, American Heart Association, United Way, etc.
2. International organizations with current 501(c)(3) status, if they align with and amplify ASME's purpose.
3. An Educational institution where the grant will support one of the eligible projects identified above.
4. The ASME Foundation.
5. Professional organization foundations working collaboratively with the donor Group to achieve one or more objectives identified above.
6. Local non-profit community outreach organizations supporting the technical literacy or skill development programs identified above.

### C. Not Eligible for Funding

1. Individuals
2. Groups that do not have 501(c)(3) status (e.g. international organizations not filing with the IRS as Section 501(c)(3)'s).
3. Organized religions or groups with religious affiliations.
4. Politicians, political action committees, or legislative-advocacy groups.
5. Annual Fund drives.
6. Organizations that advocate or engage in acts of violence, terrorism, or hate crimes, or oppose diversity, or unlawful discrimination of any kind.
7. Any award, scholarship, or project named after an individual. Please refer to ASME Society Policy P-2.7 for additional information on naming procedures.

### D. Amount Limits

Groups may award up to a maximum of 5%, but not less than \$500, of their prior year segregated account balance for philanthropic purposes. This amount counts towards a Group's maximum 20% annual spend limit set by the Committee on Finance. Support of ASME programs and the ASME Foundation are exempt from these limitations.

## V. PROCEDURE

- A. A request for approval of the activity and grant is submitted through the unit's staff contact.
- B. Eligible projects are not expected to be net revenue producers. Projects eligible for consideration should provide a benefit to ASME and the field of Mechanical Engineering.
- C. The request should include a detailed Concept of the proposed project describing the activity, proposed funding, relationship to the "Projects Eligible for Support", specific measurable objective, and the overall long-term benefit to ASME.
- D. Recipient organizations must submit proof of Section 501(c)(3) status and compliance.
- E. Groups submitting requests must provide evaluation criteria on how applications/proposals were vetted and selected for possible funding.

Peer group review and evaluations from other like Groups are encouraged.

- F. Project requests that clearly fall within the scope of this policy will be approved and returned to the submitting Group for implementation.
  - G. Project requests that require further review will be forwarded to the appropriate Sector for review and comment and then sent to the Philanthropy Committee for final review and action. During this review process, the submitting Group may be required to provide additional detail necessary for the reviewing Sector to fully understand the project.
- H. Reporting: For grants over \$2,000 the recipient organization must:

- 1. Enter into a Grant Agreement with ASME accepting restrictions on what the grant funding can be spent on
  - 2. Submit a narrative report of activities that took place, impact achieved, and a financial spreadsheet showing specifically how the ASME funds were spent.
- I. Not Covered by this Policy: The granting of Scholarships and Award Honoraria are not covered by this policy as they are regulated by other ASME policies and guidelines.

Responsibility: Philanthropy Committee

Adopted: June 5, 2019

Revised: June 15, 2020

## **SOCIETY POLICY P-2.13**

### **GRANTS, DONATIONS, GIFTS AND SPONSORSHIPS BY GROUPS**

#### **I. PREFACE**

Constitution Article C2.1.1 states in part that the purposes of ASME are to “Promote the art, science and practice of mechanical and multidisciplinary engineering and allied sciences to diverse communities throughout the world” and “To broaden the usefulness of the engineering profession in cooperation with other engineering and technical societies.”

#### **II. PURPOSE**

This Policy is established to provide ASME Groups, specifically Technical Divisions and Professional Sections, with specific criteria when considering providing financial Grants, Donations, Gifts and Sponsorships to other ASME units or outside professional organizations using Segregated Funds. This Policy specifies the types of projects eligible for financial support, the types of organizations eligible to receive this support and the internal approval process required prior to granting the request.

#### **III. POLICY**

Grants, Donations, Gifts and Sponsorships to other ASME units or outside professional organizations should increase ASME’s impact in fulfilling its purpose to engage in the dissemination of knowledge, technical standards, research, education, professional standards, usefulness of the profession and ethical practice.

#### **IV. DEFINITION AND SCOPE**

##### **A. Projects Eligible for Support**

1. Activities that clearly support the vision and mission of ASME, as established by the Board of Governors (BOG).
2. Activities that are clearly aligned with the ASME Strategy, as established by the BOG.
3. ASME Foundation-sponsored and approved activities, such as the ASME INSPIRE STEM education program.
4. Activities that promote Diversity & Inclusion in engineering practice.
5. Technical literacy programs which may include STEM, K-12, Robotics, Job Fairs, and sponsorships to inspire students to enter the Group's specific area of study.
6. Career planning and skill development activities which may include management skills development and continuing professional engineering education. These may include vocational training, job fairs, local online and video educational courses or support to local ASME Student Sections.
7. Research and Development activities that provide direct support and input to the donor Group's activities, is important to the rational development of technology-based public policy or provides unbiased technical advice to governments at all levels.

B. Eligible Recipient Organizations:

1. U.S. organizations that have current 501(c)3 status, as determined by the Internal Revenue Service, that align with and amplify ASME's purpose. This category excludes national organizations such as the American Cancer Society, American Heart Association, United Way, etc.
2. International organizations with current 501(c)(3) status, if they align with and amplify ASME's purpose.
3. An Educational institution where the grant will support one of the eligible projects identified above.
4. The ASME Foundation.
5. Professional organization foundations working collaboratively with the donor Group to achieve one or more objectives identified above.
6. Local non-profit community outreach organizations supporting the technical literacy or skill development programs identified above.

### C. Not Eligible for Funding

1. Individuals
2. Groups that do not have 501(c)(3) status (e.g. international organizations not filing with the IRS as Section 501(c)(3)'s).
3. Organized religions or groups with religious affiliations.
4. Politicians, political action committees, or legislative-advocacy groups.
5. Annual Fund drives.
6. Organizations that advocate or engage in acts of violence, terrorism, or hate crimes, or oppose diversity, or unlawful discrimination of any kind.
7. Any award, scholarship, or project named after an individual. Please refer to ASME Society Policy P-2.7 for additional information on naming procedures.

### D. Amount Limits

Groups may award up to a maximum of 5%, but not less than \$500, of their prior year segregated account balance for philanthropic purposes. This amount counts towards a Group's maximum 20% annual spend limit set by the Committee on Finance. Support of ASME programs and the ASME Foundation are exempt from these limitations.

## V. PROCEDURE

- A. A request for approval of the activity and grant is submitted through the unit's staff contact.
- B. Eligible projects are not expected to be net revenue producers. Projects eligible for consideration should provide a benefit to ASME and the field of Mechanical Engineering.
- C. The request should include a detailed Concept of the proposed project describing the activity, proposed funding, relationship to the "Projects Eligible for Support", specific measurable objective, and the overall long-term benefit to ASME.
- D. Recipient organizations must submit proof of Section 501(c)(3) status and compliance.
- E. Groups submitting requests must provide evaluation criteria on how applications/proposals were vetted and selected for possible funding.

Peer group review and evaluations from other like Groups are encouraged.

- F. Project requests that clearly fall within the scope of this policy will be approved and returned to the submitting Group for implementation.
- G. Project requests that require further review will be forwarded to the appropriate Sector for review and comment and then sent to the Philanthropy Committee for final review and action. During this review process, the submitting Group may be required to provide additional detail necessary for the reviewing Sector to fully understand the project.

I. Reporting: For grants over \$2,000 the recipient organization must:

1. Enter into a Grant Agreement with ASME accepting restrictions on what the grant funding can be spent on
2. Submit a narrative report of activities that took place, impact achieved, and a financial spreadsheet showing specifically how the ASME funds were spent.

J. Not Covered by this Policy: The granting of Scholarships and Award Honoraria are not covered by this policy as they are regulated by other ASME policies and guidelines.

Responsibility: Philanthropy Committee

Adopted: June 5, 2019

Revised: June 15, 2020

## 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 candidates for honors, medals, Honorary Members, and awards, and as required shall recommend 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 Sector Board, Board or Committee be present at the time of the voting;
  2. A majority of the members of the Sector Board, 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
  - I. 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:

Barnett-Uzgiris Product Safety Design Award  
Bergles-Rohsenow Young Investigator Award in Heat Transfer  
Blackall Machine Tool and Gage Award  
Per Brue Gold Medal for Noise Control and Acoustics  
Edwin F. Church Medal  
William T. Ennor Manufacturing Technology Award  
Fluids Engineering Award  
Gas Turbine Award  
Heat Transfer Memorial Award  
Henry Hess Early Career Publication Award  
Patrick J. Higgins Award  
Holley Medal  
Internal Combustion Engine Award  
Johnson & Johnson Consumer Companies Inc. Medal  
Allan Kraus Thermal Management Medal  
Bernard F. Langer Nuclear Codes & Standards Award  
Charles T. Main Student Leadership Awards  
McDonald Mentoring Award  
Melville Medal  
Robert M. Nerem Medal  
Burt L. Newkirk Award  
Edward F. Obert Award  
Old Guard Early Career Award  
Old Guard Prizes  
Performance Test Codes Medal  
Prime Movers Committee Award  
R. Tom Sawyer Award  
Outstanding Student Section Advisor Award  
Lakshmi Singh Early Career Leadership Award  
Ben C. Sparks Medal  
Safety Codes and Standards Medal  
Ruth and Joel Spira Outstanding Design Educator Award  
Worcester Reed Warner Medal  
Arthur L. Williston Medal  
S.Y. Zamrik Pressure Vessels and Piping 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:

Adaptive Structures and Materials Systems  
Avram Bar-Cohen Memorial Medal  
Zdeněk P. Bažant Medal  
Thomas K. Caughey Dynamics Medal  
Devor-Kapoor Manufacturing Medal  
Daniel C. Drucker Medal  
Thomas A. Edison Patent Award  
Nancy DeLoye Fitzroy and Roland V. Fitzroy Medal  
Freeman Scholar Program  
Y.C. Fung Young Investigator Award  
Henry Laurence Gantt Medal  
Kate Gleason Award  
Richard J. Goldstein Energy Lecture Award  
Melvin R. Green Codes and Standards Medal  
Edward S. Grood Interdisciplinary Team Science Medal in Bioengineering  
J.P. Den Hartog Award  
Mayo D. Hersey Award  
Soichiro Honda Medal  
Warner T. Koiter Medal  
Robert E. Koski Medal  
Frank Kreith Energy Award  
James N. Landis Medal  
Wilfred C. LaRochelle Conformity Assessment Award  
H.R. Lissner Medal  
Machine Design Award  
M. Eugene Merchant Manufacturing Medal of ASME/SME  
Van C. Mow Medal  
Nadai Medal  
Nemat-Nasser Early Career Award  
Rufus Oldenburger Medal  
Marshall B. Peterson Award  
Pi Tau Sigma-ASME Awards

- Gustus L. Larson Memorial Award
- Pi Tau Sigma Gold Medal
- Charles Russ Richards Memorial Award

James Harry Potter Gold Medal  
Dixy Lee Ray Award  
Ralph Coats Roe Medal  
Milton C. Shaw Manufacturing Research Medal  
Spirit of St. Louis Medal  
J. Hall Taylor Medal  
Robert Henry Thurston Lecture Award  
Timoshenko Medal  
Yeram S. Touloukian Award  
George Westinghouse Medals  
Henry R. Worthington Medal  
Savio Lau-Yuen Woo Translational Biomechanics 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)  
(addition of one new award in 6/2010)  
(addition of three new awards in 6/2011)  
(addition of one new award in 9/2014)  
(Addition of one new award in 6/2015)  
(Changed responsibility to General Awards Committee for one award and dropped one award 4/2016)  
(Updated name to the Henry Hess Early Career Publication Award 7/16)  
(Addition of one new award in 2/2017)  
(Addition of one new award and the deletion of one award in 2/2018)  
(Fluids Engineering Award responsibility changed to GAC 8/18)  
(Addition of Richard J. Goldstein Lecture Award 2/19)  
(Eight awards responsibility changed to GAC 11/19)  
(Addition of Lakshmi Singh Early Career Award 1/20)  
(Addition of Caughey Medal 6/20)  
(Nerem, Higgins, Sawyer and Zamrik Awards responsibility changed 11/20)  
(Addition of Devor-Kapoor Award 2/22)  
(Addition of Grood Award 6/22)  
(Addition of Bar-Cohen Award 10/22)  
(Addition of Bažant Medal 1/23)

**SOCIETY POLICY**  
**ESTABLISHMENT OF NEW ASME SOCIETY AWARDS AND 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. Society Policy P-5.6, Establishment of ASME Contests, covers ASME contests administered by the Student and Early Career Development Sector. This Policy covers only ASME Society contests administered by the Committee on Honors, as well as ASME Society awards.

**II. PURPOSE**

To provide minimum requirements for establishing a new ASME Society award or contest.

**III. POLICY**

- A. The Board of Governors encourages the establishment of (1) awards to recognize achievements and (2) contests to stimulate interest in engineering, provided they are conceived and administered in a manner worthy of the Society's standing and prestige.
- B. To be established as a Society award or a Society contest (as distinct from recognition by a Technical Division, District, Section, Sector, Board or Committee) the administrative procedures and criteria for the award or contest shall be reviewed by the Committee on Honors which shall make recommendations for action to the Board of Governors.
  - 1. In the case of a student award contest, the review and recommendations of the Mechanical Engineering Department Heads Committee and the Public Affairs and Outreach Sector shall precede the review by the Committee on Honors.
  - 2. The Board of Governors or its delegated authority shall designate the recipients of the award or determine the winners of a contest, and the documents attesting to the award or prize shall bear the Society seal and the signature of the President and Executive Director.
  - 3. The Committee on Honors shall appoint the committee that nominates award recipients or judges the contest.
- C. New awards should not supplant existing awards without good reason and should not be in conflict with existing awards.
- D. In general, proposed awards should have a record of success at the divisional level before being proposed as Society level awards. Similarly, Society level awards should revert to divisional level awards when and if activity or demand wanes.

- E. Additional guidelines for new honors and awards are appended.

#### **IV. PROCEDURE**

The proposal for the establishment of a Society award or contest shall include all information listed in items 1 through 6:

1. The name of the award or contest which shall identify it as an ASME Society award or contest, e.g., ASME George Westinghouse Medal, ASME Arthur L. Williston Award Contest.

A Society Award may be named for a corporation. A formally executed agreement between the named corporation and ASME is required. Key issues in the agreement must include: (1) purpose of the award, (2) general selection criteria, (3) formal title of the award, (4) guidelines for use of the corporation's name and/or logo in written material associated with the award, and (5) modification or termination conditions

2. A clear statement of the attainment to be recognized by the award or 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 award or involved in the contest, the proposer shall be joined by bodies that have competence in those areas.
3. A statement of the need for the award or contest, particularly in relation to other ASME awards or contests and other Society awards or contests in the field of engineering or activity in which the proposed award or contest is being offered.
4. A description of the award or prize, whether medal, plaque, certificate, honorarium, monetary prize or other form. All awards and prizes shall include a certificate describing the attainments of the recipients and bearing the Society seal and necessary signatures. The artwork for a medal, plaque or similar symbol shall be approved by the Committee on Honors.
5. Assurance by the Committee on Finance and Investment the minimum funding required as established by the Board of Governors has been met.
6. Donor(s) and proposer(s) are encouraged to anticipate alternate purposes for funds when the primary purpose of the proposed award is no longer feasible.
7. Suggested rules for the administration of the award which shall include:
  - a. provision for the selection of the members or the committee which nominates recipients of the award or judges the contest;
  - b. statements of the methods to be used in securing suggestions for nominees or participants in the contest;

- c. description of the criteria and method of selecting nominees or contest winners for recommendations to the Board of Governors for action; and
- d. provisions for a periodic review of all the details of the proposed award or contest including name, purpose and attainment to be recognized and criteria for selection of the nominees. If an award becomes unsustainable due to changes in technology, modifications in the internal structure of the Society, or insufficient endowment, a discontinuation or merging into a newly renamed award may be the outcome of the periodic review. The original donor(s) or proposer(s) will be consulted if possible.

Responsibility: Committee on Honors

Adopted: February 2, 1968

Revised: June 24, 1969

December 4, 1975

November 19, 1982

(editorial changes 6/88)

(editorial changes 6/01)

March 15, 2003

September 29, 1972

November 18, 1980

(editorial changes 6/87)

March 17, 1995

September 21, 2002

June 1, 2005

February 19, 2009

(editorial changes 7/2012)

November 16, 2013

February 13, 2014

**P-3.2 Appendix:**  
**NEW ASME SOCIETYWIDE HONORS AND AWARDS**

**Introduction**

With the dramatic changes in technology, the role of mechanical engineering is also undergoing a revolutionary shift. This will necessitate major innovations in education, research and applications of the discipline. ASME, as a responsible guardian of the mechanical engineering profession, must recognize and reward those who provide outstanding leadership to such innovative contributions. Consequently, it will be prudent for the Society to reconsider the existing honors and awards structure to assess its relevance to a changing profession. Some current awards may require major revisions. Entirely new honors or awards may need formulation. Such an assessment will demand broad participation by all components of the Society in addition to the Honors Committee.

In such a review the issue of establishing standards is of primary concern. Organizations and individuals within ASME who suggest, review and present the awards or honors must seek to uphold the highest standards. Anything less will reflect adversely on the award or honor, the recipient, and the Society.

Below are some general guidelines for establishing new ASME Society-wide awards and honors.

**Guidelines for the Establishment of New ASME Society Awards**

These guidelines deal with general and special achievement awards as well as with literature awards.

- (1) Awards should not supplant or replace existing awards.
- (2) Awards should cover a broad enough field to show a significant contribution to the art, science or practice of engineering. For awards dealing with technical matters, this normally implies that they span at least the range of activities covered by one technical division of the Society, although it is preferred that their scope be broader.
- (3) Outstanding leadership in the profession may be a sufficient reason for an award. Another may be the development of a major engineering concept and its successful transfer into practical technical applications or commercial products. However, the contribution for which the award is granted should have an impact beyond a single organization, whether this is a company, university or government laboratory.
- (4) While service to ASME may be taken into account in newly established awards, it alone should never be a primary reason for establishing an award.
- (5) One measure of the contribution by a nominee for an award shall be that its significance has a long-range impact.
- (6) Literature awards shall normally be reserved for material that has been published in the permanent (archival) literature.

- (7) The Committee on Honors will use multiple criteria to evaluate new award proposals. For awards proposals that originate from the units, these criteria will include active unit membership; conference(s) regularly organized; journal(s) sponsored/co-sponsored; industry impact; health of a unit award program; and appropriate award funding. For awards not associated with a unit, appropriate criteria will be used.

#### **Funding of New Awards**

- (8) Persons or groups interested in seeking funding for a new award should check with the Committee on Honors before initiating any fund raising. The Society awards will fall into two categories:

Category I – Highest Honors. The Committee on Honors will recommend the nominees for Category I to the Board of Governors for final action. These will include the current ASME Honorary Member and the ASME Medal.

Category II – High Honors. The Board of Governors will delegate authority to the Committee on Honors for these awards.

- (9) The minimum endowment amount for any Society-wide award will be \$75,000 to support a \$2,000 honorarium, travel supplement and associated award costs (for medal, plaque, certificate).

A suitable transition period will be allowed for endowment funding level adjustments for the affected existing Society awards.

#### **Areas for Possible New Awards**

Today's engineering activities increasingly involve teamwork that extends beyond the scope primarily associated with mechanical engineering. This broader scope may also involve other areas of engineering or science, business practices, government activities or interaction with society at large. ASME must be prepared to recognize achievements within this wider frame of reference. Accordingly, the Committee on Honors will give special consideration to proposed new awards that go beyond the narrow confines historically associated with mechanical engineering.

## 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 age, race, color, ethnicity, sex (including pregnancy), gender, gender identity, gender expression, national origin, citizenship status, religion, sexual orientation, disability, and veteran or military status.
- 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. Any difficulties or problems are reported to the affected Society units for resolution.
- N. The Executive Office 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

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)  
February 9, 2018

## SOCIETY POLICY

### APPOINTMENT OF ASME REPRESENTATIVES TO OTHER ORGANIZATIONS

#### I. PREFACE

- A. By-Law B5.8.1 states, "The Board of Governors or a sector council 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, sector board, or sector operating board, 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 their 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.

C. The Establishment of an ASME Representative

The criteria and procedures for establishment of an ASME Representative must be reviewed and recommended by the relevant Sector or Sector supervisory unit having responsibility for the subject or activity of the other organization.

**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 ability to contribute to the work of the other organization and to provide an active communications link with an ASME committee, council, sector board or sector operating board.
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, council, sector board, or sector operating board.
2. The following ASME representatives will report directly to the ASME Board of Governors:

United Engineering Foundation Board of Directors

3. The Committee on Organization and Rules shall be responsible for review and recommendations prior to the appointments made by the Board of Governors, including all members of sector councils except for the position of senior vice president and chairs of sector committees.

C. The process of nomination shall be:

1. The committee, council, sector board or sector operating board 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 they have acted on instructions from the committee, council, sector board, or sector operating board.
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 they have 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 they have 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 on the appointment 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 wellbeing 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/CEO.

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 on the appointment form or in a supplemental statement submitted with the appointment form.

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  
(editorial changes 3/13)  
(editorial changes 8/13)  
February 12, 2015  
(editorial change 6/15)  
April 19, 2022

## SOCIETY POLICY

### QUALIFICATIONS OF ASME OFFICERS AND GOVERNORS AND REQUIREMENTS OF SERVICE

#### I. PREFACE

Constitution Articles C4.1.2, 4.1.3, and 4.1.4 identify the Officers of the Society and the qualifications for office. By-Laws 4.3.2 through 4.3.6 specify the duties of these offices. The President as a result of being an Elected Governor is the only Officer of ASME who is elected by the membership. By-Law B4.3.2 notes that the President is the chief elected officer..

To assure qualified Governors and officers are selected and serve these roles, this policy defines additional qualifications for each Officer and Governor and requirements of the positions.

#### II. PURPOSE

- A. To list the general qualifications desired in all Officers and Governors of ASME;
- B. To list the specific requirements of the various administrative levels of the positions;
- C. To describe the leadership development provisions; and
- D. To explain the financial conditions pertaining to the Officers and Governors of ASME.

#### III. POLICY

- A. General qualifications of Officers and Governors
  1. As trustees and leaders, Officers and Governors are expected to possess high qualities of character, vision, leadership, responsibility, and broad understanding of the Society.
  2. Since Officers and Governors must appear before many groups, they should possess the ability to speak effectively before an audience.
  3. Officers and Governors in ASME should be individuals of experience, high standing, and active participation in the work of the Society.
  4. All Officers and Governors of the Society should refrain from serving on units of the Society when that service could compromise the impartial fulfillment of their duties or impose an undue influence on the decisions of the unit.

B. Requirements of office specific to the President

1. The President stands before the public and the members as the recognized leader of the Society. The President presides over the Business Meetings of the Society and the meetings of the Board of Governors. The Presidential Manual further describes in detail the responsibilities and duties of the President.
2. The President is called upon to address members of the Society at various gatherings and is expected to represent the Society in speaking before other organizations. The President has the opportunity to contribute a President's Page in MECHANICAL ENGINEERING, ASME News, and the Annual Report. From time to time, as the occasion warrants, the President may find it necessary or desirable to communicate to the entire membership by letter or other means.

C. Requirements specific to the members-at-large of the Board of Governors.

1. The Board of Governors is the top policy-making body of the Society and, in the end, is responsible and accountable for the success or failure of ASME. The voting members of the Board are the Elected and Appointed Governors serving staggered three-year terms. The Board has been kept small by design and there is no room on it for even one ineffective, marginal, or incompetent person. A Governor needs not only to be reasonably well acquainted with most of the activities of this very large organization that is ASME, but they should also be aware of what has happened in the recent past, so mistakes made ten years ago are not repeated. A Governor should know ASME well enough to assess what is likely to succeed and what is almost sure to fail. The responsibilities of the Governors are further defined in the Board of Governors Operation Guide.
2. A member of the Board of Governors is chosen to serve the Society as a whole. A Governor does not represent any group, and thus has no constituency. Therefore, a proposed nominee should be avoided who gives evidence of wanting to become a member of the Board as a representative of some particular unit in the work of the Society.

**IV. PROCEDURE**

A. Leadership Development

1. The newly nominated Officers and Governors should have already attained and demonstrated a significant level of leadership development and be capable of operating as an Officer or Governor prior to their selection. Following their nomination, Officer and Governor nominees should begin a period of additional training for their leadership position which continues until they assume their official responsibilities. Leadership training should consist of participating in the leadership programs offered by the Volunteer Orientation and Leadership Training Academy which are relevant to the nominee's position. Additionally, at a minimum, the nominee should attend unit meetings with and learn from the person whose term they are

succeeding. Additional formal meetings may be arranged so that the incoming Officers and Governors may become acquainted with the organization, policies, operational procedures, and fiscal statement of the Society.

B. Financial considerations for Officers and Governors.

1. Volunteer Officers and Governors of the Society serve without financial compensation. However, provision is made in Society Policy P-4.5, Travel Expense Contribution, for reimbursement of a part of the expense associated with travel, under specific circumstances.
2. Volunteer Officers and Governors should have sufficient resources (both time and material) to handle routine Society business promptly. Some reasonable financial contribution by either the Officer and Governor or their employer for expenses related to routine Society business is a normal expectation.

Responsibility: Nominating Committee

Adopted: October 15, 1956

Revised:

November 29, 1959

September 16, 1960

December 13, 1963

November 27-28, 1966

June 18, 1975

June 17, 1982

January 19, 1984

(Editorial changes 3/85)

(editorial changes 6/87)

(editorial changes 11/88)

(editorial changes 9/89)

(editorial changes 2/93)

(editorial changes 8/95)

(editorial changes 9/95)

(editorial change 6/97)

June 9, 1999

November 10, 2000

(editorial change 3/01)

June 1, 2005

(editorial changes 7/12)

(editorial changes 3/18)

April 19, 2022

## SOCIETY POLICY

### APPOINTMENT OF ASME VOLUNTEER PERSONNEL TO NON-ELECTED POSITIONS

#### I. PREFACE

- A. Successful accomplishment of ASME objectives, and hence its standing in the eyes of the profession and the public, depends in large measure on the quality of the work of the Society's units and its volunteers.
- B. It is the responsibility of those charged with nominating personnel to units of the Society to seek out members of ASME who both are motivated to serve and are able to accept the responsibilities involved.
- C. This Policy relates to the nomination and appointment of non-elected volunteer positions.
- D. Society Policy P-4.3, Qualifications of ASME Officers and Governors and Requirements of Service, covers the positions of Officers and Governors.
- E. Society Policy P-15.11, Diversity and Inclusion, states in part, "ASME shall dedicate time and resources to ensure the active participation as well as leadership opportunities of talented individuals from all segments of society."
- F. By-Law B5.2.4.1 states in part, "The Committee on Organization and Rules, under the direction of the Board of Governors, shall have responsibility for ensuring that the Society is organized and supplied with qualified leadership to serve the current and anticipated future needs of the membership ..."
- G. Constitution Article C4.1.1 states in part, "In the discretion of the Board of Governors, up to two members-at-large, who need not be members of the Society, each appointed by the vote of a majority of the Entire Board of Governors (each, an "Appointed Governor") upon their determination that the size of the Board of Governors may be fixed at thirteen or fourteen, as the case may be, to include a seat for the proposed appointee and that the proposed appointee has demonstrated substantial philanthropic support of the Society's mission and sustained engagement with the field of engineering."

#### II. PURPOSE

- A. To provide guides for selection and nomination of appointed volunteers relative to requirements of the position and term of service.
- B. To provide the procedure leading to appointment.

#### III. POLICY

- A. Sector Council, Board, or Committee Members.

- 1. Qualifications

- a. A full understanding of the purposes and objectives of the unit.
    - b. Experience, judgment, and motivation closely related to the work of the specific unit on which they are serving.
  2. Governors shall not serve as a member of any other unit except as specified in the By-Laws.
- B. Standing Committees Reporting to the Board of Governors
1. Committee on Organization and Rules, Committee on Finance, Committee on Honors, History and Heritage Committee, Committee on Sustainability, Diversity and Inclusion Strategy Committee, and Volunteer Orientation and Leadership Training Academy.
    - a. A full term on these committees is defined as three years; partial year terms are permitted. The combination of partial and full terms cannot exceed six years.
    - b. Additional service beyond six consecutive years will be permitted only after the passage of at least two years or in the event of ex-officio service.
    - c. In the event of a nomination for more than one Past President to serve on the committee, a statement must accompany the nomination setting forth specific reasons why this appointment is in the best interest of the Society. The term of the appointment is one year and must be approved by the Board of Governors, taking into consideration the feedback from the Committee on Organization and Rules.
    - d. An individual shall not serve on more than one Standing Committee Reporting to the Board at the same time unless service on one or both of them is in an ex-officio capacity. An individual may serve on two Standing Committees Reporting to the Board of Governors at the same time if recommended by the Committee on Organization and Rules and approved by the Board of Governors if documentation is provided addressing any potential conflicts of interest for serving on the two committees.
  2. Audit Committee, Committee on Executive Director Evaluation and Staff Compensation and Executive Committee
    - a. The President shall nominate incoming first year Elected Governors for appointment by the Board for service on the Audit Committee and Committee on Executive Director Evaluation and Staff Compensation, as specified in By-Laws B5.2.6.2 and B5.2.9.2.

- b. The President is an ex officio member of the Committee on Executive Director Evaluation and Staff Compensation and the Executive Committee with vote.
  - c. Members of the Executive Committee shall be appointed as set forth in By-Law B5.2.3.2.
3. Committee of Past Presidents
- a. Membership is for lifetime unless a Past President becomes ineligible according to By-Law B5.2.8.2.
4. Philanthropy Committee
- a. The Philanthropy Committee members are permitted to serve on one additional Standing Committee Reporting to the Board. In the event of a nomination for more than one Past President to serve on the committee, a statement must accompany the nomination setting forth specific reasons why this appointment is in the best interest of the Society. The term of the appointment is one year and must be approved by the Board of Governors, taking into consideration the feedback from the Committee on Organization and Rules.
5. Industry Advisory Board
- a. The Industry Advisory Board membership shall be determined annually by the Board of Governors. Industry Advisory Board members are permitted to serve on one additional Standing Committee Reporting to the Board.
6. The Operation Guides of all Standing Committees Reporting to the Board shall contain a specific leadership succession plan.
- C. Guidelines
- 1. Units of the Society are encouraged to seek out volunteers to serve that are not already serving in other capacities, unless serving as a representative of a parent unit or as a liaison.
  - 2. Units are encouraged to strive for diversity and inclusion in volunteer leadership by making a conscious effort to take diversity and inclusion into account when filling vacancies as provided in Society Policy P-15.11.
  - 3. Units are encouraged to continually solicit and train younger members in unit work.

D. Terms of Office

1. Unless otherwise specified in this policy, the term of office of a member of a sector, board, council or committee is specified in the respective Operation Guide.
2. Unless otherwise specified in this policy, individuals who have completed one or more terms of service to a unit may be reappointed for an additional term.
  - a. If the total continuous service in that position does not exceed two full terms, then the justification for reappointment shall be similar to the justification for the original appointment.
  - b. In the event of a reappointment for which total service would exceed two full terms, a statement must accompany the nomination setting forth specific reasons why this appointment is critical to the well-being of the unit, and the exceptional circumstances involved.

E. Membership

1. All members of
  - a. standing committees reporting to the Board of Governors,
  - b. sector councils,
  - c. boards,
  - d. standing and special committees under committees, sector councils and boards,
  - e. technical division and sub-division executive committees
  - f. and all Society representatives to joint activitiesshall be members of ASME.
2. Exceptions are permissible in those cases where non-members may be needed to serve on various technical committees and sub-committees or working groups to bring special skills to the task or to represent related organizations. When such non-members of ASME are nominated, the reasons for so doing must be set forth in making the proposal.
3. Appointed Governors are not required to be members of ASME.

F. Inter-Sector Committees

The procedure for appointments to such committees is the same as to any regular board or committee.

G. Appointment and Nominating Responsibilities

1. The Operation Guide of each unit shall define members of the nominating committee for their unit. In addition, each guide will list positions, including the

qualifications (e.g., knowledge and skills) necessary for such positions, and terms of office required. Each nominating committee will provide suitable candidates for consideration at least six months prior to commencement of the term.

2. The nominating responsibility can be achieved through direct nominations by the unit or by unit confirmation of nominating subcommittee recommendations.
3. In the case of the standing committees reporting to the Board of Governors, the members of each unit shall have nominating responsibility.

#### **IV. PROCEDURE**

##### **A. Appointments Requiring Approval by the Board of Governors**

1. The Committee on Organization and Rules shall be responsible for reviewing proposed nominations to the Board of Governors and providing a statement to the Board as to whether the nomination helps to ensure that the Society is supplied with:
  - a. qualified leadership to serve the current and future needs of the membership;
  - b. the active participation, as well as leadership opportunities, of talented individuals from all segments of the Society
2. The statement from the Committee on Organization and Rules shall be provided prior to the appointments made by the Board of Governors, including all members of sector councils except for the position of senior vice president and chairs of the sector committees.
3. All nominations for appointments specified in IV.A.1 shall be submitted to the Committee on Organization and Rules on a special nomination form. Staff members may sign the form on instructions from the sector or committee and on its behalf.

##### **B. Appointments Delegated to the Sectors**

Appointments to boards and committees under a sector are made by that sector's council.

##### **C. Nominations for Appointments Delegated to the Sectors**

1. Procedures for nominations will be included in each sector's operation guide.
  2. Units of the Society may find it beneficial to call on other units to provide recommendations for unit membership when needed expertise may be available from that area of the Society. Procedures for this option should be included in the operation guides of units.
- D. The nominee shall express their intent to serve for the entire appointment term involved.

- E. The nominee shall sign a statement of understanding of and compliance with Society Policies P-15.7 (Ethics), P-15.8 (Conflicts of Interest), P-15.9 (Policy Against Discrimination (Including Discriminatory Harassment – Members), P-15.14 (Code of Conduct) and P-14.6 (Society Name, Logo, Seal ...)).
- F. Appointed members who consistently do not attend meetings, reply to correspondence or carry out assigned tasks may be replaced at any time by the appointing unit using the above procedures.

Responsibility: Committee on Organization and Rules

Adopted: May 9, 1968

Revised: June 16-17, 1970

June 18, 1975

April 28, 1978

December 1, 1978

June 25, 1980

March 21, 1984

(editorial changes 3/85)

November 21, 1985

(editorial changes 6/87)

September 8, 1988

(editorial changes 4/89)

(editorial changes 9/89)

June 14, 1995

(editorial changes 1/96)

(editorial changes 9/98)

(editorial changes 3/01)

November 16, 2001

June 1, 2005

June 8, 2008

June 14, 2009

(editorial changes 7/12)

(editorial changes 3/13)

(editorial changes 8/13)

(editorial changes 8/14)

(editorial changes 6/17)

June 3, 2018

June 5, 2019

January 22, 2020

April 19, 2022

January 31, 2023

June 6, 2023



P-4.5  
4/21

## 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 Chief Financial Officer 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 Sector Board should be prepared by that unit and sent to the Committee on Finance before the date on which, according to the budget preparation calendar, budget requests are due from the Sector Board. 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, each Sector Board 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 \$175 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 \$250 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.
  - e. The travel expense contribution form must be filed within 90 days of the completion of the activity. If the activity occurs at or near the end of the fiscal year, the volunteer must notify their staff support before the end of the fiscal year they intend to file a report so that the staff member can file an accrual for the expense.

2. Every effort will be made to keep the unit and those eligible for travel contribution apprised 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 Public Affairs and Outreach 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 Public Affairs and Outreach Senior Vice President as available in the budget.
7. Members designated by the Committee on Ethics to serve on ad hoc ethics investigations committees as determined by the Chair of the Committee on Past Presidents 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 Student and Early Career Development Senior Vice President as available in the budget.
9. The representative to the National Institute for Engineering Ethics as determined by the Chair of the Committee on Past Presidents 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

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)  
April 14, 2021

(editorial change, 6/99)  
June 7, 2000  
November 10, 2000  
(editorial change, 3/01)  
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  
(editorial change, 7/12)  
(change to amounts in III.B.2, 1/17)  
June 5, 2019  
(editorial change of COF's name (6/20)

## SOCIETY POLICY

### TRAVEL EXPENSE REIMBURSEMENT

#### I. PREFACE

- A. By-Law B4.4.6 states: "All payments for expenditures shall be made by the office of the Chief Financial Officer upon proper authorization, in accordance with the budget adopted by the Board of Governors."
- B. This Society Policy applies to a category of travel which traditionally has been considered as an ASME expense item and is reimbursed more nearly in full than the volunteer travel covered by Society Policy P-4.5, Travel Expense Contribution.

#### II. PURPOSE

- A. To explain the budget and expense reimbursement relationship.
- B. To list the limits of expense reimbursement.
- C. To establish the rules of qualification for an expense reimbursement.
- D. To list the positions of eligibility for travel expense reimbursement.

#### III. POLICY

- A. The budget and expense reimbursement relationship.
  1. Funding for travel expense reimbursement shall be included in the annual budget of the Society.
  2. The extent of this travel is governed primarily by administrative decision and budget over-runs due to this travel are handled in the same manner as budget over-runs due to other expenses.
  3. In contrast, volunteer travel under Society Policy P-4.5 is primarily controlled by the budget amounts and that travel is no longer supportable when there are no more funds available in the budget.
- B. Basis for travel expense reimbursement.
  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. Local fares to and from terminals will be reimbursed. When traveling internationally while working under United States government contract, a United States-flag carrier should be used when practical.
- b. Travel by public ground transportation: Round trip rail and/or bus fare and local fares to and from terminals.
- c. Travel by private automobile: Mileage at the maximum allowable rate under current Internal Revenue Service guidelines, plus tolls and parking. However, for round trips in excess of 1600 kilometers (1000 miles), the contribution shall not exceed \$550.00 under non-emergency travel conditions.
- 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 subsistence and hotel room expenses and other normal travel expenses, if reasonable and necessary, for each day or part of a day on ASME business. Approval may be given for additional days if this results in overall reduction in travel contribution.

- C. Rules for paying a travel expense reimbursement.

1. The person is among those eligible to receive travel expense reimbursement as defined later in this Society Policy.
2. A request for travel expense reimbursement is submitted on an official ASME form and is in accordance with the rules related to that form.
3. The travel expense reimbursement request form is approved by the Chief Financial Officer or by a member of the ASME staff authorized to approve it.

- D. Eligibility for travel expense reimbursement.

1. The following listed persons are eligible to receive travel expense reimbursement.

- a. The President of the Society for all travel related to their service to the Society.
- b. The Spouse or partner of the President to attend the Society-Wide Meetings, and other meetings where spouses and partners are normally expected to attend.
- c. A Past President, or other Society member, who is requested to represent the President at a meeting of another organization or at any other special function.
- d. Members of a trial board to attend meetings related to the investigation of charges of misconduct or unethical behavior which have been brought against an ASME member as approved by the President.
- e. Public interest representatives to attend meetings of the Standards and Certification Sector, and its boards and committees; codes and standards representatives to attend international codes and standards meetings; members and designated participants of the Standards and Certification Sector, its boards and committees to attend leadership and training conferences focusing on the legal implications of Standards, and Certification to the Society; all of the above as approved by the Standards and Certification Sector.

Responsibility: Committee on Finance

Adopted: June 16, 1982

Revisions: (editorial changes 4/85)  
(number of Policy changed from P-4.8 to P-4.6)  
(editorial changes 6/87)  
(editorial changes 4/89)  
(editorial changes 9/89)  
September 13, 1990  
December 5, 1991  
March 17, 1994  
(responsibility reassigned 11/98)  
(editorial changes 6/1/05)  
(editorial changes 5/14)  
(editorial changes 1/20/15)  
June 5, 2019  
(editorial change of COF's name in 6/20)  
April 19, 2022

## SOCIETY POLICY

### REPORTS BY SECTORS AND COMMITTEES REPORTING TO THE BOARD OF GOVERNORS

#### I. PREFACE

- A. By-Law B4.1.4.1 provides, "An Annual Report shall be prepared for the fiscal year ending on June 30."
- B. By-Law B4.1.9 provides in part, "Each committee shall keep a record of its acts and proceedings and shall report thereon to the Board of Governors whenever requested to do so."
- C. By-Law B5.1.8 provides, "Periodically, throughout the fiscal year, each sector and each committee reporting to the Board of Governors shall submit to the Executive Director, for delivery to the Board of Governors a written report of its activities."

#### II. PURPOSE

To promote uniformity in the content of reports by the Sectors and committees reporting to the Board of Governors.

#### III. POLICY

- A. Sectors and the committees reporting to the Board of Governors must submit the following information periodically to the Board of Governors
  - 1. Shall submit their Top Key Accomplishments.
  - 2. Shall submit Challenges they face.
  - 3. Shall submit Other Information they wish to report.

#### IV. PROCEDURE

- A. The reports are included in the agendas of the Board of Governors meetings.
- B. The reports provide content for the Society's Annual Report.

Responsibility: Committee on Organization and Rules

Adopted: November 21, 1985

Reaffirmed:

Revised: September 17, 1987

(editorial changes 8/88)  
(editorial changes 4/89)  
June 22, 1989  
(editorial changes 2/94)  
(editorial change 8/94)  
November 16, 1995  
March 17, 2001  
(editorial changes 6/1/05)  
April 19, 2013  
(editorial change 6/13)  
November 10, 2020

## SOCIETY POLICY

### UNIT EVALUATION REVIEW

#### I. PREFACE

- A. In order to carry out the aims of the Society, various 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 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.

#### III. PROCEDURE

- A. Each 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 reported 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 disbanded. Any changes in the By-Laws consistent with the recommended actions should be included.
- B. Each sector and each committee reporting to the Board of Governors shall 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.

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)  
(editorial 5/10/13)

## SOCIETY POLICY

### SERVICE ON ASME UNITS BY MEMBERS OF THE STAFF

#### I. PREFACE

By-Law B5.1.5 states: "The primary role of staff assigned to 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 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 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 Sectors, Boards, and Committee.
- D. For this Society Policy the term "By-Law Unit" refers to a 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 to 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 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 the 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 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)  
(editorial changes 1/14)

## SOCIETY POLICY

### OPERATION GUIDES

#### 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., Groups.

#### 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. The guide shall include an organization section defining the composition of the unit and the terms of the members and listing the leadership and their terms.
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.
6. The guide shall include procedures for nominating the members of the unit. The guide shall define members of the nominating committee for their unit. In addition, each guide will list positions, including the qualifications (e.g.,

knowledge and skills) necessary for such positions, and the terms of the positions required.

7. The guides for the sectors shall include procedures for nominations for appointments that are delegated to the sectors.
8. Units are encouraged to strive for diversity and inclusion in volunteer leadership by making a conscious effort to take diversity and inclusion into account when filling vacancies. Therefore, the guide shall include a reference to Society Policy P-15.11.

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 changes take place.
2. The Committee on Organization and Rules Operation Guide shall be provided to the Audit Committee for review. This review should occur at least every three years, or when changes take place.
3. For units reporting to sectors an up-to-date copy of the operation guide shall be provided to and maintained within each sector as determined by each sector.

Responsibility: Committee on Organization and Rules

Adopted: June 11, 1987

Reaffirmed: November 19, 1998

Revised: (editorial changes 8/88)  
(editorial changes 5/89)  
June 22, 1989  
September 13, 1990  
September 17, 1992  
(editorial changes 3/01)  
June 7, 2001  
June 1, 2005  
(editorial changes 1/14)  
(editorial changes 1/20/15)  
April 20, 2018  
June 3, 2018  
April 19, 2022

## SOCIETY POLICY

### ALCOHOL AND CONTROLLED SUBSTANCES

#### I. PREFACE

It is important that ASME meetings and 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 meetings and events in which units of ASME participate,
2. shall not be publicized as an inducement for attending meetings and events 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 meetings and 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 organizing the meeting or event.

Responsibility: Board of Governors

Reassigned from Knowledge and Community Board 7/14

Reassigned from Council on Member Affairs 6/1/05

Adopted: June 6, 1990

Reaffirmed: March 26, 2013

Revised: September 20, 1996  
(editorial changes 6/1/05)  
(editorial changes 1/20/15)

## SOCIETY POLICY

### SOCIETY-WIDE AFFILIATIONS BETWEEN ASME AND OTHER SOCIETIES AND ORGANIZATIONS

#### I. PREFACE

- A. Article C2.1.1 of the Constitution lists the purposes of the Society, including: "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."
- B. Numerous activities are directed toward achieving these purposes. These include ASME representation to multi-society committees. (See P-4.2, Appointment of ASME Representatives to Other Organizations.)
- C. This Policy addresses ASME affiliations at the Society-wide level with other societies or organizations that do not provide for an ASME representative.
- D. ASME affiliations at the Society-wide level may be with other societies or organizations in specialized mechanical engineering areas, or in other engineering or scientific disciplines.
- E. Society-wide interaction may include joint memberships, membership privileges exchanges, joint support of programs of mutual interest, and administrative relationships.

#### II. PURPOSE

- A. To provide a flexible yet uniform guide for affiliations between ASME and other, sometimes unique, organizations.
- B. To define the extent of the relationship between ASME and the affiliated societies and organizations.

#### III. POLICY

- A. The Society encourages appropriate affiliations between ASME and other organizations, including individual societies and multi-society groups. For such affiliations to be considered appropriate, the following criteria shall be satisfied:
  - 1. Affiliations shall further the purposes of the Society defined in the Society Constitution and By-Laws, as well as policy statements.
  - 2. Affiliations shall be limited to other not-for-profit organizations whose purposes and objectives are compatible with those of the Society, and whose level of professionalism is similar.

3. Affiliations with membership societies shall be limited to those with reasonably equivalent and compatible membership qualifications.

4. ASME membership criteria shall not be affected by the affiliation.

5. Affiliations shall result in explicit advantages to each party.

B. The affiliation document shall include the following provisions:

1. All ASME members shall be treated alike, independent of age, race, color, ethnicity, sex (including pregnancy), gender, gender identity, gender expression, national origin, citizenship status, religion, sexual orientation, disability, and veteran or military status.

2. Areas of agreement, methods of cooperation, respective rights and privileges of the parties entering into the affiliation shall be specified.

3. The copyright policy of each organization shall be respected by the other organization.

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

5. Provisions for review, amendment and termination shall be included. The review shall be conducted at least triennially by the responsible ASME unit and reported to the Board of Governors.

6. The independence or autonomy of either party shall not be inhibited and ASME shall not be responsible for actions of the other organization.

C. Any proposed affiliation or amendment to an existing affiliation is neither valid nor binding until approved by the ASME Board of Governors.

#### **IV. PROCEDURE**

A. A recommendation for affiliation may be made by any individual or group, internal or external to ASME.

B. A recommendation for an affiliation shall be referred to the appropriate Society unit.

C. The responsible unit shall submit the proposal to the Committee on Organization and Rules, which shall consult with all affected Society units.

- D. If and when the Committee on Organization and Rules is satisfied with the proposed agreement, it shall submit the affiliation document with its endorsement to the Board of Governors for approval.
  - E. Affiliation documents, historical and supporting material shall be placed on file in the ASME executive office and kept current.
  - F. Relevant information about the affiliation shall be included in the responsible Society unit's Operation Guide.
- G. Dues
- 1. Before submitting a proposal for affiliation for approval, the responsible unit shall determine whether or not dues payment is required.
  - 2. If dues payment is required, it shall be included in the appropriate ASME budget.
  - 3. The dues amount shall be stated in the responsible Society unit's Operation Guide.

Responsibility: Committee on Organization and Rules

Adopted: September 11, 1994

Reaffirmed: March 12, 2013

Revised: September 12, 1999  
(editorial changes 3/01)  
June 1, 2005  
February 9, 2018

## SOCIETY POLICY

### 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 Officers and Governors and Requirements of Service, covers the positions of Officers and Governors.
- D. By-Laws B5.3.1.3, B5.4.1.3, B5.5.1.3, B5.6.1.3 and B5.7.1.3 state that the incoming Senior Vice President is nominated by the sector council for appointment by the Board of Governors.
- 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 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

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 chairs 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 their 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 sector council.

## 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 and the Committee on Finance.

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 preference is for candidates for a sector's Senior Vice President to be past or present volunteer members of its sector council.
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.
- B. The President shall appoint one or more representatives from the Board of Governors to review the generic requirements with the senior vice president prior to the sector beginning its selection process.
- C. At least two candidates shall have been vetted by the sector council members. The sector council members shall select one candidate and present 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?
- D. The nominee shall appear before the Board of Governors to present their qualifications and to address questions from the Board of Governors. At this meeting, the current Senior Vice President shall speak on behalf of the proposed nominee.
- E. 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.

- F. 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.
- G. If the nominee is not approved, the sector presents its second nominee to the Board of Governors at the November meeting. The Board of Governors reviews, deliberates and approves or disapproves the sector's second nominee at the following April meeting of the Board of Governors.
- H. 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.
- I. 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  
                                       February 25, 2010  
                                       April 15, 2011 (editorial revision)  
                                       August 18, 2014 (editorial revision)  
                                       May 1, 2017 (editorial revision)  
                                       January 22, 2020 (editorial revision)  
                                       June 3, 2020 (editorial revision)  
                                       June 6, 2023



## 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 Member Development and Engagement Council (MDE) may authorize the organization of a student section in any school having an approved curriculum and upon completion of the required documents as part of the student section application.

#### 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 selection of student section leaders.
  - 5. To establish the procedures for suspension or 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 leading to a degree in engineering or engineering technology.
2. An ASME student section may be established in any school having a two-year regionally accredited 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 the ASME Membership Staff, the student's name will be placed on the rolls of the Society, and the student will be informed of the membership status.

#### B. Establishment of Student Sections

1. Procedures for the establishment of a student section at a school are available in the current [Student Section Handbook](#).

#### C. Student Section Governance

##### 1. Student Section Leaders

Annually, each student section shall select leaders including a chair and a governing body of at least three Student Members. Additional leaders may be selected or appointed by the governing body.

##### 2. Student Section Advisors

Upon the recommendation of a student section, the Mechanical Engineering Department Head shall designate a student section advisor (SSA). In instances where the SSA is unable to continue their term, a new

SSA will be appointed by the ME Department Head. The student section advisor is a member ex officio of the governing body of the student section.

If the institution does not have a department of mechanical engineering, the academic administrator in charge of the mechanical engineering program shall assume the department head's responsibilities described above.

D. Suspension or Withdrawal of Student Section Charters

1. The MDE shall have the authority to suspend the student section if the student section is inactive for three consecutive years.
2. A student section will be considered inactive if it meets the following conditions: 1) No student section activity report is received at the end of the school year and 2) the student section does not update the student section leadership by the end of the school year.

After three consecutive years if there is no response to correspondence from ASME headquarters from an SSA, department head or student section leader, the student section will be considered inactive.

3. ASME may withdraw the charter of a student section for cause by the Board of Governors for a specified period of time, including but not limited to failure to abide by ASME By-Laws and Society Policies. At the end of that specified period of time the student section could be reinstated using the provisions in the Student Section Handbook.

Responsibility:

Member Development and Engagement Sector

Reassigned from Student and Early Career Development Sector- Board on Student Programs

Reassigned from Knowledge and Community Board

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  
(Editorial Changes 7/2012)  
February 12, 2015  
April 19, 2023



P-5.3  
6/20

## SOCIETY POLICY

### FORMATION 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 B5.6.1.1 states in part, "The Member Development and Engagement Sector, under the direction of the Board of Governors, is responsible for providing governance for professional sections, student sections, membership development, and the Old Guard Committee."

#### II. PURPOSE

- A. To provide for the formation 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 a dedicated group of members, in a specific geographic area, coming together to advance the mission and vision of ASME.  
The section is formed by the body of members successfully completing the petition process.
    - b. Subsections

- 1) A subsection is normally formed as a result of the growth in the number of members and/or activities of a local section that are focused on a specific key area of interest coming together to advance the mission and vision of ASME.

A subsection may also be formed by a body of members successfully completing a petition process.

c. Groups

- 1) A group may be designated by a Section for a small group of members to dedicate their time to a specific activity supported by the Section, coming together to advance the mission and vision of ASME.

## **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 Member Development and Engagement (MDE) Sector leadership team based upon the recommendation that there is sufficient leadership and interest to sustain a healthy section, to include regularly scheduled meetings and activities that promote the vision and mission of ASME.
- b. A formal request must be submitted showing local jurisdictions to be included, the headquarters city and the key volunteer leaders to serve as officers upon approval.
- c. The written request shall be accompanied by a petition to the MDE of members in good standing within the defined area with a minimum number of 50 signers and at least 20 of these indicating their intention to make this their principal Society activity during the formative stages. The petition will outline the rationale, projected programs and plans for achieving sustainability. If the petition has less than 50, the request may be considered and approved with special dispensation of the MDE leadership.

### **B. Subsection**

1. Formation of a Subsection

- a. A subsection may be established when approved by the Member Development and Engagement leadership team.
- b. 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.
- c. The formal request shall include a presentation of a petition to the section by paid-up members within the defined area. The minimum number of petition signers shall be 20 for a subsection and at least 10 of these indicating their intention to make this their principal Society activity during the formative stages. The petition will outline the rationale, projected programs and plans for achieving sustainability. If the petition has less than 20, the request may be considered and approved with special dispensation of the MDE leadership.
- d. The defined area must include a concentration of ASME members located at a distance from the normal center of section activities with sustainable leadership and interest to warrant meetings and related activities that promote the mission and vision of ASME.
- e. If the Section leadership determines the subsection to be deficient in its activity, a recommendation shall be made to the Member Development and Engagement leadership for the dissolution of the subsection.
- f. The change in status becomes effective on the first day of the following month to simplify the allotment of any funds and the possible transfer of members.

C. Groups

- 1. Formation of a Group
  - a. A group may be established when approved by the Section leadership.
  - b. A formal request must be submitted describing rationale for special group, number of participants expected, signatures of leaders of group, expected length of existence, geographic area of activities and how activities that promote the mission and vision of ASME.
  - c. The group shall provide regular periodic reports to the Section leadership.

d. If the Section leadership determines the group to be deficient in its activity, a recommendation shall be made for the dissolution of the group.

Responsibility: Member Development and Engagement Sector

Reassigned from Knowledge and Community Sector 6/20

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  
June 15, 2020

## 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 Chief Financial Officer."
- 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 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 Chief Financial Officer. 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 Chief Financial Officer.
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 Chief Financial Officer.

**C. Procedures relative to tours arranged by travel agents.**

1. Tour literature including brochures which request inclusion of the name of an ASME 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 Chief Financial Officer 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

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)  
(editorial changes 7/12) June 5, 2019

## 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 B5.7.2 states in part, "The Board on Student Programs under the direction of the Student and Early Career Development Council, is responsible for development of programs for 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 the Board on Student Programs. The Board on Student Programs, through the Student and Early Career Development 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 Board on Student Programs.

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 Board on Student Programs for their information so they may help avoid overlap.

- D. Upon the recommended action of the Board on Student Programs, the establishment of an ASME contest shall be by the approval of the Student and Early Career Development Council 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 Board on Student Programs 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 Board on Student Programs 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 describing the

attainments of the recipients and bearing the Society seal and necessary signatures.

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: Student and Early Career Development

Reassigned from Centers 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)  
(Unit Reassignment Due to Reorganization 6/2012)

## SOCIETY POLICY

### RECOGNITION OF STAFF MEMBERS – 5 YEARS AND MORE OF SERVICE

#### I. PREFACE

The Society has long recognized the need for continuity within the staff organization to provide the day-to-day operation of the Society in an efficient and responsible manner.

#### II. PURPOSE

- A. To provide a plan for recognizing the long-term service of staff personnel.
- B. To assure that each staff person will receive the recognition in a manner and form that is consistent and mutually satisfactory as well as fair to all.

#### III. PROCEDURE

- A. Recognition will be given to all members of the ASME Staff upon completion of 5 years of service and upon completion of each five years thereafter.
- B. Recognition will be in the form of an expression of appreciation from the President and Executive Director of ASME for the service to ASME.

Responsibility: The Committee on Executive Director Evaluation and Staff Compensation

Adopted: November 29, 1943

Reaffirmed: August 8, 1993

June 9, 1999

June 1, 2005: Reaffirmed and transferred to the Board of Governors from the Committee on Staff

March 12, 2013: Reaffirmed and transferred to The Committee on Executive Director Evaluation and Staff Compensation (EDESC)

Revised: November 28, 1960

February 11, 1971

June 18, 1975

June 10, 1983

June 11, 1987

December 18, 1987

(editorial changes 9/03)

June 9, 2004

## SOCIETY POLICY

### STAFF EMPLOYMENT GUIDELINES

#### I. PREFACE

ASME is an Equal Opportunity Employer.

#### II. PURPOSE

Provide a Society Policy confirming the fair and impartial treatment of ASME employees.

#### III. POLICY

ASME has been, and will continue to be, an Equal Employment Opportunity employer. The continued success and growth of The American Society of Mechanical Engineers depends on a talented, well-motivated work force drawn from diverse backgrounds. The Society's human resources policies and practices with respect to terms and conditions of employment are administered without regard to race, color, religion, sex, national origin, age, citizenship status, disability, covered veteran[1] or military status, and in compliance with state and local equal employment opportunity laws.

ASME will provide reasonable accommodation consistent with the law to otherwise qualified individuals with a disability and to employees or prospective employees with needs related to their religious observance or practices. What constitutes a reasonable accommodation depends on the circumstances and thus will be addressed by ASME on a case-by-case basis.

Recruitment, selection, promotion and transfer decisions made by ASME supervisors are based solely on candidates' job-related qualifications and abilities, without regard to race, color, religion, sex, national origin, age, citizenship status, disability, covered veteran or military status, and in compliance with state and local equal employment opportunity laws. ASME recruitment sources are instructed to refer to the Human Resources Department (HRD) all qualified persons.

Other human resources policies and practices, including, but not limited to, compensation, benefits, discipline and discharge, layoffs, ASME sponsored training, tuition reimbursement, social and recreational programs, are also administered on a nondiscriminatory basis, in compliance with federal, state and local equal employment opportunity laws.

This policy also prohibits conduct that constitutes or could lead or contribute to harassment based on any of the above-listed characteristics or any other characteristic protected by law. 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 an individual because of his or her national origin or color. 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.

Any employee who has EEO-related questions or feels that he or she has been subjected to any conduct of the type prohibited by this policy should immediately contact his or her supervisor, or the supervisors' superior or a member of the HRD (whomever the individual feels most comfortable contacting under the circumstances). An employee should report the conduct regardless of the offender's position at ASME and should also report the conduct even if the offender is not employed at ASME (for example, a vendor, volunteer, or "temp"). Individuals who have information about inappropriate conduct directed toward others 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. All such reports will be investigated promptly, with an effort made to keep the source of the report as confidential as possible. Where a violation of this policy has occurred, corrective action will be taken where appropriate.

Any ASME supervisor or other employee who violates this policy will be subject to disciplinary action, up to and including termination.

Any supervisor who has been approached by an employee with an EEO-related problem must immediately contact the HRD.

ASME's continued success depends heavily on the full and effective utilization of all qualified persons. For this reason, and in compliance with our status as a federal government contractor, ASME has developed written Affirmative Action Programs to cover all ASME locations for: (1) minorities and women, (2) disabled individuals (3) and covered veterans[1].

The support, commitment and participation of every employee is needed to ensure the success of this policy. Supervisors and managers have a special responsibility to foster a work environment that reaffirms this policy. The Managing Director, Human Resources, is responsible for developing and maintaining the Affirmative Action Programs, ensuring compliance, and advising management of problem areas and the need for corrective action.

Employees who are disabled, or covered veterans, who would like to identify themselves as such under the Affirmative Action Program are invited to do so. Please refer to ASME's "Voluntary Self-Identification Survey Form," which is available on the Intranet and also available in the HRD.

Elements of the Affirmative Action Programs are available for inspection through the HRD by employees and applicants for employment during normal business hours.

The Executive Director fully endorses this policy and will continue to review the results of our Affirmative Action Programs. The Executive Director needs the full cooperation of all employees to ensure the success of this policy.

It is against ASME policy for any retaliatory action to be taken or threatened against an individual who reports or provides information about a possible violation of this policy or who participates in a related proceeding or exercises any other right protected by the equal opportunity laws. In the event you believe that you have been retaliated against for such an action, you should use the reporting procedures outlined in this policy to report the pertinent

facts promptly. ASME will investigate and take appropriate action in the manner described above.

[1]In accordance with the Job for Veterans Act, the term "covered veteran" means any of the following veterans: (i) Disabled veterans; (ii) Veterans who served on active duty in the Armed Forces during a war or in a campaign or expedition for which a campaign badge has been authorized; (iii) Veterans who, while serving on active duty in the Armed Forces, participated in a United States military operation for which an Armed Forces service medal was awarded pursuant to Executive Order No. 12985 (61 Fed. Reg. 1209); (iv) Recently separated veterans.

Responsibility:	The Committee on Executive Director Evaluation and Staff Compensation (EDESC) Transferred from the Committee on Staff to the Board of Governors: June 1, 2005 Transferred to The Committee on Executive Director Evaluation and Staff Compensation (EDESC): April 19, 2013
Adopted:	June 18, 1975
Reaffirmed:	September 12, 1999 June 1, 2005
Revised:	June 10, 1983 June 22, 1989 September 11, 1994 June 6, 2001 April 19, 2013

## 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 Board.

4. Upon endorsement by the Board on Technical Communities, the petition with Board recommendations will be presented to the Knowledge and Community Board for action.
5. If the Knowledge and Community Board 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 Board, 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 Board, 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 Board  
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  
(editorial changes 7/12)

## SOCIETY POLICY

### TECHNICAL CHAPTERS

#### 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 I 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 Board 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. 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 Board.

**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 Board by the Vice President Technical Communities.

Responsibility:      Knowledge and Community Board

                          Reassigned from Council on Engineering/Council on Member Affairs

Adopted:               June 18, 1992

Revised:                (editorial changes 2/94)  
                          (editorial changes 9/01)  
                          June 1, 2005  
                          (editorial changes 7/12)

## 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, 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 Board. 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 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 Board, 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 Board 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 that Unit's prior Sector 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 Board.

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 Board of Directors, may work to change the organizational status of that Group to one more appropriate to its function.

Responsibility: Knowledge & Community Board

Adopted: April 23, 2010

(editorial changes 7/12)

## 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)

Name	Member Number	e-mail
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

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 \_\_\_\_\_

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Signature, Vice President, Affinity Communities



P-8.4  
7/12

## **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 Board

Adopted: April 23, 2010  
(editorial changes 7/12)

## 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: Standards and Certification Board

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)  
(editorial changes 7/12)



P-12.1  
6/12/11

## 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 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 Events 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 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 states, "The primary role of volunteer members of boards and committees will be to determine policies, develop programs, conduct studies, prepare reports, and advise the sector to which that board or committee reports on matters pertaining to specific assignments."
- I. By-Law B5.1.4 states, "The primary role of staff assigned to 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 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 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 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 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 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.)

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 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 Events Committee shall report to the Sector Management Committee and shall inform the Committee on Finance and Investment of its major decisions.
  2. The EC shall be comprised of five (5) members, one from each Sector, as appointed by their respective Senior Vice Presidents. Such sector representatives shall participate actively in reviewing and approving all proposed Events. Additionally, the EC may add non-voting advisors 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.
  3. The duties of this committee shall include: 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. This committee may, at its discretion, aid Event organizers in writing business plans and budgets and provide assistance in Event planning.
  4. The EC shall take reasonable steps to insure consistency and avoid topical and scheduling conflicts within ASME's portfolio of technical conferences.

5. The EC shall provide a quarterly report in writing to the Sector Management Committee (SMC) and the Committee on Finance and Investment (COFI) summarizing the EC's activity during that quarter.
- 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 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.
12. Past financial performance of the Event, if any.
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. All audits prescribed in this policy shall be conducted under the auspices of the ASME Audit Committee, a Standing Committee of the Committee on Finance and Investment.
  - 2. 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 completed audit shall be submitted to the Event Chair and ASME Assistant Treasurer.
  - 3. Events where the actual or budgeted income or expense is less than \$500,000 will be audited on a periodic basis. 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.
  - 4. 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)

Responsibility: Board of Governors

P-12.1 incorporated elements of P-12.1, P-12.2, P-12.3, and P-12.4 on June 13, 1991.

Reaffirmed: March 12, 1999

Revised: (editorial changes 3/92)  
June 8, 1994  
March 14, 1997  
(editorial changes 3/98)  
(editorial changes/reaffirmation 3/99)  
September 13, 2003  
(editorial changes 6/04)

June 1, 2005  
April 23, 2010  
June 12, 2011



## **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. An annual venue for governance meetings, including the nomination of Society officers. The Annual Meeting marks the point in time when some Society officers complete terms of service and new officers begin their service.
2. The objectives are:
  - a. To conduct the business of the Society through a series of board, committee and task force meetings.
  - b. To conduct a Business Meeting of the membership
  - c. To recognize outgoing and incoming Society leaders

##### **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

ASME Annual Meeting (AM) will consist of Governance Meetings, Society-Wide Events and a Society Business Meeting. These meetings will be the responsibility of the Executive Director (ED). The ED may delegate authority to appropriate staff such as Governance, Honors, Event Planning, etc.

##### 2. Budget

The budget for the event will be part of the ASME operating budget. The Executive Director will be responsible for planning and delivering their respective portions of the event, within the budget.

#### B. ASME Congress (IMECE)

##### 1. General

###### a. ASME Congress (IMECE) will consist of two events:

- 1) A Technical Conference (TConf), and;
- 2) Governance, Society-Wide Events and a Society Business Meeting.

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 Board (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 and a Society Business Meeting

Governance, Society-Wide Events, such as the Honors Program & the Society Business Meeting 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 the Society Business Meeting. 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 for 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. 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: Knowledge and Community Board

Adopted: April 24, 2008  
(editorial changes 7/2012)

## SOCIETY POLICY

### ASME EDITORIAL POLICY ON 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 B7.1.1 states: "The Technical Committee on Publications and Communications is responsible for publications of the Society, except that the Standards and Certification Sector shall be in charge of codes and standards.
- C. This Society Policy deals with the editorial aspects of the ASME publications that operate under the auspices of the Technical Committee on Publications and Communications, (This document is to be used in conjunction with Society Policy P-12.13, Publishing Practices for ASME Groups) The publications currently include:
  - 1. Periodicals
    - a. General Interest
      - 1) Mechanical Engineering
    - 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
- D. Additional periodicals and publications may be added from time to time and shall also be under the advisement of the Technical Committee on Publications and Communications and the direction of the ASME Publications Department.
- E. 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. Managing Director, Publishing is responsible for the publication of ASME TRANSACTIONS, APPLIED MECHANICS REVIEW, Technical Papers, Conference Proceedings, Manuals and Handbooks, and ASME Press; not responsible for the editorial content of these publications.

2. Volunteer positions

- a. Editor, ASME (TRANSACTIONS) Journals -- a member of ASME appointed by the Technical Committee on Publications & Communications 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 Technical Committee on Publications & Communications, 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 and advisement responsibility for the content in ASME publications resides with the Technical Committee on Publications and Communication, as 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. The Editor, MECHANICAL ENGINEERING, shall be solely responsible within the guidelines established by the Technical Committee on Publications and Communications 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. Under the authority of the Technical Committee on Publications and Communications, "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 Technical Committee on Publications & Communications. 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 Technical Committee on Publications and Communications.
- C. The Editor, MECHANICAL ENGINEERING, shall be solely responsible within the guidelines established by the Technical Committee on Publications and Communications 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. An Editor of an ASME Journal shall be nominated by the appropriate unit (normally the Executive Committee of an ASME Group) for a term not to exceed five years unless recommended for a reappointment for one additional term of up to three years, subject to approval and appointment by the Technical Committee on Publications and Communications.
- E. 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 Technical Committee on Publications and Communications. The term of office shall be three years. Reappointment by the Technical Committee on Publications and Communications for another term shall be limited to a maximum continuous service of six years.
- F. 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.
- G. 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.

- H. No paper may carry an ASME designation unless it has undergone a review based on procedures established by the Technical Committee on Publications and Communications.

Responsibility: Technical Committee on Publications and Communications

Reassigned from the Knowledge and Community Board 9/19/14

Reassigned from Council on Engineering/Publications Directorate 6/1/05

Adopted: June 16, 1970

Reaffirmed: September 18, 1998

Revised: December 9, 1977  
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  
(editorial changes 11/12)  
(editorial changes 3/13)  
(editorial changes 1/20/15)  
(editorial change 8/18)

## 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 Technical Committee on Publications and Communications is responsible for publications of the Society, except that the 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 Society's journals, also known as 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 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 Standards and Certification Sector.

- C. All Publications emanating under the direction of the Technical Committee on Publications and Communications, Technical Events and Content Sector, Public Affairs & Outreach Sector, and Student and Early Career Development Sector are copyrighted by ASME.

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

- C. Specific prior written endorsement by ASME 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: Technical Committee on Publications and Communications  
Reassigned from Knowledge and Community Board 7/1/14  
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  
(editorial changes 7/12)  
(editorial changes 3/13)  
(editorial changes 1/20/15)

## 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, which may include postal addresses, email lists, and/or telephone numbers in order to distribute information concerning meetings and educational courses, member benefits, and technical and professional products and services to ASME members and other affiliated parties.
- C. In order to address and comply with various privacy laws, this policy also outlines methods to effectively comply with requests to report on third parties who with ASME shares identifying information.

#### II. PURPOSE

- A. To provide coordinated procedures for approving the use of the Society mailing lists for the distribution of literature and materials pertaining to meetings and conferences, educational courses, exhibitions, member benefits 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 and other affiliated parties.
- C. To present procedures and guidelines to mitigate the risk of misuse.
- D. To provide coordinated procedures for requesting society lists containing personal and/or professional information, and for tracking such requests and the associated intended usage.

#### III. POLICY

- A. Mailing lists will be provided only for the dissemination of information concerning meetings and courses, approved member interests programs and technical and professional products and services that relate to the technical and professional interests of ASME members and other affiliated parties.

- B. The email addresses of ASME members shall only be provided to approve third party organizations that provide ASME products or services. Approval shall be made by the Membership staff.
- C. 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.
- D. 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 appropriate business unit of the Society.
- E. The Media Sales staff shall be responsible for compliance with all applicable laws and for execution and compliance with this Society Policy and Society Policy P-12.14.
- F. Each instance when an ASME Member or constituent name and information are shared with third parties, that information will be captured so we can comply with privacy law requests.
- G. Society members and other constituents may have their names deleted from mailing lists supplied to outside organizations.

#### **IV. PROCEDURE**

- A. The responsibility for requesting from the applicable unit(s) of the Society, approval to rent, sell, or lend mailing lists shall rest with the Media Sales Staff.
- B. Requests from outside agencies or organizations for mailing lists for the distribution of externally generated materials or literature shall be made using the signed List Rental Agreement attached to this Society Policy.
- C. The rental request and/or purchase order must contain a sample promotion or program outline prior to the rental of the mailing list.
- D. A restrictive statement prohibiting the reproduction of the mailing list shall be included with every mailing list that is distributed.
- E. A Society member or affiliated party who desires to have his/her name or other information deleted from the mailing lists rented to outside organizations may submit a written or electronic request at any time or may check the appropriate block when returning the annual dues statement.

Responsibility: Board of Governors

Reassigned from Knowledge and Community Board  
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  
(editorial changes 7/12)  
February 12, 2015

2/15

**List Rental Agreement**

To:

ASME  
Two 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.*

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**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 understand that it is our responsibility to insure compliance with all of the laws of the United States as well as the laws of each of the countries in which members included on the list reside.*

*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.*

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Today's

Date \_\_\_\_\_

Company's

Name \_\_\_\_\_

Your

Signature \_\_\_\_\_

Your

Title: \_\_\_\_\_

Your 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.

Code numbers for existing annuals and manuals which do not conform to the system described above will not be changed just to achieve consistency.

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 posted online or printed when requested. .

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  
(editorial changes 3/13)

## 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 multidisciplinary 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 multidisciplinary 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 Board 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 Board

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  
(editorial changes 7/12)

**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

### GENERAL COMMUNICATIONS: NEWSLETTERS, PROMOTIONAL MATERIALS, CATALOGS, REPORTS AND POLICY STATEMENTS

#### I. PREFACE

- A. The communication items covered in P-12.12 are non-revenue generating and not highly technical in content; are administrative or promotional in purpose and may be by nature a general communication or issued under the auspices of other units of the Society which deal with news of concern to their constituents. Where there may be prices involved, these are charges to cover handling fees and are not products that the Society prices, promotes and sells as such.
- B. Society Policies P-12.6 and P-12.9 do not cover these ASME communications. This Policy, 12.12, does not cover, in any medium, Codes & Standards, Mechanical Engineering Magazine, ASME News, Journals, Conference Publications, Handbooks & Manuals, ASME Press, technical databases, educational and training tools.
- C. ASME communications, in any medium, covered by this Society Policy are as follows:
  - 1. Newsletters
  - 2. ASME.org Group Page News, Updates, and Announcements
  - 3. ME Today
  - 4. Capitol Update
  - 5. Member Savvy
  - 6. Advertising Sales newsletters (FYI)
  - 7. Membership list for various ASME units
  - 8. Annual Report
  - 9. Promotional and Marketing communication
  - 10. S&C Update
  - 11. ASME Social Media: LinkedIn, Facebook, Twitter
  - 12. Other miscellaneous ASME publications or a similar nature.

#### II. PURPOSE

To delineate areas of responsibility for certain ASME communications named in this Society Policy and to specify some related procedures

#### III. POLICY

Since the Society operates under a policy of decentralization, each Society unit has control of its communications but is subject to the supervision or oversight of its governance.

#### IV. PROCEDURE

- A. It is the responsibility of the appropriate staff to maintain copies of each general communication that they issue over the past three years. This is to respond to any request for information.
- B. Thought should be given to sending copies to certain ASME members in leadership positions.
- C. The ASME unit that issues the communication is responsible for its distribution.
- D. For ASME.org Group Page News. Updates and Announcements, content posted not in compliance with ASME.org guidelines will be subject to removal from the web site.

Responsibility: Board of Governors

Renamed and Reassigned from the Council on Engineering/Board on Communications in August 2004

Adopted: June 14, 1985

Reaffirmed: January 26, 1996  
June 1, 2005

Revised: (editorial changes 6/87)  
(editorial changes 8/88)  
(editorial changes 12/88)  
(editorial changes 12/89)  
(editorial changes 8/04)  
March 27, 2013  
February 12, 2015

## 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 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. 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, 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 (General Communications: Newsletters, Promotional Materials, Catalogs, Reports and Policy Statements), 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—Technical Communities, The Technical Committee on Publications and Communications has 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 Standards and Certification. Works referring to, or quoting, material from any code or standard document must be reviewed by the appropriate 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 whether or not for sale is to first offer it to the Society for publication. The Technical Committee on Publications and Communications, Knowledge and Community, 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 Board.

Responsibility: Knowledge and Community Board

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  
(editorial changes 11/12)  
(editorial changes 3/13)

**SOCIETY POLICY**  
**USE OF MEMBER DATA**

**I. PREFACE**

A. Definitions:

As used in this policy,

"ASME Database" refers to a central repository for data concerning the members of ASME and other constituents, 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, postal address, telephone number, 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

- 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 ASME Database contains confidential and proprietary information about ASME Members and other constituents.
- E. The use of the ASME Database is subject to restrictions by government regulations that all units of the Society must abide by.

**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 use of member data by ASME units, 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 ASME 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 member data is for the exclusive internal use of units of ASME for ASME-related activities.
- C. The use of the membership list to promote non-ASME related activities, products or services by an outside organization shall be governed by Society Policy P-12.8.
- D. The member data may be used to communicate with members by postal mail or telephone about ASME-related activities, or to analyze the demographics of the unit.
- E. Member email addresses are not included in data lists to comply with changes in global privacy and SPAM laws, as well as ASME privacy policies. Oversight of the criteria, parameters, and methods on how the unit can communicate with its members will lie with the ASME unit.
- F. Any form of the member data may not be in any way exchanged, sold, lent, given, or bartered to any other person, company, or organization except in the case of mailing labels for transfer to mailing-services for the sole and specific purpose of processing mailings for use within ASME units.
- G. Transfers of member data onto a hard disk or any other form of shared resource system, including, but not limited to mainframe computer, is prohibited.
- H. 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.
- I. 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. Data/access to data can be requested from the unit's Staff contact. Only current leaders of the unit with all applicable agreements on file with ASME may have data/access to member data. This responsibility may not be transferred. In addition, such leaders shall be responsible for complying with all applicable domestic and foreign laws including but not limited to laws relating to privacy.

2. To ensure that the most current member data is used and to abide by individual member's request to "opt out" of receiving solicitations from ASME, the authorized individuals shall only use the member data that is available on the ASME database and shall not make archive copies of the data to ensure control requirements of this Society Policy. If using reports, a new report should be requested for each data need.
3. The Staff teams working with ASME units will determine what information from the ASME Database will be included in the member data provided, and in what format the data shall be made available.

B. Use of the Member Data.

1. Questions regarding the internal uses of member data by units of the Society should be directed to:  
ASME Section Operations  
Two Park Avenue  
New York, NY 10016-5990
2. 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, Marketing and Sales 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.
3. 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.
4. 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.

Volunteer leaders should encourage all ASME members to update contact information through their ASME online account, or by contacting ASME Customer Care. Any other changes to member information that may be identified/found by leaders can be forwarded to the unit's ASME Staff contact for appropriate action.

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**ASME Member Data User Agreement**

I request access to member data for the unit(s) I'm volunteering with.

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.

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Signature

ASME Unit

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Name (Please Print)

Date

Completed agreements should be submitted to the unit's ASME Staff contact.

Responsibility: Board of Governors

Reassigned from Knowledge and Community Sector Board 9/19/14

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  
(editorial changes 7/12)  
(editorial changes 3/13)  
February 12, 2015  
June 15, 2020

## SOCIETY POLICY

### INTELLECTUAL PROPERTY RIGHTS

#### I. PREFACE

- A. Article C2.1 of the ASME Constitution states in part: "The purposes of this Society are to: Promote the art, science and practice of mechanical and multidisciplinary engineering and allied sciences...among engineers and others..."
- B. By-Law B7.1.5 states: "The Society reserves the right to copyright any of its papers, discussions, reports, or publications."
- C. Society Policy P-12.7 (Permission for Reprinting of ASME Publications) discusses the use of copyright protection for Society publications and the Society's policy regarding the reprinting of ASME's copyrighted materials and the taping of ASME sponsored or co-sponsored sessions or meetings.
- D. The preamble of the ASME Constitution and By-Laws defines and illustrates the seal and emblem of the Society.
- E. Society Policy P-14.6 (Society Name, Logo, Seal, Emblem, Initials, Titles, Identification and Certificates) illustrates the seal, logo and emblem and defines the Society name and initials; designates the use of the Society's name, logo, seal, and emblem; establishes rules governing the name, logo, seal, emblem, initials, titles, identification, and certificates of the Society; and assigns responsibility for notification of misuse of the Society's name, seal and emblem and designates the procedure for taking action.
- F. Society Policy P-16.1 (Research), provides the policies and procedures governing operation of the Society's Center for Research and Technology Development, includes a discussion of patent rights and the Society's policies regarding those rights. "Because patentable discoveries are always possible in research, all agreements with individuals and with research agencies shall contain provisions concerning patent rights." (P-16.1, Research, Section III.G.1.)
- G. Intellectual property includes patents, trademarks, copyrights and trade secrets.
  - 1. A patent is a property right granted by the government to an inventor as a reward for his/her contribution to "science and the useful arts" in making his/her invention and disclosing it to the public. Patents may be granted on any new and useful process, machine, manufactured article, or composition of matter, or any new and useful improvements thereof. The right conferred by a patent is the right to exclude others from making, using, or selling the invention.
  - 2. A copyright is a property right which grants certain exclusive rights to creators ("authors") of original works of authorship which are fixed in any tangible medium of expression, such as books, manuscripts, magazines, journals, codes, satellite broadcasts, movies, and other audiovisual works, paintings, sound recordings, photographs, computer programs, music, architectural works,

pictorial, graphic, and sculptural works. The exclusive rights include protection against unauthorized printing, reprinting, publishing, copying, selling, translating, conversion, arrangement, adaptation, delivery or performance of the copyrighted work.

3. Four kinds of "marks" are generally considered--trademarks, service marks, certification marks, and collective marks.
  - a. A trademark is any word, name, symbol or device, or any combination of these, adopted and used by a manufacturer or seller to identify and distinguish its goods from those manufactured and sold by others.
  - b. A service mark is a mark used in the sale or advertising of services to identify the services of one person and distinguish them from the services of others and includes the marks, names, symbols, titles, designations, slogans, and character names or other advertising used in commerce.
  - c. A certification mark is a mark used upon, or in connection with, the products or services of one or more persons, other than the owner of the mark, to certify region or other origin, material, mode of manufacture, quality, accuracy, or other characteristics of the goods or services or to certify that the work or labor on the goods or services was performed by members of a union or other organization. Examples include "seals of approval" conferred on goods by magazines, testing laboratories, trade associations, and professional societies, such as ASME.
  - d. A collective mark is a mark used by the members of a cooperative, an association, or other collective group or organization (such as ASME), which includes marks used to indicate membership in a union, or association, or other organization (such as ASME). A collective mark is used to indicate membership, as on letterheads, whereas trademarks or service marks are applied to goods or services that are sold or performed.
4. A trade secret is any information that can be used in the operation of a business or other enterprise and that is sufficiently valuable and secret to afford an actual or potential economic advantage over others. It may be an unpatented or unpatentable invention, a formula, pattern, machine, process, customer list, blueprint, table of data, manufacturing technique, design, plan, or other information such as costs, pricing and marketing plans or other financial or commercial information. If it is decided to protect a discovery as a trade secret, it is important to have appropriate practices put in place to maintain its secrecy.

The law of trade secrets is governed by the laws of individual countries and political subdivisions throughout the world, states and, in common law jurisdictions such as the United States, is derived largely through judicial decisions. Most of the states in the United States have also adopted statutes, based on The Uniform Trade Secrets Act.

- H. Accepted use of ASME trademark and logo are covered by Society Policy P-14.6, "Society Name, Logo, Seal, Emblem, Initials, Titles, Identification and Certificates".

## II. PURPOSE

- A. To describe the work products of the Society for which intellectual property rights are pertinent.
- B. To describe the means by which each of the responsible Sectors has addressed protection of the Society's rights and recognition of the intellectual property rights of others. This Policy applies to ASME products from any of its five Sectors and in any form.

## III. POLICY

- A. ASME's intellectual property must be protected, regulated and maintained, no matter how widely information is distributed, in print, electronically, or otherwise.
- B. The Society reserves the right to copyright any of its print, electronic products, databases, audio/visual products and other copyrightable subject matter. This is intended to protect the Society and its members from unauthorized copying and distribution of ASME materials, including papers, videos, courses, codes, and standards.
- C. ASME's Policy
  - 1. It is ASME's policy that the copyright and other intellectual property rights of third parties be respected and not infringed by ASME or any of its units or any employee, member or other person acting on behalf of ASME or any of its units.
  - 2. It is the responsibility of each individual who submits technical papers or other materials for use by ASME or any of its units to assure that all legally required permissions of third parties have been received.
- D. Electronic Networks
  - 1. Copyright laws of the world protect original works of authorship fixed in any tangible medium of expression, now known or later developed, from which they can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device.
  - 2. As sophisticated scanning, editing, manipulation and transfer of data on high-speed networks become available, it is increasingly difficult to determine and enforce ownership. Therefore, inputting, uploading, reproducing or transmitting of any ASME work without ASME's permission is prohibited, provided that this prohibition is not intended to limit the applicability of the "fair use" doctrine developed under the United States Copyright Act or any analogous concept under the laws of other countries.

#### IV. PROCEDURE

##### A. Standards and Certification

1. The Standards and Certification Sector establishes policies and procedures on the protection of the Society's intellectual property rights for its codes, standards, and accreditation and registration marks.
2. Codes, standards, and related documents developed by ASME committees under the Standards and Certification Sector are copyrighted by the Society. When an individual accepts appointment to a Standards and Certification committee, the individual acknowledges in writing that copyright and all rights to all materials produced by ASME Standards and Certification committees are owned by ASME and that ASME may register copyright in its own name.
3. If in developing a code or standard, a committee proposes to incorporate material from the copyrighted publication of another organization, the committee requests ASME staff to obtain written permission from the publisher to reprint the material. Reference to a patented item should be avoided; ASME should be consulted for guidelines if patented items are to be referenced in a code or standard.
4. ASME codes and standards currently include copyrighted material reproduced under agreement with others. Similarly, the Society may permit others to reprint its material based on royalty agreements.
5. The provision stated in IV.A.4 (above) applies to products in any form, including, for example, both hard copy publications and electronic products.
6. The Society registers its accreditation and registration marks in the United States and in countries around the world. As a condition for accreditation or registration, the applicant agrees that the marks are the property of the Society at all times and will be returned or removed upon request by the Society. The Standards and Certification Sector provides due process procedures to address allegations of code or standard violation and misuse of registered marks.
7. Guidance to codes, standards, and accreditation and registration committees on protection of ASME's intellectual property rights and avoidance of infringement of the rights of others is provided by the ASME staff assigned to the committees.

##### B. Education

1. The ASME Training and Development Department establishes policies and procedures on the protection of the Society's intellectual property rights for its educational and training course materials and products.

2. The ASME Training and Development Department recognizes different ways to assign intellectual property rights:
  - a. When the preparation of a course, course material or product originates with an individual for use by ASME, without subsidy from ASME, the ownership of the material remains with the author.
  - b. When the preparation of the course, course material or product is subsidized by ASME, a “work for hire” or assignment agreement must be signed by the author. In this case, the copyright is assigned to ASME. The author may enter into a royalty agreement with ASME.
  - c. When the course, course material or product is developed by a unit of the Society at its expense, ASME shall claim and register the copyright under the name of ASME. Such units may include, among others, technical divisions and components of the Standards and Certification Sector.
3. When ASME publishes the course material or product and offers to members and third parties, the Society may do so in whatever manner it decides. This will not, however, preclude the use of the intellectual material by the author.
4. ASME may enter into an agreement with any other author/instructor on the same or substantially similar topic, provided the material is prepared by the other author/instructor and does not otherwise infringe on the rights of the original developer.

C. Sectors, Institutes and Other Units

1. Reproduction of ASME copyrighted material, whether contained in a paper or in collected articles, bound volumes, magazines or journals consisting primarily of ASME-generated papers, requires permission from ASME Headquarters. (See Policy P-12.7, III.B)
2. Technical Papers
  - a. Form 1903, Offer of a Technical Paper, ASME’s Copyright Release form, must accompany all papers submitted to the Society for presentation or publication, and must be signed by each author.
  - b. The author must also indicate one of the following two cases:
    - 1) The author grants and assigns exclusively to ASME any and all rights protected by the Copyright Laws of the United States and all other countries; or

- 2) That the work was performed in the course of the author's employment by the U.S. Government, and hence the work is in the public domain.
- c. The Society will take reasonable precautions to preserve the property rights of an author of a paper not accepted for publication by the Society.

D. Ethics

1. The Committee of Past Presidents/Ethics Committee occasionally considers cases involving violations of publication rights and authorship of papers, to ensure strict adherence to applicable legal requirements and soundly-based ethical standards.
2. Lack of clear direction about publication rights and authorship can lead to charges of copyright infringement and ethics violations. Such cases often involve student researchers and supervising faculty, as well as supervisors and researchers in industry.
3. To avoid an ethics violation, an author should acknowledge all those who have participated significantly in the technical aspects of an ASME paper or recognize them as co-authors.

E. Public Affairs

1. ASME activities in the area of public affairs and public statements are governed by Society Policy 15.1, Public Affairs and Public Statements.
2. Statements are not copyrighted and the Society encourages their wide use and dissemination.

Responsibility: Board of Governors

Adopted: September 20, 1996

Revised: June 9, 1999  
(editorial changes 3/16/2001)  
(editorial changes 6/04)  
(editorial changes 6/1/05)  
(editorial changes 3/13)



P-13.2  
6/12

## **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 Committee on Engineering Education, under the direction of the Public Affairs and Outreach Council 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 Public Affairs and Outreach Council, 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 Public Affairs and Outreach Council.

#### 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 Committee on Engineering 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, Global Public Affairs, 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 Public Affairs and Outreach Council, in consultation with the Committee on Finance.
- G. A promissory note in a form approved by the Public Affairs and Outreach Council 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:      Public Affairs and Outreach

Reassigned from Centers Board of Directors 6/2012

## 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  
(Unit Reassignment Due to Reorganization 6/12)

## 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 a post-high-school educational program in mechanical engineering or mechanical engineering technology.

#### 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 Scholarship Committee.
- C. Upon favorable vote of the Scholarship Committee, a copy of the document required under IV.A shall be provided to the Managing Director overseeing the scholarship programs.

- 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: Executive Committee/Scholarship Committee

Reassigned from Public Affairs and Outreach Council 3/24/2021

Reassigned from Centers Board of Directors 6/2012

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  
(Unit Reassignment Due to Reorganization 6/2012)  
(editorial changes 3/18)  
June 15, 2020  
March 24, 2021  
October 30, 2022



P-14.1  
4/21

## 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 five or fewer technical divisions and/or subdivisions and/or institutes.
  3. Student members may enroll in five or fewer technical divisions and/or subdivisions and/or institute.

Responsibility: TEC Sector

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  
(editorial changes 7/12)  
April 14, 2021

## 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: Board of Governors

Reassigned from Knowledge and Community Board

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)  
(editorial changes 7/2012)  
(editorial changes 1/20/15)



## **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 Membership 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, via the Membership Staff, 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, via the Membership Staff, for suspension of dues for the period of enrollment in the qualifying activity.
3. The member 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, via the Membership Staff, 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, via the Membership Staff, 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 anniversary date (see B.3.2) 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: Board of Governors

Reassigned from Knowledge and Community Board 9/19/14

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  
(editorial changes 7/12)  
(editorial changes 1/20/15)  
April 14, 2021



P-14.4  
4/21

## 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 Membership 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 Membership 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 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 Membership 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 drop date due to non-renewal will pay the non-member rate for attending Society-wide level meetings or Professional Development courses. Upon applying and paying for membership reinstatement, members shall pay member rates for such events or courses.

Responsibility: Board of Governors

Reassigned from Knowledge and Community Board 9/19/14

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  
(editorial changes 8/95)  
March 14, 1997  
(editorial changes 3/00)  
(editorial changes 1/01)  
June 12, 2005  
(editorial changes 7/12)  
(editorial changes 1/20/15)  
April 14, 2021

## 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:

Honorary Member	0.0%
Fellow	100%
Member	100% (see Note below)
Affiliate	100%
Student Member	As stated in Policy P-14.15

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:

<u>Years following graduation</u>	<u>Percentage of Base Dues Amount</u>
0-1 year	40%
1-2 years	55%
2-3 years	70%
3-4 years	85%

- 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 Board 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 Board. 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 Chief Financial Officer, 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 Board  
Reassigned from Council on Member Affairs/Board on Member Interests and Development 6/12/05

Adopted: November 25, 1945

Revised:

June 15, 1977	September 17, 1995
June 15, 1978	(editorial changes 1/96)
June 13, 1979	November 21, 1996
June 27, 1980	March 14, 1997
June 10, 1983	June 11, 1997
(editorial changes 7/84)	June 10, 1998
March 7, 1985	June 9, 1999
(editorial changes 7/85)	(editorial changes 3/00)
June 20, 1986	June 7, 2000
September 11, 1986	November 10, 2000
(editorial changes 6/87)	June 6, 2001
(editorial changes 9/88)	(editorial changes 11/01)
(editorial changes 12/88)	July 1, 2002 (revised at 6/01 meeting)
March 15, 1989	September 13, 2003
December 14, 1989	June 12, 2005
November 29, 1990	(editorial changes (7/12))
(editorial changes 12/91)	June 5, 2019
March 17, 1995	

## 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:

ASME®

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/CEO 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/CEO 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:

Honorary Member	Hon. Mem. ASME
Fellow	Fellow ASME
Member	Mem. ASME
Affiliate	Affiliate ASME
Student Member	Student Mem. ASME

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:

(*)President	Gold background with diamond inset in center
(*)Governor	Gold or blue background with emerald inset in center
(*)Senior Vice President	Gold or blue background with ruby inset in center
(*)Honorary Member	Gold background with pearl inset in center

Fellow	Gold background
Member, Affiliate, Student	Blue background

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(\*) Presented at Society expense

The pin for Member, Affiliate, and Student members may be purchased through the Society or agencies approved by the Society. Pin design and format shall be uniform and approved by the Executive Director/CEO.

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/CEO.

Badge color codings and designs require prior approval by the Executive Director/CEO. Presently approved are:

Society Officers, Governors 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 Standards and Certification under authorization of the Board of Governors.
4. Members holding a position in the Society or holding 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 the position or membership only in connection with Society activities.

Such designation of a position 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/CEO 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)  
(editorial changes 3/1/11)  
(editorial changes 3/18)  
April 14, 2021  
April 19, 2022



P-14.7  
4/21

## SOCIETY POLICY

### RECOGNITION OF YEARS OF MEMBERSHIP

#### I. PREFACE

ASME 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 for 25 years, an inscribed certificate will be sent to the individual. A 25-year rocker will be provided upon request.
2. The Section of which the recipient is a member will be offered the opportunity to present this 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 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 membership, a Fellow, Member or Affiliate may be sent 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, or the

Section decides to not present the items in person, the pin may be sent directly to the recipient with an appropriate transmittal letter.

D. Seventy-five Years

1. Upon completion of 75 years of membership, a Fellow, Member or Affiliate shall be sent 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, or the Section decides to not present the items in person, 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: Board of Governors

Reassigned from Knowledge and Community Board 9/19/14  
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)  
(editorial changes 7/12)  
February 12, 2015  
April 14, 2021

## 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 Membership staff. A member may appeal the Membership Staff's decision on the remittance of "dues under special reason" to the Executive Director in conjunction with the President.

#### 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 Membership Staff

G. Cases not defined in III.A. or III.B. shall be forwarded to the Membership Staff for action as authorized by By-Law B3.2.2.

Responsibility: Board of Governors

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  
(editorial changes 7/12)  
(editorial changes 1/20/15)

## SOCIETY POLICY

### SPECIAL CONSIDERATION FOR UNEMPLOYED MEMBERS

#### I. PREFACE

- A. By-Law B3.2.2 states in part: "The dues of any member or the entrance fee of a prospective member may be remitted for any special reason by the Membership staff. A member may appeal the Membership staff's decision on the remittance of "dues under special reason" to the Executive Director in conjunction with the President.

#### 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: Board of Governors  
Reassigned from Knowledge and Community Board 9/19/14  
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  
(editorial changes 7/12)  
(editorial changes 1/20/15)

Reaffirmed: March 12, 1999



P-14.11  
7/12

## 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 Board

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)  
(editorial change 11/94)  
(editorial change 6/96)  
(editorial changes 11/01)  
(editorial changes 6/1/05)  
(editorial changes 7/12)



## SOCIETY POLICY

### VERIFICATION AND CERTIFICATION OF MEMBER APPLICATION INFORMATION

#### I. PREFACE

- A. Grades of membership in ASME and the minimum requirements for each grade of membership can be found in Article C3.1.
- B. Article C3.1.2 states, "Members of Honorary grade shall be elected by the Board of Governors. The election for all other grades of membership may be delegated by the Board of Governors."

#### II. PURPOSE

- A. To provide a policy for verification and certification of information contained in the application for membership.
- B. To provide a policy for verification and certification of information contained in the application for promotion.
- C. To provide a procedure making membership contingent upon receipt of dues.
- D. To provide a method for notifying the proposed member concerning the status of the application.

#### III. POLICY FOR VERIFICATION OF APPLICATION INFORMATION FOR ALL MEMBER GRADES EXCEPT STUDENT MEMBER

- A. Verification of educational information.

In signing the application form, the applicant authorizes the Society to verify the educational information provided.

- B. Certification of active practice data.

1. Certification of eight years of active practice in a position of responsible charge of engineering work shall be considered as sufficient evidence of the active practice information for Member grade for a new member application.
2. Certification of the active practice information is to be made only upon personal knowledge and evaluation of such engineering practice and/or through information transmitted to them by appropriately qualified individuals with such personal knowledge.
3. Certification of attainment of a position of policy-making authority and recognized leadership in some pursuit related to engineering and an active

interest in furthering engineering progress shall be consistent with the conditions for certification as specified in III. B.1. and III.B.2 and shall be sufficient evidence for Affiliate.

4. Lacking such certification, the Membership Staff may obtain and evaluate confidential letters of reference from as many individuals listed by the candidate on the application form as they deem necessary. For cases in which such certification has been made, the Membership Staff may additionally require such confidential letters of references and/or obtain additional information from any other qualified source if it considers that there is not sufficient information to make a proper evaluation.
  5. A United States State or Territory Professional Engineering License is recognized as an acceptable equal to the eight years of active practice requirement for any grade of Society membership, and, in addition, is recognized as an acceptable equal to the five years of responsible charge requirement for Member grade.
- C. Attainment of a degree in an approved engineering curriculum or a baccalaureate degree in an approved engineering technology curriculum shall be accepted as equivalent to the eight-year experience requirement. Furthermore, appropriate credit toward the eight-year requirement will be given for the following: graduation from an unapproved engineering or engineering technology curriculum, completion of portions of such curricula, completion of a course of study in a technical institute or other recognized educational programs.
- D. An engineering graduate student in an educational institution whose related undergraduate curriculum has been approved is eligible for membership in ASME as a Member by application.
- E. The experience of one who has not been graduated from an approved curriculum should show variety, progress and promotion in the performance of engineering functions.

#### **IV. POLICY FOR STUDENT MEMBER GRADE**

- A. Education.
1. Where there is no student section, any student of an approved four-year curriculum in engineering or engineering technology satisfies the academic requirement for Student Member grade.
  2. A graduate student satisfies the academic requirement for Student Member grade when a full-time engineering student or a part-time engineering graduate employed below the rank of instructor by the college or university where enrolled.
- B. References.
1. An applicant for admission to the Society as a Student Member must be endorsed by the Student Section Advisor for the Student Section at the school where the applicant is a student.

2. Where there is no student section, any student of a four-year approved curriculum in engineering or engineering technology may become a Student Member upon approval by the cognizant Department Head or Chair.

## V. PROCEDURE

- A. Application process for all member grades except Student Member.
  1. The application process begins when the Society receives the completed application.
  2. On the basis of a favorable action in electing a new member, the Executive Director shall notify the applicant that the application has been approved and at that time send a dues statement.
  3. Upon receipt of this dues payment the election process shall be completed and the Executive Director shall have the name recorded in the membership records of the Society.
  4. The election process shall not be considered to be complete until receipt by the Society of this dues payment.
  5. The names of applicants who are not elected shall neither be announced nor recorded, but such applicants shall be notified of the decision of the Membership Staff.
  6. All confidential correspondence in relation to each applicant shall be destroyed by the administrative officer in charge of membership admissions within a reasonable period after completion of the election process.
- B. Application process for Student Member grade.
  1. The application process begins when the Society receives the completed application.
  2. The application process shall be considered to be complete upon receipt by the Society of the dues payment.

Responsibility: Board of Governors

Reassigned from Knowledge and Community Board 9/19/14

Reassigned from Council on Member Affairs/Board on Member Interests & Development 6/12/05

Adopted: June 18, 1975

Reaffirmed: March 18, 2000

Revised: June 15, 1977  
September 29, 1978  
December 12, 1986  
September 17, 1987  
(editorial changes, 8/88)  
December 5, 1991  
November 12, 1992  
March 17, 1994  
(editorial changes, 3/03)  
(editorial changes 7/12)

March 1978  
June 10, 1983  
(editorial changes, 6/87)  
(editorial changes, 12/87)  
September 13, 1990  
March 20, 1992  
September 10, 1993  
November 16, 2001  
June 12, 2005  
(editorial changes 1/20/15)  
April 14, 2021

## SOCIETY POLICY

### DUES STATEMENT

#### I. PREFACE

- A. Pursuant to Society By-Law B3.2.5, a statement for annual dues is presented to each ASME member prior to the member's anniversary date (see B3.2) each year. Notices of arrears are sent thereafter.
- B. The Board of Governors, through the Executive Director, has ultimate authority over the content of dues statements.

#### II. PURPOSE

- A. To provide uniform and fair rules governing the content of the Society's dues statements.
- B. To set forth the procedures for soliciting funds by all units of the Society, for inclusion in the Society's dues statements.
- C. To establish the authority for approving the inclusion of the solicitation of funds in the Society's dues statements.

#### III. POLICY

- A. Any unit of the Society may petition for inclusion of information and solicitations on ASME dues statements.
- B. Such petition must be made in writing by a Senior Vice President to the Executive Director at least 10 months prior to the next annual dues mailing in July of each year.
- C. Space constraints and uniformity of information will be among the variables used to determine the appropriateness of inclusion of such information or solicitations.
- D. Each unit that utilizes the annual dues statement for purposes of solicitation is expected to bear part of the cost of the mailing.
- E. Funds solicited on dues statements must be used for the express purposes for which they were solicited.

Responsibility: Board of Governors

Adopted: June 17, 1993

Reaffirmed: September 18, 1998  
March 12, 2013

Revised: (editorial change June 1, 2005)

April 14, 2021

## 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 \$158.42. 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

Reaffirmed: April 19, 2014

Revised: March 16, 2001  
July 1, 2002 (revised at 3/02 meeting)  
March 3, 2003  
June 1, 2005  
April 2016 (with new base amount)  
April 2017 (with new base amount)

April 2018 (with new base amount)



P-14.16  
11/2012

## SOCIETY POLICY

### FELLOW GRADE OF MEMBERSHIP

#### I. PREFACE

- A. Constitution Article C3.1.4 provides:

"A Fellow, one who has attained a membership grade of distinction, at the time of advancement shall be a corporate member of the Society, shall have been responsible for significant engineering achievements, shall have not less than 10 years of active practice and shall have not less than 10 years of corporate membership.

- B. By-Law B3.1.2 provides:

"A proposal for promotion to Fellow must be initiated by a Fellow or Member of ASME and supported by three additional sponsors, two of whom must be Fellows or Members of ASME. All sponsors must be well acquainted with the nominee's qualifications as they relate to the requirements for promotion to Fellow."

- C. By-Law B3.1.4 provides:

"Advancement to the grade of Fellow shall be by a positive vote of three-quarters of the total number of ballots received from the Committee of Past Presidents entitled to vote. A past president shall not be entitled to vote on his or her own nomination for Fellow."

- D. B5.2.9.1 provides, in part:

"The Committee of Past Presidents, under the direction of the Board of Governors, shall elect Fellows..."

#### II. PURPOSE

To outline the procedures for nomination and election of members to Fellow membership grade.

#### III. POLICY

- A. Members who meet qualifying criteria as set forth in the Constitution will be elected to the membership grade of Fellow. One of the criteria that a candidate must meet is for significant engineering achievements in at least one of the following categories:

Design (including invention)  
Engineering Product Application  
Research and Development (including invention)

Education (including teaching, educational leadership and administration)  
Project Management and/or Operations  
Industry Leadership/Management  
Contribution to the Engineering Profession (including ASME and regulatory/enforcement activities)  
Codes and Standards  
Engineer/Statesman

- B. Definitions for these categories will be maintained in the Committee of Past Presidents' operation guide and will be included in the Fellow proposal package to provide guidance to the initiators. The definitions may be revised from time to time by the Committee of Past Presidents to reflect current practice.

#### **IV. PROCEDURE**

- A. The Board of Governors is responsible for establishing the guidelines for the election of Fellows. The details that the Committee of Past Presidents follows in electing Fellows are included in its operation guide.
- B. Initiators of unsuccessful candidates for election will be notified in writing of the specific reasons for the decision and options to improve their nomination form/package.

Responsibility:      Board of Governors

Adopted:               June 13, 2002

Revised                  June 12, 2005  
(editorial changes, 3/08)  
(editorial changes, 6/12)  
(editorial changes, 11/12)

## SOCIETY POLICY

### PUBLIC AFFAIRS AND PUBLIC STATEMENTS

#### I. PREFACE

By-Law B2.1 states in part that: "the Society shall encourage a high standard of citizenship among engineers and their participation in public affairs"..."cooperate with governmental agencies in engineering matters".

#### II. PURPOSE

This policy addresses how the Society will interact with the mass media, the general public, government bodies and other interested audiences. It is designed to facilitate ASME involvement in public affairs by clearly identifying the appropriate procedures.

#### III. POLICY

- A. It is Society policy to encourage all units of ASME within the United States to participate in government relations activities. ASME is incorporated under the laws of the State of New York. As such, ASME operates under United States Federal and State lobbying laws as a U.S. corporation. Engagement in lobbying or other interaction on public policy with governments outside the United States would require adherence to the laws governing such activities by foreign corporations in other countries. Therefore, ASME shall defer to engineering societies and other groups outside the United States for such interactions with their domestic governments, except in matters relating to the Society's standards, certification, and other programs. Nothing in this Policy shall prevent ASME from responding to requests for technical assistance from engineering societies and other groups outside the United States. (If such a request involves public policy of a country other than the United States, the matter shall be referred to the Senior Vice President, Public Affairs and Outreach Sector for review). Nor shall this Policy preclude the development of position statements on global issues being addressed by multinational or international organizations.
- B. It is Society policy to cooperate fully with government bodies and, in specific instances, present its unsolicited views to legislators and regulators on pending or existing legislation or regulations provided that such activity does not become a substantial part of the Society's overall activities. It is Society policy to encourage the presentation of analyses, studies, or research to the media, the public, and government bodies. These presentations may include advice or conclusions based upon technical judgment when appropriate. This policy applies to all communications, including written, oral, and electronic. However, this policy does not apply to staff communications relating to business operations of the Society, such as standards and certification communication with government officials.
- C. It is Society policy that it shall be registered under applicable lobbying laws. It is Society policy that a system for recording federal contacts by authorized Society representatives

be implemented and maintained so as to ensure that such activities do not jeopardize the Society's tax status.

D. ABSOLUTE PROHIBITION

In accordance with current U.S. federal tax law, it is forbidden that the Society, and any of its various units, directly or indirectly participate or intervene in any political campaign on behalf of a political candidate for public office. Any partisan political activity by any member must be done as a private individual and must not involve ASME directly or indirectly.

**IV. PROCEDURE**

- A. Members of the Society are encouraged to participate as individuals in public affairs activities and this policy is not intended to limit this participation. But members as individuals must distinguish their personal views on public issues from those which have received the full and explicit support of the Society.
  1. Authority to Express Views. A member may represent the Society, presenting or explaining current, approved ASME statements or positions, only if expressly authorized by the President or by the appropriate senior vice president. Otherwise, a statement by a member must be identified as a personal viewpoint.
  2. Authority to Reference ASME Affiliation: A member, when expressing their personal views, may only mention their affiliation with ASME if they include a disclaimer that the views expressed are theirs alone, and are not necessarily the views of the Society in accordance with Policy P-14.6.
- B. The President and any member (or committee) authorized by the Board of Governors may present or explain a statement on behalf of the Society regarding public issues of relevance or interest to the Society as a whole. Any committee of the Board of Governors formed to respond to specific issues may respond to those items assigned by the Board of Governors.
- C. A senior vice president of ASME may present or explain a statement on behalf of an ASME activity regarding public issues that concern or affect that activity.
- D. A technical division, section, or other properly constituted Society unit may present or explain a statement on behalf of that ASME unit regarding public issues that concern or affect that unit, after authorization has been obtained from the appropriate senior vice president. Units outside the United States shall defer to domestic engineering organizations for interaction with their governments.
- E. Statements that relate to standards, codes, accreditation and/or certification must be approved by the Senior Vice President, Standards and Certification Sector.

- F. All proposed statements or general position papers should be plainly marked "DRAFT -- NOT FOR PUBLICATION," until the final approved version is presented for signature.
- G. As used in this Policy, the term "public issues" includes, but is not limited to, pending or existing legislation or regulations. All statements made on behalf of the Society must be consistent with the terms and limitations of this Policy. Any such statement released to government bodies, public press, or other organizations must be on ASME letterhead.

Any public policy communications, including, but not limited to, position statements, general position statements, invitations to participate in Society functions, and requests for proclamations with government, the media, or other organizations which have not been approved in accordance with this Policy must not be issued on ASME letterhead. As noted in Para. III.C, this Section does not apply to staff communications relating to business operations of the Society, such as standards and certification communications with government officials.

- H. Finally, as chief elected officer of the Society, it is important that the President be kept apprised on a timely basis of all statements made on behalf of the Society. Accordingly, all unit leaders authorized by this policy to speak for the Society should seek to keep the President advised of any statements made or authorized to be made by them, preferably prior to public release. A copy of all statements must be sent to the Managing Director, Global Public Affairs to be received at least one week prior to release and accompanied by an ASME Standard Cover Sheet. The Managing Director will ensure that proper procedures have been followed and will maintain a permanent file of all ASME statements. Position statements issued for the past three years will be posted on ASME.org.
- I. Three years following the issue date of each Statement and General Position Paper, the sponsoring unit of ASME must review the statement to determine whether it should be re-affirmed, updated or sunset. Statements not re-affirmed or updated will be sunset. If the Statement or General Position Paper is to be reissued, then the sponsoring unit must follow the same procedure for issuing Statements/General Position Papers as outlined in this section. The sponsoring unit must re-affirm and update the Statement or General Position Paper within six months.

Statements not re-affirmed or updated by the sponsoring unit will be sunset and archived by the Managing Director, Global Public Affairs as authorized by this Policy.

J. CATEGORIES OF PUBLIC STATEMENTS ON ISSUES

- 1. **Under the authority described above, ASME has established two categories of public statements:**

- a. A Statement which provides an objective and balanced analysis of an issue and which states the position of the sponsoring ASME unit on that issue.
- b. A General Position Paper which provides an objective and balanced study of an issue of broad interest, and which states the position of ASME on that issue.

Any properly constituted unit of ASME contemplating statements to the public or government (other than normal informative press releases reporting fact or occurrences) should carefully consider choosing in advance which type of statement is desired.

- 2. **An ASME Statement.** A statement is designed to provide technical analysis and professional judgment concerning an issue and may also contain an opinion, advice, or conclusions on a technical, national, regional, or local issue.
  - a. Authorization & Approval
    - 1) Must be approved by the chair of the issuing unit
    - 2) Must be approved by the Senior Vice President of Public Affairs and Outreach and Chair, Committee on Government Relations
    - 3) Requires an ASME Standard Cover Sheet as shown in Appendix I
    - 4) Must clearly identify the sponsoring ASME unit
    - 5) Must have proper disclaimer
    - 6) A copy must be sent to the Managing Director, Global Public Affairs at least one week prior to release.
- 3. **An ASME General Position Paper.** This statement is intended to provide a balanced and objective review of an issue of broad interest. The position taken carries the full weight of the Society's influence.
  - a. Authorization & Approval
    - 1) Must be approved by the chair of the issuing unit
    - 2) Must be approved by the Senior Vice President of Public Affairs and Outreach and Chair, Committee on Government Relations
    - 3) Requires an ASME Standard Cover Sheet
    - 4) A copy must be sent to the Managing Director, Global Public Affairs at least one week prior to release
    - 5) Requires a two-thirds vote of the Board of Governors
    - 6) In situations where time does not permit Board action the President of ASME, may at his or her discretion issue such statements on his or her own authority.

## K. LEGAL CONSTRAINTS ON ACTIVITIES

1. **Background.** The policy previously set forth is intended to facilitate the Society's ability to address public issues to the extent permitted by its corporate purposes and powers, its tax-exempt status and laws regulating lobbying.
2. **Limitations as a Tax-Exempt Organization.** The Internal Revenue Service has ruled that the Society is exempt from federal income taxation and that contributions to the Society are deductible for federal income, gift, and estate tax purposes, because the Society is a "scientific, charitable" organization. The status of the Society for federal income tax purposes also has a considerable bearing upon the determination of its status for purposes of numerous other state and local income, franchise, and excise taxes.

Section 501(c)(3) of the Internal Revenue Code of 1986 provides that an organization which is exempt as a scientific organization may not, as a substantial part of its activities, engage in "carrying on propaganda, or otherwise attempt to influence legislation," and may not "participate in, or intervene in (including the publishing and distributing of statements), any political campaign on behalf of any candidate for public office."

The Treasury regulations provide that attempting to influence legislation includes (i) advocating the adoption or rejection of legislation or (ii) approaching or urging the public to approach members of a legislative body for the purpose of proposing, supporting or opposing legislation. The regulations also provide that the term "legislation" includes action by Congress, by any state legislature, by any local sector or similar governing body, or by the public in a referendum, constitutional amendment, or similar procedure. Any activity by the Society in actively promoting legislation amounts to an attempt to influence legislation by propaganda or otherwise and shall not constitute a substantial part of the Society's activities. Legislation, however, does not include regulatory actions by administrative agencies. Moreover, the presentation of engineering or scientific facts and/or nonpartisan analysis, study, or research is not considered to be an attempt to influence legislation.

3. **Limitation Relative to Lobbying.** Current federal law requires organizations that employ lobbyists to register with the Secretary of the Senate and Clerk of the House under certain circumstances.

In addition, state or local laws regulating legislative activities must be considered. All 50 states have enacted legislation (Iowa and West Virginia rules) governing the conduct of lobbyists and their employers. State laws vary significantly both in their definitions of what constitutes lobbying and who is a lobbyist and in the obligations that they impose on lobbyists. Some define lobbying as an effort to influence legislation, while others cover direct communications. Some states define a lobbyist as the person compensated, whereas others ignore compensation and focus on the activity. Exemptions vary, but usually cover individuals testifying on their own behalf and persons

invited to attend committee hearings. Most states exempt public officials. All states require that lobbyists register, usually with the Secretary of State. Most require a report of expenditures for a designated period.

In the event that an ASME unit wishes to take a position on legislation in a state, contact should be made with the Secretary of State for specific regulations relating to lobbying for that particular state.

4. **Reporting Government Contacts.** It is important that the Society maintain careful records of funds expended which could be construed to be in support of lobbying activity. Accurate records will allow ASME to comply with the lobbying law as well as to maintain its tax-exempt status under the Internal Revenue Code. All contacts by ASME members, Officers, and staff with federal, state, and local government officials for the purpose of influencing legislation are to be reported to the ASME Washington Office.

A report need only be made when representing or speaking on behalf of ASME and when ASME is paying part or all of the costs involved. Personal contacts, representation, or opinions of Society members, officers, or staff when offered to federal officials need not be reported as long as they are identified as personal opinions and as long as no ASME funds are involved.

Responsibility: Public Affairs and Outreach Council  
Reassigned from Strategic Management Sector 6/11

Adopted: September 16, 1960

Revised: June 13, 1966  
December 3, 1970  
January 27, 1978  
July 1979  
August 1980  
November 1981  
June 14, 1985  
(editorial changes 7/85)  
(editorial changes 9/86)  
(editorial changes 6/87)  
(editorial changes 8/88)  
September 10, 1993  
March 17, 1994  
September 19, 1997  
March 13, 1998  
(editorial changes 6/98)  
June 9, 1999  
June 12, 2005

April 27, 2006  
November 15, 2009  
April 23, 2010  
(editorial changes 11/12)  
(editorial changes 3/13)  
(editorial changes 4/18)  
April 14, 2021

APPENDIX I

ASME Public Statement

Standard Cover Sheet

Date Cover Sheet Mailed: \_\_\_\_\_

Release Date: \_\_\_\_\_

Name

TO: President \_\_\_\_\_  
Executive Director \_\_\_\_\_  
Senior Vice President \_\_\_\_\_  
Senior Staff Associated with Statement \_\_\_\_\_

Title/Subject of Release:

Brief Summary:

File Search by: \_\_\_\_\_  
(to prevent inconsistent statements)

Prepared By \_\_\_\_\_

To Be Released to \_\_\_\_\_

ASME Category of Release \_\_\_\_\_  
ASME Officer Authorizing the Release \_\_\_\_\_  
Title \_\_\_\_\_  
Date Authorized: \_\_\_\_\_

Copy to: Managing Director, Global Public Affairs

**Statement Attribution**

Position statements by ASME groups must include a statement attribution, which contains three elements:

1. Full organizational identification of the author group.
2. Reference to the author group's special expertise to address the issue.
3. The following sentence, in its entirety: "This position statement reflects the expert views of (author group name) and is not necessarily a position of ASME as a whole."

Sample statement attribution:

This position statement was prepared by the (name) Task Force of the (name) Sector on (name), American Society of Mechanical Engineers (ASME). Task Force members were carefully selected by the unit for their special knowledge and expertise in this issue. This position statement reflects the expert views of the Task Force and is not necessarily a position of ASME as a whole.

## 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 except where state statutes allow for exemptions.
- B. That licensed engineers and those acting under a state's industrial exemption be cognizant of the importance of safeguarding public safety and health through the use of product and service standards issued by government, industry groups, and by organizations such as ASME.
- C. That legally licensed engineers be addressed or referred to in all written communications or publications as such by use of the appropriate title.
- D. 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.
- E. That all qualified engineers who are educators become licensed and that they include in the engineering education curricula material concerning professional licensing.

**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 the Public Affairs and Outreach Council to prepare or select annually an information article on licensing to be published in the MECHANICAL ENGINEERING Magazine, ASME NEWS, or on [asme.org](http://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:      Public Affairs and Outreach Council  
                          Reassigned from Centers Sector Board /Center for Career and Professional Advancement  
                          Reassigned from Council on Member Affairs/Board on Professional Practice & Ethics 6/12/05

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)  
April 20, 2012  
February 12, 2015

## 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. By-Law B3.3.1 states: "Any member who has been found to have violated the Constitution, By-Laws, Code of Ethics or Code of Conduct of the Society, may be expelled by the affirmative vote of a majority of the Entire Board of Governors."
- D. ASME requires ethical conduct by its members and adherence to the provisions of the Constitution, By-Laws, and Policies of the Society. 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 ensure 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 and disposition of such cases shall not disclose particulars of any case except as required by their assigned duties as outlined in this Society Policy.
- E. 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 ethics complaint and inquiry.
- F. The Ethics Committee and the Executive Director/CEO of the Society have the responsibility for implementing the procedure defined in this Society Policy.
- G. At any phase of a complaint the Executive Director/CEO may, at his or her discretion, request the advice of Legal Counsel.

- i. An individual's ethical conduct shall be evaluated on the basis of the Society Policies 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 procedures related to alleged violation of Society Policies related to ethical conduct.
- B. To provide a fair and responsible procedure for handling complaints and charges of violation of Society Policies related to ethical conduct.

## **III. RESIGNATION**

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 shall be kept by the Society for not less than ten years.

## **IV. PROCEDURE**

### **A. Initial Review**

1. Any alleged violation of this Society Policy shall be reported to either the Executive Director/CEO or any member of the Executive Committee of the Board of Governors or ASME Human Resources who shall promptly notify the full Executive Committee. The Executive Committee shall initially determine whether the alleged violation shall be addressed through this Policy or Policy 15.7 "Ethics" or Policy 15.8 "Conflicts of Interest" or Policy 15.9 "Policy Against Discrimination (including Discriminatory Harassment) – Members" or Policy P-15.14 "Code of Conduct." There may be situations where actions are taken pursuant to one or more Society Policies.

### **B. 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 their complaint. Any person contemplating a complaint who chooses not to use the following consultative procedure can go directly to the procedure in Section IV.B.2 of this Society Policy.
  - a. The person shall notify the Society's Managing Director, Governance, orally or in writing that they are 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, Governance, shall promptly notify the members of the Ethics Committee, whereupon those members of the Committee who have no conflict of interest with respect to the possible complaint(s) 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, Governance, 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 them 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 ethics 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 ethics 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 their discretion, without regard to whether a complaint is filed, if they conclude 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/CEO 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 collectively as the "member subject to the complaint"), (b) those specific provisions of the Society Policies that the member subject to the complaint is alleged to have violated, and (c) the alleged facts that 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 that would be material to the evaluation of the merits of this complaint. I understand that if the foregoing statements are untrue and if 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 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 three (3) 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/CEO, 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 (return receipt requested),
- 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.B.2, and
- d. if the requirements of either IV.B.4.b or IV.B.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.B.4.b or IV.B.4.c or both of them, as the case may be. If arrangements for a consultation were made under Section IV.B.1, the members of the Ethics Committee shall be notified that the complaint was barred. The members of the Ethics Committee must maintain confidentiality.

Such complaint may be revised and resubmitted, and the date of any such resubmission shall be the submission date for purposes of IV.B.3.

5. If the complaint is not rejected pursuant to IV.B.4, the Executive Director/CEO shall within sixty (60) days of receipt of the complaint:
  - a. send the Chair of the Ethics Committee a copy of the complaint received, and
  - b. decide, with concurrence of the Chair of the Ethics Committee, whether the complaint is barred from further consideration
    - i. by reason of IV.B.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 Society Policies.
6. If the complaint is barred as provided in IV.B.5.b, the Executive Director/CEO shall notify the complainant by certified mail (return receipt requested) that the complaint is barred for such of the reasons set forth in IV.B.5.b as shall apply. If arrangements for a consultation were made under Section IV.B.1, the members

of the Ethics Committee shall be notified that the complaint was barred. The members of the Ethics Committee must maintain confidentiality.

7. If the Executive Director/CEO and the Chair of the Ethics Committee do not concur as to any matter for which their concurrence is required under IV.B.5.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, Executive Director/CEO or Chair of the Ethics Committee 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 if they are the individual subject to the complaint), whose determination shall govern and may not be appealed.
8. If the complaint is not rejected pursuant to IV.B.4 or IV.B.5, the Executive Director/CEO shall notify the complainant that the matter is being referred to the Ethics Committee within thirty (30) days of the determination by the Executive Director/CEO and Chair of the Ethics Committee, per Section IV.B.5, or by the President or Board of Governors per Section IV.B.7 that the complaint is not barred.
9. Within sixty (60) days of the notice sent to the complainant per Section IV.B.8, the Executive Director/CEO and the Chair of the Ethics Committee shall prepare (in consultation with legal counsel) a statement of preliminary charges and the Executive Director/CEO shall:
  - a. Notify the member subject to the complaint, by certified mail (return receipt requested), that an ethics complaint has been filed,
  - b. Include with the notification a copy of the statement of preliminary charges, the complaint, and the following statement:
    - i. That the preliminary charges allege matters to be within the scope of the Society Policies,
    - ii. That an investigation will be made to determine if the complaint is substantiated by the facts, and
    - iii. That the member is encouraged to submit a written response (of not more than ten (10) double-spaced letter-sized pages in Times New Roman type with a minimum font size of 10) to the complaint within thirty (30) days and to inform the Society of his or her preferred address.
  - c. In consultation with the Chair of the Ethics Committee, designate an Investigative Panel of no more than five members from the Society's staff or membership (or both) to conduct an investigation of the matter, and

- d. Provide the Investigative Panel with a copy of the complaint and a copy of the statement of preliminary charges (the complaint and preliminary charges shall not foreclose the Investigative Panel from determining that there may have been violations of provisions of the Society Policies other than or in addition to those cited in the complaint or the preliminary charges).
  - e. Members of the Ethics Committee are not eligible to serve on an Investigative Panel.
10. Reasonable expenses incurred by the Investigative Panel shall be paid by the Society.
11. In any case in which a complaint or other written or oral submission in connection with the submission, investigation and review of an ethics complaint contains statements or makes omissions that may give rise to an ethics complaint against the individual making the complaint or other submission, the Executive Director/CEO 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 ethics complaint in respect of such individual's conduct. This Section IV.B.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.
12. Upon becoming a member of the Investigative Panel, each member shall state in writing adherence to the conditions of Appendix I of this Society Policy, "the Confidentiality Policy."

C. Investigative and Review Phase

1. The Investigative Panel shall hold individual 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"). 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 Investigative Panel,

- d. if, during the conference, information is obtained that suggests the need to broaden the scope of the investigation, the Investigative Panel shall conduct such additional investigation before completing the investigation of the matter, and
  - e. at the start of each conference, the Investigative Panel shall advise each witness that the information may or may not be used in a written report and it may be furnished to the member subject to the complaint.
  - f. those appearing before the Investigative Panel must maintain confidentiality.
2. After the Investigative Panel is assured that all pertinent information concerning the matter has been secured, the Investigative Panel shall prepare a detailed written report giving all data concerning the matter. The Investigative Panel shall make one (1) of the following determinations:
  - a. That the facts, as found by the Investigative Panel, 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.C.3, or
  - b. That the facts, as found by the Investigative Panel, appear to establish a violation of the Society Policies 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.C.4, or
  - c. That the facts, as found by the Investigative Panel, appear to establish a violation of the Society Policies that is more than minor 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 Investigative Panel as a part of its determination, in which case the matter shall be handled as provided in IV.C.5.
3. If there is a determination, pursuant to IV.C.2.a, that the facts, as found by the Investigative Panel, do not support the complaint and as such do not provide a sufficient basis for any further action by the Society, the Executive Director/CEO shall within thirty (30) days of receiving the notification specified in IV.C.2:

- 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 Investigative Panel that the matter is closed pursuant to this Section IV.C.3, and the resolution of the matter shall be held confidential and not revealed to any other party by the complainant or the member subject to the complaint, and
- c. 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 Section IV.C.3, even if the complaint is revised, may not be resubmitted.

4. If there is a determination by the Investigative Panel, pursuant to IV.C.2.b, that the facts, as found by the Investigative Panel, appear to establish a violation of the Society Policies that is minor and as such does not warrant suspension or expulsion of the member subject to the complaint, the Executive Director/CEO on behalf of the Investigative Panel shall within thirty (30) days of such determination send a letter of warning/admonishment to the member subject to the complaint by certified mail (return receipt requested) and
  - a. notify the Board of Governors of the determination,
  - b. by certified mail (return receipt requested), notify the complainant of the determination that the matter is closed pursuant to this Section IV.C.4 and that the resolution of the matter shall be held confidential and not revealed to any other party by the complainant.
  - c. by certified mail (return receipt requested), notify all witnesses who have been interviewed by the Investigative Panel that the matter has been resolved and is closed, and
  - d. close the official file on the matter and retain in the file records of the Society for not less than ten (10) years from the date on which the initial complaint was received by the Society.
5. If there is a determination, pursuant to IV.C.2.c, that the facts, as found by the Investigative Panel, appear to establish a violation of the Society Policies that is more than minor and as such may warrant suspension or expulsion of the charged, the Executive Director/CEO, within thirty (30) days of receipt of the notification described in IV.C.2 shall notify the President in writing that the matter will be submitted to the Board of Governors for determination. In making its determination, the Board of Governors shall not be bound by the

recommendations of the Investigative Panel and may upon review of the complaint; (1) determine that the complaint is not supported by the facts; (2) determine that a lesser sanction such as a letter of warning/admonishment should be issued; or (3) suspend or expel the member. The Board of Governors should ordinarily make such determination in a closed session of the Board.

Within thirty (30) days of the rendering of a decision by the Board of Governors, the Executive Director/CEO shall:

- a. by certified mail (return receipt requested), notify the subject of the complaint of the determination that the matter is closed pursuant to this Section IV.C.5 and that the resolution of the matter shall be held confidential and not revealed to any other party by the subject of the complaint;
  - b. by certified mail (return receipt requested), notify the complainant of the determination that the matter is closed pursuant to this Section IV.C.5 and that the resolution of this matter shall be held confidential and not revealed to any other party by the complainant;
  - c. by certified mail (return receipt requested), notify all witnesses who had been interviewed by the Investigative Panel that the matter has been resolved and is closed, and
  - d. close the official file on the matter and retain in the files of the Society for not less than ten (10) years from the date on which the initial complaint was received by the Society.
6. Within thirty (30) days of the determination of any ethics case, the Executive Director/CEO shall, by certified mail (return receipt requested), notify the members of the Ethics Committee of the determination that the matter is closed pursuant to either Section IV.C.3, IV.C.4, or IV.C.5 and that the resolution of the matter shall be held confidential and not revealed to any party by members of the Ethics Committee.
  7. A complaint disposed of by the Board of Governors, even if the complaint is revised, may not be resubmitted.
  8. All files concerning ethics 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.

9. The membership shall be notified of all disciplinary actions taken by the Board of Governors under this Section IV.C.5 for violations of the Society Policies, 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: Committee of Past Presidents/Ethics Committee

Reassigned from Centers Board of Directors/Center for Career and Professional Advancement/Committee on Ethical Standards and Review 2/2012

Reassigned from Centers 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)  
(Unit Reassignment Due to Reorganization 2/12)  
November 15, 2013  
November 10, 2019  
October 6, 2021  
April 19, 2022

## **APPENDIX I**

### **INVESTIGATIVE PANEL**

#### **CONFIDENTIALITY POLICY**

The Business of the Society as it relates to the review of any ethics case shall be strictly confidential. The unauthorized dissemination of information related to this activity is prohibited.

In no case shall information concerning a review of an alleged ethical violation be used other than for the purpose of reviewing said allegation in accordance with applicable procedures.

All information regarding questions on the review of alleged violations, including all discussions and material distributed at meetings, is strictly confidential, and shall not be discussed nor sent to anyone not authorized to have access to the questions.

Agreeing to comply with these requirements is not to be interpreted as a preemption of one's obligation to adhere to the Constitution or Charter of ASME, nor to laws or regulations of any country, state, province or municipality or residence.

TO: Executive Director/CEO, ASME

I have read and agree to adhere to this Confidentiality Policy.

Name: \_\_\_\_\_  
Print \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

## SOCIETY POLICY

### HISTORY AND HERITAGE LANDMARKS

#### I. PREFACE

Society By-Law B2.1 states, "The Society shall publicize the engineering profession through the achievements of engineers."

#### 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 engineering 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 a significant mechanical engineering achievement not reflected by a tangible artifact, such as a theory or an accomplishment for which it is impossible to identify an appropriate artifact, a work may be designated as a "virtual" landmark. This designation will be implemented on a trial basis for three years beginning in 2017 and evaluated at the conclusion of the period.

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.

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.

#### **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 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: History and Heritage Committee

Reassigned from Public Affairs and Outreach Sector 9/19/14

Reassigned from Centers Board of Directors/Board on Public Awareness  
6/2012

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

(Unit Reassignment Due to Reorganization 6/2012)  
February 1, 2017

## SOCIETY POLICY

### ETHICS

ASME requires ethical practice by each of its members and has adopted the following Code of Ethics of Engineers as referenced in the ASME By-Law B2.1.

#### 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 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 the Policies of the Society in a prompt, complete and truthful manner to either the Executive Director/CEO or any member of the Executive Committee of the Board of Governors or ASME Human Resources who shall promptly notify the full Executive Committee. The Executive Committee shall initially determine whether the alleged conduct shall be addressed through this Policy or Policy 15.4 "Ethical Conduct Violation Procedures" or Policy 15.8 "Conflicts of Interest" or Policy 15.9 "Policy Against Discrimination (Including Discriminatory Harassment) – Members" or Policy 15.14 "Code of Conduct." There may be situations where actions are taken pursuant to one or more Society Policies.

The Ethics Committee 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:	Committee of Past Presidents/Ethics Committee  Reassigned from Centers Board of Directors/Center for Career and Professional Advancement/Committee on Ethical Standards and Review
	Reassigned from Centers 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)  
(Unit Realignment Due to Reorganization 2/12)  
October 6, 2021

## SOCIETY POLICY

### CONFLICTS OF INTEREST

#### I. PREFACE

- A. Article C2.1.1 of the Constitution lists the following as one purpose of the Society: To “[p]romote a high level of ethical practice.”
- B. Article C2.1.1 states in part “[i]n all professional and business relations the members of the Society shall be governed by the Code of Ethics.”
- C. Society Policy P-15.7 states in part, “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 interests.”

#### II. PURPOSE

Each individual acting for or in the name of the American Society of Mechanical Engineers (“ASME” or the “Society”) is in a position of trust. This Society Policy is intended:

- A. 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.
- B. To establish guidelines and procedures to enable individuals to act ethically and to uphold the integrity of the Society's policies, rules, codes, and standards.
- C. To ensure that individuals act in the Society's best interest and comply with applicable legal requirements.

#### III. POLICY APPENDIX A & APPENDIX B

- A. Appendix A (Technical or Membership Matters)

Appendix A of this Society Policy applies to decisions or actions pertaining to ASME and involving Technical or Membership Matters. A matter is a “**Technical or Membership Matter**” if it pertains primarily to a technical issue or a membership issue and is not a Financial Matter. Generally speaking, matters coming before the following bodies within ASME are Technical or Membership Matters: the Nominating Committee, the Committee on Organization and Rules, Council on Standards and Certification and the Committee of Past Presidents as well as any units or sub-units of the Society that normally consider Technical or Membership Matters.

B. Appendix B (Financial Matters)

Appendix B of this Society Policy applies to decisions or actions pertaining to ASME (or an ASME affiliate) and involving Financial Matters, but only if the Financial Matter is a “**Covered Arrangement**” as defined in Appendix B. The term “**Financial Matters**” means a matter involving the expenditure, augmentation, use, disposition, or allocation of ASME’s resources or the resources of an ASME affiliate. A Financial Matter includes (without limitation) any recommendation, advice, decision, or action concerning:

- an expenditure by ASME (e.g., payment of compensation or a reimbursement, leasing or licensing property from third parties, buying property, contracting for services, and granting a prize or award);
- an augmentation of ASME’s resources or capacity (e.g., accepting a gift or bequest of money or property, accepting the use of services, or joining forces with another organization); or
- the use, investment, disposition, or allocation of ASME resources (e.g., selling ASME’s property, leasing or licensing ASME property to third parties, selecting an investment advisor or manager, and allowing third parties to use ASME property or other resources such as staff time, endorsements, logos, or other intellectual property).

If a matter involves both Financial Matters and Technical or Membership Matters, it should be handled in a manner consistent with both Appendix A and Appendix B of this Society Policy to the extent possible, and in the event of uncertainty, in a manner consistent with Appendix B.

C. INTEGRAL PART AND USE OF DEFINED TERMS

Appendix A and Appendix B are incorporated in (and therefore are an integral part of) this Society Policy. Capitalized terms used in Appendix A or Appendix B and not defined in such Appendices have the meanings set forth above.

**IV. USE OF ASME NAME, SEAL, EMBLEM, INITIALS, TITLES, ETC.**

The use of Society titles for those holding elected and non-elected office within the Society shall follow the guidelines stated in paragraph III.D.4 of Society Policy P-14.6, Society Name, Seal, Emblem, Initials, Titles, Identification and Certificates. Violations of those guidelines by volunteers shall be considered under violations of the Code of Ethics. (See Society Policy P-15.7, Ethics.)

**V. USE OF ASME STATIONERY**

Society Policy P-14.6 Society Name, Seal, Emblem, Initials, Titles, Identification and Certificates contains provisions with respect to the use of ASME stationery in Paragraph III.B.4.

## VI. NOTICE, STATEMENT OF ADHERENCE, AND OVERSIGHT

A. *Notice.* Before assuming a position (including as an Appointed Governor or Governor-elect), each member of a unit or sub-unit of the Society and each volunteer elected or appointed to represent ASME in some other capacity shall be sent by mail or as an electronic link, as appropriate, a copy of this Society Policy, Society Policy P-15.7, Ethics and Society Policy P-14.6, Society Name, Seal, Emblem, etc., and be directed to adhere to the applicable provisions of these policies as a condition of acting for or representing the Society.

B. *Statement of Adherence.* Before assuming a position (including as an Appointed Governor or Governor-elect), unless there is in ASME's files a prior signed acceptance of Society Policy P-15.8, each member of a unit or sub-unit of the Society and each volunteer elected or appointed to represent ASME in some other capacity shall state in writing his or her commitment to adhere to the applicable provisions of this Society Policy. If this signed Statement of Adherence is not on file, the volunteer may not assume the position.

C. *Updated Statement of Adherence.* If either Policy P-14.6 or P-15.8 receives substantive revision as determined by the Board of Governors, all volunteers required to have a Statement of Adherence on file shall receive a copy of the revised Policy and shall be requested to sign an updated Statement of Adherence. Should there be any occurrence where a volunteer does not sign a new Statement of Adherence and forward it to the Society within 90 days, the Executive Director/CEO shall inform the pertinent board, committee, sector, or other pertinent body that the volunteer is in violation of this provision of this Society Policy and may not continue in their position or further represent ASME. When action is taken by a volunteer to comply with this Policy, that individual shall be reinstated to his or her position and allowed to represent ASME in his or her previous position.

D. *Oversight.* At least twice a year, the Executive Director/CEO of ASME shall submit a report to the Ethics Committee certifying that the requirements of subparagraphs (A), (B) and (if applicable) (C) have been met and shall include names of those volunteers not in compliance.

E. *Employees.* Notice to ASME employees and the handling of Statements of Adherence and Updated Statements of Adherence will be pursuant to ASME employment procedures determined by the Executive Director/CEO.

F. *Initial Review.* Any alleged violation of this Society Policy should be reported to either the Executive Director/CEO or any member of the Executive Committee of the Board of Governors or ASME Human Resources who shall promptly notify the full Executive Committee. The Executive Committee shall initially determine whether the alleged violation shall be addressed through this Policy or Policy 15.4 "Ethical Conduct Violation Procedures" or Policy 15.7 "Ethics" or Policy 15.9 "Policy Against Discrimination (including Discriminatory Harassment) – Members" or Policy 15.14 "Code of Conduct." There may be situations where actions are taken pursuant to one or more Society Policies.

## VII. GUIDANCE

Volunteers and employees are urged to seek prompt input from the Office of the General Counsel if they have a question about the proper application of this Society Policy, including a decision whether a matter is a Technical or Membership Matter, a Financial Matter, both, or neither.

**APPENDIX A**  
**(ASME Conflicts Policy for Technical or Membership Matters)**

**1. PREAMBLE (for Technical or Membership Matters)**

Because ASME holds as paramount the safety, health, and welfare of the general public, each member and non-member (each, a “volunteer”) participating in decisions with respect to Technical or Membership Matters has a fundamental responsibility to exercise impartial professional judgment to enhance the Society and the practice of mechanical engineering in the public interest. Appendix A applies to volunteers when there are discussions, deliberations or voting with respect to Technical or Membership Matters, whether or not arising during the formal session of a committee or other body within ASME.

This Appendix A is in addition to, and not in lieu of, any policy or operating guide applicable to a particular ASME activity (e.g., honors and awards) or body (e.g., a Sector Board or Council or a Board within a Sector). In the event of a conflict between the terms of any such policy or operating guide and this Appendix A, the terms of this Appendix A shall govern the matter.

Each individual has the primary responsibility for assuring his or her adherence to this Appendix A as well as to Appendix A and other applicable ASME policies or operating guides that address conflicts of interest.

**2. DEFINITIONS (for Technical or Membership Matters)**

- a. *“Conflicts of Interest.”* The potential for a “conflict of interest” involving Technical or Membership Matters 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. A conflict of interest in Technical or Membership Matters 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 in a Technical or Membership Matter, a volunteer may be asked to 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 their employer or another entity.
- b. *“Balance of Interest.”* 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 in Technical or Membership Matters 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 in Technical or Membership Matters. 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 economic and technical interests.

### **3. DUTIES AND RESPONSIBILITIES (for Technical or Membership Matters)**

- a. It is the duty of volunteers acting for or on behalf of the Society in Technical or Membership Matters 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.
- b. All volunteers have a fundamental responsibility to refrain from participating in Society decision-making on Technical or Membership Matters 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 in Technical or Membership Matters.

### **4. PROCEDURES (for Technical or Membership Matters)**

- a. In instances where it is clear to an individual volunteer that their judgment with respect to a Technical or Membership Matter is controlled by their loyalty to a competing interest, they should disqualify themselves and refrain from influencing and participating in the deliberations and decision-making regarding the conflict-affected matter. This does not preclude the volunteer's 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.
- b. In instances where an individual volunteer believes that there may be the appearance of a conflict of interest (a "possible conflict situation") involving a Technical or Membership Matter, although they believe that their independent judgment will not be affected by a competing interest, the volunteer should nevertheless take at least one of the following consultative courses of action:
  - i. If the individual is serving on a unit or sub-unit of the Society considering a Technical or Membership Matter, the individual should make certain that all concerned with the projected deliberations or decision-making on the Technical or Membership Matter 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 individual's continued participation will not unreasonably jeopardize the integrity of the decision-making process, the individual shall not attempt to influence, be present at or participate in deliberations 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, the Executive Committee of the Board of Governors, pursuant to Section VI.F, may refer

this to the Ethics Committee or other appropriate unit of ASME for action. Such referral and appeals may be made by the chair of the unit or sub-unit, the individual volunteer, or any other participant in the consideration of the possible conflict situation. Additionally, the member may elect to bypass the secret-ballot measure described above and take the matter directly to the appointing committee or supervisory body, if any, and then, if unresolved, to the Executive Committee of the Board of Governors, pursuant to Section VI.F, who may refer this to the Ethics Committee or other appropriate unit of ASME for action.

- ii. If the individual is acting for or on behalf of ASME other than in a committee or group participation capacity, the individual should bring the possible conflict situation directly to the attention of the appointing committee or supervisory body, if any, and then, if unresolved, to the Executive Committee of the Board of Governors, pursuant to Section VI.F, who may refer this to the Ethics Committee or other appropriate unit of ASME for action.
- c. Any member of a sector, board, division, committee, section, subcommittee, or other decision-making body who believes that the continued participation of any other member of that body in a Technical or Membership Matter may unreasonably jeopardize the integrity of the decision-making process may call for the consultative courses of action set forth in Paragraph 4(b)(i) or (ii) above.

## 5. **IMPLEMENTATION AND COMPLIANCE**

The Ethics Committee shall oversee the implementation of, and compliance with, this Appendix A. The Ethics Committee shall have authority to review questions of conflicts of interest under this Appendix A and to render opinions thereon. The Ethics Committee may authorize the Chair of the Ethics Committee to issue a letter of warning or admonishment to persons who violate this Appendix A or request that the Chair refer the matter to the Executive Director/CEO for processing as an ethics complaint under Society Policy P-15.4. A decision of the Ethics Committee shall be binding and final if a letter of warning or admonishment is the course of action.

## APPENDIX B

### (ASME Conflicts Policy for Financial Matters)

#### 1. PREAMBLE (for Financial Matters)

Because ASME is a not-for-profit corporation formed under the laws of the State of New York, those who serve ASME have a duty to adhere to the purposes to which ASME is dedicated and to conduct the affairs of ASME in a manner consistent with those purposes and not to advance their personal financial interests when Financial Matters are under consideration. This Appendix B is intended to ensure that those who fulfill leadership roles with respect to Financial Matters act in ASME's best interest and comply with applicable legal requirements, despite the existence of a conflict of interest. This Appendix B is designed to promote the identification, disclosure, evaluation, and disposition of any real, potential, or apparent conflicts of interest that might, in fact or in appearance, call into question the duty of undivided loyalty owed to ASME by its leaders.

This Appendix B is in addition to, and not in lieu of, any conflict of interest policies promulgated by the Executive Director/CEO with respect to ASME employees and is also in addition to, and not in in lieu of, Appendix A and any policy or operating guide applicable to a particular ASME activity (e.g., honors and awards) or body (e.g., a Sector Board or Council or a Board or Committee within a Sector). In the event of a conflict between the terms of any policies, operating guides or Appendix A and this Appendix B, the terms of this Appendix B shall govern the matter.

Each individual has the primary responsibility for assuring their adherence to this Appendix B as well as to Appendix A and other applicable ASME policies or operating guides that address conflicts of interest.

#### 2. DEFINITIONS (for Financial Matters)

- a. The term "**Authorized Body**" means any one of the following: (a) the ASME Board of Governors, (b) the Audit Committee, or (c) a Committee of the Board having delegated authority with respect to a given sphere of activity. If no Committee of the Board has delegated authority with respect to a given sphere of activity, the term "**Authorized Body**" means the ASME Board of Governors or the Audit Committee.
- b. The term "**Committee Member**" means each member of the following bodies: the Committee on Finance, the Committee on Executive Director/CEO Evaluation and Staff Compensation, the Audit Committee, Retirement Plan Committee, and any committee, task force, or similar body appointed or designated by the Board of Governors or the President.
- c. The term "**Committee of the Board**" is a committee appointed by the Board of Governors and whose voting membership consists of at least three individuals, all of whom are members of the Board of Governors. At the time of adoption of this Society Policy, the only committees that are Committees of the Board are the Audit Committee, Executive

Committee and the Executive Director/CEO Evaluation and Staff Compensation Committee. Because the Committee on Finance includes members who are not members of the Board of Governors, it is not a Committee of the Board.

- d. The term "**Covered Arrangement**" means each proposed transaction, agreement, or other arrangement (including any grant, scholarship, or compensation arrangement) in which:
  - i. (A) one or more Related Parties (defined below) would have a financial interest and (B) the Society or any affiliate of the Society (including without limitation the ASME Foundation) would be a participant; or
  - ii. there could be an actual or perceived conflict of interest for some other reason, including any transaction, agreement, or other arrangement in which the interests of a Related Party could be seen as competing with the interests of the Society or any affiliate of the Society.

All Covered Arrangements are circumstances that constitute a perceived, potential, or actual conflict of interest and as such are subject to the terms of this Appendix B. If a Covered Arrangement involves an affiliate of the Society, it is an "**Affiliate Covered Arrangement**."

- e. The term "**Governor**" means each member of the Board of Governors in office from time to time, as well as each Governor-elect and Governor-nominee.
- f. The term "**Key Employee**" means each person who is in a position to exercise substantial influence over the affairs of the Society within the meaning of Section 4958(f)(1)(A) of the Internal Revenue Code and Section 53.4958-3(c), (d) and (e) of the Treasury Regulations or analogous provisions. The group of Society employees who are deemed to be Key Employees includes (but is not necessarily limited to) employees designated from time to time by the Executive Director/CEO, in consultation with the Treasurer.
- g. The term "**Officer**" means each officer of the Society holding office from time to time and holding the rank of Senior Vice President, President, Secretary-Treasurer, Assistant Secretary, Assistant Treasurer, Executive Director/CEO, and Chief Financial Officer.
- h. The term "**Related Parties**" means:
  - i. The Governors, Officers, Committee Members and Key Employees of the Society.
  - ii. The following living relatives of each individual described in subparagraph (i):
    - (A) his or her ancestors
    - (B) his or her spouse or domestic partner
    - (C) his or her siblings and half-siblings
    - (D) the spouses or domestic partners of his or her siblings and half-siblings

- (E) his or her children, grandchildren, and great-grandchildren<sup>1</sup>
- (F) the spouses or domestic partners of his or her children, grandchildren, and great-grandchildren.

- iii. The following entities and trusts:
  - (A) any entity or trust of which any individual described in subparagraph (i) or (ii) serves as a director, trustee, officer, or employee.
  - (B) any entity or trust in which any one or more individuals described in subparagraph (i) or (ii) have a 5% or greater ownership or beneficial interest.

### 3. PROCEDURES (for Financial Matters)

#### a. Individual Responsibilities

- i. *Disclosure.* If a Governor, Officer, Committee Member or Key Employee of ASME has a direct interest in a Covered Arrangement, or an indirect interest through a person who is a Related Party with respect to them, they must immediately disclose in writing the existence and circumstances of the arrangement (including the material facts concerning their interest) to an Authorized Body.
- ii. *Refraining from Influence.* The individual must refrain from attempting to influence the deliberation or voting on the Covered Arrangement.
- iii. *Deliberations and Voting.* The individual may not participate in or attend the deliberations or vote on the Covered Arrangement. However, at the request of the Authorized Body, the individual may present background information or answer questions on the Covered Arrangement. The conflict does not preclude the individual's attendance at and participation in the rest of the meeting of the Authorized Body.
- iv. *Affiliate Covered Arrangements.* If the Covered Arrangement is also an Affiliate Covered Arrangement, the disclosure required by Paragraph 3(a)(i) shall be made only to the Audit Committee of the Society and the Audit Committee of the affiliate (or, if the affiliate does not have an Audit Committee, to the governing body of the affiliate). The Audit Committee of the Society must confirm that the steps required in this Paragraph 3(a) have been and are being taken, and no further action by the Society shall be required pursuant to this Appendix B except as the Audit Committee shall determine in the specific instance following consultation with the Audit Committee of the affiliate.

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<sup>1</sup> Adoptive children, grandchildren, and great-grandchildren are included within this definition.

b. Society Responsibilities

- i. *Authorized Body Tasked with Fulfilling These Responsibilities.* An individual's disclosure with respect to a Covered Arrangement pursuant to Paragraph 3(a) triggers the Society's responsibilities under this Paragraph 3(b) (unless it is an Affiliated Covered Arrangement, in which event the Audit Committee will determine which, if any, responsibilities under this Paragraph (b) will apply or if some other course of action is warranted). However, the Authorized Body receiving the disclosure may request that another Authorized Body perform the Society's responsibilities under this Paragraph 3(b), in which event references below are to that Authorized Body if it undertakes the responsibilities. For example, if disclosure is made to the Audit Committee, the Audit Committee may request that the Board of Governors fulfill the remaining responsibilities under this Paragraph 3(b).
- ii. *Confirmation of Individual Actions.* The Authorized Body must confirm that the steps required in Paragraph 3(a) have been and are being taken.
- ii. *Fairness and Reasonableness.* Before approving a Covered Arrangement, the Authorized Body must determine that it is fair, reasonable and in the Society's best interest at the time of such determination.
- iv. *Comparability Data.* Prior to entering into the Covered Arrangement, the Authorized Body must obtain and rely on comparable market data, to the extent available.
- v. *Alternative Transactions.* Prior to entering into the Covered Arrangement, if a related party has a "substantial financial interest" in it within the meaning of New York law, the Authorized Body must consider alternative transactions, agreements, or arrangements, to the extent available.
- vi. *Materiality to ASME.* The Authorized Body must determine whether the arrangement is material to the financial, reputational, or other interests of the Society, in which event consideration must be given to alternative transactions, agreements or arrangements, to the extent possible. If an Authorized Body other than the Board of Governors makes a determination that the arrangement is material, it (A) must promptly notify the Board of Governors of this determination and (B) may condition its approval, if any, of the arrangement on the further review, approval, endorsement or other input of the Board of Governors.
- vii. *Voting.* All determinations and approvals with respect to a Covered Arrangement require the affirmative vote of not less than a majority of the members of the Authorized Body present at the meeting of the Authorized Body (provided a quorum is present and no greater portion is required by applicable law or Society requirement). Interested members of the Board of Governors

may be counted solely for determining the presence of a quorum. Notwithstanding the foregoing, the salary of the Executive Director/CEO may be set only by the affirmative vote of a majority of the entire Board of Governors.

- viii. *Contemporaneous Documentation.* All disclosures and recusals with respect to a Covered Arrangement together with the basis for all determinations and approvals of the Authorized Body must be contemporaneously documented in writing (including in the minutes of any meeting at which the arrangement was discussed and voted on). This documentation must include an account of the consideration of comparable market data and alternative transactions, agreements, or arrangements, to the extent considered or available.
- ix. *Reporting to the Board or Audit Committee.* If the arrangement is before an Authorized Body other than the Board of Governors or Audit Committee, the existence of the matter and its disposition must be promptly disclosed to the Board of Governors and Audit Committee.

#### **4. ANNUAL COMPLIANCE AND DISCLOSURE STATEMENT**

At least once per year, each Governor, Officer, Committee Member and Key Employee must complete, sign, and submit to the Secretary a written Compliance and Disclosure Statement acknowledging that he or she has read and is in compliance with this Policy and identifying to the best of his or her knowledge:

- a. any business or nonprofit of which the individual is an officer, director, trustee, member, owner, or employee and with which the Society or any affiliate of the Society has a relationship.
- b. any transaction in which the Society or any affiliate of the Society is a participant and in which the individual or Related Party with respect to that individual might have a conflicting interest;
- c. any other interests that could give rise to conflicts of interest.

Prior to the initial election or appointment of any Governor, they must supplement their Statement of Adherence (referenced above) with the disclosure described in Paragraphs 4(a), (b) and (c).

In addition, the Executive Director/CEO, in consultation with the Board of Governors, shall identify those levels of ASME employees who are also subject to the requirement to provide the Compliance and Disclosure Statement described above and shall require each employee at those levels to complete, sign and submit a Compliance and Disclosure Statement to the Secretary on an annual basis as described above.

The Secretary shall provide a copy of all completed Compliance and Disclosure Statements to the Chair of the Audit Committee and shall periodically update the Chair of the Audit Committee concerning compliance with the annual disclosure statement requirements of this Society Policy.

Completed disclosure statements shall be available for inspection by any member of the Board of Governors and may be reviewed by the Society's legal counsel.

## 5. IMPLEMENTATION AND COMPLIANCE

The Audit Committee shall oversee the implementation of, and compliance with this Appendix B.

Responsibility: Ethics Committee (Appendix A)  
Audit Committee (Appendix B)

Reassigned from Ethics Committee

Reassigned from Committee of Past Presidents/Ethics Committee

Reassigned from Centers Board of Directors/Center for Career and Professional Advancement/Committee on Ethical Standards and Review

Reassigned from Centers 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  
(Unit Realignment Due to Reorganization 2/12)  
June 8, 2014  
(editorial change 8/18/14)  
(editorial change 5/25/16)

(editorial change 6/17)

(editorial change 3/18)

October 6. 2021

April 19, 2022

## 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 age, race, color, ethnicity, sex (including pregnancy), gender, gender identity, gender expression, national origin, citizenship status, religion, sexual orientation, disability, and 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 age, race, color, ethnicity, sex (including pregnancy), gender, gender identity, gender expression, national origin, citizenship status, religion, sexual orientation, disability, and 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 age, race, color, ethnicity, sex (including pregnancy), gender, gender identity, gender expression, national origin, citizenship status, religion, sexual orientation, disability, and 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 age, race, color, ethnicity, sex (including pregnancy), gender, gender identity, gender expression, national origin, citizenship status, religion, sexual orientation, disability, and 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.
1. 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:
    - a. 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;
    - b. 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; or
    - c. 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.
  2. 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.
- D. 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, gestures, 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.
- E. 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 alleged violation of this Society Policy should be reported to either the Executive Director/CEO or any member of the Executive Committee of the Board of Governors or ASME Human Resources who shall promptly notify the full Executive Committee. The Executive Committee shall initially determine whether the alleged violation shall be addressed through this Policy or Policy 15.4 "Ethical Conduct Violation Procedures" or Policy 15.7 "Ethics" or Policy 15.8 "Conflicts of Interest" or Policy 15.14 "Code of Conduct." There may be situations where actions are taken pursuant to one or more Society Policies.
- B. Any member who believes that they have 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 the Executive Director/CEO or any member of the Executive Committee or ASME Human Resources who shall promptly notify the full Executive Committee. Those individuals (and any other chair, leader, or senior vice president who may receive information concerning the existence of such a complaint) should immediately report the complaint to the Executive Director/CEO, 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/CEO or ASME Human Resources. If the alleged offender is an employee of ASME, the procedures set forth in Sections IV.C. and IV.D. for handling the complaint will not apply. Instead, the Executive Director/CEO 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/CEO, who will decide whether disciplinary measures are appropriate in accordance with Section IV.D.4. below, and Sections IV.D.5. and IV.D.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/CEO 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/CEO shall inform the complainant that ASME has no jurisdiction and will accordingly take no action.
- C. Upon receiving a report of an alleged violation of this Policy by a member against another member, the Executive Committee shall proceed as follows:
  1. The Executive Committee shall 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, an individual selected by the Executive Committee 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 Committee decides 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/CEO a signed complaint detailing the allegations. In such a case, the procedures set forth in Section IV.D below shall apply.
  3. Notwithstanding any other provision of this Policy, the Executive Director/CEO, President or the Board of Governors may investigate any report of an alleged violation of this Policy (whether or not the complainant has submitted a signed complaint).
- D. An investigation of any complaint submitted pursuant to Section IV.C.2. shall proceed as follows:
  1. The Executive Committee 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 Committee, who will determine whether this Policy has been violated.
  3. If the Executive Committee determines 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/CEO 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 Committee determines that this Policy has been violated, it will further determine 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 its determination in writing. Any decision to expel a member from the Society shall be referred to the Board of Governors in accordance with By-Law B3.3. The Executive Committee 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.D.1 – IV.D.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 Committee 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 Committee be carried out. The Executive Committee will take any further action necessary to resolve the complaint in accordance with the Board of Governors' recommendation.
- E. In the event any member of the Executive Committee abstains from handling any complaint or report of an alleged violation of this Policy, the Board of Governors shall by vote appoint a sitting Governor to fill any vacancy or vacancies. The members of the

Executive Committee abstaining from handling the complaint or report shall abstain from any action to fill any Executive Committee vacancies.

- F. ASME will strive to keep the identity of persons making complaints pursuant to this Policy as confidential as possible.
- G. 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 they have been retaliated against for such action, they should use the reporting procedures outlined in Section IV.B. of this Policy to report the pertinent facts promptly. ASME will investigate and take appropriate action in the manner described above.
- H. 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.
- I. The procedures for handling complaints set forth in Sections IV.D. and IV.E. 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 Executive Director/CEO as an alleged ethical violation.

Responsibility: Executive Committee

Reassigned from Centers Board of Directors/Center for Career and Professional Advancement 11/2013

Centers Board of Directors/Center for Career and Professional Advancement

Reassigned from Centers Board of Directors/Center for Career and Professional Advancement 6/2012

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)  
(Unit Reassignment Due to Reorganization 6/2012)  
(Unit Reassignment Due to Reorganization 9/2013)  
(editorial changes 01/14)  
February 9, 2018  
October 6, 2021  
April 19, 2022



P-15.10  
6/19

## **SOCIETY POLICY PUBLIC AWARENESS**

### **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 Strategic 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 Chief Financial Officer or the Executive Director.

All related activities must be coordinated through the ASME Strategic 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: Global Outreach

Reassigned from Centers Board of Directors/Center on Public Awareness  
(6/2012)

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  
(Unit Reassignment Due to Reorganization 6/2012)  
June 5, 2019



P-15.11  
4/21

## SOCIETY POLICY

### DIVERSITY, EQUITY AND INCLUSION

#### I. PREFACE

- A. By-Law B5.2.11.1 states in part, "The Diversity, Equity, and Inclusion Strategy Committee, under the direction of the Board of Governors, shall provide insight and advice into promoting diversity, equity and inclusion within ASME and mechanical engineering."
- 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 age, race, color, ethnicity, sex (including pregnancy), gender, gender identity, gender expression, national origin, citizenship status, religion, sexual orientation, disability, and veteran or military status" 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 age, race, color, ethnicity, sex (including pregnancy), gender, gender identity, gender expression, national origin, citizenship status, religion, sexual orientation, disability, and veteran or military status..."
- 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 age, race, color, ethnicity, sex (including pregnancy), gender, gender identity, gender expression, national origin, citizenship status, religion, sexual orientation, disability, and 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, equitable, 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, equitable, and inclusive membership as defined below.
- B. This policy is intended to direct ASME units to raise awareness and gain an understanding of diversity, equity, and inclusion as outlined in Section III.
- C. This policy is intended to direct ASME units to ensure that their decision making addresses diversity, equity, and inclusion as outlined in Section III.
- D. This policy is intended to direct ASME units to endeavor to provide equitable access to all of ASME’s resources, according to the definitions 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, equity, and inclusion. This will be accomplished through training, written and verbal communications and explicit statements, as appropriate. ASME will endeavor to provide for equitable access in all its agreements, programs, and activities and to enter into contracts and agreements that are consistent with ASME’s goal of creating an inclusive environment for all members.

## **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, equitable access, diversity of perspectives, 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, equity, and inclusion.

ASME shall develop specific policies intended to increase equitable access during different types of events, programs, and activities that do not currently meet ASME's definition of equitable access.

## 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:**

- o Embrace integrity and ethical conduct
- o Embrace diversity and respect the dignity and culture of all people
- o Nurture and treasure the environment and our natural and man-made resources
- o Facilitate the development, dissemination and application of engineering knowledge
- o Promote the benefits of continuing education and of engineering education
- o Respect and document engineering history while continually embracing change
- o 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 commonalities and similarities that justify and motivate all people and entities to work collaboratively together in order to achieve mutually beneficial outcomes." Diversity encompasses Diversity of Experience (including personal and professional experiences, family and lifestyle backgrounds, and socioeconomic backgrounds), Diversity of Thought (including work styles, personality types, and skill sets), and Diversity of Demographic Groups (including differences such as age, race, color, ethnicity, sex (including pregnancy), gender, gender identity, gender expression, national origin, citizenship status, religion, sexual orientation, disability, and veteran or military status). Diversity that is recognized, valued and most importantly, strategically managed within and without an organization can drive successful outcomes and business results.
- B. Equity is ensuring fair and impartial treatment, access, opportunity, and advancement for all people. Equity takes into account disparate needs, conditions, and abilities, with particular attention to historically underserved and underrepresented groups. Achieving equity requires the identification and elimination of barriers to full participation and the correction of imbalances that disadvantage some groups.

- C. Inclusion is creation of opportunities and the elimination of barriers to 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.
- D. 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.
- E. 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.
- F. Equitable Access is defined as providing the same (or otherwise equitable) resources to all people, particularly those with diverse identities. These resources include physical facilities, methods of communication or communication channels, other institutional structures within ASME, and others. Equitable access specifically includes the following: reasonable accommodations for people with disabilities, respectful and dignified access to restrooms consistent with a person's gender identity, and consideration of the needs of non-English speakers when designing policies or events.

Responsibility: Diversity and Inclusion Strategy Committee

Reassigned from Centers Board of Directors/Center on Leadership and Diversity 6/2012

Reassigned from Council on Public Affairs/Board on Diversity and Outreach 6/12/05

Adopted: June 14, 1995

Revised: September 12, 1999  
June 12, 2005  
April 23, 2009  
(Unit Reassignment Due to Reorganization 6/2012)  
February 9, 2018  
April 14, 2021

## SOCIETY POLICY

### WHISTLEBLOWER POLICY

#### I. PREFACE

- A. Article C2.1.1 of the Constitution lists, among others, the following purpose of the Society "Promote a high level of ethical practice."
- B. By-Law B3.3.1 states, "Any member who has been found guilty of a charge of violating the Constitution, By-Laws or Code of Ethics of the Society, may be expelled by the affirmative vote of a majority of the Entire Board of Governors."
- C. By-Law B4.1.5 states in part, "Any Officer of the Society or member of any sector, board, committee, or other unit of the Society appointed or elected by the Board of Governors or by any unit of the Society may be removed or suspended from such office or membership in the unit by the Board of Governors for cause (which shall include, without limitation, violations of fiduciary duty, racial or other improper discrimination, sexual harassment and defamation)."
- D. New York State Not-For-Profit Corporation Law states in part that the whistleblower policy of an organization such as ASME that is required to have one "shall provide that no director, officer, employee or volunteer of a corporation who in good faith reports any action or suspected action taken by or within the corporation is illegal, fraudulent or in violation of any adopted policy of the corporation shall suffer intimidation, harassment, discrimination or other retaliation."

#### II. PURPOSE

The Society requires members of the Board of Governors (including Governors-elect); officers ; employees; and those volunteers who serve as members of any sector, board, committee, or other unit of the Society appointed or elected by the Board of Governors or by any unit of the Society or who otherwise provide substantial volunteer service to the Society (hereinafter, "Covered Volunteers") to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. This Whistleblower Policy seeks to provide a means for individuals to raise good-faith concerns about behavior that appears to them to be illegal, dishonest, or unethical regardless of identity of the suspected offender.

This Policy is not a vehicle for reporting violations of ASME's applicable human resources policies, problems with co-workers or managers, or issues related to alleged employment discrimination or sexual or any other form of prohibited discrimination or harassment, all of which should be dealt with in accordance with applicable ASME procedures (as outlined in the ASME Employee Handbook and Supervisors' Manual) and Society Policy 15.9, Policy Against Discrimination (Including Discriminatory Harassment) – Members.

The matters that should be reported under this Policy include suspected fraud, theft, embezzlement, accounting or auditing irregularities, bribery, kickbacks, misuse of ASME's assets or suspected regulatory, compliance, or ethics-related issues, concerns or violations.

### **III. NO RETALIATION**

This Policy is intended to encourage and enable members of the Board of Governors, officers, employees, and Covered Volunteers to raise concerns within the Society for investigation and appropriate action. With this goal in mind, no Governor, officer, employee or Covered Volunteer who, in good faith, reports any action or suspected action taken by or within the Society that is illegal, fraudulent, or in violation of any adopted policy of the Society shall suffer intimidation, harassment, discrimination or other retaliation or, in the case of employees, adverse employment consequences. Moreover, a Governor, officer, employee, or Covered Volunteer who retaliates against someone who has reported a concern in good faith is subject to appropriate disciplinary action.

This Policy does not create a promise or contract by the Society, and it may be amended at any time without prior notification. Employment at the Society is at will and nothing in this Policy should be interpreted in any way limiting the at-will relationship.

### **IV. PROCEDURE FOR REPORTING VIOLATIONS**

- A. Each Governor, officer, employee, and Covered Volunteer of the Society has an obligation to report in accordance with this Policy concerns about conduct involving the Society's financial or business affairs that is illegal, fraudulent, or in violation of an adopted Society policy.
- B. Concerns may be communicated orally or in writing. They may also be communicated in person or anonymously. Individuals are encouraged to provide as much information as possible to permit a thorough and complete investigation of the concern.
- C. Employee Procedures
  - 1) Any employee with knowledge or concern about illegal or dishonest financial misconduct is encouraged to communicate such concern, either verbally or in writing, to the Compliance Officer (as identified below). If the person raising the concern is not comfortable reporting to the Compliance Officer, he or she may communicate the concern to the Executive Director/CEO or anyone in management with whom the employee is comfortable.
  - 2) Any person who has information or receives an oral or written communication regarding illegal or dishonest financial misconduct by an employee must promptly inform the Compliance Officer, unless the Compliance Officer has

already received it. In the case of a written communication, a copy of the communication should also be provided to the Compliance Officer.

- 3) All reports concerning employees will be promptly investigated by, or under the direction of the Compliance Officer, unless the Compliance Officer believes, after consultation with outside advisors including legal counsel, as applicable, that the report was not made in good faith, or unless the report was made anonymously and does not contain sufficient information to conduct an investigation.
- 4) The Compliance Officer may utilize the assistance of legal counsel, private investigators, accountants, consultants, or any other resource deemed necessary to perform a full and complete investigation of any report.
- 5) Upon receipt of a complaint under this Policy, the Compliance Officer must advise the Executive Director/CEO. If the complaint concerns the Executive Director then the complaint will be reported to the Assistant Secretary.
- 6) After the investigation is complete, the Compliance Officer will report to the Audit Committee of the Board of Governors regarding the investigation, the Compliance Officer's findings, and any action taken or proposed. The Audit Committee will ensure that there is an appropriate resolution of any complaints. Appropriate corrective action will be recommended to the Board, if warranted by the investigation.
- 7) The Compliance Officer will report at least annually to the Board on compliance activity.

D. Governor, Officer and Covered Volunteer Procedures

- 1) Any Governor, officer or Covered Volunteer with knowledge or concern about illegal or dishonest financial misconduct by another Governor, officer or Covered Volunteer is encouraged to communicate such concern, either verbally or in writing, to the Chair of the Audit Committee. If the person raising the concern is not comfortable reporting to the Chair of the Audit Committee, he or she may communicate the concern to the President.
- 2) Any person who has information or who receives an oral or written communication regarding illegal or dishonest financial misconduct by a Governor, officer or Covered Volunteer must promptly inform the President or the Chair of the Audit Committee, unless the President or the Chair of the Audit Committee has already received it. If the President receives the oral or written communication, he or she will report it to the Chair of the Audit Committee. In the case of a written communication, a copy of the communication should also be provided to the President or the Chair of the Audit Committee.

- 3) All reports concerning Governors, officers, or Covered Volunteers will be promptly investigated by, or under the direction of, the Audit Committee, unless the Chair of the Audit Committee believes, after consultation with outside advisors including legal counsel, as applicable, that the report was not made in good faith, or unless the report was made anonymously and does not contain sufficient information to conduct an investigation.
- 4) The Audit Committee may utilize the assistance of legal counsel, private investigators, accountants, consultants, or any other resource deemed necessary to perform a full and complete investigation of any report.
- 5) Upon receipt of a complaint under this policy, the Chair of the Audit Committee must advise the Executive Director/CEO. If the complaint concerns the Executive Director, then the complaint will be reported to the Assistant Secretary.
- 6) After the investigation is complete, the Audit Committee will receive a report of the investigation, the findings of the investigation, and any action taken or proposed. The Audit Committee will ensure that there is an appropriate resolution of any complaints. Appropriate corrective action will be recommended to the Board of Governors of the Society, if warranted by the investigation.
- 7) The Chair of the Audit Committee will report at least annually to the Board of Governors on compliance activity.

#### **V. Confidentiality**

Reports of concerns, and investigation pertaining thereto, shall be kept confidential to the extent possible and practicable, in light of the need to conduct a thorough investigation. However, in all cases the Society will use its best efforts to act with discretion.

#### **VI. Good Faith**

Anyone reporting a concern must act in good faith and have reasonable grounds for believing the information reported indicates a violation of the law or constitutes an inappropriate accounting or financial practice. The act of making allegations that prove to be unsubstantiated, and that prove to have been made maliciously, recklessly, or with the foreknowledge that the allegations are false, will be viewed as a serious disciplinary offense and may result in discipline, up to and including dismissal from the volunteer position, or suspension or expulsion from ASME.

#### **VII. Policy Administration and Distribution**

The President of the Society is hereby designated to administer this Policy under the oversight of the Audit Committee. This Policy must be distributed to all members of the

Board of Governors, officers, employees and Covered Volunteers of the Society, in addition to being available on the Society's website.

**VIII. Contact Information**

Compliance Officer:  
Chandra Clouden  
[cloudenc@asme.org](mailto:cloudenc@asme.org)  
212.591.8081

Chair of the Audit Committee:  
Andrew Bicos  
[asmeauditcommitteechair@asme.org](mailto:asmeauditcommitteechair@asme.org)  
202.747.4690

Responsibility: Audit Committee

Adopted: June 8, 2014  
(editorial change 7/15)  
(editorial change is made each June to show new Chair of the Audit Committee)  
(editorial change 6/20 to show new Compliance Officer)  
(editorial change 6/21 to show new Compliance Officer)  
April 19, 2022  
(editorial change 6/22 to show new Compliance Officer)

Editorial change is made each June to show new Chair of the Audit Committee, as there is a new Chair every fiscal year.

**SOCIETY POLICY**  
**EXTERNAL MEDIA ENGAGEMENT**

**I. PREFACE**

- A. As a knowledge-based, technical organization, ASME is often called upon by members of the media to provide information and commentary on matters related to engineering. Media inquiries may be related to new or emerging technologies, employment trends, the viewpoints of engineering experts, ASME activities, positions or standards, or even matters related to alleged technical mishaps or current events.

ASME's response to media inquiries, in a professional, accurate and timely manner, is essential for maintaining the Society's stature as an essential resource and trusted voice in the engineering community and the general public.

In order to establish coordinated guidelines for communications between ASME staff and/or volunteer leadership with members of the press, ASME Strategic Communications Department has established the following protocols for responding to media inquiries.

To ensure maximum benefit for the Society from interactions with external media outlets on newsworthy topics, including newspapers, radio, television, digital platforms and others, ASME members, volunteers and staff are required to coordinate such interactions through staff in ASME's Strategic Communications Department.

ASME has a crisis communication plan in place in the event an emergency needs to be addressed.

**II. PURPOSE**

Thorough coordination with members of the media is essential to ensure maximum leverage and benefit for the Society. ASME staff in the Strategic Communications Department will manage and facilitate interaction with reporters from external journalistic outlets in order to ensure accurate and cohesive messaging which aligns with the Society's mission, vision and strategic priorities. Additionally, such interaction provides ideal opportunities for staff in the Strategic Communications Department to cultivate relationships with key reporters who routinely write about engineering and related topics while laying the groundwork for ASME to be included in future stories.

The primary purpose of this policy is to cover media interviews and other interactions with journalistic entities on newsworthy topics. This policy is not intended to apply to routine announcements of events or meetings posted on Facebook, LinkedIn or other social media platforms.

**III. POLICY**

- A. It is Society policy that any member, volunteer or staff who is approached by, or interacts with, any external media outlet which has inquired or requested an interview regarding any ASME-related activities or affiliation must immediately direct such inquiry to the attention of designated staff in ASME's Strategic Communications Department before answering the journalist's questions. (If the inquiry is *unrelated* to ASME activities or affiliations, the Strategic Communications Department would nonetheless appreciate being notified as per above in order to fully leverage the potential benefits, and mitigate the risks of, the media engagement.)
- B. All media inquiries and interactions will be coordinated, facilitated and managed directly by staff in the Strategic Communications Department. Staff in the Strategic Communications Department will in turn coordinate with the appropriate ASME member, volunteer or staff to ensure that ASME is fairly and accurately represented in the media inquiry or deliverable, while ensuring maximum benefit and leverage for the Society for future media coverage.

The Strategic Communications Department accesses ASME's Position Statements, which are developed by subject matter experts and described on Society Policy P-15.1, and a database of subject matter experts to address inquiries of a technical nature.

#### **IV. PROCEDURE**

- A. Upon being contacted (or coming into contact with) a member of any external media outlet, an ASME member, volunteer or staff must immediately refer the inquiry to a member of ASME's Strategic Communications Department. The member, volunteer, or staff should obtain the name of the person calling, the media organization, and, if available, any relevant deadlines. Inquiries should be referred to [media@asme.org](mailto:media@asme.org) and will be handled in a timely and appropriate manner. An external media outlet may request a response by a certain date, and the ASME Strategic Communications Department will attempt to satisfy that request. However, the accuracy of the response as well as an assessment of whether participating in the media inquiry serves ASME's strategic interests both take precedence over an externally-imposed deadline.
- B. ASME members, volunteers and staff are prohibited from granting interviews or offering statements to members of the media without the guidance, coordination and direct involvement of the Strategic Communications Department.
- C. ASME members, volunteers and staff must inform the press representative that the ASME Strategic Communications Department is responsible for arranging interviews and issuing statements on behalf of the Society. ASME members, volunteers and staff must not take it upon themselves to make comments or answer any questions on behalf of ASME, regardless of media deadlines.
- D. Interview requests will be arranged by the ASME Strategic Communications Department in consultation with the appropriate Executive Management Team (EMT) member or their designated representative. When possible prior to the actual interview, the ASME Strategic Communications Department will provide anticipated questions and prepare appropriate

responses and key messaging guidelines. All interviews should be confined to that person's area of expertise and responsibility, without providing personal thoughts or opinions.

- E. Authority to reference ASME Affiliation: A member, when expressing their personal views, may only mention their affiliation with ASME if they include a disclaimer that the views expressed are theirs alone, and are not necessarily the views of the Society in accordance with Society Policy P-14.6.
- F. Outreach to media: Announcements of local section meetings for calendars of local media do not need the approval of the ASME Strategic Communications Department.

Any unit of ASME may propose a press release, which must be approved by the ASME Strategic Communications Department before it is distributed. The Strategic Communications Department may be able to leverage the press release by suggesting additional media outlets for it.

- G. Information regarding this policy will be added to material included in the Welcome Kit provided to ASME members.

Responsibility: Board of Governors

Adopted: February 11, 2016  
Editorial changes July 9, 2019

## SOCIETY POLICY

### CODE OF CONDUCT

#### I PREFACE

- A. Article C2.1.2 of the Constitution provides:

"The Society may approve or adopt any report, standard, code, recommended practice, or related conformity assessment program but shall forbid and oppose the use of its name and proprietary symbols in any commercial work or business, except to indicate conformity with its standards or recommended practice.

- B. By-Law B3.3 provides:

B3.3.1 Any member who has been found to have violated the Constitution, By-Laws, Code of Ethics, or Code of Conduct of the Society, may be expelled by the affirmative vote of a majority of the Entire Board of Governors.

B3.3.2 The Board of Governors shall vote on the expulsion of any member only upon the recommendation of the Executive Committee (Code of Conduct Violation) or of an Investigative Panel (Ethics Violation). The Board of Governors shall not be bound by the recommendation of the Executive Committee or of an Investigative Panel and shall make its own determination of any disciplinary action.

B3.3.3 The Investigative Panel which shall hear and present a report upon charges against an accused member shall be chosen from among the Society's staff or membership (or both). The Executive Director/CEO, in consultation with the Chair of the Ethics Committee, will appoint the members of the Investigative Panel, which will be specific to a particular case. Members of an Investigative Panel will continue to serve until the case assigned to that Investigative Panel has been completed.

- C. By-Law B 4.1.1.1 provides:

The Society and its individual members shall be governed by this Constitution and these By-Laws and by the current Society Policies and procedures established by the Board of Governors, including any amendments that may be made from time to time.

- D. By-Law B4.1.1.2 provides:

Notwithstanding any other provisions of these articles, the organization is organized exclusively for one or more of the purposes as specified in Section 501(c) 3 of the Internal Revenue Code of 1986, and shall not carry on any activities not permitted to be carried on by an organization exempt from Federal

income tax under IRC 501(c) 3 or corresponding provisions of any subsequent Federal tax laws.

E. By-Law B4.1.5 provides:

Any officer of the Society or member of any sector, board, committee, or other unit of the Society appointed or elected by the Board of Governors or by any unit of the Society may be removed or suspended from such office or membership in the unit by the Board of Governors for cause (which shall include, without limitation, violations of fiduciary duty, racial or other improper discrimination, sexual harassment and defamation).

An Elected Governor, who is elected by the corporate membership may be removed for cause only by the vote of the corporate membership, but their authority to act as such officer or member may be suspended by the Board of Governors for cause. Appointed Governors may be removed or suspended for cause by the Board of Governors without a vote of the corporate membership.

Any officer of the Society or member of such sector, board, committee or other unit of the Society may be removed for cause by the Board of Governors by an affirmative vote of a majority of the Entire Board of Governors. Any officer of the Society or member of such sector, board, committee or other unit of the Society may be suspended for cause by an affirmative vote of a majority of the Entire Board of Governors.

Written notice shall be given to the person to be removed or suspended for cause as early as practicable and in any event at least five days before any action is to be taken by the Board of Governors. The person to be removed or suspended for cause shall be given an opportunity to present a defense to the Board of Governors.

F. By-Law B4.4.10 provides:

"No part of net earnings of the organization shall inure to the benefit of any member, trustee, director, officer of the organization, or any private individual (except that reasonable compensation may be paid for services rendered to the organization) and no member, trustee, officer of the organization or any private individual shall be entitled to share in the distribution of any of the organization's assets on dissolution of the organization."

G. Policy 12.15 III A. provides:

ASME's intellectual property must be protected, regulated and maintained, no matter how widely information is distributed, in print, electronically, or otherwise.

H. Policy 15.7.10 provides:

"Engineers who are members of the Society shall 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 the Policies of the Society

in a prompt, complete and truthful manner to either the Executive Director/CEO or any member of the Executive Committee of the Board of Governors or ASME Human Resources who shall promptly notify the full Executive Committee. The Executive Committee shall initially determine whether the alleged conduct shall be addressed through this Policy or Policy 15.4 "Ethical Conduct Violation Procedures" or Policy 15.8 "Conflicts of Interest" or Policy 15.9 "Policy Against Discrimination (Including Discriminatory Harassment) – Members" or Policy 15.14 "Code of Conduct." There may be situations where actions are taken pursuant to one or more Society Policies.

## **II PURPOSE**

- A. To address how the Society expects its members, wherever located, to conduct themselves in their interaction with other members, staff and the public.
- B. There are instances where immediate action must be taken in order to protect the Society, its members, its staff, as well as third parties.
- C. It is the intent of this policy to memorialize certain core Society values including integrity, honesty, fairness, openness, respect and responsibility.

## **III POLICY**

- A. No member shall engage in any of the following activity:
  - 1. Authorize the use for the benefit of any person or entity the name, emblem, trademark, service marks or other intellectual property of the Society, except in conformance with the Society Policy.
  - 2. Accept or seek on behalf of any person, any financial advantage or gain other than nominal value offered as a result of the member's affiliation with the Society.
  - 3. Engage in harassing behavior directed at members or staff. Examples of such conduct include, but are not limited to, racial or ethnic slurs or threatening, intimidating or hostile acts directed at a particular sex or religion or directed at an individual because of his or her national origin, sexual orientation or color. Harassment may also include repeated attempts to coerce staff or volunteers to take actions in conflict with the decisions of the Board of Governors, the Executive Director/CEO or the Society's Constitution, By-Laws, or Policies. Harassment does not require intent to offend.
  - 4. Use a present or former position at the Society in order to influence the conduct of the Society in such a way as to confer any benefit financial or otherwise on any person, corporation or entity in which the individual has a significant interest or affiliation.

5. Use one's position in the Society to promote the business of one's employer or if self-employed, one's own business. Unless specifically authorized by the Society, no member may use the Society's name, trademarks, logos or other identifying material on their business cards.
6. Retaliate against any employee or member who raises a concern or complaint to the appropriate authority relating to a violation of this Policy, the Society Code of Ethics, Conflict of Interest or Whistleblower Policies.
7. Promise or commit funds of the Society to a third-party except as permitted by Society By-Laws and Policies.
8. Commit any act or failure to act that is in violation of any law, regulation or other legal duty in all countries that ASME engages in activities.
9. Fail to comply with ASME's Constitution, By-Laws and Policies.
10. Fail to protect confidential information belonging to the Society that is properly marked, otherwise indicated, or understood to be confidential, and personal information belonging to ASME members, employees and other persons.
11. Agree to fix prices or reduce price competition through allocation of customers or markets, manipulate bids in any competitive bidding process, or engage in any other acts that result in restraint of trade.
12. Misuse or infringe the intellectual property of others.

#### **IV ENFORCEMENT**

- A. Any alleged violation of this Code of Conduct shall be reported to either the Executive Director/CEO or any member of the Executive Committee of the Board of Governors or ASME Human Resources who shall promptly notify the full Executive Committee. The Executive Committee shall initially determine whether the alleged conduct shall be addressed through this Policy or Policy 15.4 "Ethical Conduct Violation Procedures" or Policy 15.7 "Ethics" or Policy 15.8 "Conflicts of Interest" or Policy 15.9 "Policy Against Discrimination (Including Discriminatory Harassment) – Members". There may be situations where actions are taken pursuant to one or more Society Policies.
- B. If the Executive Committee decides to proceed pursuant to this Policy the Executive Committee shall notify the member in writing of the conduct alleged as constituting a violation. The accused member shall be permitted to submit a written reply to the accusations. The written reply should be submitted to the Executive Director/CEO within ten business days.
- C. When a violation of this policy is reported to the Executive Committee, the Executive Committee after conducting an appropriate investigation, may at its discretion:

1. Take no action;
  2. Refer the matter to the appropriate sector supervisory body or volunteer or staff leadership;
  3. Issue a verbal warning to the member;
  4. Issue a written warning to the member;
  5. Suspend the member's service in a volunteer position for a period not to exceed six months;
  6. Suspend the member's membership in the Society for a period not to exceed six months.
- D. The remedies listed above are non-exclusive and may be employed in any order depending upon the nature and severity of the violation.
- E. The six month suspension may be renewed for a second six month period by the Executive Committee.
- F. Any action taken pursuant to this policy by the Executive Committee is subject to immediate review by the full Board of Governors.
- G. The Board of Governors may expel a member for violation of this Policy by vote of seven Governors. The procedure described in By-Law 3.3 shall apply to any expulsion proceeding.

Responsibility:      Executive Committee

Adopted:               November 10, 2020

Revised:                October 6, 2021  
                           April 19, 2022

## 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 Chief Financial Officer. If approved, either the Executive Director or the Chief Financial Officer 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 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 Board 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 Board on Research and Technology Development  
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)  
(editorial changes 7/12)  
June 5, 2019

## 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 Board 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 Institutes Board 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 Board 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 Board, 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 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 Board  
                          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  
                          (editorial changes 7/12)

## 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 Board. When the term "Institute Board" is used in procedures (below) this refers to a specific Institute, either IGTI Institute Board or IPTI Institute Board.
- 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.
2. Each Institute's Board, 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 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 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 and the ASME Executive Director.
4. With the concurrence of the Institute's Board 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 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, 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 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 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 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. Any changes to this policy shall follow due process including full consultation with each Institute's Board and the ASME Board of Governors.

Responsibility: Institutes Board

Adopted: April 25, 2008  
(editorial changes 7/12)

## SOCIETY POLICY

### EXECUTIVE DIRECTOR EMERITUS

#### I. PREFACE

- A. Article C4.1.1 of the Constitution and By-Laws 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."
- B. By-Law B8.1.5 states in part, "At any meeting, by a majority vote of its members present, the Board of Governors may adopt, revise, or delete Society Policies in harmony with the Constitution and By-Laws."

#### II. PURPOSE

To create an honorary title of Executive Director Emeritus for exceptional service to the Society in the capacity of Executive Director.

#### III. POLICY

- A. The title Executive Director Emeritus is to be bestowed by the Board of Governors, and at its discretion, for someone whose service as Executive Director has been defined to be exemplary by the Board.
- B. The title is honorary and provides no further benefits or privileges to the recipient beyond those already held as a member of the Society or as specifically authorized by the Society's President or Board of Governors. Neither the incumbent Executive Director nor the Board of Governors shall have any obligation to the holder of the title.
- C. The title may be held by more than one person at any given time at the discretion of the Board of Governors.
- D. The title, when awarded, will take effect only after the recipient has concluded any compensated duties for the Society.

#### IV. PROCEDURE

The appointment of the Executive Director Emeritus shall be made by Board of Governors action consistent with their policies and procedures.

Responsibility: Board of Governors

Adopted: September 21, 2002

Reaffirmed: June 2, 2005  
March 12, 2013