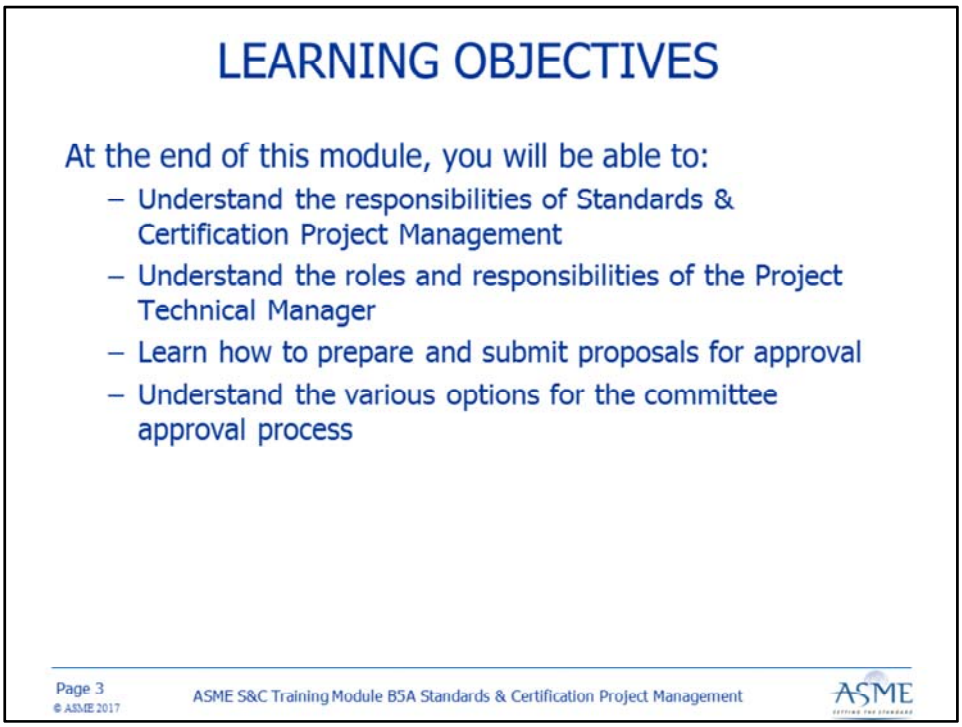

ASME
SETTING THE STANDARD
Standards and Certification Training
Module B – Process
B5A Standards & Certification Project Management

REVISIONS

DATE	CHANGE
04/18/2017	Editorially revised and restructured presentation
03/14/2013	First edition

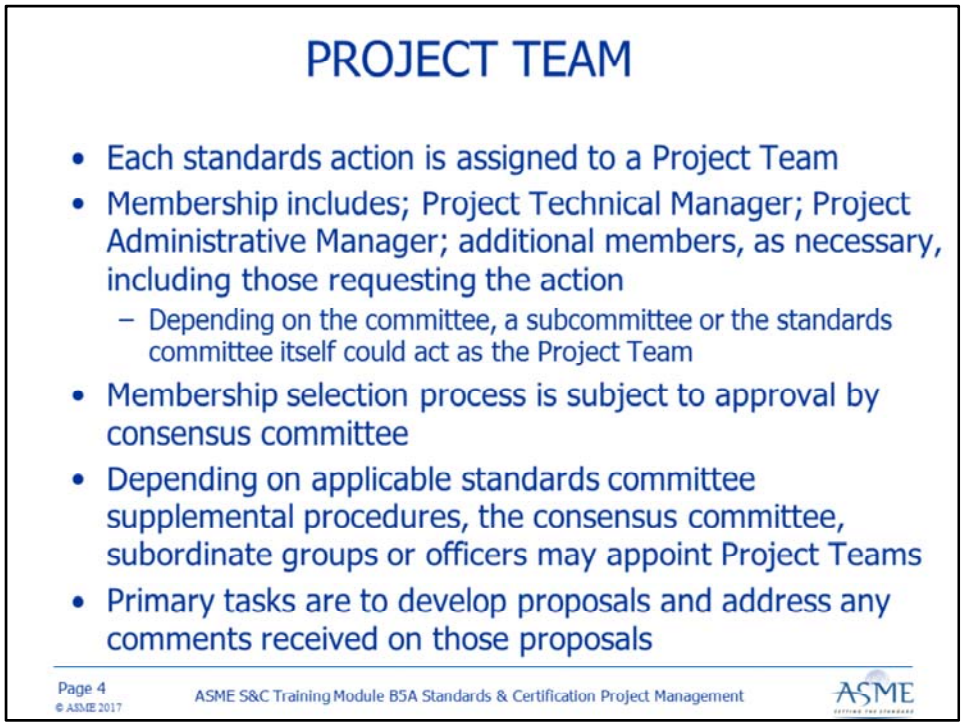
Module B Course Outline

B1. ASME Organizational Structure
B2. Standards Development: Staff and Volunteer Roles and Responsibilities
B3. Conformity Assessment: Staff and Volunteer Roles and Responsibilities
B4. Initiating and Terminating Standards Projects
B5. Consensus Process for Standards Development
B5A. Standards & Certification Project Management
B6. The Basics of Parliamentary Procedure
B7. The Appeals Process
B8. International Standards Development
B9. ASME Conformity Assessment Programs
B10. Performance Based Standards
B11. Consensus Process for Standards Interpretation and Code Cases



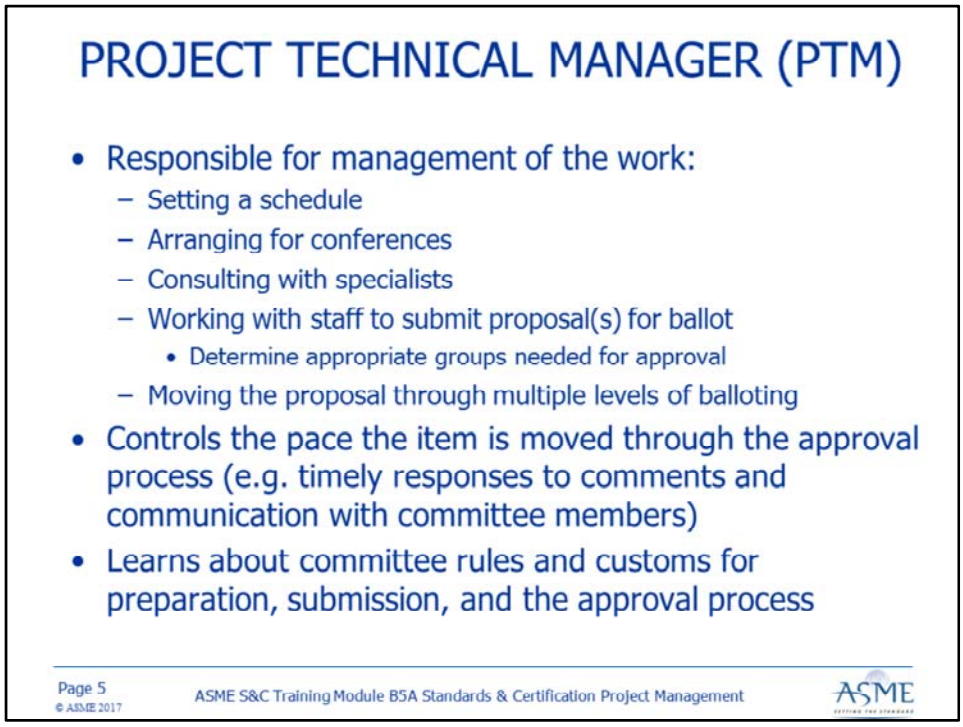
At the end of this module, you will be able to:

- Understand the responsibilities of Standards & Certification Project Management
- Understand the roles and responsibilities of the Project Technical Manager
- Learn how to prepare and submit proposals for approval
- Understand the various options for the committee approval process, as well as the advantages and disadvantages of each.



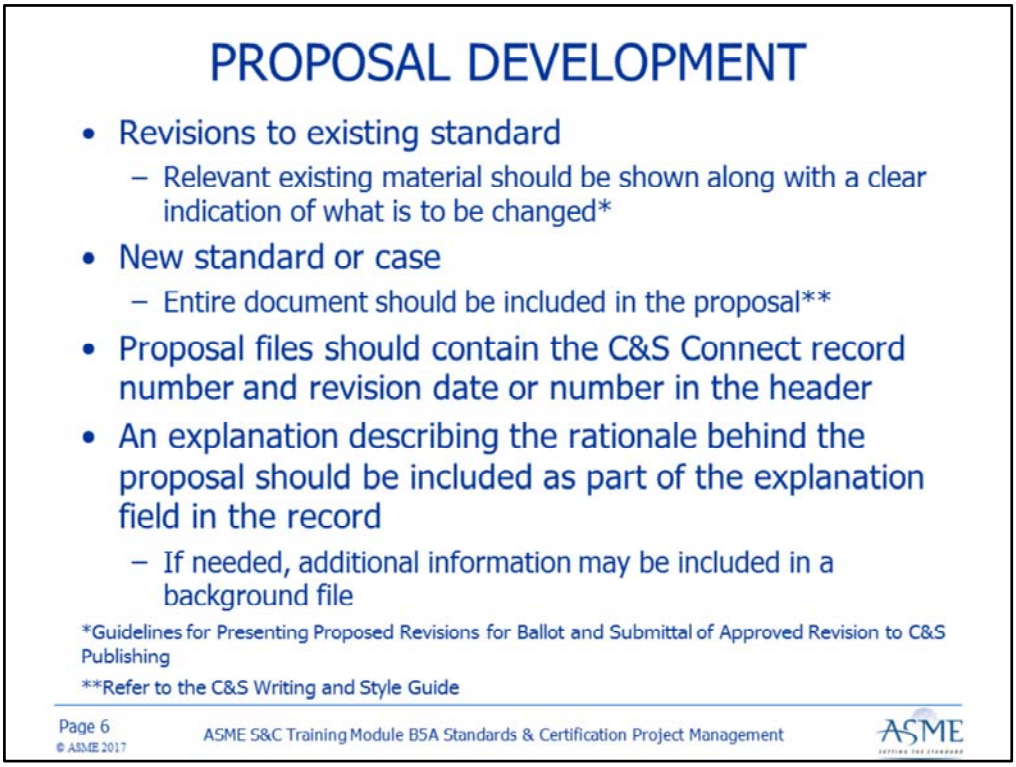
Project Team

- Each standards action is assigned to a Project Team
- The Project Team will consist of a Project Technical Manager (PTM), a Project Administrative Manager (normally ASME Technical Staff) and, as necessary, additional members who may be committee members or technically knowledgeable members of the public, including those responsible for requesting the action.
    - If a Project Team is assigned by the standards committee, the PTM is normally a technically knowledgeable committee member.
    - When committees are used as Project Teams, the PTM would be the officer of the standards committee or subcommittee.
    - Project Teams could consist of the standards committees itself (a common method in smaller standards committees), or a subcommittee.
- The selection process for Project Team members is approved by the consensus committee.
- Depending on applicable standards committee supplemental procedures, the consensus committee, subordinate groups or officers may appoint Project Teams.
- The primary tasks of the Project Team are to develop proposals and to address any comments received on those proposals.



Project Technical Manager

- PTM is responsible for managing the work with tasks such as setting a schedule, arranging for conferences, consulting with specialists, and working with Technical Staff to submit the proposal(s) for balloting. The Project Team is responsible for responding to comments, including any public review comments, and if necessary, deciding what changes to make to the proposal in response to the comments.
    - Most proposals require multiple levels of balloting creating the potential for multiple sets of comments. The PTM is responsible for guiding the proposal through these levels and should develop an approval plan depending on the complexity and urgency of the proposal.
- The PTM controls the pace the item is moved through the approval process. If the Project Team responds to comments in a timely manner and effectively communicates with the committee members proposals can move forward fairly quickly.
- The PTM should learn about committee rules and customs for preparation, submission, and the approval process, which may be more restrictive than those described on the following slides.



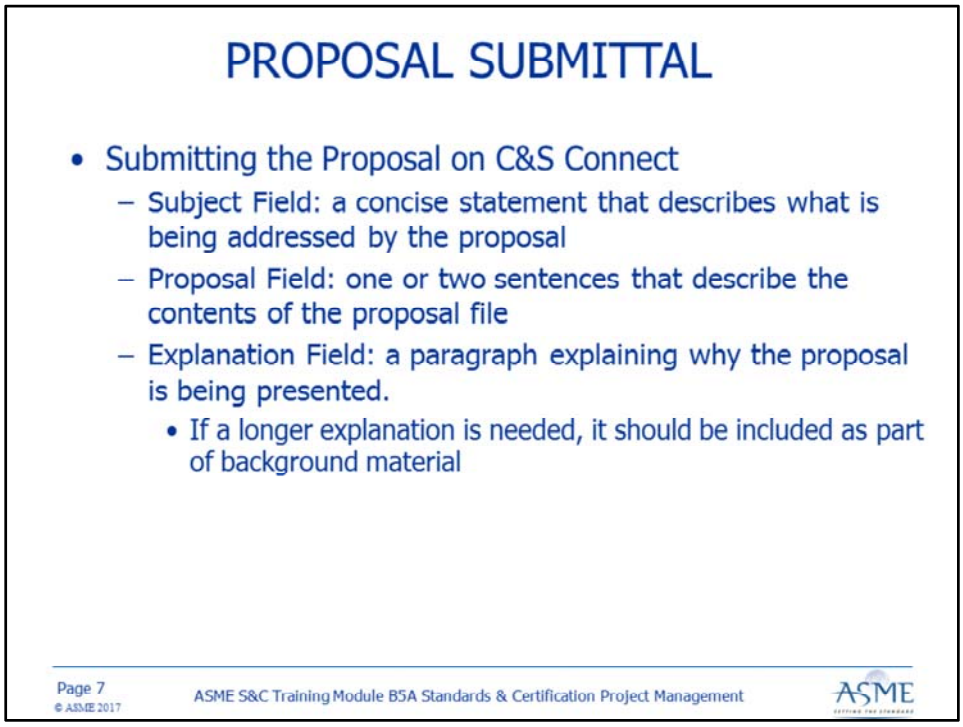
Proposal Development

- For revisions to an existing standard, the relevant existing material should be shown, along with a clear indication of what is to be changed. Changes to a previous revision being reviewed by the same group should also be distinctly identified. For specific guidance on acceptable proposal formats, refer to the Guidelines for Presenting Proposed Revisions for Ballot and Submittal of Approved Revision to C&S Publishing

- For a new standard or case, the entire document should be included in the proposal. For assistance with proper formatting and grammar used in ASME Codes and Standards, the Project Technical Manager should refer to the C&S Writing and Style Guide.

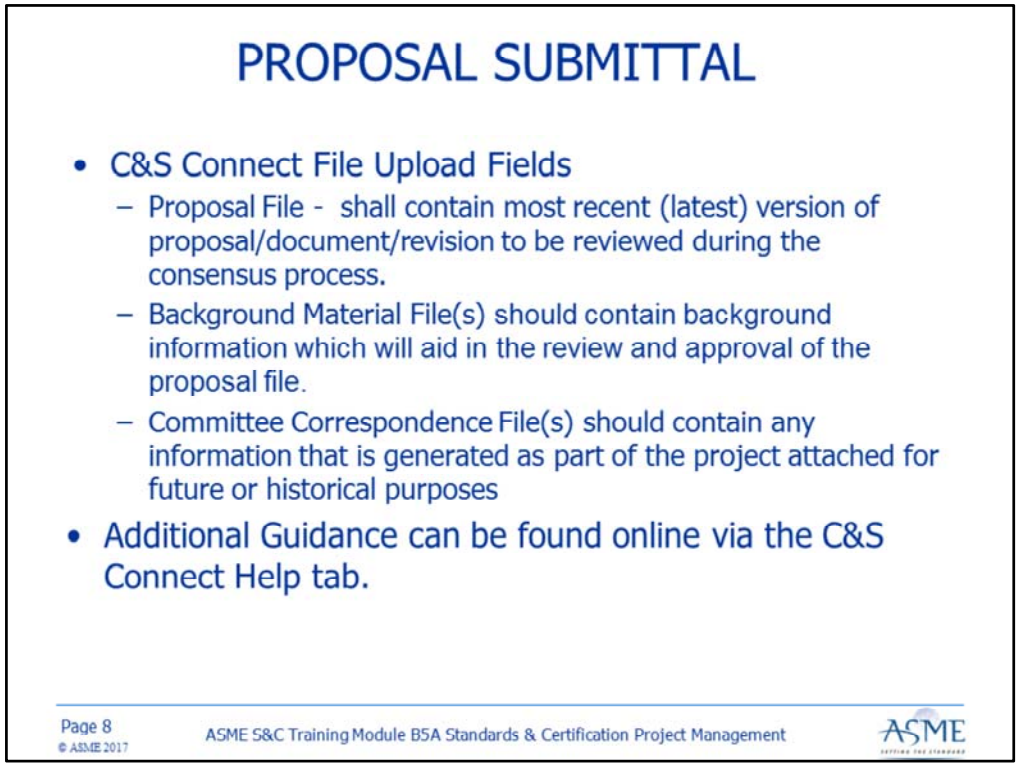
- Proposal files should contain the C&S Connect record number and revision date or number in the header.

- For all proposals, a rationale statement for the proposal should be included as part of the explanation field in the C&S Connect record. If necessary, additional background or justification for the proposal may be included in the background file on the record



It is important to provide the right information in a way that can be easily understood by the reviewers. The following text fields should be filled in on C&S connect with the following information:

- The Subject should be a concise statement that describes what is being addressed by the proposal
- The Proposal should be one or two sentences that describe the contents of the proposal file.
- The Explanation should be a brief paragraph explaining why the proposal is being presented. If a longer explanation is needed, it should be included as part of background material and referenced in this field.



There are three categories of files that can be uploaded into a record:

- The Proposal File shall contain the most recent (latest) version of proposal/document/revision to be reviewed.

  Note:

  a) Proposal files should not contain material which is not subject to consensus approval. See background material and committee correspondence fields described below.

  b) It is essential that the correct proposal file is attached to the record before it is added to a ballot since files CANNOT be revised while the record is linked to an opened ballot.

  c) Once a new file is uploaded, it is automatically labeled “CURRENT PROPOSAL FILE”, and the previous file is archived.

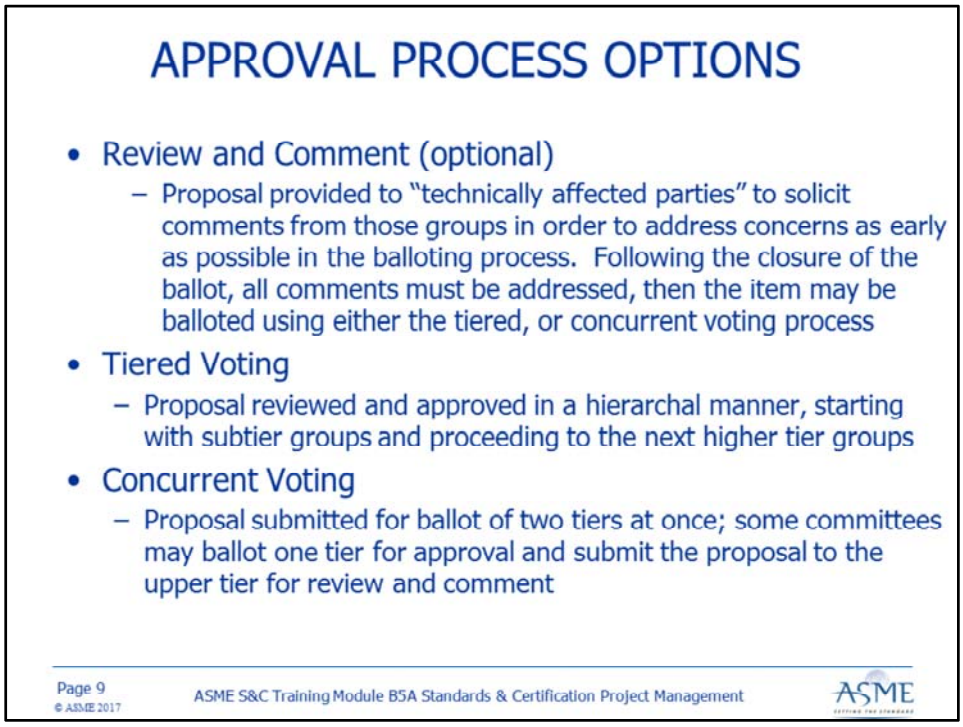
  d) A link to the proposal file will be available under the “Proposal” section on the ballot form.

- The Background Material File SHOULD contain a file (or files) providing background information including but not limited to technical papers, business plans, sample calculations, tables, figures, and any supporting information that is pertinent to the record.

- The Committee Correspondence File SHOULD contain any communications by committee members pertaining to the proposal that should be retained for the lifetime of

the record.

Additional guidance on how to develop a component record can be found through the C&S Connect Help Tab.

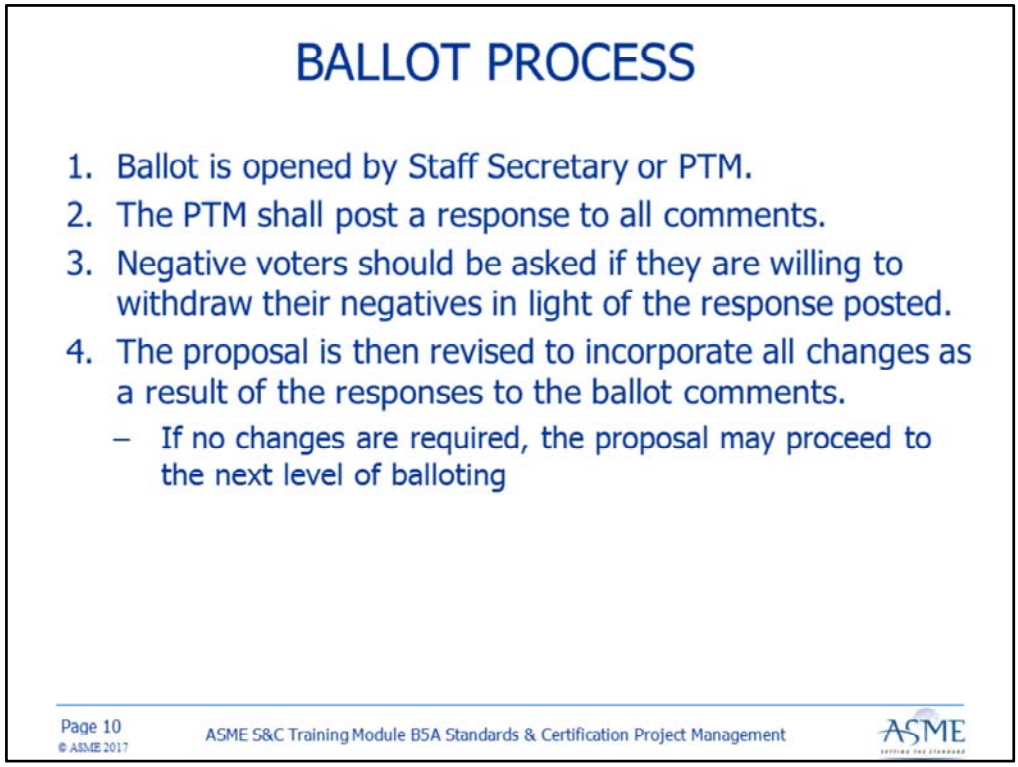


Committees usually adopt one or more of the following options as the normal approach to obtain approval of proposals, but other approaches may be used. It is important that the project technical manager (PTM) understand the approval process used by their standards committee.

- Review and Comment Process: The proposal may be sent out for a review and comment ballot to "technically affected parties," such as Working Groups, Subgroups, Standards Committees, Supervisory Boards or members of the public, who may ultimately have to vote on the item. Following the closure of the ballot, all comments (if any) must be addressed, then the item may be balloted using either the tiered or concurrent voting process. This approach gives potential voters an opportunity to review the proposal in advance of casting a vote and provide input earlier in the process, which may alleviate future disapprovals when the proposal moves forward for a vote.

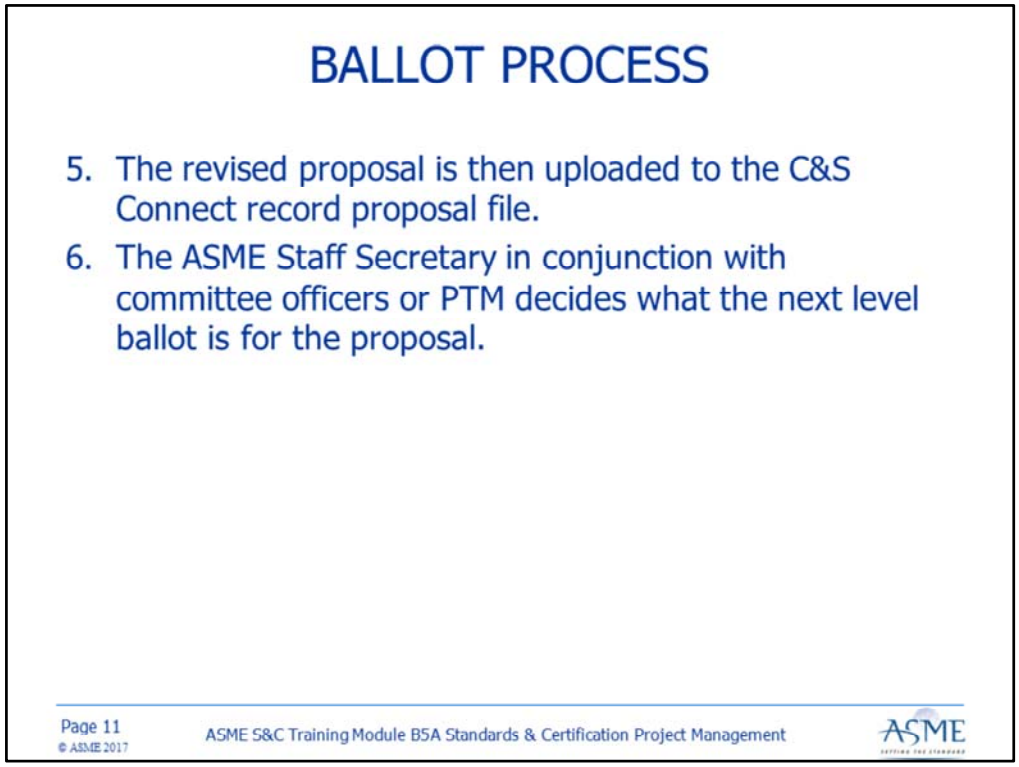
- Tiered Approval Process: The proposal is reviewed and approved in a hierarchal manner, starting with subtier groups and working its way to Standards Committee approval. The proposal may be approved by each group, one group at a time or may be approved by multiple groups on the tier prior to proceeding to the next tier level of approval. This process can be accomplished at face-to-face meetings via telephone conferences or C&S Connect.

- Concurrent Voting Process: The proposal is submitted for approval via ballot by two or more tiers at once. Committees may also choose to ballot one tier for approval while including an upper tier for review and comment. This approach is typically used for simple items or items that are urgent in nature.



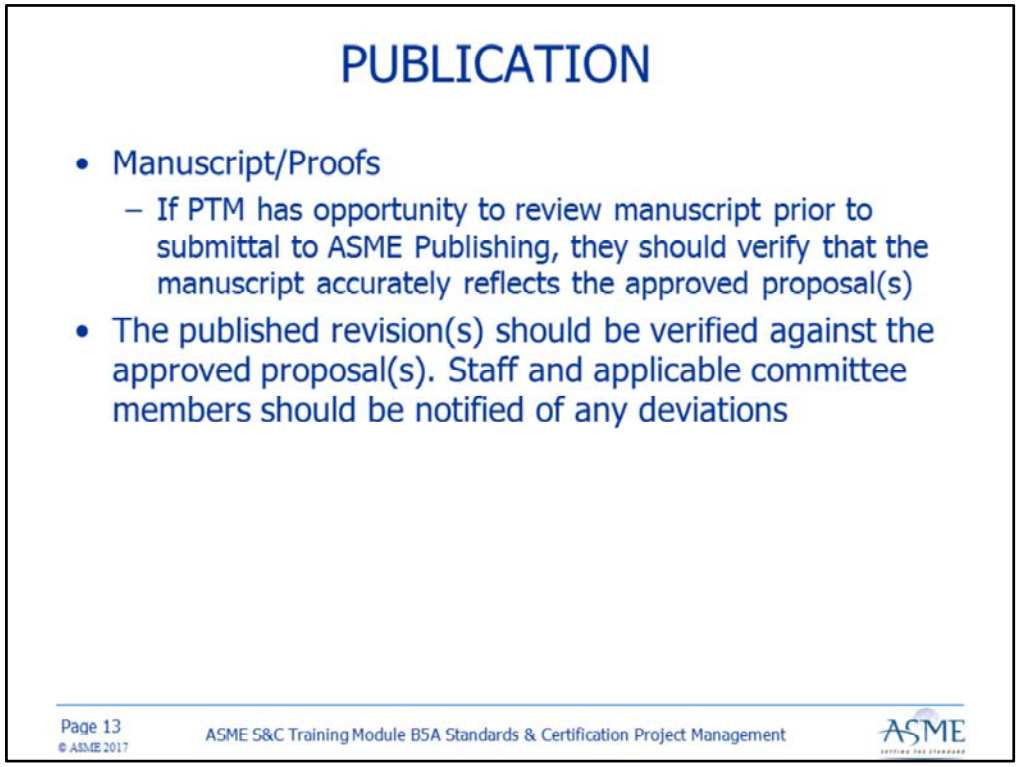
The typical steps in the ballot process are as follows:

1. Ballot is opened by Staff Secretary or committee officers for their respective committees.
2. The Project Technical Manager shall post a response to all comments prior to proceeding to the next tier level of balloting. The Project Technical Manager does not have to wait until a ballot is closed to respond to the comments. The Project Technical Manager is encouraged to communicate with the commenter to ensure their concerns have been addressed. If the voter has been satisfied before ballot closure, they can revisit the ballot and revise their vote.
3. Following ballot closure, if there are any unresolved negatives, the Negative voters should be asked if they are willing to withdraw their negatives in light of the response posted.
4. The proposal is then revised to incorporate any changes as a result of the responses to the ballot comments.
    - It should be noted that if the proposal does not require any changes after the response to the ballot comments, then the proposal may proceed to the next level of balloting.



5. The revised proposal is then posted to the C&S Connect record proposal file by the Staff Secretary, Project Technical Manager or a committee officer.
6. The Staff Secretary in conjunction with committee officers or Project Technical Manager decides what the next level ballot is for the proposal. For example, the next step could be a ballot at a subordinate committee level, a first consideration ballot, a recirculation ballot, or a ballot to the supervisory Board.

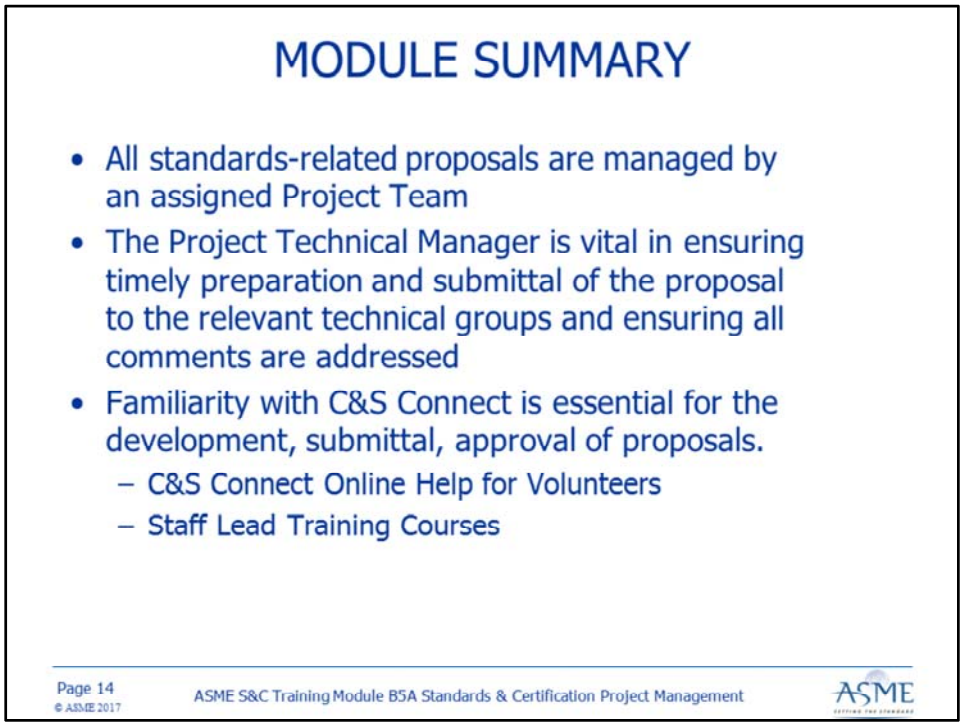
As noted in S&C Module B5 Consensus Process for Standard Development, after standards committee approval, the Staff Secretary, committee officers and the Project Technical Manager work together to complete the standards development steps of Public Review, Supervisory Board Approval, final ANSI Approval and publication.



The staff secretary and selected committee members, which may include committee officers and Project Technical Managers, are responsible for verifying that the proposals are published as approved by the committee:

If afforded the opportunity, committee members should review the manuscript prior to submittal to ASME Publishing to verify that the manuscript accurately reflects the approved proposal(s).

- The published revision(s) should be verified against the approved proposal(s). Staff and applicable committee members should be notified of any deviations.



- All standards-related proposals are managed by an assigned Project Team.
- The Project Technical Manager is vital in ensuring timely preparation and submittal of the proposal to the relevant technical groups and ensuring all comments are addressed.
- Familiarity with C&S Connect is essential for the development, submittal, and approval of proposals. It's highly recommended that committee members be well versed with C&S Connect and its capabilities prior to taking on the role of Project Technical Manager.

This can be accomplished by reviewing the Online Help for Committee Members (available on the C&S Connect Help Tab) or by attending an Advanced C&S

Connect training course, when offered by ASME staff.

REFERENCES

- Guidelines for Presenting Proposed Revisions for Ballot and Submittal of Approved Revision to C&S Publishing
https://cstools.asme.org/csconnect/FileUpload.cfm?View=yes&ID=48367
- C&S Writing and Style Guide 2010
https://cstools.asme.org/csconnect/FileUpload.cfm?View=yes&ID=31046
- C&S Connect Volunteer Training Resources
https://cstools.asme.org/csconnect/News.cfm?AnnouncementTypeID=4&AnnouncementFormID=1
- S&C Module B5 Consensus Process for Standard Development
https://www.asme.org/about-asme/standards/standards-certification-member-training-resources/standards-certification-leadership-training