

**REGULATIONS**  
**GOVERNING ASTM TECHNICAL COMMITTEES**



Issued March 2010

# REGULATIONS

## GOVERNING ASTM TECHNICAL COMMITTEES



**Society Scope:** The corporation is formed for the development of standards on characteristics and performance of materials, products, systems, and services; and the promotion of related knowledge. In ASTM International terminology, standards include test methods, definitions, practices, classifications, and specifications.

Issued March 2010

ASTM International

100 Barr Harbor Drive, West Conshohocken, PA 19428  
Standards for Materials, Products, Systems & Services



# CONTENTS

	Page No.
<b>1. Preface</b> .....	1
1.1 Definitions.....	1
1.2 Purpose.....	1
1.3 Authority .....	1
1.4 Society Principles .....	1
1.5 Committee on Technical Committee Operations (COTCO).....	1
1.6 Maintenance of Regulations .....	2
1.7 Revisions of Regulations .....	2
<b>2. ASTM Documents</b> .....	2
2.1 Categories .....	2
2.2 Types .....	2
<b>3. Formation, Merger, and Discharge of Committees</b> .....	2
3.1 Definitions.....	2
3.2 Formation of New Committees .....	3
3.3 Officers.....	3
3.4 Committee Structure.....	3
3.5 Bylaws.....	3
3.6 Merger or Discharge of Committees .....	3
<b>4. Committee and Subcommittee Membership Assignment</b> .....	4
4.1 Committee.....	4
4.2 Subcommittee .....	4
4.3 Representation .....	4
4.4 Limitation.....	4
4.5 Types .....	4
4.6 Affiliate Member .....	4
4.7 Termination .....	5
<b>5. Termination of Committee or Subcommittee Official Vote</b> .....	5
<b>6. Voting</b> .....	5
6.1 Definitions.....	5
6.2 Voting Privileges .....	5
6.3 Provisions for Official Voting .....	5
6.4 Change in Employment .....	6
<b>7. Classification of Committee Members</b> .....	6
7.1 Classification.....	6
7.2 Consultants.....	6

**Contents - continued**

Page No.

<b>8. Classification of Committees</b> .....	6
8.1 General Requirements .....	6
8.2 Classification Systems .....	6
8.3 Annual Review .....	6
<b>9. Rules for Conduct of Business</b> .....	7
9.1 Open Meetings.....	7
9.2 Closed Meetings .....	7
9.3 Notification .....	7
9.4 Minutes.....	7
9.5 Proxies.....	7
9.6 Task Groups .....	7
9.7 Election of Officers.....	7
<b>10. General Procedures on Standards</b> .....	7
10.1 Definition .....	7
10.2 Actions Requiring Subcommittee and Main Committee Ballot and Society Review .....	7
10.3 Actions Requiring Main Committee Ballot and Society Review Only.....	8
10.4 Jurisdiction of Standards .....	8
10.5 Review of Standards .....	8
10.6 Withdrawals .....	8
10.7 Form and Style.....	8
10.8 Annexes and Appendixes .....	8
10.9 Adjuncts .....	9
<b>11. Subcommittee Balloting Procedures</b> .....	9
11.1 Issuance of Subcommittee Ballot .....	9
11.2 Subcommittee Ballot Voting Requirements .....	9
11.3 Statements Accompanying Votes.....	9
11.4 Subcommittee Handling of Negative Votes.....	9
11.5 Submission of Subcommittee Items for Main Committee Ballot .....	10
11.6 Submission of Revisions, Withdrawals, and New Standards for Concurrent Ballot .....	10
11.7 Procedure for Rapid Balloting of New Standards.....	10
<b>12. Main Committee Balloting Procedures</b> .....	11
12.1 Issuance of Main Committee Ballot.....	11
12.2 Main Committee Ballot Voting Requirements .....	11
12.3 Statements Accompanying Votes.....	11
12.4 Main Committee Handling of Negative Votes .....	11
12.5 Negative Votes Previously Considered.....	12
12.6 Confirming Ballot .....	12
12.7 Documentation of Actions on Negative Votes.....	13
12.8 Notification of Disposition of Negative Votes.....	13
<b>13. Society Review of Main Committee Ballot Items</b> .....	13

**Contents - continued**

Page No.

<b>14. Committee on Standards (COS) Review .....</b>	<b>13</b>
14.1 Consideration by COS .....	13
14.2 COS Procedural Appeals .....	13
<b>15. Patents in Standards .....</b>	<b>13</b>
<b>16. ASTM Official Statements or Responses to Government Agencies and Other Organizations .....</b>	<b>14</b>
<b>17. Publications .....</b>	<b>14</b>
17.1 General .....	14
17.2 Publicity and News Statements .....	14
<b>18. Committee Expenses, Funds, and Contracts .....</b>	<b>14</b>
18.1 Committee Funds Generated by Voluntary Contributions Within Committee Membership .....	14
18.2 Committee Fund Solicitations for Special Projects Not Limited to Committee Membership .....	14
18.3 Contracts .....	15
<b>19. Anti-Trust Policy .....</b>	<b>15</b>
Appendix - Guide for Preparing Committee Bylaws—COTCO Approved: September 2002 .....	18
Proxy form.....	26
Index .....	27



# REGULATIONS GOVERNING ASTM TECHNICAL COMMITTEES

## 1. Preface

### 1.1 Definitions:

1.1.1 *consensus, n*—the judgment arrived at through the balloting and review procedures of these regulations.

*Discussion*—Specific guidelines for reaching consensus on each type of ballot or motion are provided in the individual voting procedures.

1.1.2 *member, n*—an individual or an organization (or a primary division of an organization) that subscribes to the purposes of the Society, and pays the required administrative fee.

*Discussion*—Each organizational (or primary division) member shall designate one representative to officially exercise the rights and privileges of that membership.

*Discussion*—The use of the term “Chairman” is intended to be non-gender specific throughout these Regulations.

1.2 *Purpose*—The purpose of the "Regulations Governing ASTM Technical Committees" is to provide a set of rules that will ensure the development of consensus standards in accordance with rigorous democratic procedures. Rules concerning the establishment and operations of technical committees are provided as well as criteria for ensuring a balance of interests within the membership. The Regulations also stipulate voting procedures and provide detailed requirements for the consideration of all negative votes.

1.2.1 Technical Committees that submit standards to ANSI for approval as American National Standards shall also comply with the [ANSI Essential Requirements](#).

1.3 *Authority*—These Regulations are by the authority of the ASTM International Charter, Bylaws, and the Board of Directors. The Charter and Bylaws are a part of these Regulations and their more pertinent parts are included here.

### 1.4 Society Principles—The Society Bylaws Article 7:

#### 7. PRINCIPLES GOVERNING THE PROCEDURES FOR THE DEVELOPMENT AND ADOPTION OF VOLUNTARY CONSENSUS STANDARDS

7.1 The Board of Directors is empowered to develop procedures for the development and adoption of voluntary consensus standards in accordance with the following principles:

7.1.1 Timely and adequate notice of a proposed standard undertaking to all persons known to the Society to be likely to be materially affected by it.

7.1.2 Opportunity for all affected interests to participate in the deliberations, discussions, and decisions concerned both with procedural and substantive matters affecting the proposed standard.

7.1.3 Maintenance of adequate records of discussions, decisions, and technical data accumulated in standards development.

7.1.4 Timely publication and distribution of minutes of meetings of main and subcommittees.

7.1.5 Adequate notice of proposed actions.

7.1.6 Distribution of ballots to those eligible to vote.

7.1.7 Timely and full reports on results of balloting.

7.1.8 Careful attention to minority opinions throughout the process.

7.1.9 Maintenance of records of drafts of a proposed standard, proposed amendments, action on amendments, and final promulgation of the standard.

7.2 The procedures developed by the Board will go into effect upon a favorable ballot of two thirds of the technical committee chairmen.

#### 1.4.1 Appeals procedures are available to all interests.

1.5 *The Committee on Technical Committee Operations (COTCO)*—A standing committee of the Society, COTCO has the following responsibilities as stated in its scope: ". . . develops and maintains the Regulations Governing ASTM Technical Committees, and . . . the interpretation and enforcement of these regulations . . ."



1.6 *Maintenance of Regulations*—These Regulations are prepared, maintained, and revised by COTCO, subject to Board approval, and a part of all committee bylaws. A committee has the option of enumerating its bylaws as subparts of the Regulations.

1.7 *Revisions of Regulations*—Any member may suggest revisions of these Regulations, and COTCO will rule on the merits of these during its regular meetings in accordance with its own bylaws. For adoption, each such revision shall first be offered to all committees for comment and input, and then to the Board of Directors for approval.

## 2. ASTM Documents

### 2.1 *Categories:*

2.1.1 *standard, n—as used in ASTM*, a document that has been developed and established within the consensus principles of the Society and that meets the approval requirements of ASTM procedures and regulations.

*Discussion*—The term "standard" serves in ASTM as an adjective in the title of documents, such as test methods or specifications, to connote specified consensus and approval. The various types of standard documents are based on the needs and usages as prescribed by the technical committees of the Society.

2.2 *Types*—The various types of ASTM documents are to provide a flexibility of form, communication, and usage for both the technical committees and the myriad users of ASTM documents. The type of ASTM document that is developed and titled is based on the technical content and intended use, not on the degree of consensus achieved. Standards can be of the following forms and types:

2.2.1 *classification, n*—a systematic arrangement or division of materials, products, systems, or services into groups based on similar characteristics such as origin, composition, properties, or use.

2.2.2 *guide, n*—an organized collection of information or series of options that does not recommend a specific course of action.

*Discussion*—A guide increases the awareness of information and approaches in a given subject area.

2.2.3 *practice, n*—a set of instructions for performing one or more specific operations that does not produce a test result.

*Discussion*—Examples of practices include, but are not limited to: application, assessment, cleaning, collection, decontamination, inspection, installation, preparation, sampling, screening, and training.

2.2.4 *specification, n*—an explicit set of requirements to be satisfied by a material, product, system or service.

*Discussion*—Examples of specifications include, but are not limited to requirements for: physical, mechanical, or chemical properties, and safety, quality, or performance criteria. A specification identifies the test methods for determining whether each of the requirements is satisfied.

2.2.5 *terminology, n*—a document composed of terms, definitions of terms, descriptions of terms, nomenclature, and explanations of abbreviations, acronyms, and symbols.

2.2.6 *test method, n*—a definitive procedure that produces a test result.

*Discussion*—Examples of test methods include, but are not limited to: identification, measurement, and evaluation of one or more qualities, characteristics, or properties.

2.2.7 Other types (forms) of documents, such as matrixes, charts, tables, reference radiographs, and reference photographs are relatively few and do not require specific definition. Use of such forms and types of documents should be decided upon by the sponsoring technical committees with approval from the Committee on Standards (COS).

## 3. Formation, Merger, and Discharge of Committees

### 3.1 *Definitions:*

3.1.1 *balance, n—in a classified committee or subcommittee*, when the combined number of voting user, consumer, and general interest members equals or exceeds the number of voting producer members.

3.1.2 *executive subcommittee, n*—a group of committee members, which includes a committee's officers, established to provide direction to a committee.

*Discussion*—Executive subcommittee members may be either elected or appointed.

3.2 *Formation of New Committees*—The ASTM staff shall arrange for an organizational meeting to be announced by advertisement. A simple majority of the people in attendance at this organizational meeting may recommend the establishment of a new committee. The meeting participants will develop a title, scope, and committee structure. These shall then be forwarded to the Committee on Technical Committee Operations (COTCO) for approval. Upon approval by COTCO, the establishment of the new committee will be recommended to the Board of Directors for action. The Board will direct that committees developing standards for materials, products, systems, or services that are offered for sale, be classified and balanced.

3.2.1 Balance must be achieved before any standards are brought before a classified subcommittee or main committee for ballot.

3.3 *Officers*—A chairman, a vice-chairman, a secretary and other officers, as the committee desires, shall be elected at the organizational meeting or as soon thereafter as practical.

3.4 *Committee Structure*—An executive subcommittee shall be established. Other technical and administrative subcommittees shall be established as needed.

3.5 *Bylaws*—Each committee shall adopt, by ballot of the Committee, bylaws governing its operation. The Committee bylaws shall be consistent with these Regulations. Refer to Appendix for "Guidelines for Preparing Committee Bylaws." Bylaws shall be subject to approval by COTCO. Committee bylaws shall cover the following subjects and such others as a committee may desire:

3.5.1 Statement of scope.

3.5.2 Qualifications for membership, procedures for acceptance of members, requirements for continuation of membership, and procedures for termination of membership.

3.5.3 On classified committees, a statement as to the method used for classification of voting interests.

3.5.4 Procedure for nomination and election or appointment of officers of the committee and members of the executive subcommittee.

3.5.5 Duties and responsibilities of the elected officers.

3.5.6 Rules for the conduct of business and meetings, rules pertaining to proxies, and the requirements for a quorum.

3.5.7 Duties, responsibilities, and composition of the executive subcommittee including the strategic planning function.

3.5.8 Procedures for the operation of subcommittees to include a method of establishing the subcommittee, the subcommittee's scope, the appointment of officers and their tenure of office, termination of membership, and for submitting reports or minutes.

3.5.9 Reference to the appropriate sections of these regulations concerning procedures for actions on standards.

3.5.10 Procedures for amending the committee bylaws.

3.6 *Merger or Discharge of Committees:*

3.6.1 Committees are merged or discharged by the Board of Directors. This may occur if the purpose of the committee would be better served in another existing main committee, upon completion of the work for which the committee was established, or as a result of inactivity.

3.6.2 *Determination of Inactivity*—A committee is considered inactive if it fails to initiate new standardization activities, keep its standards up to date, hold meetings, or promote other activities that are consistent with the purpose of the Society. The ASTM staff will provide COTCO with an annual report on the status of technical committees.

3.6.3 If a committee is inactive by the foregoing criteria and has not requested merger or discharge, COTCO will initiate an investigation which may lead to the following actions:

3.6.3.1 Committee officers, executive subcommittee members, and subcommittee chairmen will be advised that a merger or discharge of the committee may be in order. A survey of the membership will be taken to determine their current interest in the committee's activities and opinion regarding merger with another committee or discharge.

3.6.3.2 A ballot of the committee membership will be conducted. The results of this ballot and any input from the committee will be given full consideration by COTCO. If a merger or discharge is recommended by COTCO, it will be forwarded to the Board.

3.6.4 If the Board approves the merger or discharge of a committee, the following actions will be taken:

3.6.4.1 In the case of a merger, the membership and standards will be transferred automatically when the merger is approved.

3.6.4.2 In the case of a discharge, the standards within a committee will be transferred to an appropriate existing technical committee(s) if possible. Any remaining interested members will be encouraged to become active in that committee. If the standards cannot be reassigned to another committee(s), they will be placed under the custody of COS for a period not exceeding five years. During that period they will be published with appropriate notice of withdrawal.

3.6.4.3 General announcements and news releases describing the actions will be issued.

#### **4. Committee and Subcommittee Membership Assignment**

4.1 *Committee*---All individuals requesting membership on a main committee and all members who have a change of employment shall submit a completed application form. Upon receipt, Headquarters will place new members as pending on the main committee roster. A member who has a change in employment, without resignation from the committee, shall remain on the roster without an official vote pending determination of membership, classification (on a classified committee), and voting status.

4.1.1 Applications are reviewed and provisions for official voting and assignment of classification (on a classified committee) are made by the membership secretary with review and approval by the executive subcommittee (follow Sections 6 and 7).

4.2 *Subcommittee* --Requests for subcommittee membership and notices of changes in employment are reviewed and provisions for official voting and assignment of classification (on a classified subcommittee) are determined by the subcommittee chairman and reported to Headquarters (follow Sections 6 and 7).

4.3 Applicants shall be approved for membership if they represent voting interests that produce, use, regulate, or procure a material, product, system, or service covered by the scope of the committee or subcommittee. Applicants may be approved for membership if they can document their expertise in or relevance to activities under the scope of the committee or subcommittee. Applicants failing to meet these requirements may be rejected for membership.

4.3.1 Denial of membership, assignment of classification (on a classified subcommittee or main committee) and voting interest, and provisions for official voting on a subcommittee or main committee may be appealed to the committee's executive subcommittee and then, if necessary, to COTCO.

4.4 *Limitation*—There shall be no limitation on the number of members on a committee or its subcommittees, except for administrative subcommittees. The executive subcommittee may stipulate in its bylaws, subject to COTCO approval, a maximum number of subcommittees a member may join. (This is intended to avoid excessive inactivity at subcommittee level.)

4.5 *Types*—A member of a committee or subcommittee shall be an individual member (including affiliates) of the Society or the official representative of an organizational membership. There is no requirement for Society membership to participate in task group activities.

4.6 *Affiliate Member*—A person who is invited by a committee to participate on a committee and subcommittee of the Society because of special knowledge either as a technically qualified individual or an ultimate consumer.

4.6.1 Affiliate members shall be considered for approval by the executive subcommittee, and reapproved on an annual basis.

4.7 Membership shall be terminated for lapse of Society membership.

## 5. Termination of Committee or Subcommittee Official Vote

5.1 A main committee member's official vote may be terminated for failure to return main committee ballots. Notices of failure to return main committee ballots and pending termination of official votes shall be sent by Headquarters. Failure to return three consecutive main committee ballots shall result in termination of official votes in the absence of circumstances acceptable to the executive subcommittee.

5.1.1 The committee member may appeal first to the executive subcommittee and then, if necessary, to COTCO for consideration of reinstatement of the official vote.

5.2 A subcommittee member's official vote may be terminated for failure to return subcommittee ballots. Notice of failure to return subcommittee ballots and pending termination of official votes shall be sent by Headquarters. Failure to return three consecutive subcommittee ballots shall result in termination of official votes in the absence of circumstances acceptable to the subcommittee chairman.

5.2.1 The subcommittee member may appeal to the subcommittee chairman and then, if necessary, to the committee's executive subcommittee for consideration of reinstatement of the official vote.

## 6. Voting

### 6.1 Definitions:

6.1.1 *official vote, n*—in a committee or subcommittee, one cast by a voting member on a ballot or motion, and that is used for calculating the numerical voting requirements of these regulations.

6.1.2 *voting interest, n*—an organization, a subsidiary of an organization, or an unassociated individual member having a distinctly separate interest from any other interest with regard to the scope of a committee or subcommittee.

*Discussion*—Committees are encouraged to further clarify voting interest in their bylaws, where appropriate.

6.1.3 *subsidiary, n*—of an organization, an operational unit that functions in a nearly autonomous fashion.

*Discussion*—Examples are the research or marketing departments of a corporation; different branches of a university; the production or manufacturing committees of an association; the various agencies in either state or federal governments.

6.1.4 *voting member, n*—of a committee or subcommittee, a member who has the official vote on ballots and motions concerned with ASTM standards.

6.1.5 *non-official voting member, n*—of a committee or subcommittee, a member whose votes and comments on all ballots or motions shall be fully considered, but whose votes are not included in the calculation of the numerical voting requirements for standards.

6.2 *Voting Privileges*—Every ASTM member is entitled to vote on all Society Review items as well as on each ballot of a main committee and subcommittee to which the member belongs. All negatives and comments received from all ballot returns, including those from non-official voting members, shall be considered in accordance with these regulations.

6.2.1 The ballots submitted by all members shall be counted in administrative actions, such as election of officers and amendments to bylaws.

6.3 *Provisions for Official Voting*—A main committee or subcommittee member shall be given official voting status unless:

6.3.1 The member's voting interest already has been granted one official vote.

6.3.2 Acceptance will create an imbalance on classified committees or subcommittees.

6.3.3 The member's vote has been terminated as a result of the provisions in Section 5.

6.4 *Change in Employment*—A member who has a change in employment, without resignation from the committee, shall remain on the roster without an official vote subject to review by the executive subcommittee for determination of classification and voting status.

## **7. Classification of Committee Members**

7.1 On classified committees and subcommittees, members shall be classified according to voting interest. The classification of a member at main committee may be different from the classification at subcommittee level; however, a member classified on any subcommittee as a producer shall be classified as a producer on the main committee. (See Section 4 for Committee and Subcommittee Membership Assignment.)

7.1.1 *Producer*—A member who represents a voting interest that produces or sells materials, products, systems, or services covered in the committee or subcommittee scope.

7.1.2 *User*—A member who represents a voting interest that purchases or uses materials, products, systems, or services other than for household use covered in the committee or subcommittee scope provided that the member could not also be classified as a producer.

7.1.3 *Consumer*—A member who primarily purchases or represents those who purchase products and services for household use within the committee or subcommittee scope.

7.1.4 *General Interest*—A member who cannot be categorized as a producer, user, or consumer.

*Discussion*—User and general interest classifications are composed of multiple interest categories such as government, academia, testing laboratories, consultants, etc., and no one of the interest categories constitutes a majority of the total committee membership.

### *7.2 Consultants*

7.2.1 A member serving as a consultant retained by a voting interest, whereby the arrangement includes representing it on an ASTM committee or subcommittee, shall be considered the same classification and voting interest as that by which the member is retained

7.2.2 A member serving as a consultant for multiple voting interests of exclusively the same classification shall be classified in accordance with their principal business activity.

## **8. Classification of Committees**

8.1 *General Requirements*—In keeping with Section 7.1.2 of the Society Bylaws, committees and subcommittees developing standards dealing with materials, products, systems, or services which are offered for sale are required to be classified and balanced. Classified subcommittees shall consist of not less than three producers and not less than three non-producers.

### *8.2 Classification Systems:*

8.2.1 *General Classification System*— Each member of a committee or subcommittee has one classification in accordance with Section 7.

8.2.2 *Multiple Classification System*—Each member of a committee or subcommittee has two or more classifications in accordance with Section 7. Multiple classification of committee members may be used when balance cannot be achieved on the main committee under the general classification system, for example, when several products or services are listed in the scope of the committee. The multiple classification system allows the executive subcommittee to classify committee members into two or more groups, each addressing a separate part of the scope. These groups shall then be balanced.

8.2.3 *Other Classification Systems*—A committee may adopt its own system for classification, with the approval of COTCO.

8.3 *Annual Review*—Each classified committee shall provide for annual review of the classification of its voting members to allow

appropriate changes to be made, taking into account changes in the nature of the committee's scope or changes in the interests of its members.

## **9. Rules for Conduct of Business**

9.1 *Open Meetings*—The meetings of committees and subcommittees shall be open to visitors when technical matters relating to the development of standards are to be discussed.

9.2 *Closed Meetings*—It is permissible to hold closed meetings of executive subcommittees when technical matters relating to the development of standards are not discussed.

9.3 *Notification*—All members of committees and subcommittees shall receive calls to meetings, minutes, and related committee material.

9.4 *Minutes*—Minutes of all committee and subcommittee meetings shall be taken and copies shall be sent to ASTM Headquarters.

9.5 *Proxies*— A voting member wishing to vote at a subcommittee meeting or main committee meeting via proxy shall designate a member from the applicable subcommittee or main committee or an individual from the voting member's voting interest (see 6.1.2). A voting member wishing to vote via proxy shall personally contact the member or individual whom the member wishes to exercise the proxy and shall complete a duly executed proxy form as provided in appendix VI of these Regulations. The signed and duly executed hand-written proxy form shall be mailed, e-mailed as a scanned attachment, or faxed by the voting member or hand delivered by the proxy holder to the chairman of the committee or subcommittee prior to the applicable meeting or action. A separate proxy form shall be completed for each individual meeting of a subcommittee or a main committee. The solicitation of proxies from voting members is prohibited. Solicited proxies will not be accepted. No voting interest shall hold or exercise proxies for more than one voting member in any subcommittee or main committee meeting.

9.6 *Task Groups*—Task groups are established or discharged by (a) the subcommittee at a meeting or (b) the subcommittee chairman between meetings subject to the approval of the subcommittee. Establishment requires a defined objective or scope of work. If appropriate, a timetable for completion of the objective may be established. Discharge requires completion of that objective or cause to abandon the objective. Society or Committee membership is not required, but the task group is encouraged to represent a balance of interests, wherever possible and appropriate. Formal balloting is not required at task group level.

9.7 *Election of Officers*—Each committee shall elect officers by a ballot concluded before December 31 of the odd-numbered years. Eligibility criteria, procedures and time frame for the nomination and election of officers shall be prescribed in the committee's bylaws. An announcement of the formation of the nominating committee and a request for the submission of candidates shall be made at the meeting preceding the final report of the nominating committee and the presentation of the slate of officers. Nominations from the floor will be accepted immediately following the presentation of the slate. The final slate of nominees, including their voting interests and classifications shall be sent to ballot vote of the committee. ASTM Headquarters shall conduct the elections and report the results to the committee. The term of office shall be two years beginning January 1 and terminating December 31 of the second year. Officers are eligible for election to not more than three consecutive terms in one office. No two officers of a committee shall represent the same voting interest.

## **10. General Procedures on Standards**

### *10.1 Definition:*

10.1.1 *adjunct, n*—data or material that supplements and supports a standard which due to its size, volume, physical makeup, or nature, is not included in the text of a standard, but is made available separately.

*Discussion*—An adjunct contains additional information that may be either a mandatory or non-mandatory part of the standard. (Examples of adjuncts are detailed drawings, charts, technical data, reference radiographs and photographs, videotapes, software packages, or any three-dimensional material.)

### *10.2 Actions Requiring Subcommittee and Main Committee Ballot and Society Review:*

10.2.1 *Approval of New Standards.*

10.2.2 *Revision of Standards.*

10.2.3 *Withdrawal of Standards.*

10.3 *Actions Requiring Main Committee Ballot and Society Review Only:*

10.3.1 *Reapproval of Standards*—If approved by a motion passed by the subcommittee, or by authorization of the subcommittee chairman, reapprovals shall be issued to main committee ballot and Society Review (follow Section 12 and 13).

10.4 *Jurisdiction of Standards*

10.4.1 Responsibility for assigning subcommittee jurisdiction of a standard resides with the executive subcommittee of the originating technical committee.

10.4.2 Responsibility for the jurisdiction of a standard resides with the originating technical subcommittee.

10.4.2.1 Any change in jurisdiction of a standard shall be approved by a majority of the voting members of the currently responsible technical subcommittee and of the technical subcommittee receiving jurisdiction, either at a meeting or by ballot. The respective executive subcommittee(s) shall approve the change in jurisdiction and submit all documentation of this process to ASTM Headquarters.

10.4.2.2 The responsibility for resolving jurisdictional appeals initially resides with the respective executive subcommittee(s) and then, if necessary, with the Committee on Standards (COS).

10.5 *Review of Standards:*

10.5.1 *Coordination with Other Committees*—In the development of standards, the committee should maintain liaison representation and cooperation with other committees when mutual interests or possible conflicts exist. The committee shall provide review of its standards to other related or interested committees or to committees offering particular expertise on sections of standards if requested.

10.5.2 *Revisions to Standards*—Revisions can be proposed at any time and shall be considered by the responsible subcommittee.

10.5.3 *Frequency of Review*—A standard should be reviewed in its entirety by the responsible subcommittee and shall be balloted for reapproval, revision, or withdrawal within five years of its last approval date.

10.5.3.1 If no ballot action is in process to update the standard as of January 1 of the sixth year since its last approval date, a ballot for withdrawal will be issued automatically by ASTM Headquarters. The overdue standard will be placed on the next available concurrent subcommittee and main committee ballot. If the standard has not received a new approval date by December 31 of the eighth year since the last approval date, the standard will be withdrawn. The main committee chairman and the appropriate subcommittee chairman shall be notified by ASTM Headquarters of this pending action.

10.5.4 *Editorial Changes*—Editorial changes may be made at any time without a requirement for ballot.

10.5.4.1 Editorial changes are of two types: (1) those which introduce no change in technical content, but correct typographical errors, modify editorial style, change non-technical information, or reduce ambiguity, and (2) those which correct typographical errors in substance (essential information that could be misused). In the latter case, the year designation of the standard is changed.

10.6 *Withdrawals*—Withdrawn standards shall be listed in the contents of the pertinent volumes of the *Annual Book of ASTM Standards* for three years. A single page for each standard will appear in those volumes providing the title, scope, former committee jurisdiction, reason for withdrawal, any replacement, and the date of withdrawal.

10.7 *Form and Style*—The current edition of the [\*Form and Style for ASTM Standards\*](#) shall be followed in the writing of new standards, revisions, and reapprovals. Where technical consideration precludes such compliance, COS may allow exceptions upon request by a committee, if supported by appropriate justification.

10.8 *Annexes and Appendixes*—The addition of new or the revision of existing annexes and appendixes to standards shall conform to the requirements of subcommittee, and main committee ballots.

10.9 *Adjuncts*—An adjunct to a standard shall be approved through the balloting process. A description and, if possible, a photocopy/drawing of the adjunct shall be included in the ballot. In the event that the adjunct cannot be adequately reviewed by means of a ballot, an inspection/review of the adjunct shall be conducted.

10.9.1 The production of adjuncts is the responsibility of ASTM. Inform ASTM Headquarters prior to balloting adjuncts so that it can be determined if the adjunct can be developed.

10.9.2 An adjunct shall be available at the time of publication of the standard.

## **11. Subcommittee Balloting Procedures**

### *11.1 Issuance of Subcommittee Ballot:*

11.1.1 Subcommittee chairmen or their designees are authorized to initiate and conduct a subcommittee ballot. A ballot may also be authorized by a motion passed by a majority<sup>1</sup> of voting members at a subcommittee meeting.

11.1.2 The ballot shall indicate a closing date, which shall be not less than 30 days after the date of issuance, or as soon thereafter as a 60% return is achieved.

11.1.3 Each ballot item shall be accompanied by a rationale. The ballot item and rationale shall be sent to the staff manager at ASTM Headquarters

### *11.2 Subcommittee Ballot Voting Requirements:*

11.2.1 An affirmative vote of at least two thirds of the combined affirmative and negative votes cast by voting members is required with not less than 60% of the voting members returning ballots.

11.2.2 All statements from non-members of the subcommittee will be forwarded to the responsible technical subcommittee for information and the non-member will be notified of this action.

11.2.3 All ballots received after the closing date, or as soon thereafter as a 60% return is achieved, will be considered as not having been returned and may affect voting status (see Section 5). All statements accompanying these ballots will be forwarded to the subcommittee for information and the voter will be notified of this action.

### *11.3 Statements Accompanying Votes:*

11.3.1 All written statements accompanying ballots received prior to the closing date, or as soon thereafter before a 60% return is achieved, shall be considered.

#### *11.3.2 Negative Votes:*

11.3.2.1 Negative votes shall be accompanied by a written statement(s).

11.3.2.2 Negative votes shall be acted upon in accordance with the Regulations, regardless of voting status (see Section 6).

### *11.4 Subcommittee Handling of Negative Votes:*

11.4.1 A negative vote may be withdrawn by the negative voter at any time, unless the item is removed from ballot. A withdrawn negative vote is counted as affirmative unless specified by the voter as an abstention.

11.4.2 Negative votes received on subcommittee ballots shall be acted upon either (1) at a meeting of the subcommittee, or (2) by ballot of the subcommittee. (For motions for handling negative votes see Section 11.4.3).

---

<sup>1</sup> Greater than 50%.



11.4.2.1 The negative voter shall be notified of the time and place where the negative votes will be considered. Such notification may be included in the subcommittee ballot, meeting agenda, or by other appropriate means. It is recommended that the written statements accompanying the negative votes be available to the subcommittee members in attendance prior to a subcommittee action on those negative votes.

11.4.2.2 If the negative vote is submitted to a subcommittee ballot for disposition, there is no percent return requirement and negative votes do not require written statements or further consideration. The written statement(s) accompanying each negative vote and the reasons for recommending the negative vote be found not persuasive or not related shall be included in the ballot.

#### 11.4.3 *Motions for Handling Negative Votes:*

11.4.3.1 *General*—All motions for handling negative votes shall include an explanation of the reasons for the action.

11.4.3.2 *Not Related Motions*—A motion at a meeting, or via ballot, to find a negative vote not related to the item being balloted requires an affirmative vote of at least two thirds of the combined affirmative and negative votes cast by the voting members. Negative votes found to be not related shall not be factored into the percent affirmative requirements for consensus. The subcommittee shall treat the unrelated negative as an item of new business.

11.4.3.3 *Not Persuasive Motions*—A motion at a meeting, or via ballot, to find a negative vote not persuasive requires an affirmative vote of at least two thirds of the combined affirmative and negative votes cast by the voting members. If the motion or ballot fails, the balloted item is removed from the ballot.

11.4.3.4 An item is removed from ballot if the subcommittee taking action does not offer a motion to declare the negative vote not persuasive or not related.

11.4.4 *Documentation of Actions on Negatives*—Actions on all negative votes including the vote record and accompanying subcommittee reasons shall be recorded in the subcommittee minutes. The negative voters shall be notified of these actions.

#### 11.5 *Submission of Subcommittee Items for Main Committee Ballot*

11.5.1 When an item has been successfully balloted, the subcommittee shall submit the item with its rationale for main committee ballot. The submittal shall include: (1) the numerical results of the subcommittee ballot, (2) the name and affiliation of all negative voters, (3) the statements accompanying negative ballots, and (4) the disposition of all negative votes including reasons.

11.5.2 A subcommittee chairman may, with the approval of the main committee chairman, submit an item to main committee ballot prior to subcommittee consideration of subcommittee negative votes on that item. The submittal shall include items (1), (2), and (3) of 11.5.1 and the subcommittee chairman's reasons for proceeding in this manner.

#### 11.6 *Submission of Revisions, Withdrawals and New Standards for Concurrent Ballot*

11.6.1 *Issuance of a Concurrent Ballot*—Ballots for minor revisions and withdrawals, or new standards and major revisions that have undergone at least one subcommittee ballot, can be issued concurrently. On concurrent ballots, the main committee ballot return serves also as the subcommittee ballot return. A ballot of the subcommittee and the main committee may be issued concurrently when approved by the main committee chairman and either approved at a subcommittee meeting by a majority of voting members or requested by the subcommittee chairman. Each concurrent ballot item shall be accompanied by a rationale. Concurrent ballots shall not be issued for initial balloting of new standards or major revisions of existing standards unless the conditions as outlined in Section 11.7 are met.

11.6.2 *Negative Votes on Concurrent Ballots*—In concurrent ballots, subcommittee, main committee and Society negative votes shall be handled in accordance with the provisions of 12.4.

#### 11.7 *Procedure for Rapid Balloting of New Standards and Major Revisions*

11.7.1 To meet a demand for more rapid issuance of specific new standards and major revisions, such as an emergency situation, regulatory requirement, or other special circumstance, permission for the initial balloting of new standards and major revisions concurrently requires an affirmative vote of at least two-thirds of the combined affirmative and negative votes cast by voting members of the subcommittee either at a meeting or by ballot, and approval by the main committee chairman.

11.7.2 The ballot item shall be accompanied by a rationale for balloting concurrently and background information regarding the proposed ballot action.

11.7.3 Subcommittee, main committee, and Society negative votes shall be handled in accordance with the provisions of 11.4. No further action is required by the main committee.

11.7.4 If a reballot is necessary, follow 11.7.2 and 11.7.3.

## **12. Main Committee Balloting Procedures**

### *12.1 Issuance of Main Committee Ballot:*

12.1.1 Upon completion of a subcommittee ballot, each item that has been approved in accordance with the requirements of Section 11 shall be submitted to ASTM Headquarters for ballot of the main committee. All main committee ballots shall be conducted by ASTM Headquarters.

12.1.2 The ballot shall indicate a closing date which shall be not less than 30 days after the date of the mailing.

12.1.3 The main committee ballot shall include the information required in 11.5 or 11.6.

### *12.2 Main Committee Ballot Voting Requirements:*

12.2.1 An affirmative vote of at least 90% of the combined affirmative and negative votes cast by voting members is required with not less than 60% of the voting members returning ballots.

12.2.2 All statements from non-members will be forwarded to the responsible technical subcommittee for information and the non-member will be notified of this action.

12.2.3 All ballots received after the closing date, or as soon thereafter as a 60% return is achieved, will be considered as not having been returned and may affect voting status (see Section 5). All statements accompanying these ballots will be forwarded to the subcommittee for information and the voter notified of this action.

12.3 *Statements Accompanying Votes*—Follow 11.3.

12.4 *Main Committee Handling of Negative Votes*—Follow 11.4.3.

12.4.1 A negative vote may be withdrawn by the negative voter at any time, unless the item is removed from ballot. A withdrawn negative vote is counted as affirmative unless specified by the voter as an abstention.

12.4.2 *Negative Votes Not Previously Considered*—Negative votes received on main committee or concurrent ballots shall be considered by the subcommittee that initiated the ballot item prior to, or concurrently with the main committee, in accordance with 12.4.3, 12.4.4 or 12.4.5.

12.4.3 Negative votes received on main or concurrent ballots may be resolved at a meeting. When a subcommittee has declared a negative vote to be not persuasive or not related, this action shall be reported to the main committee together with a record of the vote and the reason for the action taken by the subcommittee. ASTM Headquarters shall notify the negative voters of the time and place of the next meeting.

12.4.3.1 Acceptance of the subcommittee recommendation by the main committee requires an affirmative vote of at least two thirds of the combined affirmative and negative votes cast by the voting members of the main committee.

12.4.4 Negative votes received on main or concurrent ballots may be resolved by concurrent letter ballot. A ballot of the subcommittee and the main committee may be issued concurrently when approved by the main committee chairman and either approved at a subcommittee meeting by a majority of voting members or requested by the subcommittee chairman.

12.4.4.1 The written statement(s) accompanying each negative vote and the reasons for recommending the negative vote be found not persuasive or not related shall be included in the ballot.

12.4.4.2 If the negative vote is submitted to ballot for disposition, there is no percent return requirement and negative votes do not require written statements or further consideration.

12.4.4.3 The minimum percent affirmative for the concurrent ballot shall be two thirds of the combined affirmative and negative votes cast by the voting members for both the subcommittee and main committee, independently. Failure to achieve at least two thirds affirmative at both levels constitutes failure of the motion.

12.4.4.4 On concurrent ballots for the resolution of negatives, the main committee ballot return serves also as the subcommittee ballot return.

12.4.5 Negative votes received on main or concurrent ballots may be resolved through combination of a subcommittee meeting and main committee ballot. They shall first be acted upon at the meeting of the subcommittee that initiated the ballot, then forwarded to main committee ballot together with a record of the vote and the reason for the action taken by the subcommittee.

12.4.5.1 On the main committee ballot, there is no percent return requirement and negative votes do not require written statements or further consideration.

12.4.5.2 The minimum percent affirmative for the ballot shall be at least two thirds of the combined affirmative and negative votes cast by the voting members of the main committee.

12.4.6 If substantive changes are to be made, the revised document shall be reballoted at all levels.

#### 12.5 *Negative Votes Previously Considered*

12.5.1 When a main committee (or Society) negative vote introduces the same reasons as those contained in a subcommittee negative vote which was previously considered and found not persuasive or not related by the subcommittee, the subcommittee chairman may recommend that further consideration of the negative by the subcommittee is not required provided that the voting requirements specified in 11.2 and 12.2 have been met. The subcommittee chairman shall report this determination to the subcommittee at its next meeting. The subcommittee's non-persuasive action must be upheld by the main committee in order to be approved. The required documentation includes (1) the statement accompanying the negative vote, (2) consideration given by the subcommittee, and (3) the subcommittee's and main committee's votes on the action. The documentation shall have been included in minutes from a previous subcommittee meeting and attached to the ballot item.

12.5.2 When a main committee (or Society) negative vote introduces the same reasons as those contained in a main committee (or Society) negative vote which was previously considered and found not persuasive or not related by the subcommittee and upheld by the main committee, the subcommittee chairman may recommend that further consideration of the negative is not required provided that the voting requirements specified in 11.2 and 12.2 have been met. The subcommittee chairman shall report this determination to the subcommittee and the main committee at their next meetings. The required documentation includes (1) the statement accompanying the negative vote, (2) consideration given by the subcommittee, and (3) the subcommittee's and main committee's votes on the action. The documentation shall either have been included in minutes from a previous subcommittee meeting or attached to the ballot item.

12.6 *Confirming Ballot*—Any negative voter whose negative has been found not persuasive by the vote of the subcommittee at a meeting, and then upheld by the vote of the main committee at a meeting, shall be notified of the disposition by ASTM Headquarters. The negative voter may request in writing a confirming ballot of the subcommittee having jurisdiction. This request shall be made to ASTM Headquarters within 30 days after notification of the disposition of the negative. The subcommittee chairman shall promptly prepare a subcommittee ballot. Approval to confirm the subcommittee's action requires an affirmative vote of at least two thirds of the combined affirmative and negative votes cast by voting members with no minimum percent return requirement. A letter explaining the circumstances of the request shall accompany the ballot. This ballot shall be conducted by ASTM Headquarters. Upon completion of this subcommittee ballot with the required affirmative vote count, the item may proceed. If the ballot fails, the negative vote is considered to be persuasive and the item is removed from ballot. Ballot results shall be furnished to the main and subcommittee chairmen, and to COS.

12.7 *Documentation of Actions on Negative Votes*—A statement of the reason(s) for the action(s) taken on negative votes and a record of the vote shall be recorded in the main committee minutes. Subcommittee documentation of main committee negative votes shall be in accordance with 11.4.4.

12.8 *Notification of Disposition of Negative Votes*—For items passing main committee ballot, main committee (and Society Review) negative voters who have been found not persuasive or not related shall be notified by ASTM Headquarters in writing as to the disposition of their negative votes and their rights to appeal. This notification shall include the not persuasive or not related rationale and subcommittee and main committee vote counts.

### **13. Society Review of Main Committee Ballot Items**

13.1 Items submitted for main committee or concurrent ballot will also appear on the ASTM Web site for Society Review. Each member of the Society is entitled to vote on the items.

13.2 The deadline date for receipt of society comments or negatives will be published on the Society Review.

13.3 Written statements accompanying negative or affirmative votes, received by the deadline date will be considered in accordance with Section 12.

13.4 Written statements accompanying negative or affirmative votes, received after the deadline date will be forwarded to the subcommittee for information and the voter notified of this action.

### **14. Committee on Standards (COS) Review**

14.1 *Consideration by COS*—All not persuasive and not related actions for items passing main committee ballot shall be reviewed by COS. This review includes the negative vote, the not persuasive or not related rationale and vote counts (including any confirming ballot vote counts). If COS determines that the procedural requirements of the Society have been satisfied, the standard is approved for publication.

14.2 *COS Procedural Appeals*—Pursuant to 14.1, the negative voters who feel their negative vote was not handled in accordance with the Regulations may appeal to COS.

### **15. Patents in Standards**

15.1 The committee shall make an initial determination that a patented item (a material, product, process, or apparatus or constituent thereof) is required for inclusion in a proposed or draft standard. The committee shall, prior to the initial ballot, make efforts to determine whether alternatives to the patented item exist. If an alternative(s) exists, no reference to the patented item will be made.

15.1.1 The committee shall include with the ballot a statement of willingness to consider alternatives and a request for identification of alternatives to patented items. If an alternative(s) is identified, the committee shall reconsider whether the patented item is required and, if not, reference to the patented item will be removed.

15.2 When an approved standard requires the use of a patented material, product, or apparatus, the standard shall include a footnote requesting interested parties to submit information regarding the identification of alternatives to the patented items. The committee will promptly consider all identified alternatives.

15.2.1 If the committee determines that an alternative exists, the reference to the patented item, by name and number, shall be deleted from the standard by ballot.

15.2.2 References to patented items in ASTM standards shall comply with Section F3 of the [\*Form and Style for ASTM Standards\*](#).

15.3 *Disclaimer of Liability as to Patented Inventions*—Neither ASTM nor any ASTM committee shall be responsible for identifying all patents under which a license is required in using an ASTM document or for conducting inquiries into the legal validity of those patents which are brought to the Society's attention. Where applicable, an ASTM document shall include a note worded as follows: ASTM International takes no position respecting the validity of any patent rights asserted in connection with any item mentioned in this standard.

Users of this standard\* are expressly advised that determination of the validity of any such patent rights, and the risk of infringement of such rights, are entirely their own responsibility.

15.4 ASTM standards submitted to ANSI for approval as American National Standards shall conform to the ANSI patent policy. The ANSI patent policy may be obtained on the ANSI website.

## **16. ASTM Official Statements or Responses to Government Agencies and Other Organizations**

16.1 There are occasions when ASTM may be called upon, or may volunteer, to respond to government agencies, regulatory bodies, or other organizations in matters of standardization. Regardless of where the decision to prepare a statement or response may have originated, all such statements and responses shall be prepared in writing by the appropriate entity (ASTM committee, subcommittee, section or task group, or Society standing committee or ad hoc group) and transmitted to ASTM Headquarters. The decision shall be approved by the executive subcommittee of the parent committee. The letter of transmittal shall be prepared by the ASTM Board of Directors or the President, or both.

16.2 Official statements or responses shall have achieved the consensus of the originating entity, and the response report should so state. The report should include a clear designation as to the jurisdictional entity submitting the response.

16.3 The official statement or response shall remain unchanged as submitted by the given ASTM entity, and the preface prepared by the Board of Directors or the President should be reviewed by the originating entity. Copies of the official response shall be forwarded to the originating entity at the same time the response is sent to the government agency, regulatory body, or organization.

## **17. Publications**

17.1 *General*—Documents (see Section 2), technical papers, reports, minutes, letters to the editor, and related materials shall be released for publication only through ASTM Headquarters.

17.2 *Publicity and News Statements*—Items covering committee activities are regularly released by ASTM Headquarters. If publicity releases or other statements are prepared by committees, they shall be cleared through ASTM Headquarters before release. Committee members who are representatives of the press shall clear news statements covering committee actions with the appropriate committee officers and with ASTM Headquarters before publication.

## **18. Committee Expenses, Funds, and Contracts**

18.1 *Committee Funds Generated by Voluntary Contributions within Committee Membership*—With the approval of the executive subcommittee, committees may raise funds from their members through voluntary contributions. These funds may be used for committee activities, such as, costs of committee meetings, awards, and travel. All such committee funds collected shall be deposited with the Society to the credit of the committee.

18.1.1 *Disbursement*—ASTM Headquarters will make Disbursement with the approval of the committee chairman and authorization by the executive subcommittee in accordance with the Society Regulations Governing Finance. ASTM Headquarters shall provide a financial statement annually to the committee.

18.1.2 *Voluntary Contributions*—Payment of voluntary contributions as authorized in this section shall not be required as a condition of committee membership, committee meeting attendance, or participation in committee work.

18.1.3 *Salaries and Fees*—Committees shall not pay salaries or professional fees in any form to any committee or subcommittee officer to carry out the responsibilities of their ASTM activities.

18.2 *Committee Fund Solicitations for Special Projects Not Limited to Committee Membership:*

18.2.1 *Proposal Preparation*—Committees that identify the need to raise funds in order to support special projects shall follow the Guidelines for Fund Solicitation and Management of Funded Projects which may be obtained from the ASTM Contract and Project

Management Services Department. All such committee funds shall be deposited with the Society and accounted for by the ASTM Contract and Project Management Services Department.

18.3 Contracts—No person has the authority to negotiate or execute any contract on behalf of ASTM, or obligate ASTM to an expense, except for the President of ASTM or a designee thereof.

## **19. Antitrust Policy**

### **19.1 General.**

ASTM is the standards forum of choice of a diverse range of individuals, companies and industries that come together under the auspices of ASTM to solve standardization challenges by developing consensus standards for their industries.

19.1.1 ASTM and its members are subject to federal (including Sherman Act, Clayton Act, Federal Trade Commission Act, and Robinson-Patman Act), state, and possibly antitrust/competition laws of countries other than the US. It is important for ASTM members and employees to be aware that they may be held liable for antitrust conspiracy by merely attending a meeting with inappropriate discussion (i.e. illegal price-fixing) even if not an active participant. See Section 19.2.2.5 for additional information. ASTM meeting attendees should formally object whenever an inappropriate topic for an ASTM meeting is engaged.

19.1.2 In carrying out its standardization objectives, it is ASTM's policy, to which no exception is made, that all ASTM activities shall be conducted in strict conformity with applicable antitrust laws. ASTM will not condone any violation of its policy in this regard, and any member or employee who violates such policy will be subject to expulsion or discharge from ASTM.

### **19.2 Guidelines for Antitrust Compliance.**

19.2.1 Membership. Membership in ASTM or a committee shall not be denied to any qualified company or individual. No person shall be unreasonably excluded from participating in ASTM activities. (See Regulations Sections 4.3 and 4.4)

#### **19.2.2 Meetings.**

19.2.2.1 All technical committee meetings of ASTM committees are open to visitors and there is no fee to attend. (See Regulations Sections 9.1)

19.2.2.2 A detailed agenda should be prepared for each meeting planned by or on behalf of ASTM.

19.2.2.3 Meetings shall be scheduled in advance and members shall be notified (See Regulations Section 9.3).

19.2.2.4 Accurate minutes should be kept of all ASTM-sponsored meetings. The minutes of the preceding meeting should be approved before the start of the following meeting. If the proposed minutes were not accessible prior to the meeting, they should be accessible after approval.

19.2.2.5 There should be no discussion or exchange of any information by or among competitors concerning:

1. prices, price changes, price quotations, pricing policies, discounts, payment terms, credit, allowances, or terms or conditions of sale;
2. profits, profit margins or cost data;
3. market shares, sales territories or markets;
4. the allocation of customers or territories;
5. selection, rejection or termination of customers or suppliers;
6. restricting the territory or markets in which a company may resell services or products;
7. restricting the customers to whom a company may sell;

8. unreasonable restrictions on the development or use of materials or technologies;
9. any matter which is inconsistent with the proposition that each company/individual must exercise its independent business judgment in pricing its services or products, dealing with its customers and suppliers and choosing the markets in which it will compete.

19.2.3 Record Retention. ASTM has a formal record retention policy for its official records. Records should reflect a factual, objective and business-like account of the activities of ASTM without retaining insignificant or outdated information. Notes taken at meetings and drafts of documents are discarded.

19.2.4 Official ASTM Communications. All official ASTM correspondence, on ASTM letterhead, by anyone in any official ASTM capacity, must comply with the Regulations, Section 16. Any official ASTM communication being proposed as an ASTM position (email, letter, telecommunication, etc.), must first be reviewed and approved by ASTM staff.

19.2.5 Standards. Neither ASTM nor any committee, subcommittee or task group thereof shall make any effort to bring about the standardization of any product or service for the purpose or with the effect of (a) preventing the manufacture or sale of any product or service not conforming to a specified standard or (b) artificially (without legitimate business justification) inflating the price at which a product or service may be offered for sale or sold.

19.3 Any ASTM member or participant having any questions or concerns regarding the propriety of any activity being conducted by or on behalf of ASTM in light of this Antitrust Policy is encouraged to contact the ASTM staff manager of the specific committee, the Vice President of Technical Committee Operations, ASTM's General Counsel or its President. It is the intent and policy of ASTM to encourage such inquiries so that compliance with this policy may be ensured.

## Summary of Changes

### **The following changes were made since the October 2002 edition and published in the October 2003 edition:**

Revision of Section 12.4 *Main Committee Handling of Negative Votes*. This revision replaces sequential balloting of main committee and Society negative votes with concurrent balloting.

### **The following changes were made since the October 2003 edition and published in the May 2004 edition:**

Section 5 *Termination of Committee or Subcommittee Membership* was renamed *Termination of Committee or Subcommittee Official Vote*. The policy was changed from removing the member to removing the official vote.

### **The following changes were made since the May 2004 edition and published in the October 2005 edition:**

Section 11.1.3 was revised. This change makes it mandatory to include a rationale with each subcommittee ballot item. This change enables consistent treatment of requirements for balloting throughout the process.

### **The following changes were made since the October 2005 edition and published in the October 2006 edition:**

Section 5 *Termination of Committee or Subcommittee Official Vote* was revised to remove the notice of having missed two ballots. 9.7 *Election of Officers* was revised to extend officer ballot election conclusion from 1 to 31 December of the odd-numbered years.

### **The following changes were made since the October 2006 edition and published in the October 2007 edition:**

Section 9.5 *Proxies* limits the number of proxies that a single voting interest can hold to one, allows a voting member to assign a proxy to a fellow employee from their voting interest (company or organization) or to another member of the subcommittee committee, and requires that the actual proxy be submitted by either the proxy giver or proxy holder.

### **The following changes were made since the October 2007 edition and published in the May 2009 edition:**

Section 11.6.1 *Issuance of a Concurrent Ballot* was revised to remove the requirement for a rationale for why the ballot item is being balloted concurrently.

Section 19 *Antitrust Policy* was added. This is a new Section.

### **The following changes were made since the May 2009 edition and published in the October 2009 edition:**

Addition of new section 1.2.1 and editorial changes to sections 11, 12, and 14.

### **The following changes were made since the October 2009 edition and published in the March 2010 edition:**

Revision of sections 11.1.1, 11.6.1, and 12.4.4.



## APPENDIX

### GUIDE FOR PREPARING COMMITTEE BYLAWS - COTCO APPROVED: SEPTEMBER 2006

Committee \_\_\_\_\_ on

Adopted by Committee:

Approved by COTCO:

#### 1. REGULATIONS

1.1 These bylaws are subject to the Regulations Governing ASTM Technical Committees, hereinafter referred to as the Regulations, and are in accordance with the ASTM Bylaws. Committee \_\_\_\_\_ will hereinafter be referred to as the Committee.

1.2 This edition of the Committee Bylaws was adopted and approved under the Regulations.

#### 2. SCOPE

2.1 The scope of the Committee shall be \_\_\_\_\_.

[Include types of standards the Committee intends to write, primary technical fields to be addressed, and those to be excluded. Examples of scopes are included in Appendix I]<sup>1</sup>.

2.2 The work of this Committee will be coordinated with other ASTM committees and other organizations having mutual interest.

#### 3. MEMBERSHIP

3.1 The Regulations describe the procedure for becoming a member and maintaining membership in a Committee or Subcommittee. [These are the requirements of the Regulations, which must be followed]. [In accordance with the Regulations, a Committee may establish criteria that will provide guidance for membership approval.]

##### 3.2 Resignations

3.2.1 Resignations - Resignations shall be reported to ASTM Headquarters by the member or Membership Secretary.

3.5 *Honorary Members*—Individuals recognized for long and outstanding service can be elected as Honorary Members of the Committee. Honorary members are lifetime members of the Committee and are exempt from rules pertaining to inactivity. ASTM membership must be maintained. [The criteria for nomination and election shall be specified. Options include nomination by the Honors and Awards Subcommittee with election by the executive subcommittee, nominations by majority vote by the executive subcommittee and election by administrative ballot by the main committee, or other procedures adopted by the committee.]

#### 4. CLASSIFICATION AND VOTING INTEREST

##### 4.1 Classification—

Unclassified Committee - “This committee is unclassified.”

Classified Committee - The General Classification System shall be used with each member being classified according to the scope of the Committee as follows: [The Committee shall prepare in these sections specific criteria that will be used when classifying each individual member. For example, see Appendix II.]<sup>1</sup>

4.1.1 Producer:

4.1.2 User:

4.1.3 Consumer:

4.1.4 General Interest:

4.1.5 Consultants: Classification of consultants shall be as defined in Section 7.2 of the Regulations.

[Other types of classification systems, such as the Multiple Classification System, may be used. The classification system to be used shall be determined in accordance with the section on Classified Committees of the Regulations. It is the responsibility of the Committee to determine the classification system best suited to its needs. For examples, see Appendix III.]<sup>1</sup>

4.2 *Voting Interest*: Voting Interest is defined in the Regulations. [Each executive subcommittee shall establish guidelines that will enable it to categorize individuals associated with companies or organizations having multiple divisions or subsidiaries into the same or separate voting interests. See Appendix IV<sup>1</sup> for examples of how other committees have defined voting interest.]

## **5. ELECTION AND DUTIES OF COMMITTEE OFFICERS AND THE EXECUTIVE SUBCOMMITTEE**

5.1 *Officers*—The officers of the Committee shall be a Chairman, Vice-Chairmen, and Secretary, who will hold those same offices in the Executive Subcommittee. No two officers of the Committee shall represent the same voting interest. The term of office shall be determined by the Regulations. [These or other combinations of officers, for example additional vice chairmen, may be elected according to the Committee's preference. In classified committees, it is preferred that the number of officers classified as producers not exceed those classified as users and general interests.]

5.1.1 *Chairman*—The Chairman shall preside at all meetings of the Committee. The Chairman may be an ex officio member of all subcommittees of the Committee. [Each classified committee has the option to choose whether or not producers can serve as chairman.]

5.1.2 *Vice-Chairman*—The Vice-Chairman shall assist the Chairman in the discharge of the Chairman's duties, preside at meetings in the absence of the Chairman, and shall perform other duties as delegated by the Chairman. [List in this section specific duties assigned to the Vice-Chairman (Vice-Chairmen) such as chair of the Long Range Planning Subcommittee]. If there is more than one Vice-Chairman, prioritize the order of substitution/succession in the event the Chairman is absent or resigns. See Appendix V for examples.]

5.1.3 *Recording Secretary*—The Recording Secretary shall attend all meetings of the Committee, keep the minutes, which shall be prepared and sent to ASTM Headquarters within \_\_\_ days of the end of the meeting, conduct the correspondence for the Committee, and perform such other duties as may be delegated by the Chairman. The Recording Secretary shall be the repository of copies of all Executive Subcommittee correspondence. At the end of the term of office, the Recording Secretary shall transmit to the succeeding Recording Secretary all such correspondence files.

5.1.4 *Membership Secretary*—The Membership Secretary shall maintain a current and complete roster of members of the Committee and Subcommittees, shall work closely with ASTM Staff; shall place applicants on the membership rolls subject to ratification of the executive subcommittee, and shall review and present membership at Executive Subcommittee meetings. [Some committees may choose to combine the duties of Recording Secretary and Membership Secretary.]

5.2 *Executive Subcommittee*—The Executive Subcommittee shall be composed of (1) the officers of the Committee, (2) the Chairmen of the subcommittees, and (3) members-at-large. The Executive Subcommittee shall give executive direction to the Committee. [In classified committees, it is preferred that the number of officers classified as producers not exceed those classified as users and general interest members.]

5.3 *Members-at-Large*—The election of \_\_\_ Members-at-Large shall be distributed as evenly as possible to represent the diversity of interests and products included in the activities of the Committee so that the goal of a balanced Executive Subcommittee is promoted. The members at large shall perform duties as assigned to them by the Chairman. [Each committee shall specify a finite number of members-at-large, term of office, and which selection process shall be used, i.e.: "the Members-at Large shall be elected in accordance with Section 5.3" or "the Members-at-Large shall be appointed by the Chairman with Executive Subcommittee Approval," or another method determined by the committee.]

5.4 *Nominating Committee*—In preparation for a ballot to be concluded by December 31 of the odd-numbered years, the Chairman of the Committee shall appoint a Nominating Committee, to be approved by the Executive Subcommittee, consisting of at least \_\_\_ members of this Committee. Balance of interest shall be represented by the members of this Nominating Committee. The Nominating

Committee shall prepare a slate of nominees. This slate, plus nominations made from the floor at a Committee meeting, shall be sent to ballot of the Committee. Space shall be provided on the ballot for "write-in" votes. Members of the Nominating Committee shall be eligible for election, unless otherwise restricted by the Regulations.

5.5 *Vacancies*—Vacancies in elective office shall be filled by Executive Subcommittee appointment. The appointee shall serve until the next regular biennial election of officers. Appointment to an un-expired term shall not affect the eligibility requirements for Election of Officers in the Regulations.

<sup>1</sup> Appendix to the Guide for Preparing Committee Bylaws.

<sup>2</sup> The number of Members at Large should be finite and defined here as well as in the section on Officers (refer to Section 5.1).

## 6. SUBCOMMITTEES

6.1 The Executive Subcommittee shall establish the subcommittees and approve the scope and activities of each.

6.2 *Classification*—Subcommittee members shall be classified according to the scope of the subcommittee, following the provisions of article 4 of these bylaws. [The above applies to classified subcommittees only.]

6.3 *Subcommittee Leadership*:

6.3.1 The Chairman of the Committee, with Executive Subcommittee approval, shall appoint the Chairmen of the subcommittees.

6.3.2 The Chairman of the subcommittee may appoint additional leadership, including Vice Chairmen, Secretaries, or Task Group Chairmen, as needed to achieve efficient operation.

6.4 *Discharge*—Upon completion of its work or for other good reasons, a subcommittee may be discharged or put on inactive status by the Executive Subcommittee. A subcommittee so discharged or deactivated may be reconstituted if later developments make such a course desirable. The leadership of any discharged subcommittee shall transmit all records of permanent interest to the ASTM Staff Manager.

6.5 *Service Functions/Subcommittees*—[Established in this section should be a terminology function for those committees who write definitions of terms, descriptions of terms, symbols, or abbreviations; and an editorial function; and a Long Range Planning function. If desired, each or any of these functions can be made a separate subcommittee. Additionally, other support functions with specific duties and responsibilities detailed in the appendix may be included.]

6.5.1 The Long Range Planning Subcommittee shall be led by the Committee Vice-Chairman. This subcommittee shall address long range planning for the technical committee. The subcommittee shall periodically evaluate Committee operations relative to Committee scope, industry needs, and other related activities. It shall develop and recommend to the Executive Subcommittee a long-range plan that considers Committee performance and future direction.

6.5.2 The Terminology Subcommittee writes definitions of terms, descriptions of terms, symbols, acronyms or abbreviations for a Committee terminology standard. This subcommittee also acts as a resource for other subcommittees that need to write definitions.

6.5.3 The Editorial Subcommittee acts as resource for other subcommittees that need assistance with issues regarding form and style. [NOTE: Subcommittees are encouraged to develop procedures for submission of draft documents to the Editorial Subcommittee for its review prior to balloting.]

6.5.4 The Honors and Awards Subcommittee shall be responsible for, but is not limited to, submission of nominations for the ASTM Award of Merit, Committee Honorary Members, Committee Certificates of Appreciation and various other Committee and Society awards. [All committees are encouraged to describe each committee award and the necessary qualifications and voting procedures in these bylaws].

## 7. MEETINGS

7.1 *Committee Meetings*:

7.1.1 *Number of Meetings*—Regular meetings of the Committee shall be held preferably twice a year or as often as necessary to carry out the business of the Committee. Special meetings of the Committee may be held at the call of the Chairman, with Executive Subcommittee approval, or at the written request of at least \_\_\_\_ voting interests of the Committee.

7.1.2 *Time and Place*—Establishment of the time and place of all meetings of the Committee shall be the responsibility of the Executive Subcommittee. Meeting places for regular meetings should be established at least two years in advance.

7.1.3 *Meeting Contracts* ---All ASTM meetings that involve a contract shall be negotiated and the contract executed by the President of ASTM or a designee thereof in accordance with ASTM Board policy.

7.1.4 *Meetings Notices*—Notices of all meetings should be distributed to the members of the Committee by ASTM Headquarters at least six weeks in advance of the meeting.

7.1.5 *Quorum*—Committee members, or their authorized representatives, representing not less than \_\_\_\_ % voting members, shall constitute a quorum for the transaction of business.

7.2 *Executive Subcommittee Meetings*—Meetings of the Executive Subcommittee shall be held at the call of the Chairman or upon written request of not less than 10% but not fewer than three members of the subcommittee. A simple majority of the members shall constitute a quorum for conducting business.

7.3 *Subcommittee Meetings*—Meetings of the subcommittees are normally held when there is business to be transacted prior to the meeting of the Committee. Special meetings may be held at any time on four weeks' notice from the Chairman of the subcommittee or upon written request of at least \_\_\_\_ voting members of the subcommittee.

7.3.1 *Meeting Notices and Agenda*—The Chairman, Secretary, and Staff Manager of the Committee shall be notified 30 days in advance of all meetings of the subcommittees and shall receive meeting notices, agendas, and minutes of these meetings.

7.3.2 *Quorum*—Subcommittee members, or their authorized representatives, representing \_\_\_\_\_ % of the voting interests, but not fewer than three members, shall constitute a quorum for the transaction of business.

7.4 *Meeting Rules*—The current edition of Robert's Rules of Order shall govern the Committee and subcommittee meetings in all cases, except where these rules are in conflict with the Regulations or the Committee or ASTM Bylaws.

7.5 *Virtual Meetings*—Virtual meetings may be held at anytime. Where quorum is needed for business to be transacted, four weeks' notice is required.

7.6 *Proxy*—See Section 9.5 of the ASTM Regulations for information on proxies. The form to be used for the assignment of proxies is located in the Appendix of the ASTM Regulations and on the ASTM website (<http://www.astm.org>).

## **8. BALLOTS**

8.1 *Subcommittee*—Recommendations for all actions on standards shall be approved in accordance with Subcommittee and Main Committee Procedures on Standards in the Regulations.

8.2 *Committee*—Recommendations involving new, revised, reapproved, or withdrawn standards shall be submitted to ASTM Headquarters for a ballot of the Committee [see Main Committee & ASTM Procedures on Standards in the Regulations].

8.3 *Review*—Subcommittees shall review annually standards under their jurisdiction and ballot standards for reapproval, revision, or withdrawal in their fourth year of publication. A status report shall be submitted to the Committee annually. [See Regulations for further details.]

### *8.4 Administrative Ballots*

8.4.1 Amendments to these bylaws, election of Committee officers, and other administrative matters shall be approved by Committee ballot.

#### 8.4.2 Issuance of an Administrative Ballot:

8.4.2.1 A ballot shall be authorized by a motion passed at a meeting of the Main Committee or by the Executive Subcommittee. Administrative ballots shall be conducted by ASTM Headquarters.

8.4.2.2 A ballot shall indicate a closing date, which shall not be fewer than 15 days after the date of mailing.

8.4.2.3 The ballot shall contain a statement providing the reason for balloting each item.

#### 8.4.3 Administrative Ballot Voting Requirements:

8.4.3.1 An affirmative vote of a simple majority of the combined affirmative and negative votes by all members is required with not fewer than \_\_\_\_ % of all members returning ballots. Ballot items returned unmarked shall be considered as abstaining.

8.4.3.2 All ballots received after the closing date, or as soon thereafter as a \_\_\_\_ % return is achieved, will be considered as not having been returned.

8.4.4 Statements Accompanying Votes—Ballots shall be considered.

#### 8.4.5 Negative Votes

8.4.5.1 Negative votes received on administrative ballots shall be acted upon by the Executive Subcommittee. At its discretion, the Executive Subcommittee may appoint a task group to review negatives and recommend action to the Executive Subcommittee.

8.4.5.2 A motion to find a negative vote not related to the item being balloted or not persuasive requires an affirmative vote of a simple majority of the combined affirmative and negative votes cast by the Executive Subcommittee members on the action.

8.4.5.3 A statement of the reason(s) for the action(s) taken on negative votes and a record of the vote shall be recorded in the Executive Subcommittee minutes. Publication of the minutes constitutes notification of the negative votes.

### 9. REPORTS

9.1 *Subcommittee Reports*—The Chairman of each subcommittee shall submit a report to the Committee at each regular meeting covering the progress of the work and the recommended actions. If a verbal report is presented, a written report (or minutes) shall be sent to the Secretary and Staff Manager within \_\_\_\_ days. If a subcommittee fails to present a report at two consecutive meetings of the Committee, it shall be required to show cause to the Executive Subcommittee why it should not be discharged.

### 10. APPENDIXES

10.1 [Appendixes may be used to contain information regarding committee operating procedure and policies, duties and responsibilities of support committees or functions that are not delineated within the Committee Bylaws.]

### 11. AMENDMENTS

11.1 Amendments to these bylaws may be proposed by any member at a regular meeting of the Committee or by the Executive Subcommittee. A ballot shall be authorized by approval of two thirds of the members in attendance at a Committee meeting or at an Executive Subcommittee meeting.

11.2 Amendments to these bylaws shall be adopted by ballot in accordance with 8.4 of these bylaws, provided that they do not conflict with the ASTM Bylaws or the Regulations.

11.3 If an amendment is approved in accordance with 8.4 of these bylaws, all disapprovals and comments shall be evaluated by the Executive Subcommittee. If deemed acceptable, appropriate changes should be made. When substantive changes are made in response to negatives and comments, the changes shall be reballoted by the Main Committee. After the amendment has been approved by the Committee on Technical Committee Operations (COTCO), the amended bylaws shall be distributed to all members of the Committee.

## **APPENDIX I - SCOPE**

### **C-27 on Precast Concrete Products**

**SCOPE:** The formulation of test methods, specifications, definitions, terminology, recommended practices, and the promotion of knowledge relating to precast concrete products exclusive of concrete pipe and block. The primary areas of interest include utility structures, minor architectural and structural products, agricultural products, water and wastewater treatment structures, and other special products.

The work of this Committee will be coordinated with other ASTM Committees and other organizations having mutual interest.

### **D-11 on Rubber**

**SCOPE:** The development of test methods, terminology, specifications, practices, and classifications pertaining to rubber, rubber products, and systems and services appropriate to rubber technology. Tires, insulated wire and cable, electrical protective equipment, and insulated tape are excluded since they are the responsibility of other ASTM committees.

The Committee shall encourage research concerning the properties of such materials, products, and systems. The work of this Committee will be coordinated with other ASTM committees and other organizations having mutual interest.

## **APPENDIX II - CLASSIFYING COMMITTEE MEMBERS**

### **D-16 on Aromatic Hydrocarbons and Related Chemicals**

4.2 *Producer:* Any voting interest of an organization producing any material or product within the scope and active consideration of the Committee for sale to a user not affiliated with the same organization.

4.3 *User:* Any voting interest that cannot be classified as a producer that purchases for use any material or product within the scope and active consideration of the Committee.

4.3.1 Users who produce for their own consumption. Some voting interests classified as user may at times be faced with a surplus of material or product within the scope of the Committee produced by the organization represented by the voting interest for its own use and may within certain limitation, sell that surplus without losing its user classification. In arriving at such limitation, the executive subcommittee shall take into consideration whether such sales are continuing and constant practice representing an important business feature of the voting interest or whether such sales are or may be forced upon the user by circumstances over which he has no control, such as shutdown of facilities that would otherwise use the material or product whether by accident or need for routine or unusual maintenance and report. Any production that is a permanent part of the products offered for sale is sufficient to classify the voting interest as a producer.

4.4 *General Interest:* Any voting interest of an organization that is not directly involved in or responsible for the production or use of any material or product within the scope and active consideration of the Committee.

### **F-17 on Plastic Piping Systems**

4.3.1 *Producer:* A member who represents an organization that produces or sells products, systems, or services covered in the committee scope shall be classified as a producer.

4.3.2 *User:* A member who represents an organization that purchases or uses products, systems, or services other than for a household, covered in the committee scope shall be classified as a user provided that the member could not also be classified as a producer.

4.3.3 *General Interest:* A member who does not fit into any of the preceding categories. The Executive Subcommittee in classifying an applicant who is a raw material supplier, an additive supplier, or a machinery producer as General Interest Vote will use the following rationale:

4.3.3.1 F-17 does not have jurisdiction over nor will write specifications for raw material resins and/or compounds and processing machinery.

4.3.3.2 The raw material, additive, or machine usage must not be exclusively or mainly concentrated in the plastic pipe production or assemblage.

4.3.3.3 The relationship of the applicant's activities to the Scope of F-17 must be:

- (a) At least one step removed from production and marketing of plastic pipe or pipe components.
- (b) Directed toward technical quality and performance characteristics of plastic piping products.
- (c) Not involved with the promotion or sale of products or assemblies.

## **APPENDIX III - CLASSIFICATION SYSTEMS**

### **Common Classification**

#### **F-17 on Plastic Piping Systems**

##### *4.1 Classification:*

4.1.1 Committee members shall be classified by the Executive Subcommittee, at the time their application is accepted, according to their individual or organizational interest. On subcommittees subject to balance, the Subcommittee Chairman shall determine the classification of a member on that subcommittee.

4.1.2 Classification of committee/subcommittee members by organizational and technical interest is needed to ensure fairness and balance among affected interests in keeping with ASTM Bylaws. Classification shall be related to the scopes of the committee/subcommittees. Such classification may be the same or different at main committee and subcommittee levels.

4.1.3 Organizational interest is typified by employer, employee, consultant, client, contractor, or sales representative as well as by types of products and services provided. Consultants or other individuals serving more than one kind of interest shall declare their principal interest.

## **APPENDIX IV - VOTING INTEREST**

### **D-32 on Catalysts**

3.3 *Voting Interests*—Generally, each organization will constitute a voting interest. In a multi-division corporation, guidelines that might be used to judge whether sister divisions have different interests are relatively simple when the various primary divisions have a different classification. In that case it is clear that each division shall have a separate voting interest. If, however, the various primary divisions have the same classification, then separate (in the definition of voting interest) becomes a key operative word. Criteria that might be used to determine whether there is a separate interest may include affirmative answers to the following:

- (a) Does the division have its own chief executive officer?
- (b) Do the divisions, if producers, have unique and quite different product lines?
- (c) Do the divisions have separate research and development departments?

Ultimately, a body of experience based on several decisions may be the best guideline.

## **APPENDIX V - VICE-CHAIRMAN DUTIES**

### **D-11 on Rubber**

4.3 *First Vice-Chairman*—The First Vice-Chairman shall assist the Chairman in the discharge of the Chairman's duties, preside at meetings in the absence of the Chairman and shall supervise the activities of all technical subcommittees.

4.4 *Second Vice-Chairman*—The Second Vice-Chairman shall preside at all meetings of the Committee or Executive Subcommittee in the absence of both the Chairman and First Vice-Chairman. The Second Vice-Chairman shall supervise the activities of all administrative subcommittees.

**D-19 on Water**

4.1.2 *First Vice-Chairman Duties*—The First Vice-Chairman shall serve as Chairman of the Section on Committee Operations of the Executive Subcommittee. In the absence of the Committee Chairman, the First Vice-Chairman shall serve as Chairman.

4.1.3 *Second Vice-Chairman Duties*—The Second Vice-Chairman shall serve as Chairman of the Section on Strategic Planning of the Executive Subcommittee, and shall act for the Chairman and the First Vice-Chairman in their absence.



(October 2009)

This Form must be handwritten BY THE VOTING MEMBER ASSIGNING THE PROXY (not typed)

## PROXY FORM ASTM COMMITTEE

\_\_\_\_\_  
(Designate committee/subcommittee here)

I hereby authorize \_\_\_\_\_ to serve as my proxy  
(Name/Affiliation)  
and to vote on my behalf at the \_\_\_\_\_ meeting  
(Specify meeting)  
to be held on \_\_\_\_\_ .  
(Date)

This proxy is valid for:

\_\_\_\_\_ All Matters voted on at the Meeting

\_\_\_\_\_ Specific Issue/Matter (please explain)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

A voting member wishing to vote at a subcommittee meeting or main committee meeting via proxy shall designate a member from the applicable subcommittee or main committee or an individual from the voting member's voting interest. A voting member wishing to vote via proxy shall personally contact the member or individual from their voting interest whom the member wishes to exercise the proxy and must complete the proxy form in its entirety. Failure by the member to sign the form and complete all sections by hand will invalidate the proxy. The duly executed hand-written proxy form shall be mailed, e-mailed as a scanned attachment, or faxed by the voting member, or hand delivered by the proxy holder to the chairman of the committee or subcommittee prior to the applicable meeting or action. A separate proxy form shall be completed for each individual meeting of a subcommittee or a main committee. The solicitation of proxies from voting members is prohibited. Solicited proxies will not be accepted. No voting interest shall hold or exercise proxies for more than one voting member in any subcommittee or main committee meeting. Your signature attests the above has been strictly followed.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

# INDEX

## Abstentions

- main committee ballot, 12.2.1, 12.4.1
- not related negative votes in subcommittee ballot, 11.4.3.2
- subcommittee ballot, 11.2.1, 11.3.2.2

## Actions on standards

- main committee ballot, 12.2
- requiring ballot, 10.2
- subcommittee ballot, 11.2

## Adjuncts, 10.11, 10.9

## Affiliate Member, 4.6

## Affirmative votes

- main committee ballot, 12.2.1
- statements accompanying votes, 11.3.1, 12.3
- subcommittee ballot, 11.2.1

## Amending committee bylaws, 3.5.10

## Annexes, 10.8

## ANSI, submission of standards to, 15.4

## Antitrust, 19

## Appeals

- negative vote, main committee ballot, 12.7
- society principle, 1.5.1
- termination of membership, 5.2.1

## Appendixes, 10.8

## Application for committee membership, 4.1

## Approval of standards, 10.2

## ASTM Disclaimer of Liability as to Patented Inventions, 15.3

## ASTM documents, 2

- categories, 2.1
- classification, 2.2.1
- standard, 2.1.1
- guide, 2.2.2
- practice, 2.2.3
- specification, 2.2.4
- terminology, 2.2.5
- test method, 2.2.6
- types, 2.2

## ASTM headquarters

- changes in jurisdiction of standards, 10.4.2.1
- disbursement of committee funds, 18.4
- main committee ballots, 12.1.1
- official statements, 16
- publications, 17.1
- publicity/news statements, 17.2
- regulations maintained by COTCO, 1.6

## Authority of regulations, 1.3

## Automatic withdrawal, overdue standards, 10.5.3.1

## Balance of classified voting interests, 3.2

- of committees, 3.1.1, 8.3

## Ballots, see also Main committee ballot; Society review of main

## committee ballot; Subcommittee ballot

- adoption of bylaws for main committees, 3.5
- annexes/appendixes, 10.8
- concurrent, 11.6
- issuance of concurrent ballot, 11.6.1
- negative votes, 11.6.2
- confirming subcommittee ballots, 12.7
- distribution, society principle, 1.4
- editorial changes, 10.5.4
- election of main committee officers, 9.7
- main committee ballot, issuance, 12.1
- patent/pending patent references in standards,

## percent required return/affirmative votes

- main committee ballot, 12.2.1
- subcommittee ballot, 11.2.1
- report on results, society principle, 1.4
- subcommittee ballot, issuance, 11.1

## Board of Directors

- authority, 1.3
- discharge of committees, 3.6.1
- formation of committees, 3.2
- approval of bylaws, 3.5
- establishment, 3.2
- official statements/responses, 16
- revisions of regulations, 1.7
- right of appeal, 1.5.1
- society bylaws, governing principles, 1.4
- termination of special projects, 18.3.3

## Bylaws, 3.5

- guide, Appendix

## Calls to meetings, 9.3

## Categories of ASTM documents, see ASTM documents

## Chairmen, see Committee chairmen; Subcommittee chairmen

## Change of employment, voting interest, 6.4

## Charter, 1.3

## Classification

- classes of, 7.1
- of committee members, 7
- committees, 8
- annual review, 8.3
- balance achieved in new committees, 3.1
- multiple classifications, 8.2.2
- outlined in committee bylaws, 3.5.3
- producer representation, 8.1
- related to scope of subcommittee or committee, 7.1.1
- voting interest, requirement for, in bylaws, 3.5.3
- definition, 2.2.1

## Closed meetings, 9.2

## Closing date of ballot, 11.1.2, 12.1.2

## Committee

- bylaws, see Bylaws
- formation of new, 3.2
- membership, 4.1
- merger or discharge, 3.6
- structure, 3.4

## Committee chairmen

- approval/disbursement of committee funds, 18
- concurrent ballot requests, 11.6.1
- election procedures, 9.7

## Committee expenses/funds, 18

## Committee membership, 4

- classifying, 7
- qualifications, 3.5.2
- termination, 5
- voluntary contributions, 18.1
- voting, 6

## Committee officers

- advised of committee inactive status, 3.6.3.1
- duties/responsibility covered in committee bylaws, 3.5.5
- election, 3.3, 9.7
- nomination/election, 3.5.4
- policy on salaries and fees, 18.2
- release of publicity/news statements, 17.2

## Committee on Standards, 14

- approval of other forms of documents, 2.2.7
- approval of standards for announcement in Standardization News,

14.2  
 consideration of voting on standards, 14.1  
 custody of discharged committees' standards, 3.6.4.2  
 exemptions from Form and Style Manual, 10.7  
 Committee on Technical Committee Operations (COTCO)  
 appeal by rejected/misclassified applicants, 4.3.1  
 appeal by terminated members, 5.1.1  
 approval of committee bylaws, 3.5  
 formation of new committees, 3.2  
 maintenance (revision) of Regulations, 1.6, 1.7  
 revision of regulations, 1.7  
 scope of, 1.5  
 Committee review of standards, 10.5.3  
 Committee rules, in committee bylaws, 3.5  
 Committee scope  
 annual review of member classifications, 8.3  
 inclusion in committee bylaws, 3.5.1  
 Concurrent ballot  
 minimum percent affirmative, 12.4.4.3  
 negative votes, 11.5.2, 12.4.4  
 for resolution of negative ballots, 12.4.4.4, 12.4.5  
 submission of revisions, withdrawals and new standards, 11.6  
 submission of subcommittee items, 11.5  
 Concurrent letter ballot, 12.4.4  
 Conduct of business, 9  
 Consensus, definition, 1.1.1  
 Consultants, 7.2  
 Consumer, definition, 7.1.3  
 Contracts, 18.3  
 COTCO, see Committee on Technical Committee Operations

Disbursement, 18.1.1  
 Discharge of committees, 3.6  
 Disclaimer of liability – patented inventions, 15.3  
 Drafts, records of, 1.4

Editorial changes, 10.5.4  
 Election, committee officers, 9.7  
 procedures covered in committee bylaws, 3.5.4  
 Employment, change, 4.1, 6.4  
 Executive subcommittee  
 approval of affiliate members, 4.6.1  
 approval of membership application, 4.1.1  
 approval of ASTM official statements/responses, 16.1  
 classification of committee membership, 7.1  
 closed meetings, 9.2  
 definition, 3.1.2  
 establishment, 3.4  
 investigation for discharge of committees, 3.6.3.1  
 Expenses and funds of committees, 18

Fees to committee officers, 18.1.3  
 Form and Style Manual, 10.7, 15.2.2  
 Formation and discharge of committees, 3.2  
 Formation of subcommittee, 3.4  
 covered in committee bylaws, 3.5.8  
 Funds for committees, 18

General classification, see Classification  
 General Interest Member, 7.1.4  
 Government agencies, ASTM official statements/responses to, 16  
 Guide, definition, 2.2.2

Imbalance on classified committees/subcommittees, 6.3.2  
 Inactive committee, investigation/discharge status, 3.6.2, 3.6.3

Jurisdiction of standards, 10.4

Liaison representatives, with other committees, 10.5.1  
 Limitation of membership, 4.4

Main committee ballot, 12  
 acceptance of subcommittee recommendation, 12.4.3.1  
 accompanying ballot statements, 11.3, 12.3  
 available to members prior to action, 11.4.2.3, 12.2.3  
 actions requiring, 10.2  
 annexes/appendixes, 10.8  
 handling negative votes, 12.4  
 appeal mechanism, 12.7  
 documentation of actions taken, 11.4.4, 12.8  
 motions for handling, 11.4, 12.5  
 notification of time/place for discussion, 12.4.3  
 notification of vote disposition, 12.6  
 resolution, 12.4.4.4, 12.4.5  
 statements from non-members, 12.2.2  
 votes not previously considered, 12.4.2  
 votes previously considered, 12.5  
 issuance of ballot, 12.1  
 minimum percent affirmative, 12.4.5.2  
 patent references in standards, 15  
 percent required return/affirmative votes, 12.2.1  
 submission of subcommittee items, 11.5  
 voting requirements, 12.2

Meetings  
 closed, executive subcommittee, 9.2  
 election of officers, 9.7  
 inactive status of committees, definition, 3.6.2  
 minutes, 9.4  
 notification, 9.3  
 official publications, 17.1  
 open, 9.1  
 outlined in society bylaws, 1.4  
 rules for conduct of business, 9  
 addressed in committee bylaws, 3.5.6

Membership, 4  
 criteria in committee bylaws, 3.5.2  
 inactivity, definition and procedure for action, 3.6.2, 3.6.3  
 member, definition, 1.1.2  
 termination, 5  
 voting privileges, 6.2

Merger of committees, 3.6  
 Minutes of committees and subcommittees, 9.3, 9.4  
 publication and distribution, 1.4, 17.1  
 rules for submitting, 3.5.8

Motions, handling negative votes, subcommittee, 11.4.3  
 Multiple classification system, 8.3

Negative votes, see also Main committee ballot;  
 Society review; Subcommittee ballot  
 concurrent ballot, 11.6.2  
 documentation of actions taken  
 main committee ballot, 12.8  
 subcommittee ballot, 11.4.4  
 not related motions  
 main committee ballot, 12.4.3, 12.4.4.1  
 subcommittee ballots, 11.4.3.2  
 not persuasive motions  
 main committee ballot, 12.4.3  
 subcommittee ballots, 11.4.3.3  
 previously considered, main committee ballot, 12.5  
 report for main committee ballot, 11.5.1  
 request for main committee ballot prior to subcommittee consideration

- of negative votes, 11.5.2
- resolution, 12.4.4.4, 12.4.5
- submitted to ballot for disposition, 12.4.4.2
- withdrawal, 11.4.1, 12.4.1
- News statements, 17.2
- Nomination procedures for officers, 3.5.4
  - nominating committee, 9.7
- Non-member, statements from, 12.2.2
- Notification
  - call to meetings, 9.3
  - negative voters, 11.4.2.1, 13.4.2
  - proposed standard undertaking, society principle, 1.4
  - termination of membership, 5.1
- Official (ASTM) statements, 16
- Official vote, see Voting
- Open meetings, 9.1
- Organizational interest, definition, 7.1.3
- Overdue standards, 10.5.3.1
- Patent reference in standards, 15
- Percent required return/affirmative votes
  - main committee ballot, 12.2.1
  - subcommittee ballot, 11.2.1
- Practice, definition, 2.2.3
- Preface to Regulations, 1
- Preliminary organization, 3.2
- Producers
  - balance requirements, 8.1
  - definition, 7.3.1
  - representation, 4.3
- Proposal preparation, to raise funds, 18.2.1
- Proxies, 3.5.6, 9.5
- Publications, 17
- Publicity and news statements, 17.2
- Quorum requirements, committee bylaws, 3.5.6
- Reapproval of standards, required ballots, 10.3
- Reballoting, 12.4.6
- Records, maintenance, 1.4
- Regulations
  - authority, 1.3
  - committee bylaws
    - consistent with regulations, 3.5
    - reference sections, 3.5.9
  - role of COTCO in maintaining, 1.5, 1.6, 1.7
  - revision, 1.7
- Reports
  - committee officer elections, 9.7
  - balloting results, submission for main committee ballot, 11.5.1
- Review of standards, 10.5
- Revision of standards
  - concurrent ballot, 11.6.1
  - proposal and consideration, 10.5.2
- Review of Regulations, 1.7
- Revised document, reballoting, 12.4.6
- Salaries, committee/subcommittee officers, 18.1.3
- Society review
  - accompanying statements, 13.3
  - actions requiring, 10.2
  - handling negative votes
    - consideration by Committee on Standards, 14.1
    - notification of time/place for discussion, 12.4.3
    - notification of vote disposition, 12.6
    - votes previously considered, 12.5
  - main committee ballot items, 13
  - patent references in standard, 15
  - Standardization News announcement, 14.2
    - withdrawal of standards, 10.2.3, 10.6
  - Society membership, 4.3
  - Society principles, 1.4
  - Society regulations on finance, 18
  - Special projects, 18.2.1
  - Specification, definition, 2.2.4
  - Staff manager
    - receipt of main committee ballot materials, 12.1.1
    - receipt of subcommittee ballot, 11.1.2
  - Standardization News, publication of
    - society ballot, 14.1.1
    - standards actions, 14.2
- Standards
  - adjuncts, 10.9
  - annexes/appendixes, 10.8
  - approval, 10.2.1
  - definitions, 2
  - editorial changes, 10.5.4
  - Form and Style, 10.3
  - frequency of review, 10.5.3
  - general procedures, 10
  - jurisdiction, 10.4
  - patent references, 15
  - reapproval, 10.3
  - review, 10.5
  - revision, 10.2.3, 10.5.2
  - submission for concurrent ballot, 11.6
  - submission to ANSI, 15.4
  - withdrawals, 10.2.3, 10.6
- Statements
  - accompanying ballots, 11.3, 12.3
  - from non-members, 1.2.2
  - official, 16
  - of willingness to consider alternatives, 15.1.1
- Subcommittee
  - establishment, 3.5.8
  - membership, 4.2
  - rule for reports/minute, 3.5.8
- Subcommittee chairmen
  - initiation of concurrent ballot, 11.6.1
  - initiation of subcommittee ballot, 11.1.1
  - request of main committee ballot, 11.5.2
- Subcommittee ballot, 11
  - actions requiring, 10.2
  - annexes/appendixes, 10.8
  - authorization, 11.1.1
  - concurrent ballot, issuance, 11.6
  - handling negative votes, 11.4
    - on concurrent ballot, 11.6.2
    - documentation of actions taken, 11.4.4
    - motions for handling, 11.4.3
    - notification for discussion of negative votes, 11.4.2.1
  - statements, 11.3.2
  - withdrawal, 11.4.1
  - issuance, 11.1
  - patent references in standards, 15
  - percent required return/affirmative votes, 11.2.1
  - statements accompanying votes, 11.3
  - submission for main committee ballot, 11.5
  - voting requirements, 11.2
- Subcommittee membership
  - approval by executive subcommittee, 4.1.1

- reference by committee bylaws, 3.5
- termination, 5
- Subcommittee officers
  - advised of performance/status of committees, 3.6.2
  - appointments/tenure, 3.5.8
- Subsidiary, 6.1.3
  
- Task groups, 9.6
- Tenure of office of committee officers, 9.7
- Termination of membership, 4.7
  - criteria, 3.5.2, 3.5.8
- Terminology, definition, 2.2.5
- Test method, definition, 2.2.6
- Two-thirds affirmative vote, subcommittee ballot, 11.2
  
- User
  - balance requirements in classified committees, 8.1
  - definition, 7.1.2
  - representation, 4.3
- Vice chairman, see Committee officers
- Visitors to open meetings, policy, 9.1
- Voluntary contributions, 18.1.2
- Voting, 6, see also Main committee ballot, handling negative votes;
  - published in Annual Book of ASTM Standards, 10.6
  - required ballots, 10.2.3

- Subcommittee ballot, handling negative votes
  - change of employment affecting voting, 6.4
- classified committees
  - balance achieved before voting, 3.2.1
  - classification, 3.5.3
- official vote
  - definition, 6.1.1
  - provision for, 6.3
  - termination, 5
- non-official voting member, 6.1.5
- percent requirement return/affirmative votes
  - main committee ballot, 12.2.1
  - subcommittee ballot, 11.2.1
- voting interest on committees
  - classification, 7.1
  - definition, 6.1.2
  - voting privilege, 6.2
- Voting member, 6.1.4
  
- Withdrawal, standards, 10.6
  - concurrent ballot, 11.6.1
  - overdue standards, 10.5.3.1