



EXECUTIVE STANDARDS COMMITTEE GOVERNANCE POLICY



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ANSI Essential Requirements Changes were implemented in 2006, 2013, 2015, and 2016 for the previous versions of the Technical Standards Board Operating Procedures. No part of this publication may be reproduced, stored in a retrieval system, distributed, or transmitted, in any form or by any means without the prior written permission of SAE International.

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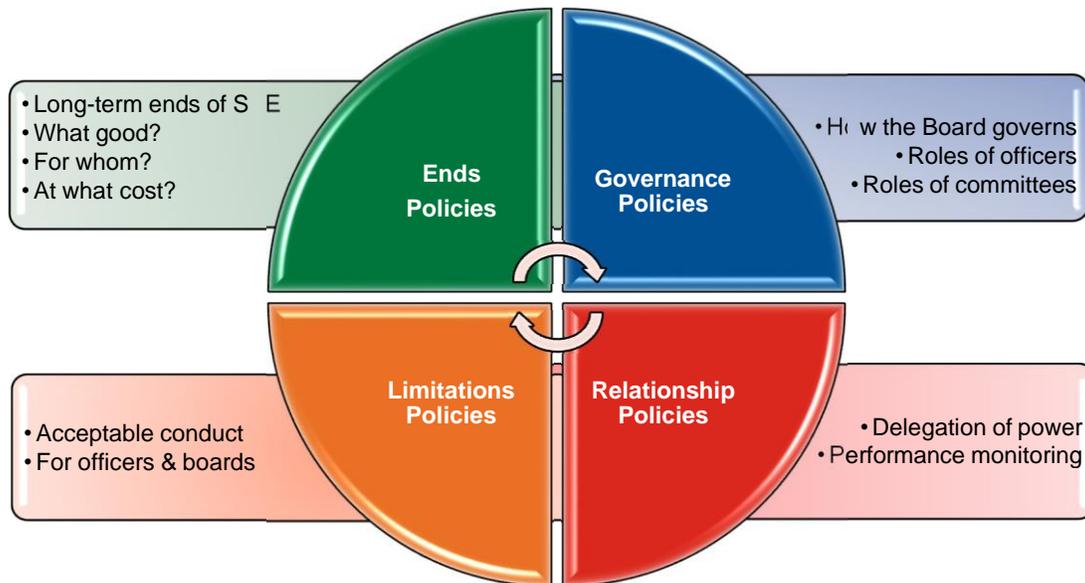
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INTRODUCTION

Effective leadership requires that the Board of Directors provide the Society’s vision. To do so, the Board must first have a comprehensive vision of its own job. That role is best conceived neither as a volunteer-helper nor as a watchdog, but rather as a trustee-owner. Policy governance (or Carver governance) is an approach to governance that emphasizes values, vision and strategy, and empowers the Board of Directors (“Board”), Board Committees, and the Chief Executive Officer.

According to the principles of policy governance, the Board imbeds its values and wisdom within the following four policy types:

1. **Ends Policies**
Through Ends policies, the Board defines which human needs are to be met and for whom and at what cost. Ends policies are written with a long-term perspective; these policies embody most of the Board’s part of long-range planning.
2. **Governance Policies**
Through Governance policies, the Board expresses the philosophy, accountability and specifics of its own job.
3. **Relationship Policies**
Through Relationship policies, the Board clarifies the manner in which it delegates its authority to Operating Boards and the Chief Executive Officer, as well as how it evaluates performance.
4. **Limitations Policies**
Through Limitations policies, which apply to the President, Treasurer, Chief Executive Officer and Operating Boards, the Board establishes the boundaries of acceptable behavior and activities of those positions and groups.



PURPOSES

The purposes of SAE International are:

- to advance the knowledge of the arts, sciences, standards, and engineering practices connected with the development, design, construction, and use of self-propelled machines, prime movers and related equipment (all herein collectively called "mechanisms");
- to preserve and improve the quality of life in the production and use of such mechanisms;
- to maintain a library of publications;
- to promote through meetings, lectures, courses, seminars and the presentation and discussion of scientific and engineering papers a better understanding of such mechanisms;
- to develop technical and scientific reports, including engineering standards and recommended practices, in connection with the development, design, construction, use, and reuse of such mechanisms, and publish and distribute such reports for the benefit of mankind; and
- generally, to provide for or carry on such other activities as may be necessary, incidental, convenient, or desirable to accomplish fully the foregoing purposes.

MISSION

To advance mobility knowledge and solutions for the benefit of humanity.

VISION

SAE International is the leader in connecting and educating mobility professionals to enable safe, clean and accessible mobility solutions.

ENDS POLICY

E-1

SAE International provides society and the global mobility engineering community with:

- Neutral forums that convene to address society's mobility needs
- The most reliable and comprehensive collection of engineering resources that advance mobility
- STEM education and professional development programs that inspire and build mobility's current and future workforce
- Consensus-based standards to advance quality, safety and innovation
- A global community whose collective wisdom makes mobility more safe, clean and accessible

Under this policy, SAE shall:

Indemnify any person who was or is a party or is threatened to be made a party to any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative or investigative (whether brought by or in the name of SAE or otherwise), by reason of the fact that he or she is or was a representative of SAE or was performing their obligations in accordance with this policy, to the fullest extent now or hereafter permitted by applicable law in connection with such action, suit or proceeding arising out of such person's service to SAE. The term "representative," as used herein, shall mean any Board member, officer, or employee or serving on a duly appointed SAE committee.

CODE OF ETHICAL CONDUCT

G-3

SAE's policy is to uphold the highest legal, ethical and moral standards in business and personal conduct. Donors and volunteers support SAE because they trust the Society to be good stewards of their resources, and to uphold rigorous standards of conduct. SAE's reputation for integrity and excellence requires compliance with all applicable laws and regulations, as well as a scrupulous regard for the highest standards of conduct and personal integrity.

SAE shall comply with all applicable laws and regulations, and expects its Board members, Officers, SAE members/volunteers, staff, vendors, and consultants to conduct business in accordance with the letter and spirit of all relevant laws; to refrain from any illegal, dishonest or unethical conduct; to act in a professional, businesslike manner; and to treat others with respect. Board members, Officers, and SAE members/volunteers should not use their positions to obtain unreasonable or excessive services or expertise from the Chief Executive Officer, staff, and/or organizations doing business with SAE.

1. Board members shall:
 - 1.1 Respect the confidentiality of sensitive issues.
 - 1.2 Only at the direction or approval of the President, interact with the public and press regarding SAE business.
2. Board members shall with respect to Board activities:
 - 2.1 Attend Board meetings regularly. Board members are expected to attend at least one face-to-face meeting per year and, at all meetings, to attend the entire meeting. Any Board member absent for two consecutive meetings of the Board will receive a written notice from the Secretary. Upon a third consecutive meeting absence, the Board member shall be automatically excused from his/her duties (Bylaws Article V, Section 5.7) and the resulting vacancy may be filled (Bylaws Article V, Section 5.8).
 - 2.1.1 For purposes of Board attendance, a "meeting" is defined as a meeting during which a vote will be taken on Board business (as opposed to a meeting for purely informational purposes), whether a virtual or a face-to-face meeting (with virtual capability). "Consecutive meetings," for purposes of board attendance, are "meetings" that follow one another, regardless of calendar year or board term. For example, attendance at a non-voting meeting scheduled between two "meetings" from which a Board member has been absent does not operate to create a break between missed "consecutive meetings." Absence from the next "meeting" by the Board member would result in removal from the Board.
 - 2.1.2 If a Board member is removed from his/her duties, the Secretary will so notify the removed Board member in writing and the Board's next set of meeting minutes shall reflect this action.
 - 2.2 Be prepared for and participate in Board meeting discussions and voting.
 - 2.2.1 Once voting is completed, all members shall support the Board's decision.
 - 2.3 Become familiar with the *Governance Policy Manual*, Bylaws and legal and fiduciary responsibilities.
 - 2.4 Contribute individual judgment and expertise, including identifying any actions and/or conditions that are not in compliance with the Bylaws and the *Governance Policy Manual* and bringing the information to the attention of the President and/or the Secretary.
 - 2.5 Complete inter-meeting Board business and electronic voting.
3. Board members shall, with respect to personal integrity and professionalism:
 - 3.1 Promote and participate in a climate of mutual trust, respect and teamwork.
 - 3.2 Be loyal to the best interest of the organization and the Purposes established by the members, including openly speaking up on behalf of the membership and dissenting as deemed appropriate.
4. Board members shall refrain from accepting gifts, services, discounts, entertainment or consideration of any kind from suppliers and vendors. It is never permissible to accept a gift in cash or cash equivalent such as stocks or other forms of marketable securities of any amount.
5. Failure to comply with the Code of Ethical Conduct may result in a request, from the Secretary, President or the Board, for the resignation of a Board member.

In general, the use of good judgment based on ethical principles shall guide Board members with respect to lines of acceptable conduct. However, if a situation arises where it is difficult to determine the proper course of conduct, or where questions arise concerning the propriety of certain conduct by an individual or others, the matter should be brought to the attention of SAE. Board members should raise any such concerns with the President & Chair,

Treasurer and/or Secretary. In all questions involving ethics and conduct, the Board shall make relevant determinations, except that any individual whose conduct is at issue shall not participate in such decisions.

A Certification to Policies and Agreement form shall be distributed to the Board for signature and collected annually.

CONFLICT OF INTEREST POLICY**G-4**

The purpose of the Conflict of Interest Policy is to prevent any situation that involves or may involve a conflict between personal interest and the interest of SAE or result in personal financial, professional and/or political gain on the part of a Board member, Officer, or SAE member/volunteer at the expense of SAE, its members, or stakeholders.

As in all other facets of their duties and responsibilities, SAE Board members, Officers, and members/volunteers dealing with customers, suppliers, contractors, competitors or any person doing or seeking to do business with SAE, are to act in the best interest of SAE. Each Board member, Officer, member/volunteer shall make prompt and full disclosure in writing to the Secretary of any potential situation which may involve a conflict of interest.

Board members are to perform their duties in good faith, in a manner they reasonably believe to be in the best interests of SAE and with such care, including reasonable inquiry, skill and diligence, as a person of ordinary prudence would use under similar circumstances.

1. Potential Conflict of Interest

For the purpose of this policy, a potential conflict of interest is one in which a decision of a Board member could affect such person's own personal financial, professional and/or political interests. Accordingly, the Board adopts the following policy:

- 1.1 Board members shall not profit materially in their capacity as Board members from their affiliation with SAE, or favor the interests of others over the interests of SAE or bring their interests into conflict or competition with the interests of SAE. Board members should be aware that conflicts of interest include actual, apparent and potential material conflicts of interest.
- 1.2 Officers of SAE who simultaneously serve as a director, officer, partner, consultant or in any managerial capacity with outside organizations or including other professional membership organizations having objectives similar to SAE must disclose that information in writing to the Secretary.
- 1.3 Annually, each Board member shall file with the Secretary a statement disclosing ownership by self (or family member) of significant interest in any outside enterprise which does or seeks to do business with or is a competitor of SAE. Board members are required to file all material business, financial and organizational interests and affiliations that they or persons close to them have, which could be construed as related to the interests of SAE and might dissuade acting in the best interest of SAE. Disclosure shall also be made if a material conflict of interest arises in the course of the Board member's service to SAE, whether arising out of the member's employment, consulting, investments or any other activity.
- 1.4 Board members, Officers, and SAE members/volunteers shall not serve as a broker, finder, go-between or otherwise for the benefit of a third party in transactions involving or potentially involving SAE or its interests.
- 1.5 Whenever the Board is considering a matter, including a contract or transaction with a SAE member or Board member, that presents an actual or apparent material conflict of interest for a Board member, that member or Board member shall fully disclose the material facts as to his/her interest or relationship in or to such a matter, contract or transaction. The disclosure shall be recorded in the Board minutes. The disinterested Board members shall have the right to excuse such member from participating in the deliberations and/or voting on the matter presenting the conflict.
- 1.6 Whenever any member, as a consequence of Board membership, discovers an opportunity for business advantage that could be relevant to the activities of SAE, the opportunity belongs to SAE and the Board member will present such an opportunity to the Board. Only at such time as the Board, by recorded vote, determines not to pursue the matter and relinquish such an opportunity may the individual consider it a matter of possible material, personal benefit.
- 1.7 Board members shall refrain from accepting gifts, services, discounts, entertainment or considerations of any kind from suppliers and vendors. It is never permissible to accept a gift in cash or cash equivalent such as stocks or other forms of marketable securities of any amount.

A Certification to Policies and Agreement form shall be distributed to the Board for signature and collected annually.

WHISTLEBLOWER POLICY**G-5****Introduction**

The Code of Ethics adopted by SAE International requires all Board members, Officers, SAE member/volunteers, staff, vendors and consultants to observe high-standards in their business and personal conduct. All Board members, Officers, SAE members/volunteers and staff are expected to comply with the Board's Code of Ethical Conduct and applicable laws, and to report violations or suspected violations in accordance with this policy.

Reporting of Concerns or Complaints

Board members, Officers, SAE members/volunteers, and staff are required to communicate suspected violations of the Code of Ethical Conduct, a possible violation or violation of laws, regulations, SAE International's policies, or a wrongdoing or alleged retaliation to the President & Chair of the Board, Treasurer and/or Secretary. Likewise, if a representative of SAE, consultant, customer, or any person who conducts business with SAE International questions the legality of any of SAE's practices or procedures, that person must report suspected violations to the President & Chair of the Board, Treasurer and/or Secretary. Failure to report a violation, a complaint or any articulated concern about a possible violation to SAE International may be subject to disciplinary action for remaining silent.

While the reporter of the violation need not identify himself/herself, for an effective investigation to be conducted the reporter should provide SAE with as much detailed information as possible concerning the alleged violation, including the substance of the incident, where and when the incident occurred, and the names and titles of the individuals involved.

Illustrative Types of Concerns

The following is a non-exhaustive list of the kinds of incidents and improprieties that should be reported:

1. Supplying false or misleading information on SAE's financial, legal or other public documents, including Internal Revenue Form 990.
2. Providing false information to or withholding material information from SAE's Board, auditors, legal counsel or management.
3. Destroying, altering, mutilating, concealing, and covering up, falsifying or making a false entry in any record that may be connected to an official matter or proceeding, in violation of federal or state law, regulations or SAE policies.
4. Altering, destroying, or concealing a document or attempting to do so, with the intent to impair the document's availability for use in an official matter or proceeding or otherwise obstructing, influencing or impeding any official matter or proceeding, in violation of federal or state law, regulations or SAE policies.
5. Embezzlement, self-dealing, private inurement (*i.e.*, SAE earnings inuring to the benefit of a Board member, volunteer, or staff) and private benefit (*i.e.*, assets being used by anyone in the organization for personal gain or benefit).
6. Paying for services or goods that are not rendered or delivered.
7. Using remarks or actions of a sexual nature that are not welcome and are likely to be viewed as personally offensive, including sexual flirtations, unwelcome physical or verbal advances, sexual propositions, verbal abuse of a sexual nature, the display of sexually suggestive objects, cartoons, or pictures, and physical contact of a sexual or particularly personal nature.
8. Using epithets, slurs, negative stereotyping, and/or threatening, intimidating or hostile acts that relate to race, color, religion, gender, sexual orientation, national origin, age, disability or other legally protected status.
9. Circulating or posting written or graphic material that denigrates or shows hostility or aversion toward and individual or group because of race, color, religion, gender, sexual orientation, nationality, age, disability or other legally protected status.
10. Discriminating against an individual due to a person's race, color, religion, gender, sexual orientation, national origin, age, physical or mental impairment, veteran status or other legally-protected status.
11. Violating the Code of Ethical Conduct and/or the Conflict of Interest Policy.
12. Facilitating or concealing any of the above or similar actions.

WHISTLEBLOWER POLICY (CONTINUED)

G-5

Confidentiality

All communications under this policy shall be treated in a confidential manner, except to the extent necessary:

1. To conduct a complete and fair investigation, or
2. For review of SAE operations by the Board, Financial Audit Committee, independent public accountants and/or external legal counsel.

SAE International will promptly and fully investigate all reports. Reporting violations or possible violations should be done in accordance with this Policy.

Retaliation

Negative or adverse action is not to be taken against any Board member, Officer, SAE member/volunteer or staff for making a good-faith report of a possible violation of its Code of Ethical Conduct or applicable laws, even if the report is mistaken, or against the Board, Financial Audit Committee, independent public accountants, and/or legal counsel who assist in the investigation of a reported violation. Retaliation in any form shall not be tolerated. Any act of alleged retaliation should be reported immediately and shall be promptly investigated. A Board member who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including removal from the Board. This policy is intended to encourage and enable individuals to raise serious concerns within SAE prior to seeking resolution outside the organization.

Compliance

Any violation of this policy may result in member disciplinary action up to and including removal from the Board. Any individual having knowledge of any violation of the policy shall promptly report such violation to the President & Chair of the Board, Treasurer and/or Secretary or through the Ethics Action Hot Line.

Administration

A Certification to Policies and Agreement form shall be distributed to the Board for signature and collected annually.

Questions

For questions regarding this policy, please contact the Secretary (Secretary@sae.org).

BOARD COMMITTEES AND SUBTEAMS

G-10

The Board may establish Board Committees and Subteams to assist it in carrying out its responsibilities and duties. Board (or standing) Committees typically are formed to address long-term or continuing needs of the organization. Board Subteams (or ad hoc committees) are typically formed for a limited period of time to address a specific need or issue. Because the Board is ultimately accountable to the members, these groups are not substitutes for the Board.

Board Committees

1. Scope / Authority

- 1.1 The composition, scope, authority and job product(s) of each Board Committee are established by the Board and set forth in a relevant governance policy. All changes to a Board Committee's governance policy must be approved by the Board.
- 1.2 Board Committees are subject to and must adhere to Board policies.
- 1.3 Board Committees may only act for the Board when formally given such authority by the Board for specific and time-limited purposes. Expectations and authority shall be carefully stated in order not to conflict with authority delegated to the Chief Executive Officer.
- 1.4 Each Board Committee may establish its rules for operation. The rules of operation, and any significant changes thereto, shall be communicated to the Board.
- 1.5 Board Committees exist to assist the Board in carrying out its responsibilities and duties, not to advise or assist the Chief Executive Officer.
- 1.6 Board Committees do not have authority over, and shall normally not have direct dealings with, the Chief Executive Officer.
- 1.7 Board Committees should avoid over-identification with organizational units or parts, rather than with the whole organization. Consequently, a Board Committee that has helped the Board create policy on a topic shall not be used to monitor organizational performance on that topic.
- 1.8 Any Board Committee Chair who is not a Board member may attend and participate in Board meetings, but shall not have a vote.

2. Job Products / Deliverables

- 2.1 Policy alternatives, and anticipated implications thereof, for Board consideration and deliberation.
- 2.2 Further job products as set forth in the Board Committee's respective governance policy.

3. Composition

- 3.1 Board and/or non-Board members.
- 3.2 The President, Secretary and Chief Executive Officer of SAE are *ex officio*, non-voting members of all Board Committees and subdivisions thereof, unless otherwise specified in the relevant Governance Policy.
- 3.3 Board Committee Chairs and members, including replacements for committee vacancies, unless otherwise specified, are appointed by the President & Chair and subject to Board approval.
- 3.4 Except for the Executive Nominating Committee, the Board may at any time remove any or all members of any Board Committee.

Board Subteams

1. Scope / Authority

- 1.1 The composition, scope, authority and job products(s) of each Board Subteam shall be established by the Board or the President and set forth in a charter.
- 1.2 Board Subteams are subject to and must adhere to Board policies.

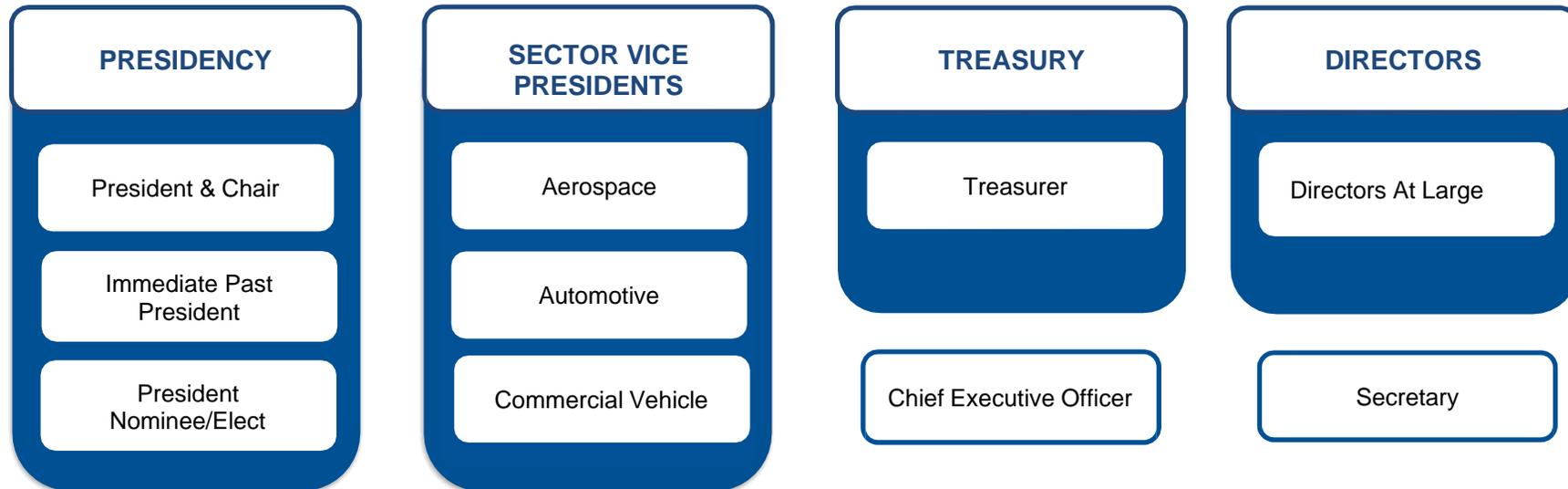
2. Job Products / Deliverables

- 2.1 Policy alternatives, and anticipated implications thereof, for Board consideration and deliberation.
- 2.2 Further job products as set forth in the Board Subteam's charter.

3. Composition

- 3.1 Up-to-ten (10) Board and/or non-Board members.
- 3.2 Chairs may be appointed by the President or the Board.

GOVERNANCE ORGANIZATION CHART



POLICY TYPE GOVERNANCE PROCESS

1.1 Introduction

The purpose of this document is to set forth the organization, objectives, and procedures of the SAE Executive Standards Committee, its Councils, Council Oversight Groups and Technical Committees. The Executive Standards Committee is responsible to and reports directly to the SAE Board of Directors. The SAE Board of Directors' Governance Policy Manual's Relationship Policy for the Executive Standards Committee is available.

The rules set forth in this document are subordinate to the SAE Bylaws and to policies and procedures established by the Board of Directors. Councils under the Executive Standards Committee may maintain additional policy instructions to provide more stringent rules or to address aspects clearly determined to be unique to that council. All suggested changes to this document shall be presented to the SAE Staff Representative of the Executive Standards Committee. These suggestions will be saved and considered during the next major revision.

ROLE OF THE EXECUTIVE STANDARDS COMMITTEE

G-21

Scope / Authority

1. Inform and support cross-sector standards strategy
2. Identify and support synergies between mobility sectors, as informed by SAE’s strategic roadmap
3. Implement best practices (e.g. tools, processes, training)
4. Respond to standards appeals and responses (adjudicating conflicts between Councils)
5. Promote SAE standards program to industry and advocate for resources for SAE standards- related activities

Job Products / Deliverables

1. Establish, monitor and react to program oversight-level metrics
2. Promote the SAE standards program by engaging executives of ESC members’ organizations and other industry, government and research stakeholders
3. Actively recruit new stakeholder participants from mobility and adjacent sectors
4. Report on the health of the standards program and activities of the ESC
5. Identify new technical opportunities to ensure that standards activities are relevant to industry and government needs
6. Provide inputs as requested to Board strategies, policies, and actions as they relate to standards
7. Ensure excellence in standards and standards processes to enable a robust revenue stream

Composition

The Executive Standards Committee (ESC) shall consist of up to sixteen (16) members, seeking balanced representation among the sectors. The voting membership of the ESC shall be the Chair, the Vice Chair, the Council Chairs and Members-at-Large.

Voting Members*	Term/Term Limitations
Chair	One, two-year term; the Member-at-Large selected as Chair shall serve no more than seven (7) consecutive years: three (3) as a Member-at-Large, one (1) as Vice Chair (prior to serving as Chair), and one (1) as Vice Chair (following end of Chair term)
Vice Chair	Two non-consecutive one-year terms, one prior to serving as chair, one immediately following end of chair term
Council Chairs	Coextensive with Council Chair term
Members-at-Large	Up-to-two consecutive, three-year terms; maximum of six-consecutive years
Nonvoting Members	
President	Ex Officio
Board Liaison**	Coextensive with Board of Director term
Secretary	Ex Officio
Chief Executive Officer	Ex Officio
Ground Vehicle Standards Director	Ex Officio
Aerospace Standards Director	Ex Officio

*Appointed by the President and subject to approval by the Board.

** Appointed from the Board of Directors by the Board

POLICY TYPE GOVERNANCE PROCESS

1.2 References

The following documents are incorporated into these procedures by reference and the latest version available shall apply. All referenced documents are available from SAE International.

- SAE International TSB 003, Rules for SAE Use of SI (Metric) Units
- SAE Technical Report Style Manual

POLICY TYPE GOVERNANCE PROCESS

1.3 Role of the Officers**1.3.1 Chairperson of the Executive Standards Committee**

The Chairperson will preside at all Executive Standards Committee meetings for a two-year (2) term.

The ESC Chairperson:

- Provides strategic leadership and vision for the ESC
- Approves agendas and presides over the ESC meetings
- Determines the course of action on any issues raised by Staff or ESC Members between meetings
- Appoints a Vice Chairperson for the Aerospace Council
- Appoints a Membership Chairperson who is responsible for reviewing the ESC Membership to ensure a proper balance of representation and who oversees the nomination of new Members
- Appoints Chairpersons of advisory and task groups as needed
- Approves draft ESC meeting minutes prior to circulation

1.3.2 Vice Chairperson of the Executive Standards Committee

The Vice Chairperson will assume the duties of the Chairperson should the Chair be unable to do so.

1.3.3 Staff Representative

The Staff Representative of the Executive Standards Committee are the Aerospace and Ground Vehicle Standards Directors. They are non-voting members of the ESC, with additional staff support assigned as appropriate.

The Staff Representative shall be responsible for recording and distributing all records of the Executive Standards Committee and such other functions as may be directed by the Executive Standards Committee or its Executive Technical Committee.

The Staff Representative shall have sole authority to release information and publicity with respect to the work of the Executive Standards Committee and its technical committees, unless the Executive Standards Committee specifically directs otherwise.

POLICY TYPE	GOVERNANCE PROCESS
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1.4 [Reserved]

POLICY TYPE	GOVERNANCE PROCESS
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1.5 Awards Committee

At the Executive Standards Committee's first meeting of the calendar year, the Chairperson will ask for three (3) volunteers to serve on the Executive Standards Committee's Awards Committee.

The Awards Committee is responsible for selecting the recipients for the following Executive Standards Committee Awards:

1.5.1 Arch T. Colwell Cooperative Engineering Medal

This award recognizes a unique and outstanding contribution over a period of time to the work of the technical committees under the SAE Executive Standards Committee in developing standards, specifications, technical reports and data through cooperative research. This award was established in 1976. It consists of a medal and a certificate.

The medal was named in honor of Arch T. Colwell, its first recipient and 1941 SAE President. Dr. Colwell symbolized the dedication and devotion of SAE members who work to further the objectives of the SAE Technical Standards Program. The award is intended to stimulate technical committee members to greater accomplishments and the realization of satisfaction that comes from sharing their expertise.

This award, established in 1976, is administered by the SAE Executive Standards Committee. It consists of a medal and a framed certificate and is presented at the awards ceremony during an appropriate SAE event.

1.5.2 SAE/InterRegs Standards & Regulations Award for Young Engineers

This award annually recognizes a practicing engineer under the age of 40 who is involved in standards, regulations or conformity assessment systems, which improved safety or reduced emissions in a ground vehicle mobility product. The nominee is required to author a 2,000-word essay detailing how this was achieved.

The award was established in 2000 by InterRegs and the SAE Foundation as a way to reward participation in standards and regulations by young engineers, and to hopefully encourage increased participation in this area of engineering in the future.

The award consists of an engraved memento and an honorarium presented at the SAE Government/Industry Meeting.

1.5.3 James M. Crawford Executive Standards Committee Outstanding Achievement Award

This award recognizes individuals for outstanding service in the technical committee activities of the Society. This includes valuable contributions to the work of SAE Technical Committees, unusual leadership in the activities of an SAE technical committee, significant contributions as a representative of the Society to the accomplishments of technical committees of other organizations or of government agencies, and outstanding contributions to SAE technical committee work in the form of research, test methods and procedures, and/or development of standards.

POLICY TYPE	GOVERNANCE PROCESS
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1.5 Awards Committee (continued)**1.5.3 James M. Crawford Executive Standards Committee Outstanding Achievement Award (continued)**

This award was established in 1953 and was originally called the Certificate of Appreciation followed by the title of "Outstanding Contribution Award". In 2008, the Technical Standards Board renamed the award title to the "Outstanding Achievement Award" which best reflects the prestige of this Award. In 2013, as a result of an audit, TSB members approved to change the award name to "James M. Crawford Technical Standards Board Outstanding Achievement Award". In 2018, the award was renamed the James M. Crawford Executive Standards Committee Outstanding Achievement Award". Crawford was SAE President in 1945 and established the award. Original Councils review nominations from committees within their Council. Executive Standards Committee Awards Committee provides final oversight to ensure that nominations were made and evaluated according to the award's guidelines.

The award consists of a framed certificate and honorarium.

At the Executive Standards Committee's fall meeting, the Awards Committee reports on the award recipients and their accomplishments.

POLICY TYPE GOVERNANCE PROCESS

1.6 Executive Standards Committee Meetings

Only members of the Executive Standards Committee may attend and vote at Executive Standards Committee meetings. Other persons may attend at the invitation of the Executive Standards Committee Chairperson.

The Chairperson of the Executive Standards Committee shall preside at meetings of the Executive Standards Committee and, if not present, the Vice Chairperson, or a member designated by the Chairperson shall preside.

Agendas and related documents or motions for Board approval shall be provided to Board members ten (10) days prior to the ESC meeting. No action by the Executive Standards Committee shall take place at such meeting on items not on the meeting agenda. Minutes shall be taken of each meeting and shall be made available to members of the Executive Standards Committee no later than twenty-one (21) days following the meeting.

One-half of the members of the Executive Standards Committee shall constitute a quorum. If there is not a quorum, the business of the meeting can be conducted, but the actions taken shall not become Executive Standards Committee actions until approved by ballot of the Executive Standards Committee members.

Action by the Executive Standards Committee shall be by majority vote of those present at which there is a quorum.

Executive Standards Committee voting may be conducted electronically between Executive Standards Committee meetings and requires unanimous consent of all voting ESC members.

- ESC voting that obtains unanimous consent of all voting ESC members shall become effective immediately after the close of voting.
- ESC voting that does not obtain unanimous consent shall require a reconfirmation vote at the ESC's next meeting.

Questions of parliamentary procedure shall be determined by Roberts Rules of Order, latest edition.

POLICY TYPE GOVERNANCE PROCESS

1.7 Technical Report Development Process

SAE technical reports are consensus reports developed in accordance with the following policies and procedures.

1.7.1 Technical Report Initiation

SAE technical reports are prepared by a committee when needed to accomplish a project within its scope. New projects may come from committee members, industry, regulatory agencies, etc. A proposed new technical report shall be approved by the committee prior to initiation of the technical report. This includes report type, scope and rationale for development of the technical report. The committee may delegate the preparation of a draft technical report to one of its subcommittees or task forces, but requires a document sponsor.

1.7.1.1 Selection of Projects

In determining the need for a new technical report, the following should be considered: (a) new technologies being developed; (b) compatibility with new and existing technologies; and (c) foreseeable difficulties concerning adaptability to current technologies. Technical reports attempt to accomplish the following (collectively, the “Technical Report Objectives”):

- Enhance safety
- Create common language
- Facilitate trade through reduced regulations
- Harmonize global markets
- Improve or protect the environment
- Increase productivity of processes
- Permit common interfaces
- Promote uniform testing or performance
- Reduce costs

1.7.1.2 Document Sponsor

Prior to the development of a new technical report, or revision of an existing technical report, the committee chairperson shall appoint a document sponsor to serve as the focal point for all activities associated with document development. These tasks include, but are not limited to:

- Complete New Project Request Form to obtain document number
- Prepare all drafts of the report
- Upload all drafts electronically to SAE Standards Works for ballot
- Ensure that a sufficient number of ballots have been received for consensus
- Review ballot summary
- Attempt to resolve all comments received and disapproval votes from ballots
- Make all changes to the draft necessary to achieve consensus

POLICY TYPE GOVERNANCE PROCESS

1.7 Technical Report Development Process (continued)

1.7.2 Intellectual Property Policy Acceptance

All participants shall familiarize themselves with SAE's Intellectual Property Policies related to Copyrights, Patents and Trademarks which are found in this document. All participants must acknowledge SAE International's IP Policy and the fact that all material, minutes, draft and released technical reports become the copyrighted property of SAE International through one or more means:

- Completion of the SAE Copyright Agreement acknowledging that the technical report is a work made for hire pursuant to the US Copyright Act.
- Signing the committee attendance roster at meetings which contains a copy of the copyright policy acknowledgement statement.
- Acknowledging SAE International's Copyright Policy through selection of the acknowledgement statement option when accessing the SAE Standards Works web pages.
- Following the SAE policies and procedures for disclosure of patented technology as soon as any participant believes that a technical report under development might incorporate essential patented or licensed technology held by such participant, any entity with which the participant is affiliated or any other third party. For purposes of this policy, "essential patented or licensed technology" includes those patents or technology without which it would not be possible on technical (but not commercial) grounds, taking into account normal technical practice and the state of the art generally available at the time of standardization, to make, sell, lease, otherwise dispose of, repair, use or operate equipment or methods which comply with a technical report without infringing intellectual property rights.
- Following the SAE policies and procedures for avoiding, if at all possible, the use of or listing in any technical report any trademarked product or material.

1.7.3 Rapid Response

Councils may utilize a "rapid response" process for the development of technical reports based upon an immediate emergency related to safety or security. The basic requirements for utilizing a rapid response process are outlined in Appendix 4.3 - Rapid Response Process.

1.7.4 Technical Report Balloting

1.7.4.1 Definitions

The SAE Executive Standards Committee provides the following definitions for voting agreement:

- Consensus means existence of a substantial agreement but at least fifty percent (50%) must respond with an approval or disapproval and at least seventy-five percent (75%) of the respondents must approve.
- Full agreement means that dissenting or objecting viewpoints have been considered and resolved to the mutual satisfaction of the members and participants.
- Substantial agreement means much more than simple majority, but not necessarily unanimity.
- Majority means an affirmative or negative vote of at least fifty-one percent (51%) of those voting on an issue.
- Formal Vote means votes related to the approval of technical reports are cast by electronic ballot, or by voice or written ballot at a meeting. Use of SAE Standards Works shall be the preferred method of polling technical committees or Council for a vote on a technical report.

POLICY TYPE GOVERNANCE PROCESS

1.7 Technical Report Development Process (continued)1.7.4 Technical Report Balloting (continued)1.7.4.1 Definitions (continued)

- Resolution/Addressing of Comments means that comments received during balloting shall be dispositioned so that it's clear that the comments were either accepted or rejected, and if rejected that a reason was provided. Every attempt should be made to resolve all comments to the satisfaction of both the technical committee and the commenter, but it is recognized that for any number of reasons, not all comments may be incorporated.

1.7.4.2 Voting Method

The SAE provided online balloting tool in SAE Standards Works shall be used as the preferred method of balloting technical committees or the applicable Council for their vote on a technical report.

1.7.4.3 Types of Responses

The three types of responses to technical report ballots are approve, disapprove, and waive.

1.7.4.3.1 Approve

Approve means that the respondent has reviewed and agreed with the draft technical report content. Technical comments are not to be made with an Approval ballot nor will they be considered. Editorial comments can be made with an Approve response. The document sponsor is encouraged to incorporate or resolve any comments submitted with an Approve response.

1.7.4.3.2 Disapprove

Disapprove means that the respondent has reviewed and disagreed with the draft technical report content. Disapproval ballots may contain editorial and/or technical comments (but not legal comments). Disapproval ballots must include the rationale for the disapproval along with alternative language. A disapproval without accompanying rationale will not be considered.

1.7.4.3.3 Waive

Waive means that the respondent has reviewed the draft technical report and determined that the subject matter is outside of his/her area of expertise, including any and all comments.

POLICY TYPE GOVERNANCE PROCESS

1.7 Technical Report Development Process (continued)

1.7.4 Technical Report Balloting (continued)

1.7.4.4 Levels of Balloting

The two levels of required balloting are:

- Committee Level Ballot (1st level Technical Review) – Approval by the technical committee(s) with ownership of the document. The Committee Members will review SAE technical reports for technical content only. Applicable Council Oversight Groups may receive a simultaneous ballot.
- Council Level Ballot (2nd level Review) – Council Members will review SAE technical reports for adherence to SAE policies, and the overall impact to the community and the public. The Council will also review the technical committee’s record of voting and the consensus obtained from all participants.

Technical report balloting is not conducted at levels below the technical committee.

1.7.4.5 Committee Level Ballot – 1st level

Technical committee members will review SAE technical reports for technical content, adherence to SAE policies, and the overall impact to the community and the public. A draft technical report will be considered approved when all of the following conditions are met:

- 28-day circulation
- Minimum of 50% response from the total Voting Membership
- Minimum of 75% of the 50% response must vote Approve
- Attempt for resolution of comments and disapprovals

1.7.4.5.1 Committee Level Ballot Resolution

An attempt shall be made to resolve all ballot comments and disapprovals before they can move on to the 2nd level of approval.

1.7.4.5.2 Counting Waives in Ballot Tally

The number of waives received on a ballot shall be subtracted from the total Voting Membership when applying the fifty percent (50%) voting response rule to achieve a valid ballot. The total Voting Membership may not be reduced by more than 20%.

Example (50% response required, 75% must be approvals):

- Voting Members on a committee = 26
- Less two (2) waive ballots received = 24
 - 50% of 24 = 12 ballots required
 - 75% of 12 = 9 ballots must be approvals for a valid ballot

POLICY TYPE	GOVERNANCE PROCESS
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1.7 Technical Report Development Process (continued)1.7.4 Technical Report Balloting (continued)1.7.4.5 Committee Level Ballot – 1st level (continued)1.7.4.5.3 Voice Vote at Committee Meetings

Voice votes at technical committee meetings can be taken if the document is submitted electronically to all members at least twenty-eight (28) days prior to the meeting. Proposal for voice votes must be on the agenda so all technical committee members are aware of the proposed action. Voice votes must meet the same response criteria as electronic ballots. The results of the voice votes must be recorded in the meeting minutes. All voting members must have the opportunity to review and vote on any changes made or agreed to at the meeting.

1.7.4.5.4 Committee Ballot Summary

At the close of the 28-day ballot period, the ballot summary is reviewed by the document sponsor.

1.7.4.5.5 Disposition of Committee Comments

All technical comments must be addressed in accordance with the policy listed above. Good faith effort shall be made to obtain the unanimous approval of all voting members of the committee. If unanimous approval on technical issues cannot be obtained in a reasonable time (not to exceed three (3) months) then the committee vote shall proceed on a majority basis. All changes resulting from the disposition of comments must be re-balloted, with the exception of minor editorial errors.

1.7.4.5.6 Approvals with Comments at Committee Level

Minor editorial changes can be made by the document sponsor and may include:

- Instances where there are duplicate words ‘the’
- Instances where words are run together ‘runtogether’
- Instances where there is punctuation missing
- A simple spelling error ‘errar’
- Instances where there is an incorrect address for references
- Instances where an acronym is not spelled out in the first reference to the acronym in the document

All other editorial changes after the committee level ballot will require committee re-ballot (28-day or 14-day affirmation).

POLICY TYPE GOVERNANCE PROCESS

1.7 Technical Report Development Process (continued)1.7.4 Technical Report Balloting (continued)1.7.4.5 Committee Level Ballot – 1st level (continued)1.7.4.5.7 Disapprovals from Committee Voting Members

It is the document sponsor's responsibility to attempt to resolve all technical disapprovals. Resolutions of technical disapprovals must be documented and reported to the Committee by the document sponsor. If a Voting Member changes their response from a disapproval to an approval, they must notify the document sponsor and SAE Staff. If a technical disapproval vote by a member cannot be resolved, it shall be circulated to Council for final review along with the Committee's position. The Committee's position is established by the Chairperson and approved by the Committee.

1.7.4.5.8 Comments from Non-Voting Participants

Liaisons and consultants may comment on ballots; however, they do not have a formal approval/disapproval vote. Comments from non-voting participants must be reviewed and considered.

1.7.4.5.9 14-Day Affirmation Ballot

A 14-day Affirmation ballot provides a means to inform all members of additional changes to a document that has already gone through a 28-day technical committee ballot and been approved. The conditions for a 14-day Affirmation ballot are:

- The document has already gone through the 28-day technical committee Ballot process.
- All technical comments from disapprovals must be discussed and an attempt shall be made for resolution between the document sponsor and the person(s) disapproving the document.
- Technical changes resulting from comment resolution and discussion must be few in number (typically fewer than five changes) and of sufficient clarity.

For this type of ballot:

- Only the changes need to be posted; not the entire document.
- Members are to respond with a disapproval if they have a concern with the proposed changes.
- At the end of the fourteen (14) days, the ballot summary is reviewed by the document sponsor. If no comments are received, the document will proceed to the 2nd level of ballot. If there are comments, these will then need to be reviewed and an attempt shall be made for resolution and/or taken back before the committee.

POLICY TYPE GOVERNANCE PROCESS

1.7 Technical Report Development Process (continued)1.7.4 Technical Report Balloting (continued)1.7.4.5 Committee Level Ballot – 1st level (continued)1.7.4.5.10 Council Oversight Group Ballot

A Council Oversight Group may be balloted on all technical reports developed by all committees under the Council Oversight Group. A Council Oversight Group ballot takes place simultaneously with the committee level ballot. A response from the Oversight Committee Group is not required. Comments from the Council Oversight Group must be reviewed and considered.

1.7.4.5.11 Simultaneous Ballots Between Two or More Committees

Technical reports that are of direct concern to more than one committee can be simultaneously balloted with other technical committees. In the event of a simultaneous ballot, the vote from the sponsoring committee will determine moving the document forward. The response from the secondary committee will be for information only.

1.7.5 Council Level Ballot (2nd level)

Council members will review SAE technical reports for adherence to (i) SAE policies and (ii) Technical Report Objectives as applied to the impacted technical community and the public. The Council will not alter the technical content of a technical report without returning it to the responsible technical committee.

1.7.5.1 Council Level Ballot Resolution

Council ballots must be resolved before the document can move on to publication. Unresolved disapprovals will be handled according to the process outlined in 1.7.5.3 or 1.7.5.4, respectively.

1.7.5.2 Disapprovals at the Council Level

It is the document sponsor's responsibility to attempt to resolve all comments and disapprovals. If a Council Member changes their response from a disapproval to an approval, they must notify the document sponsor and SAE Staff. Minor editorial changes, in accordance with the Executive Standards Committee rules, are permitted without re-ballot to the Committee level and the document can proceed to publication. If in order to resolve the Council disapproval, technical or editorial changes (other than those previously defined) are required, the document sponsor must send the draft technical report back to the Committee for resolution and re-balloting.

POLICY TYPE GOVERNANCE PROCESS

1.7 Technical Report Development Process (continued)1.7.5 Council Level Ballot (2nd level) (continued)1.7.5.3 Unresolved Technical Disapprovals

If the sponsor is unable to resolve a Council disapproval, the Committee may decide to resubmit the technical report to the applicable Council for a second ballot. The second ballot is accompanied by the original Council disapproval along with the Committee's position. Unresolved Technical Disapproval votes by two Council members will be sufficient to preclude publication. In this case, the project will be returned to the committee accompanied by the Council's comments. Disapproval by one Council Member will not preclude publication.

1.7.5.4 Unresolved Non-Technical Disapprovals

If the sponsor is unable to resolve a Council disapproval, the Committee may decide to resubmit the technical report to the applicable Council for a second ballot. The second ballot shall be a 14-day ballot. The second ballot is accompanied by the original Council disapproval along with the Committee's position and, if necessary, a recommendation from SAE International regarding the non-technical aspects of the disapprovals. Unresolved Non-Technical Disapproval votes (votes other than disapproval votes shall be counted as approving votes including abstentions or no replies), by more than two-thirds of Council members will be sufficient to preclude publication. Otherwise, the technical report shall move to publication.

1.7.5.5 Appeals

Any person having a procedural complaint or substantive disapproval or whose dissenting view on a technical report remains unresolved shall have the right to appeal to the technical committee from a subgroup decision or to the Council from a technical committee decision. An appeal shall be in accordance with the ESC Governance Policy. For further information on appeals, refer to Section 1.20 of this document.

1.7.6 Simultaneous Ballots Between Multiple Levels

To expedite the ballot process, the technical report can be circulated to more than one level of the organization at one time. Simultaneous balloting must be pre-approved by the highest level being balloted.

1.7.7 Limited Scope Revision

In order to expedite the revision process so that necessary technical changes in a document can be made efficiently, a limited scope revision may be performed upon Committee approval. A limited-scope revision will result in a new revision letter and/or date for the document. Limited scope revisions will be conducted in accordance with the process outlined in the ESC Governance Policy.

1.7.7.1 Balloting

Limited scope revisions require two levels of balloting (Committee and Council) using the 28-day ballot process outlined in Section 1.9.4 of the ESC Governance Policy and Procedures. In cases where the procurement process is impacted, a simultaneous (committee and Council) 28-day affirmation ballot process may be used with approval from the applicable Council and submittal of a business case. However, all votes and

corresponding comments are confined to the proposed changes indicated on the ballot. For comments outside the scope of the proposed changes, the committee participant may request the committee to begin a full revision of the document.

POLICY TYPE GOVERNANCE PROCESS

1.7 Technical Report Development Process (continued)

1.7.7 Limited Scope Revision (continued)

1.7.7.2 Conditions and Limitations

The following are the conditions and limitations of the limited scope revision process:

- Proposed changes must be of sufficient clarity to communicate directly in a "Change From Change To" fashion and will be limited up to 5 changes.
- The document sponsor must note in the document rationale that the current revision is limited in scope. The changes to the document must also be listed in the rationale.
- All references will be updated in limited scope revisions (does not apply to Limited Scope for Procurement Need).
- Committees will be limited to one limited scope revision per technical report before a full technical revision is required.
- A limited scope revision will reset the five-year (5) review clock.

A chart follows indicating when to use the Limited Scope process.

		Limited Scope	Limited Scope for Procurement Need
Changes to add new requirements to a document		No	No
Changes to update a document		No	No
Changes to expand the scope of a document		No	No
Quick changes required to correct editorial/technical errors		Yes	No
Quick changes required to fulfill procurement need		No	Yes
Changes that do not impact form, fit, function, or interchangeability		Yes	Yes
Requires updates be made to references		Yes	No
28-day ballot process		Yes	No (14-day ballot)
Entire document balloted		No	No
Document gets new revision letter and/or date		Yes	Yes
Resets the five-year (5) review cycle		Yes	Yes

POLICY TYPE GOVERNANCE PROCESS

1.8 Technical Report Status

There are two basic status categories for technical reports – Active and Cancelled. There are additional sub-categories under the Active category documenting the administrative status of the Technical Report which do not impact the usability of the technical report.

The last reported action a committee takes on a document determines its status.

1.8.1 Active

The Active status refers to the latest version of a technical report available to the public for use. There are four types of technical reports which can be considered Active, the first three of which are subject to a five-year (5) review to determine currency.

1.8.1.1 Issued

This is the first time a technical report is published. Release for publication of a new technical report requires Committee and Council level ballots. New technical reports are identifiable by the lack of any revision letter and just the Issued date (no dates pertaining to a revision or reaffirmation).

1.8.1.2 Revised

A Revised status indicates that an Active technical report has been updated or modified and re-published. Revising a technical report requires Committee and Council level ballot. A revised document is indicated by the addition of the revision letter indicator and/or the addition of the Revision date below the original Issued date. It is understood that the later revision supersedes the previous revision.

1.8.1.3 Reaffirmed

A Reaffirmed status is given to technical reports (new or revised) that have been reviewed by the technical committee and deemed to be current with no need for immediate revision. A Reaffirmed document can be revised if technical committee members express a need for revision. After revision, the technical report no longer carries the Reaffirmed status but rather the new revision level and/or date. A Reaffirmation action occurs at the Committee level only (no Council action required). Reaffirmation is indicated by a Reaffirmation date applied to the last active revision level.

POLICY TYPE GOVERNANCE PROCESS

1.8 Technical Report Status (continued)

1.8.1 Active (continued)

1.8.1.4 Stabilized

Stabilized status is given to a technical report that has been frozen at the last active revision level. Stabilized status may be given to a technical report for several different reasons:

1. The technical report covers technology, products, or processes which are mature and not likely to change in the foreseeable future. The technical committee makes a conscious decision not to maintain the document any longer.
2. The technical report covers technology, products, or processes for which a technical committee no longer exists or for which technical expertise no longer resides in the owning committee. Before “stabilizing” the technical report, the owning committee should attempt to find a new home for the document where technical expertise does exist. Failing that, the committee makes a conscious decision not to maintain the document any further.
3. The technical committee can find no users for the technical report. Since it is not possible to determine with great assurance whether a technical report is being used, how often it may be used, or by whom it may be used, stabilization is a way to alert potential users that the owning technical committee will no longer be maintaining the technical report and that users should employ the technical report at their own risk and discretion.
4. The technical committee determines that the using community is moving towards newer technology and would like to alert users that this newer technology exists which may want to be considered for new design. However, because the technical committee has no complete visibility of where and how a technical report is being used, and because a technical report may be necessary to support legacy platforms or design reuse, the technical report should not be cancelled but rather stabilized with a Rationale statement that alerts users to new technology.

Per the ESC Policy Guidelines, when moved to the Stabilized status, technical reports which have been submitted to the ANSI American National Standards process are subject to a ten-year (10) review cycle in accordance with ANSI’s rules for Stabilized technical reports. Stabilized technical reports not designated as American National Standards require no further review. For example, SAE International Standards are considered global standards and therefore are not submitted to ANSI to become American National Standards and therefore once stabilized, require no further review.

POLICY TYPE GOVERNANCE PROCESS

1.8 Technical Report Status (continued)

1.8.1 Active (continued)

1.8.1.4 Stabilized (continued)

A Stabilized technical report may be revised if technical committee members express a need for it. Once revised, the technical report no longer carries the Stabilized status but rather the new revision level and/or date. Stabilization is accomplished by issuing a new revision which contains a Stabilization Notice along with a Rationale statement which may contain any recommendations for use that the technical committee feels are necessary accompanied by the full text of the standard as it appeared at the last active revision level. Stabilization is indicated by a Stabilization date applied to the new Revision level. A Stabilization action requires Committee level ballot only (no Council level action required).

1.8.2 Cancelled

A technical report shall be cancelled when it is deemed to be “not fit for use” due to technical reasons or when its technical requirements are totally superseded by another document. A technical report shall not be cancelled based only on administrative reasons such as no identified users, no committee expertise, newer technology exists, etc. Determination that a document is not fit for use may be made when there is a clear safety issue with continued use, or when there is a government requirement that can only be accommodated by elimination of the document. Cancellation should be rare, and the notice of cancellation should carry a clear Rationale statement and, if at all possible, should direct users to alternative technical reports. A Cancellation action requires Committee and Council level ballot. Cancellation is accomplished by issuing a new revision which contains a Cancellation Notice along with a Rationale statement and any supersession information as the first page of the document. The remaining pages contain the last active revision of the document.

1.8.3 Five-Year (5) Review

Every technical report that has not been stabilized or cancelled requires an action to be taken within five (5) years. The committee can decide to Reaffirm, Revise, Stabilize, or in very rare cases to Cancel the technical report. The committee should commence review of the document early enough to complete action within the five-year (5) period.

1.8.4 Formatting of Technical Report Status Information

All status information shall be recorded with the number of the technical report so that it forms a chronological history of the latest dates for each type of status a document may have gone through and so that the current status is apparent. For examples of how to format New, Revised, Reaffirmed, Stabilized, and Cancelled documents, refer to the SAE technical report Style Manual.

1.8.5 Rationale Statements

All documents shall carry a Rationale statement. New technical reports shall contain Rationale Statements which outline why the technical report was needed. Technical reports which are revised, reaffirmed, stabilized or cancelled should carry a clear rationale statement for what prompted a revision or why the action was taken. The Rationale statement can also carry additional recommendations regarding the use of the technical report.

POLICY TYPE	GOVERNANCE PROCESS
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1.8 **Technical Report Status** (continued)

1.8.6 Notice Pages

All Stabilized or Cancelled documents shall carry a cover Notice Page as the first page of the document. This page is used to clearly indicate the status of the document (stabilized or cancelled), the Rationale for the change in status (e.g., why the technical report is being stabilized or cancelled), and provides a place for any additional guidance for users.

POLICY TYPE	GOVERNANCE PROCESS
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1.9 Classification of Technical Reports**1.9.1 SAE Standards**

These technical reports are a documentation of broadly accepted engineering practices or specifications for a material, product, process, procedure or test method.

1.9.2 SAE Recommended Practices

These technical reports are documentations of practice, procedures and technology that are intended as guides to standard engineering practice. Their content may be of a more general nature, or they may propound data that have not yet gained broad acceptance. The recommended practice should emphasize the capabilities and limitations of the information contained therein. A technical committee preparing such a report may add an introductory note stating.

"This SAE Recommended Practice is intended as a guide toward standard practice and is subject to change to keep pace with experience and technical advances."

1.9.3 SAE Information Reports

These technical reports are compilations of engineering reference data or educational material useful to the technical community.

1.9.4 Digital Annexes

A Digital Annex is a supplement to an already published technical report. It is comprised of technical data in an Electronic Spreadsheet that can be easily searched, sorted, and adapted to other formats.

1.9.5 SAE Material Specifications

These technical reports identify material and process specifications conforming to sound, established engineering and metallurgical practices in sciences.

POLICY TYPE	GOVERNANCE PROCESS
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1.10 Performance Levels

The Executive Standards Committee and Councils are responsible for developing specific policies concerning the advisability of the technical committees developing performance levels for specific procedures or subject areas. Such policies will direct development of performance levels for technical reports involving dimensional requirements or grade, class or type identification and differentiation. When technical reports concern major systems or complete machines or vehicles, the necessity and desirability of developing performance levels are to be directed and accepted by the appropriate Council before development work is commenced by a technical committee.

If a Council concludes that performance levels are appropriate, the rationale used by the technical committee or group in selecting the applicability and limits must be clearly defined for consideration by and submitted for approval by its Council. The technical committee's rationale shall include information giving reasons for identified differences between the submitted technical report and other existing standards or regulations. Levels, which exceed the state-of-the-art, are to be avoided.

POLICY TYPE	GOVERNANCE PROCESS
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1.11 **SAE International's Standards Intellectual Property Policy Including the Treatment of Patents, Copyrights and Trademarks**

Ownership and management of SAE International's Intellectual Property (e.g., technical reports, draft technical reports (Including Standards, Recommended Practices and Information Reports), Software, Training Course Materials, etc., collectively referred to as SAE IP) are vital to the ability of SAE International to fulfill its mission. SAE International owns and maintains the rights to its Intellectual Property. It is the responsibility of the SAE Executive Standards Committee, SAE Staff, members, and others who participate on the technical committees in the creation of SAE IP, to protect these assets and ensure that they are managed in accordance with this Policy.

SCOPE

The SAE Intellectual Property (IP) Rights and Usage Policy is a statement of SAE's policy that covers all aspects of its intellectual property ownership and the ownership of such rights by others. This Policy attempts to set forth SAE's position regarding the use of the IP Rights and the policies regarding such use.

Applicable sections of SAE Bylaws:

Article XI, Section 11.10: SAE Trademark and Logo

NATURE OF IP RIGHTS

The IP Rights of SAE comprise three (3) types of intellectual property: Copyrights, Trademarks and Patents.

1.11.1 Copyrights

Exclusivity of Rights

Copyrights cover all aspects of SAE's business. Publications such as Technical Reports¹.

¹As defined by the SAE Executive Standards Committee, in its *Governance Policy*, Technical Reports are a documentation of broadly accepted engineering practices or specifications for a material, product, process, procedure or test method.

Papers, Magazines, Books, Courseware, Journals, and the like are all protected by Copyright. In addition, software, videos, audio files and the SAE Website also come within the protection accorded by Copyright. In summary, Copyright provides the exclusive right to SAE to reproduce, display and distribute the works it publishes and accords SAE the exclusive right to create derivative works from such copyrighted works. These exclusive rights are a substantial economic asset of the Society and are not to be exploited without the specific consent of SAE. SAE has an extensive program for the licensing, distribution and sale of its Copyrighted works that is administered by the SAE IP Department.

Acquisition of Rights by SAE

As a policy, SAE does not publish works in which it does not own the copyright or hold a license. In most cases, the works that SAE publishes are authored by its members, volunteers, third-party contractors, or staff. Accordingly, it is necessary to obtain copyright ownership by SAE of all works that are to be published and distributed by SAE.

Licensing of SAE's Copyrighted Works

SAE does not permit the use or copying of copyrighted works without a license. A license to use SAE's copyrighted works, including Technical Reports, Magazines, Books, Software and the like can be requested from SAE through its Intellectual Property Department.

POLICY TYPE	GOVERNANCE PROCESS
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1.11 SAE International's Standards Intellectual Property Policy Including the Treatment of Patents, Copyrights and Trademarks (continued)**1.11.2 Trademarks**

The Trade and Service Marks of SAE are valuable assets that distinguish the services and products of SAE. It is important that these Marks be respected and used properly.

Certification and Conformance

Unless a product or service has passed a conformance test, sponsored by SAE, it is inappropriate and improper to use an SAE Mark in connection with such product or service to imply that it has been certified by SAE. Any marketing or advertisement of a product or service claiming conformance to an SAE technical report shall indicate the basis of such conformance and shall not imply that SAE has authorized or approved such claim, unless the conformance testing is part of an SAE conformance program permitting such claims.

Using SAE Marks

When referring to services or products of SAE, the SAE trade and service marks are to be used as an adjective before a generic name of the product or service which is being referenced. If there are questions concerning the use of SAE marks in publication, including the use of marks together with third-party trademarks or tradenames, contact the SAE IP Department.

1.11.2.1 Use of the SAE Trademarks (Words and Logos)

The SAE trademarks should only be used in officially sponsored conferences or events of SAE. Guidelines for the use of SAE trademarks are available from the SAE Marketing Department.

1.11.2.2 Use of SAE Letterhead

Use of SAE Letterhead or SAE trademarks on non-SAE documents is not permitted unless such person has been authorized by the SAE Office of Secretary. SAE-authorized committee or workgroup letterhead is provided to specifically designated personnel for official SAE use only.

1.11.2.3 Using Third-Party Marks

Using the trade or service marks of other organizations in technical reports, publications and technical papers should be avoided where possible. However, if it is important to the substance of the publication to use a third-party trade or service mark, one should adhere to the same standards of use as with an SAE mark; that is, to use it as an adjective in front of the generic name of the product or service. An asterisk (*) must be used with a footnote indicating the ownership of the mark. Technical reports should use the generic description of products in reference to their applicability or suitability for use in conformance to the requirements of the technical report.

POLICY TYPE	GOVERNANCE PROCESS
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1.11 **SAE International's Standards Intellectual Property Policy Including the Treatment of Patents, Copyrights and Trademarks (continued)**

1.11.2 (continued)

1.11.2.4 The SAE Emblem (Membership Pin)

The SAE emblem is a collective mark of SAE used for the sole purpose of indicating membership in SAE. As the owner of the mark, SAE makes it available only to members of SAE for display by them denoting such membership. No other use of such Emblem shall be made even by a member.

1.11.3 Patents

It has been traditionally the position of SAE to avoid the use of patented technology in technical reports where the principal objective is conformance to the technical report as defined by the SAE Executive Standards Committee. However, with the advent of more complex technologies, it is not always possible to provide technical reports that meet today's needs without incorporating technologies that are patented. It has become difficult, if not impossible, to develop technical reports that do not take advantage of or otherwise incorporate the use of products, systems or process that implementation would necessarily infringe a claim of such a patent.

Accordingly, each participant governed by this policy shall use its best efforts during the development of technical reports for which it participates, to disclose to SAE any implicated essential patented technology. In particular, any participant submitting a technical proposal for a technical report shall, on a bona fide basis, draw the attention of SAE to any of that participant's patented technology which might be essential if that technical report is adopted. SAE technical reports may include the known use of such disclosed patent(s), including patent applications, if there is in the opinion of the committee developing the technical report technical justification and provided that SAE has sought assurance from the patent holder that it will license applicants under reasonable terms and conditions for the purpose of implementing the standard. This assurance shall be requested and provided to SAE without coercion and reasonable efforts shall be made to procure such assurances prior to the approval of the standard or reaffirmation when a patent becomes known after the initial approval of the standard. In the event that such assurances have not been obtained within three (3) months of request by SAE, the ballot may proceed to vote in accordance with Section 1.7.5.4 "Unresolved Non-Technical Disapprovals".

The assurance shall be a letter that is in the form of either:

A general disclaimer to the effect that the patentee will not enforce any of its present or future patent(s) whose claims would be necessarily infringed by implementation of the proposed SAE technical report against any person or entity implementing the mandatory provisions of the technical report to effect compliance or;

A statement that a license will be made available to all applicants without compensation or under reasonable rates, with reasonable terms and conditions that are demonstrably free of any unfair discrimination.

For the avoidance of doubt, it shall not be required that SAE or any committee participant have the obligation to perform or engage in any patent review, patent searches or other analyses of related intellectual property rights related to any technical report that are outside of this policy.

POLICY TYPE GOVERNANCE PROCESS

1.12 Notice on All Technical Reports

Every approved technical report shall carry the following statement:

"This report is published by SAE to advance the state of technical and engineering sciences. The use of this Technical Report is entirely voluntary, and its applicability and suitability for any particular use, including any patent infringement arising therefrom, is the sole responsibility of the user."

In the event that any particular patented technology is implicated in a technical report, the Committee may choose to add additional language to the above Notice for clarification to users indicating which patented technology is implicated and where information relating to such patents may be found. An example of this language may be as follows, or similar:

Attention is called to the possibility that implementation of this standard may require use of subject matter covered by patent rights. By publication of this standard, no position is taken by the SAE International with respect to the existence or validity of any patent rights in connection therewith. If a patent holder or patent applicant has filed a statement of assurance via a Letter of Assurance, then the statement is listed on at <https://www.sae.org/standardsdev/patents.htm>. Letters of Assurance may indicate whether the patent holder is willing or unwilling to grant licenses under patent rights without compensation or under reasonable rates, with reasonable terms and conditions that are demonstrably free of any unfair discrimination to applicants desiring to obtain such licenses. Further, essential patent claims may exist for which a Letter of Assurance has not been received. SAE International is not responsible for identifying essential patent claims for which a license may be required, for conducting inquiries into the legal validity or scope of patents claims, or determining whether any licensing terms or conditions provided in connection with submission of a Letter of Assurance, if any, or in any licensing agreements are reasonable or non-discriminatory. **Users of this standard are expressly advised that determination of the validity of any patent rights, and the risk of infringement of such rights, is entirely their own responsibility.**

POLICY TYPE	GOVERNANCE PROCESS
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1.13 Product Reference to Technical Reports

Use of "SAE" together with a technical report number or report identifier or marking on or in reference to a product shall constitute a certification by the person so using the SAE number, identifier or marking that the product to which it is applied or referred conforms in all respects to the specifications or criteria of the report or use of marking.

POLICY TYPE	GOVERNANCE PROCESS
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1.14 Marginal Indicia

A change bar (I) located in the left margin is for the convenience of the user in locating areas where technical revisions, not editorial changes, have been made to the previous issue of this document. An (R) symbol to the left of the document title indicates a complete revision of the document, including technical revisions. Change bars and (R) are not used in original publications, nor in documents that contain editorial changes only.

POLICY TYPE GOVERNANCE PROCESS

1.15 Approval of Technical Reports

Document Sponsor

Prior to the development of or a revision to a technical report, the technical committee chairperson shall appoint a document sponsor to write or revise the technical report. Such document sponsor shall be responsible for preparing all drafts of the Technical Report including the final technical report and shall be charged with making all changes to the draft necessary to accommodate the views of the technical committee to achieve a consensus.

Before commencing the writing of the technical report, document sponsors and participating members of the applicable technical committee shall acknowledge SAE International's Intellectual Property rights in accordance with Section 1.12 of this policy and complete a Copyright Agreement acknowledging that the technical report is a work made for hire pursuant to the U. S. Copyright Act or, if not so defined, transferring the copyright in the technical report to SAE. Alternative electronic methods of acknowledgement of release of copyright (IP) should be considered an acceptable means of compliance.

At any stage in the ballot process, typographical corrections will require approval of the document sponsor. Any additional changes, including incorrect references or mathematical formulas will require the approval of the technical committee.

1.15.1 Ballot Approval by Executive Standards Committee, Its Councils and Their Technical Committees

Where full agreement cannot be achieved, technical reports shall have the approval of at least 75% of the non-waiving respondents who constitute at least one-half of all voting members receiving a ballot.

Example:

Number of members on committee	24
Minimum of 50% must respond	12
Minimum # of approvals (75%) (12*0.75)	9

1.15.2 Definitions

1.15.2.1 Quorum means the minimum number of voting members (50%) required in order for a ballot to be valid.

1.15.2.2 Consensus means existence of a substantial agreement but at least fifty percent (50%) must respond with an approval, disapproval or waive, and at least seventy-five percent (75%) of the non-waive respondents must approve.

1.15.2.3 Full Agreement means that all dissenting or objecting viewpoints have been considered and resolved to the mutual satisfaction of the members and participants.

1.15.2.4 Substantial Agreement means much more than simple majority, but not necessarily unanimity.

1.15.2.5 Majority means an affirmative or negative vote of at least fifty-one percent (51%) of those voting on an issue.

POLICY TYPE GOVERNANCE PROCESS

1.15 Approval of Technical Reports (continued)

1.15.2 Definitions (continued)

1.15.2.6 Formal Vote means votes are cast by ballots, e-mail or written ballot at a meeting. Use of Internet technology shall be the preferred method of polling technical committees, Councils or ESC members for their position on an issue or vote on a technical report.

1.15.2.7 Informal Vote means Voice Vote at a meeting with a quorum present.

1.15.2.7.1 Quorum - One-half of the voting members of the technical committee shall constitute a quorum. If there is not a quorum, the business of the meeting can be conducted, but the actions taken shall not become technical committee action until approved by electronic ballot of the technical committee members.

1.15.2.8 Adoption means a formal process that results in conversion of a non-SAE standard or specification into an SAE technical report.

1.15.3 Balloting Policy

1.15.3.1 Basis for Approval

The Councils are authorized to approve technical reports, except when an appeal is filed as provided in Section 1.24 - Appeals for technical reports. For each technical report, technical committees and Councils shall strive for full agreement among their members and in no case shall a technical report be approved which does not have consensus support. All ballots shall be considered responsive if received by the responsible SAE Staff Representative within stated deadline of there having been sent to the member or participant.

1.15.3.2 Level 1 Technical Review (Approval by the Technical Committee)

Approval by the involved technical committee constitutes a recommendation to the Council to approve the technical report.

1.15.3.3 Voting Procedure, Summary and Reporting

Voting on technical reports shall be conducted by a formal vote (28-day or 14-day) sent to the members and liaison participants. Comments from liaison participants should be considered. Ballots shall be made available to technical committee members. The ballot summary is available for committee members on SAE Standards Works.

1.15.3.4 Review of the Ballot Summary

A summary of the ballot, including all negative votes and comments shall be reviewed by the document sponsor and SAE Staff.

- If the document sponsor is able to resolve the comments and negative votes without making any changes to the document, it can then proceed to the Council level ballot.
- If the resolution to the comments and negative votes require any changes to the document, the document sponsor is required to submit the document for a rebalot of the technical committee. (Full 28-day or 14-day Affirmation)

POLICY TYPE GOVERNANCE PROCESS

1.15 Approval of Technical Reports (continued)

1.15.3 Balloting Policy (continued)

1.15.3.4 Review of the Ballot Summary (continued)

- If the document sponsor is unable to resolve the negative votes, it shall be brought before the technical committee for a resolution.

1.15.3.5 Recommendation to the Council

The document sponsor and staff shall prepare the information for transmittal to the Council. The rationale for any performance requirements shall accompany the ballot as required by Section 1.11 – Performance Levels. All unresolved dissenting views shall accompany the technical report when submitted to the Council. The technical committee's reason(s) for not accepting the dissenting views shall be included with the report to the Council.

1.15.3.6 Level 2 Review (Approval by Council)

A Council will approve/disapprove all technical reports by formal vote or refer the technical report with any unresolved dissenting views to the Executive Standards Committee for action. A summary of the technical committee ballots and actions taken by the technical committee shall be prepared by the SAE Staff Representative and forwarded to the Council members.

Council members will review technical reports for adherence to SAE policies, and the overall impact to the community and the public. The Council will also review the technical committee's record of voting and the consensus obtained from all participants. In some cases, the Council may elect to vote simultaneously with the technical committee. The results of the combined vote will be reported to the technical committee and the Council.

1.15.3.6.1 Option

A Level 2 vote may be taken as an informal vote at a meeting where a quorum is present provided all of the following criteria are met:

- 1.15.3.6.1.1 Consensus on the document exists after Level 1 Technical Review.
- 1.15.3.6.1.2 There are no unresolved negative votes from Level 1 voting results.
- 1.15.3.6.1.3 There are no appeals on file for the document under consideration.
- 1.15.3.6.1.4 There is no request by a Level 2 member that a formal vote is needed.
- 1.15.3.6.1.5 A signed Copyright Transfer form from the document sponsor is on file (or alternative electronic method of acknowledgement of release of copyright (IP) should be considered an acceptable means of compliance).

POLICY TYPE	GOVERNANCE PROCESS
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1.15 Approval of Technical Reports (continued)

1.15.3 Balloting Policy (continued)

1.15.3.6.1 Option (continued)

1.15.3.6.1.6 SAE Staff confirms all of the above items are completed and then forwards the document for publication.

1.15.3.7 Negative Ballots or Comments

It is the document sponsor's responsibility to resolve all negative ballots or negative comments submitted with supporting rationale within the deadline of the circulation of the technical report ballot. Resolutions must be documented and reported to the technical committee and SAE Staff by the document sponsor. If a disapproval cannot be resolved, it shall be circulated to the Council for final review along with the Committee's position. The Committee's position is established by the Chair and approved by the Committee.

1.15.3.8 Changes to Technical Content

Neither the Councils nor the Executive Standards Committee shall alter the technical content of a technical report without reconsideration by the technical committee.

1.15.3.9 Approval by Executive Standards Committee

Technical reports referred to the Executive Standards Committee by a Council or those with unresolved dissenting views shall be approved or disapproved by formal vote. The chairperson of the Executive Standards Committee shall declare the technical report approved only when a consensus exists in the technical committee and Council and no appeal has been taken. An objector with an unresolved dissenting view will be informed in writing that they may file an appeal (Section 1.21 - Appeals for technical reports).

1.15.3.10 Limited Scope Revision

To expedite the revision process so that necessary technical changes in a technical report can be made efficiently, a limited scope revision may be performed. A limited-scope revision will result in a new revision letter and/or date for the Technical Report.

1.15.3.10.1 Balloting

Limited scope revisions require two levels of balloting (Technical committee and Council) using the process outlined in Section 1.16 – Approval of technical reports. However, all votes and corresponding comments are confined to the proposed changes indicated on the ballot. For comments outside the scope of the proposed changes, the technical committee or Council participant may request the committee to begin a full revision of the technical report.

1.15.3.10.2 Conditions and limitations

The following are the conditions and limitations of the limited scope revision process:

POLICY TYPE GOVERNANCE PROCESS

1.15 Approval of Technical Reports (continued)

1.15.3 Balloting Policy (continued)

1.15.3.10 Limited Scope Revision (continued)

1.15.3.10.2 Conditions and limitations (continued)

- 1.15.3.10.2.1 Proposed changes must be of sufficient clarity to communicate directly in a "Change From Change To" fashion.
- 1.15.3.10.2.2 All references will be updated in limited scope revisions.
- 1.15.3.10.2.3 Technical committees will be limited to one limited scope revision before a full technical revision is required.
- 1.15.3.10.2.4 A limited scope revision will reset the five-year (5) review clock.
- 1.15.3.10.2.5 Councils reserve the right to send the technical report back to the technical committee for a full revision.
- 1.15.3.10.2.6 Rationale must state the current revision is limited in scope. The changes to the document must also be listed in the rationale.
- 1.15.3.10.2.7 No more than 5 changes will be permitted.

1.15.3.11 Ballot of Electronic Databases

Electronic Databases that are created as an annex to a technical report will be titled xxxx-Data (ex. J2012-Data or AS3420-Data). These databases will be balloted separately from the corresponding technical report. As the data in the database is approved by the committee prior to being entered into the database, a Data document will only require a 14-day affirmation ballot to the technical committee.

POLICY TYPE GOVERNANCE PROCESS

1.16 General Considerations

Technical reports should be limited to technical and engineering considerations. They are to be written in accordance with SAE Technical Report Style Manual.

POLICY TYPE	GOVERNANCE PROCESS
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1.17 Safety Issues

1.17.1 All relevant/available information concerning accident data or safety implications must be brought to the applicable technical committee's attention as soon as possible. If warranted, a revision should be initiated as quickly as possible. Data which does not indicate a safety issue shall be kept and considered at the next revision or at the five-year (5) review of the document.

1.17.2 When referring to safety considerations in a technical report, the use of the word "safer" is required.

POLICY TYPE	GOVERNANCE PROCESS
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1.18 Public Notice

Whenever a technical committee takes action to initiate, revise, reaffirm, stabilize, or cancel a technical report, notice of such authorization shall be published on SAE Standards Works under Works in Progress.

The technical committee and/or Council may also provide notice to any others it believes may be directly and materially affected by the proposed activity.

POLICY TYPE	GOVERNANCE PROCESS
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1.19 Optional Process for National Adoption of Standards

If a Council chooses to submit a technical report to the American National Standards Institute (ANSI) to be recognized as an American National Standard (ANS), it must follow the latest version of ANSI's Optional Process for National Adoption of Standards.

POLICY TYPE GOVERNANCE PROCESS

1.20 Appeals for Technical Reports

Any person (whether or not a member, participant or observer) having a procedural complaint or substantive disapproval or whose dissenting view on a technical report remains unresolved, shall have the right to appeal to the Executive Standards Committee (after appeals have been made to the technical committee and the Council). An appeal from the action or refusal to act of the Council decision shall follow this process:

1.20.1 Filing the Appeal

An appeal shall be filed in writing with the Secretary of the Executive Standards Committee within ten (10) days from the date of action or refusal to act of the Council. In the case where appellant was not present at the meeting taking such action, or refusing to act, then ten (10) days from the date notice of such action was available to the public or made known to appellant.

1.20.2 Appeals Panel

The Chairperson of the Executive Standards Committee shall appoint an Appeals Panel and with the Executive Standards Committee Vice-Chairperson shall act as the Chairperson and Vice Chairperson, respectively, of such Appeals Panel. The Appeals Panel shall include three (3) additional members selected by the Chairperson from the membership of the Executive Standards Committee. The SAE Director of Standards shall serve as a Secretary to the Appeals Panel. All members of the Appeals Panel will be requested to attend in person.

1.20.3 Support Material

Within thirty (30) days of filing the appeal, the appellant shall file with the Secretary of the Appeals Panel all material supporting the appeal case. Failure to file such items will result in a dismissal of such appeal with prejudice.

1.20.4 Additional Evidence

The Chairperson of the Appeals Panel may invite such other persons to present testimony or evidence, as the Chairperson deems necessary for a fair presentation of the facts. A list of all such persons invited or requested to present evidence in such matter shall be provided to the appellant at least fifteen (15) days prior to the hearing.

1.20.5 Time and Location of the Appeal will be established as follows:

- a. The Chairperson of the Appeals Panel shall set the time and location during the week and the place of the next regularly established Executive Standards Committee meeting, to hear such appeal, provided the notice of appeal was filed more than ninety (90) days prior to such meeting, or
- b. In case such notice of appeal was filed within ninety (90) days or the parties of the appeal request a later date, the hearing shall be held at the next regularly scheduled meeting of the Executive Standards Committee, or
- c. The Chairperson may, at the request of any party to the appeal, schedule such hearing any time or place convenient to the parties and the Appeals Panel.

POLICY TYPE GOVERNANCE PROCESS

1.20 Appeals for Technical Reports (continued)**1.20.6 Appeal Hearing**

An agenda for the appeal hearing will be developed and circulated in advance among the parties attending the hearing.

Example: Appeal hearing agenda guideline.

- i. Opening and introductions
- ii. Review of the process, rules, and expectations for conduct
- iii. Statement and summary of the issue with some background information
- iv. Presentation of the support material by the appellant
- v. Presentation of additional evidence
- vi. Presentation by additional persons
- vii. Deliberation and Vote by the Appeal Panel (Vote is by simple majority)

NOTE: Failure of appellant to appear at such hearing shall constitute a withdrawal of the appeal.

1.20.7 Decision

Within forty-five (45) days of the close of the hearing, the Appeals Panel shall render a decision in writing. The decision, which contains support information, shall be sent to the appellant and any other interested persons appearing at such hearing and the chairperson of any technical committee or Council whose action or refusal to act was the subject of such appeal.

POLICY TYPE GOVERNANCE PROCESS

1.21 Appeals for Non-Procedural Issues

Any SAE technical committee or person (whether or not a member, participant or observer) who has a complaint or concern which cannot or fails to be resolved at the immediate higher level shall have the right to request the Executive Standards Committee for assistance in resolving such a complaint or concern through an Arbitration Process:

1.21.1 Filing Request for Assistance

A request for assistance through the Arbitration Process by Petitioner shall be filed in writing with the Secretary of the Executive Standards Committee within ten (10) days from the last attempt to resolve the issue at the immediate higher level.

1.21.2 Arbitration Board

The Chairperson of the Executive Standards Committee shall appoint an Arbitration Board. The Board shall consist of the Chairperson(s) of the Council(s) related to the request, and not more than four additional members selected from the membership of the Executive Standards Committee, the Councils under the Executive Standards Committee, or Standards Committee Chairs. The Chairperson of the Executive Standards Committee shall become the Chairperson of the Arbitration Board and will only vote should it be necessary to break a tie. The SAE Director of Standards shall serve as a non-voting Secretary to the Arbitration Board.

1.21.3 Arbitration Process

The Chairman of the Arbitration Board shall determine the process for the arbitration hearing including:

- a. Date, time, location
- b. Options to participate electronically
- c. Arbitration Board members
- d. Process of approval of Arbitration Board members
- e. Definition of the Arbitration and Assignment of "Petitioner" and "Respondent" roles
- f. Number of participants each, Petitioner and Respondent, are allowed to include in the hearing process
- g. Length of time for opening, rebuttal, and closing statements and requirements for presentations and submittals

POLICY TYPE GOVERNANCE PROCESS

1.21 Appeals for Non-Procedural Issues (continued)**1.21.4 Arbitration Hearing**

An agenda for the hearing will be developed and circulated in advance among the parties attending the hearing.

Example: Arbitration hearing agenda guideline.

- i. Opening and introductions
- ii. Review of the process, rules, and expectations for conduct
- iii. Statement and summary of the issue with some background information
- iv. Call Petitioner & Respondent
- v. Repeat i. and ii. for participants
- vi. Opening statements by the Petitioner
- vii. Rebuttal statements by the Respondent
- viii. Opening statements by the Respondent
- ix. Rebuttal statements by the Petitioner
- x. Closing statement by the Petitioner
- xi. Closing statement by the Respondent
- xii. Q&A from the Arbitration Panel
- xiii. Deliberation and Vote by the Arbitration Board. Vote is by simple majority.

1.21.5 Decision

Results of the Arbitration Board shall be communicated to all parties in writing within thirty (30) days. (The written decision needs to be coordinated with and agreed to by all members of the panel.) The results of this Arbitration process shall be final and binding.

POLICY TYPE GOVERNANCE PROCESS

1.22 Member Removal Process

- 1.22.1 All persons serving as members of SAE Technical Standards Committees (including but not limited to subcommittees and task forces) are volunteers and have no vested right to serve in their positions. Further, all members of SAE Technical Standards Committees agree and acknowledge that their service on a SAE Technical Standards Committee has no monetary or other value and is not offered in exchange for any right, benefit or consideration.
- 1.22.2 The SAE Technical Standards Committees are not intended to operate in perpetuity, and all persons serving as members of SAE Technical Standards Committees acknowledge that SAE International and its staff shall have the ability to suspend, discontinue or reconstitute a SAE Technical Standards Committee at any time and for any reason.
- 1.22.3 Any Member of a SAE Technical Standards Committee (“Committee Member”) may be removed for cause by a 2/3 majority vote of a quorum of the applicable SAE Technical Standards Committee’s voting members, except that the Committee Member subject to possible removal shall not be eligible to participate in deliberations or vote on his/her removal.
- 1.22.4 Cause for removal shall include, but not be limited to: (1) the Committee Member has been judicially declared of unsound mind; (2) the Committee Member has been convicted of an offense punishable by imprisonment for a term of more than one year; (3) the Committee Member has acted in a manner detrimental to SAE International and its membership; (4) the Committee Member has failed to act in a professional, businesslike manner and to treat other committee members or SAE International and its staff with respect, such behavior to be demonstrated by a violation of the SAE Executive Standards Committee Governance Policy Section 2.5.5, Committee Code of Conduct, during one or more Meetings or by evidence that the Committee Member sought to influence the conduct of the Committee or SAE International by means of threats of physical or legal coercion against the Committee, its Member(s), SAE International or its staff; or (5) the Committee Member’s personal or financial interests are interfering with the performance of his/her responsibilities to the applicable SAE Technical Standards Committee(s).
- 1.22.5 The Chairperson of the applicable SAE Technical Standards Committee or a member of SAE Staff shall have the ability to immediately suspend the membership of a Committee Member pending any vote on removal for cause. The decision to suspend the membership of a SAE Technical Standards Committee Member prior to a vote on removal for cause shall be final and non-appealable. In the event of a membership suspension, the Committee Member subject to possible removal shall be notified of the charges against her/him, in accordance with Section 1.23.6 below, within five (5) calendar days. A suspended Committee Member may not participate in Committee business or affairs pending the results of any vote on removal for cause, including attendance at any Committee meetings.
- 1.22.6 Not less than thirty (30) calendar days prior to any vote on the removal of a Committee Member, the Committee Member subject to possible removal shall be notified in writing by overnight mail of the charges against her/him and be invited to respond to the charges in writing or, alternatively, at a hearing before a quorum of the voting members of the applicable SAE Technical Standards Committee. The Committee Member shall inform the Chairman of the applicable SAE Technical Standards Committee as to whether s/he elects to respond to the charges not less than fifteen (15) calendar days before the scheduled date of the hearing on removal and, if s/he elects to respond, whether it will be in writing or in person.

POLICY TYPE GOVERNANCE PROCESS

1.22 Member Removal Process (continued)

- 1.22.7 The Secretary of SAE International (or his/her designee) may, but shall not be required, to submit a written statement to the applicable SAE Technical Standards Committee setting forth SAE International's opinion, if any, regarding the Committee Member's conduct and its effect on the SAE Technical Standards Committee and/or SAE International itself. The Committee Member subject to possible removal shall receive a copy of any such written statement of opinion. Any written statement by the Secretary of SAE International shall be submitted to the SAE Technical Standards Committee and the Committee Member at least ten (10) calendar days before the scheduled date of the hearing on removal. The Committee Member may respond in writing to the Secretary of SAE International's written statement of opinion on or before the third calendar day before the scheduled date of the hearing on removal.
- 1.22.8 In the event that the Committee Member subject to possible removal has chosen to respond to the charges at a hearing, the Secretary of SAE International may, but shall not be required to, attend such hearing and present SAE International's position orally.
- 1.23.9 Following deliberations, the SAE Technical Standards Committee may vote to impose a lesser sanction on the Committee Member subject to possible removal, including but not limited to suspension of his/her membership for a specified period.
- 1.22.10 The deliberations and removal vote of the SAE Technical Standards Committee shall be confidential. Following the vote, the Chairperson of the SAE Technical Standards Committee or his/her designee shall provide the Committee Member subject to possible removal with the written decision of the SAE Technical Standards Committee. The SAE Technical Standards Committee is not required to write an opinion or provide any explanation or reason for its decision.
- 1.22.11 All removal votes, including those that result in the imposition of sanctions less than removal as described in Section 1.23.9, are final, and may not be appealed or challenged in any forum, except in the limited circumstance described in Section 1.23.12 below. Except as otherwise provided in Section 1.23.12 below, the Committee Member agrees to abide by the determination of the SAE Technical Standards Committee.
- 1.22.12 A Committee Member removed for Cause may appeal a removal decision to the Council to which that SAE Technical Standards Committee reports within ten (10) calendar days of the SAE Technical Standards Committee's written decision on removal. The only grounds for reviewing or vacating a decision to remove a Committee Member for Cause shall be if the Council finds that the SAE Technical Standards Committee failed to follow the procedures set forth in this Section 1.23; the Council shall have no authority to review the substance of the SAE Technical Standards Committee's decision or to overturn the SAE Technical Standards Committee's decision on the merits. All submissions to the Council in accordance with this Section shall be in writing and copies shall be provided simultaneously to the SAE Technical Standards Committee and the Secretary of SAE International. The Committee Member's submission shall set forth the grounds for the Committee Member's claim that the procedures in this Section were not followed. Within ten (10) calendar days thereafter, the SAE Technical Standards Committee shall provide the Council with its written response to the Committee Member's submission. The Council may, but shall not be required to ask any questions or seek any information that it requires in order to conduct its review. Following its review, the Council shall provide the Committee Member, the SAE Technical Standards Committee and the Secretary of SAE International with the Council's decision as to whether the SAE Technical Standards Committee complied with the procedures set forth in this Section. In the event that the Council finds that the procedures have not been followed, the Council shall provide the SAE Technical Standards Committee with the grounds for its decision and instruct the SAE Technical Standards Committee as to how it should proceed.

POLICY TYPE	GOVERNANCE PROCESS
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1.22 Member Removal Process (continued)

- 1.22.13 Any person removed from a SAE Technical Standards Committee for cause shall be permanently ineligible to serve as a member of any SAE Technical Standards Committee.

POLICY TYPE	RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE
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2. Relationships

2.1 Responsibilities and Qualifications of Members of the Executive Standards Committee, Councils, Council Oversight Groups and Technical Committees

In discharging their responsibilities, members of the Executive Standards Committee, Councils, Council Oversight Groups and Technical Committees function as individuals and not as agents or representatives of any organization with which they may be associated. Governmental employees participate in accordance with government regulations. Members are appointed to technical committees on the basis of their individual qualifications which enable them to contribute to the work of the technical committee. Notwithstanding the foregoing, such individuals shall be required to discuss essential patented or licensed technology of their affiliated organization in accordance with Section 1.7.2.

Members of the Executive Standards Committee shall be voting members of SAE. SAE membership is not a prerequisite for membership on Councils or Technical Committees of the Executive Standards Committee.

SAE Executive Standards Committee, Councils, Council Oversight Groups, and Technical Committee members or officers do not represent SAE nor speak on behalf of SAE; only the SAE President or his/her delegate is permitted to do so. SAE Staff will handle all inquiries from the media.

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.2 Councils

The role of the Councils is oversight and management of the SAE Standards program as defined by the ESC. The primary roles of the Council in managing the Standards work of SAE International are as follows:

- Dealing with the standardization impacts of strategic issues confronting their respective industry, responding appropriately to needs for Technical Reports, including Standards, Recommended Practices and Information Reports for reference in regulation, in acquisition, in safety, and many other areas;
- Responsible for management and oversight of the SAE Standards Program improving products, ensuring industry needs are addressed and that the Technical Committees and Council Oversight Groups are being responsive to industry concerns.

2.2.1 Authority to Organize Councils

The Executive Standards Committee may organize or discontinue any Council. The Councils reporting to the Executive Standards Committee are outlined in Appendix 4.5.

2.2.2 Scope/Authority

Each Council shall have the authority to initiate, develop, revise or repeal SAE technical reports within its defined scope/charter of activity. Each Council shall comply with this Governance Policy and shall assure conformance of each SAE technical report to its requirements.

Each Council will function as a strategic planner in the development of technical reports to ensure that long-term needs of their respective industries are met.

The primary responsibilities of the Councils are:

- Manage the overall health and performance of the SAE standards system by providing strategy, policy and guidance for its activities.
- Ensure Council activities are consistent with SAE policy.
- Carry out the aims and objectives of the Executive Standards Committee in a responsive and accountable manner.
- Provide technical advisory assistance to industry.
- Approve or disapprove submitted technical reports based on the adherence to SAE processes and rules of consensus, need, and the effect that the document may have on the public and the industry.
- Approve the establishment of Council Oversight Groups including the appointment of Chairpersons. They may also establish committees if a need is found.
- Provide candidates for the SAE Board of Directors to the Executive Nominating Committee and nominate individuals to receive awards in recognition of exceptional service.

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.2 Councils (continued)

2.2.3 Council Composition

2.2.3.1 Membership and Chairpersons

The Executive Standards Committee shall review and confirm the appointment of the Chairperson of each Council. Members shall meet the qualifications in Section 2.1 – Responsibilities & Qualifications.

Each Council shall have membership of not fewer than seven (7) members or more than thirty-five (35) members.

2.2.3.2 Council Chairperson

The Chairperson serves a two-year (2) term of office, which is renewable two times (not to exceed a total service of six (6) years). The incoming Council Chairperson is nominated by the outgoing Council Chairperson and presented to the Council for concurrence and forwarded to the Executive Standards Committee for approval. The Council Chairperson shall not simultaneously hold a chairperson position for an Oversight Group or technical committee that reports to that respective Council. The Council Chairperson:

- Provides strategic leadership and vision for the Council.
- Approves agendas and presides over Council meetings.
- Determines the course of action on any issues raised by Staff or Council members between meetings.
- Serves as a Member of the Executive Standards Committee and as such is required to be an SAE Voting Member according to the ESC Governance Policy.
- Appoints a Vice Chairperson for the Council, or otherwise ensures that there is a process for succession or for the Chair's duties to be covered should the Chair be unable to fulfill the role.
- Appoints Chairpersons of advisory and task groups as needed.
- Approves draft Council meeting minutes prior to circulation.

2.2.3.3 Vice-Chairperson

A Council Vice-chairperson presides at any Council meeting in the absence of the chairperson.

2.2.3.4 Secretary

The Secretary shall be responsible for the performance of such SAE Staff functions as the Council may direct, shall provide for recording and distribution of the agenda and minutes of all Council and technical committee meetings, and act as the facilitator of the development process.

POLICY TYPE	RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE
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2.2 Councils (continued)2.2.3 Council Composition (continued)2.2.3.5 Members of a Council

Members of a Council shall be appointed for three-year (3) terms.

If a member is unable to complete a term on a Council, the Council Chairperson may appoint a replacement to complete the unexpired term.

2.2.3.5.1 Council Membership Qualities

The desired qualities of a Council Member are:

- Broad understanding of the industry sector(s) served by the council and future industry directions
- Understanding of technical report development (both industry and corporate/organizational)
- Global perspective
- Broad industry contacts and links to other organizations
- Knowledge or experience in SAE and the technical standards development program
- Leadership skills including:
 - ability to achieve consensus
 - team building and facilitation
 - ability to think outside the box
- Willingness and authority to assume responsibility
- Accountability, sponsorship and support from Member's home organization

2.2.3.5.2 Expected Commitment of the Council Members

All members of a Council are expected to:

- Attend Council meetings
- Respond to ballots and other correspondence in a timely manner
- Participate in the Council through active involvement
- Have a computer, an e-mail address and internet access

2.2.3.5.3 Qualification and Condition of Council Members

In discharging their responsibilities, members of the ESC, Councils, Council Oversight Groups and Committees function as individuals and not as agents or representatives of any organization with which they may be associated. Governmental employees participate in accordance with government regulations.

POLICY TYPE	RELATIONSHIPS WITH TECHNICAL REPORT EXECUTIVE TECHNICAL REPORT COMMITTEE
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2.2 Councils (continued)

2.2.4 Council Meetings

There shall be at least two (2) meetings of each Council each year. All meetings will be at the call of the Chairperson and shall be conducted in accordance with this policy document.

2.2.5 Authority to Organize Technical Committees

Each Council may organize technical committees to develop, review, revise, stabilize or cancel technical reports within its defined scope/charter of activity. The Council shall define the scope/charter of each technical committee they organize. A technical committee should be established to initiate the development of a new technical report when no existing technical committee has the required expertise and balance and there is evidence of the need for such a Technical Committee.

2.2.6 Accountability

Each Council is accountable to the SAE Executive Standards Committee, the SAE Board of Directors, and the public at large for the integrity of the standards process and the technical reports that result from that process.

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.3 Council Oversight Groups

Council Oversight Groups may organize technical committees to develop, review, revise, stabilize or cancel technical reports within its defined scope/charter of activity. There are three types of Council Oversight Groups; Systems Groups, Advisory Groups or Steering Committees. Council Oversight Groups may be established between the Council and technical committees as deemed necessary for the management, coordination, communication and oversight of technical committee operations. Councils will account for these oversight bodies (system groups, advisory groups and steering committees). For clarification on the structure, you should contact the SAE International Staff Representative.

2.3.1 Definitions**2.3.1.1 Systems Group**

Systems Groups are established by, and report to, the Council and are responsible for oversight and management of the Standards activities assigned to their technical domains. They do not own documents. They do not perform Level 1 technical balloting.

2.3.1.2 Advisory / Steering Group

Advisory / Steering Groups are established by, and either report directly to the Council or the Systems Group. They are responsible for oversight and management of the Standards activities assigned to their technical domains (Oversight of the steering committees or technical committees). They may develop roadmaps, gap analyses and make recommendations. They do not own documents. They do not perform Level 1 technical balloting.

2.3.1.3 Steering Committee

Steering Committees are established by, and either report directly to the Council or the Advisory Group and are responsible for oversight and management of the Standards activities assigned to their technical domains (Oversight of the technical committees). Acts as an oversight committee to other committees under them that own documents. They may be given the option to provide comments for documents that are out for Level 1 technical ballot with committees they oversee. They may own documents and perform Level 1 technical ballots if there is no committee established at the technical level.

2.3.2 Council Oversight Group Responsibilities

Council Oversight Groups are accountable to their Council and responsible for implementation of Council strategies and programs at the technical committee level. Council Oversight Groups are to provide coordination of technical committee issues and concerns and to communicate these to their Council.

2.3.3 Council Oversight Groups Composition

Council Oversight Groups consist of two or more technical committees with similar or common technologies.

POLICY TYPE	RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE
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2.3 Council Oversight Groups (continued)

2.3.3.1 Council Oversight Groups Officers

Council Oversight Groups Officers include the Council Oversight Group Chairperson and the Chairpersons of the reporting technical committees. Additional members may be approved by the Council Oversight Group Chairperson as deemed necessary.

2.3.3.1.1 Council Oversight Group Chairperson

Council Oversight Group Chairpersons serve a two-year (2) term of office, which is renewable two times (not to exceed six (6) consecutive years). The Oversight Group chairperson shall not simultaneously hold the chairperson position for a Council that the respective Oversight Group reports to or a committee that reports to the respective Oversight Group. Council Oversight Group Chairpersons are responsible for:

- Raising major issues that require Council attention or decision by requesting time on Council agendas for discussion
- Monitoring the health of the technical committees within their Council Oversight Group and reporting to Council
- Coordinating work items/projects between technical committees within the Council Oversight Group, across Council Oversight Groups and with external organizations as applicable
- Meet as needed with Council Oversight Groups members to facilitate coordination of technical committee activities, share best practices, and discuss issues related to the health of technical committees
- Selection of one or more Council Oversight Group Chairpersons to attend, actively participate in, and vote at each Council meeting. All Council Oversight Group members are encouraged to attend and actively participate in Council meetings either as voting members or non-voting Members.

2.3.3.1.2 Council Oversight Group Chairperson Selection Process

Council Oversight Group Chairpersons are appointed by the chartering Council. Council Oversight Group Chairpersons who are completing their term of office will typically provide the Council with a recommendation for a new Council Oversight Group Chairperson based upon their interaction with the various technical committee Chairpersons, members and industry experts. Council Oversight Group Chairpersons serve as the bridge between the Council and the technical committees. Council Oversight Group Chairpersons should retain the desired qualities of the Council members and technical committee members as listed below:

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.3 Council Oversight Groups (continued)2.3.3 Council Oversight Groups Composition (continued)2.3.3.1 Council Oversight Groups Officers (continued)2.3.3.1.2 Council Oversight Group Chairperson Selection Process (continued)

- Significant industry experience and technical expertise
- Knowledge of the technical domains inherent in the Council Oversight Group
- Knowledge of the SAE structure and standards process and the ESC Governance Policy
- Global perspective of the industry
- Demonstrated leadership and communication skills
- Supportive of teaming approaches
- Accountability, sponsorship and support from Council Oversight Group Chairperson's home organization

2.3.3.1.3 Expected Commitment of Council Oversight Group Chairpersons

The primary role of the Council Oversight Group Chairperson is coordination. To fulfill this role, the Council Oversight Group Chairperson may conduct a meeting of their Council Oversight Group on a regular basis or at the discretion of the Council. In order to carry out their work, Council Oversight Groups members are expected to have a computer, and email address and Internet access.

2.3.3.1.4 Qualification and Condition of Council Oversight Group Chairpersons

In discharging their responsibilities, members of the ESC, Councils, Council Oversight Groups, and Committees function as individuals and not as agents or representatives of any organization with which they may be associated. Governmental employees participate in accordance with government regulations.

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.4 Technical Committees

Technical committees are responsible for the preparation, development, maintenance, and promotion of all relevant technical reports within their scope/charter. Technical committees are established and approved by the Councils and/or Council Oversight Groups. Proposals for creating new committees shall include a committee title and proposed scope/charter. This information is submitted to the applicable Council or Council Oversight Group for their review and approval. The committee's function in accordance with SAE and ESC policies and procedures.

2.4.1 Scope/Charter of Technical Committees

Each technical committee shall have a current scope/charter that clearly defines the technology area covered by the committee's activities. The Councils, Council Oversight Group, and SAE International Staff will resolve any overlaps between committee scopes.

2.4.1.1 Scope/Charter

Each technical committee shall have a scope/charter which shall address scope/charter, committee purpose and program of work. Technical committees shall undertake periodic review and updates of their committee charter/scope. All new and revised technical committee scope/charters must be approved by the committee, Council Oversight Group and/or the appropriate Council.

2.4.2 Technical Committee Composition

Technical committees consist of technical experts from government, industry, regulatory agencies and academia.

2.4.2.1 Technical Committee Officers

Each technical committee shall have a Chairperson and may have a Vice-Chairperson and a Secretary.

2.4.2.1.1 Technical Committee Chairperson

Committee Chairpersons serve a two-year (2) term of office, which is renewable two times (not to exceed a total service of six (6) years). Re-nomination of chairpersons who have served the six-year (6) service maximum requires review and approval by the appropriate Council. The Committee Chairperson shall not simultaneously hold a chairperson position for an Oversight Group or Council that the respective committee reports to. Chairperson responsibilities include:

- Plan and conduct meetings in conjunction with SAE International Staff
- Manage and assign projects in order to balance and expedite the committee's work
- Review the membership annually to maintain an active and balanced committee
- Manage the five-year (5) review process

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.4 Technical Committees (continued)2.4.2 Technical Committee Composition (continued)2.4.2.1 Technical Committee Officers (continued)2.4.2.1.1 Technical Committee Chairperson (continued)

- Recommend revisions of committee scope/charter as needed and submit all changes/additions to the Council Oversight Group and/or the appropriate Council for review and approval
- Establish subcommittees or task forces, appoint their chairperson and oversee/monitor their operation
- Ensure the technical committee operates within its defined scope/charter and according to SAE International policies and procedures
- When necessary, select committee members to participate in the PRI Qualified Products Group (QPG) or other similar body associated with the qualification process of their committee's products
- Coordinate with other committees on related projects
- Ensure that a quorum of members is present when a voice vote on committee business is taken during a meeting
- Elevate issues, concerns, problems or opportunities to the appropriate Council Oversight Group and/or Council in a timely manner as needed
- Provide SAE International Staff with timely minutes of each meeting
- Ensure approval of minutes from the previous meeting
- Monitor technical committee ballots
- Actively collect, monitor and utilize ESC and Council approved metrics to continuously improve the health and operation of the technical committee

2.4.2.1.2 Technical Committee Chairperson Selection Process

Technical committee Chairpersons are nominated by the Committee and voted on by the committee membership. The Council and/or Council Oversight Group will be notified by SAE International staff when a new chairperson has been elected. The desired qualities of a technical committee Chairperson are:

- Significant industry experience and technical expertise
- Demonstrated leadership skills
- Commitment to serving
- Responsible and accountable
- High level of integrity
- Strong communication skills
- Willingness to make decisions yet lead through consensus
- Supportive of teaming approaches

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.4 Technical Committees (continued)2.4.2 Technical Committee Composition (continued)2.4.2.1 Technical Committee Officers (continued)2.4.2.1.2 Technical Committee Chairperson Selection Process (continued)

- Global perspective of the industry
- Should have one or more years of active committee participation, such as sponsoring draft technical reports or fulfilling the role of vice-chairperson or secretary
- Knowledge of the SAE International standards development processes

2.4.2.1.3 Technical Committee Vice-Chairperson

The Vice-Chairperson is appointed by the technical committee Chairperson to assist him/her in the management duties of the committee. The Vice-Chairperson is responsible for fulfilling the obligations of the Chairperson in his/her absence.

2.4.2.1.4 Technical Committee Secretary

Appointed by the technical committee Chairperson, the Secretary is responsible for recording all meeting minutes and such other functions as may be directed by the technical committee Chairperson.

2.4.2.1.5 Training

SAE International will provide training materials for both Chairpersons and members that will assist them in fulfilling their roles on the technical committees. These materials may be provided either electronically, in hard copy or as formal training sessions.

2.4.2.2 Technical Committee Participant Classifications

The primary classifications of participants include: Voting Member, Liaison, Consultant, and Mailing List Recipient.

2.4.2.2.1 Voting Member

Voting members are to contribute to the work of the technical committee, vote on all technical report ballots in a timely manner, and maintain active participation on the respective technical committee. Balance among the different interest groups of voting members (user, producer, general interest) shall be maintained in accordance with 2.4.2.4.3.

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.4 Technical Committees (continued)2.4.2 Technical Committee Composition (continued)2.4.2.2 Technical Committee Participant Classifications (continued)2.4.2.2.2 Liaison

Liaisons coordinate with parallel activities occurring in the government, other associations, and related SAE International technical committees and may serve in an advisory capacity on specific projects. Liaisons receive technical report ballots and may provide comments; however, they do not have an approval/disapproval vote. Approval of Liaisons is facilitated internally by SAE International staff (as needed) and submitted to the technical committee chairperson.

2.4.2.2.3 Consultant

Consultants are under contract to SAE International and serve in an advisory capacity on specific projects. Consultants receive technical report ballots and may provide comments; however, they do not have an approval/disapproval vote.

2.4.2.2.4 Mailing List Recipient

Mailing List Recipients receive information on technical committee meetings. They do not receive information related to technical reports or ballots. This classification is for "information only" and does not require active participation.

2.4.2.3 Other Interested Parties

Other interested parties may request the opportunity to review a draft document and comment. They do not have a formal approval/disapproval vote.

2.4.2.4 Qualification and Condition of Voting Membership

Technical committee voting members must be competent and authoritative in the field(s) outlined by the committee scope/charter. In discharging their responsibilities, members of the ESC, Councils, Council Oversight Groups and Committees function as individuals and not as agents or representatives of any organization with which they may be associated. Governmental employees participate in accordance with government regulations. In order to carry out their work, technical committee members are expected to have a computer, an e-mail address and internet access.

2.4.2.4.1 Becoming a Committee Voting Member

Individuals who have interests and expertise in the activities of a committee can request voting membership. Requests should be submitted to the SAE International Staff Representative, who then forwards the requests to the Committee Chairperson for review and consideration (see 2.4.2.4.3). Membership in SAE International is encouraged of all technical committee members but is not a requirement.

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.4 Technical Committees (continued)

2.4.2 Technical Committee Composition (continued)

2.4.2.4 Qualification and Condition of Voting Membership (continued)

2.4.2.4.2 Maintaining Voting Membership

Each Chairperson shall review their Committee Roster at least twice annually for the purpose of retaining only those who actively contribute to the effectiveness of the committee work. Unless specified in the Committee scope/charter, voting members who are absent without alternate representation from three (3) consecutive committee meetings may be dropped from voting membership unless the Chairperson determines that other circumstances warrant retention. Failure to respond to three ballots or as specified within the Committee's charter/guidelines may also be considered cause for revoking voting membership. The chairperson should notify any Voting Member of a change in their Participant classification and direct SAE International Staff to make the appropriate roster change. Liaison participants should also be reviewed and those who are not active or who fail to respond to participation surveys should be removed.

2.4.2.4.3 Technical Committee Voting Membership Balance

To ensure a competent and authoritative stature, the technical committee Chairperson shall continuously aim to achieve an equitable balance of representation by interest. Members on committees shall be classified into one of three classifications based on the organization from which they come, or the industry interest from which they will most draw their technical basis. The goal is that the members from no one classification dominate the others. The three classifications are:

- Producer: A member whose technical views are drawn from an organization that produces or sells materials, products, systems, or services covered in the committee or subcommittee scope/charter
- User: A member whose technical views are drawn from an organization that purchases or uses materials, products systems, or services, other than for household use, covered in the committee or subcommittee scope/charter, provided that the member would not also be classified as a producer as it relates to the work of the committee
- General Interest: A member whose technical views are drawn from an organization that cannot be classified as either a Producer or a User. Examples include members whose technical views are drawn from consumer interest, academic, regulatory, or laboratory communities, or who are individuals whose participation is not being sponsored in any way by any other interest

POLICY TYPE	RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE
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2.4 Technical Committees (continued)**2.4.3 Subordinate Technical Committee Structure**

Working groups such as Technical Sub-Committees and task forces may be organized under a technical committee. The technical committee Chairperson appoints the Chairperson of the subordinate group. The subordinate group Chairpersons recommend members for appointment to the group. The work of all such subordinate groups shall be subject to review and approval by the parent technical committee. An example of technical committee reporting structure is outlined in Appendix 4.6.

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.5 Technical Committee Meetings

Meetings of technical committees shall be conducted in accordance with all applicable SAE International governing policies and procedures. The technical committees shall meet a minimum of two (2) times per year. It is recommended that committees use Roberts Rules of Order to facilitate the conducting of business. All meetings shall be open, but the Chairperson shall have discretion as to the number of non-members who may be permitted to address the committee.

2.5.1 Meeting Logistics

Technical committees work with SAE International Staff to plan future meeting locations and dates in compliance with SAE International policies. All logistics related to the meeting planning, including hotel selection will be conducted by the SAE International Staff. Committee members are not permitted to enter into any type of negotiations with hotels/meeting facilities, nor enter into any legally binding agreements, nor act as agents of SAE International.

2.5.2 Meeting Notice/Announcement

Notices of meetings (including date, time and location) should be issued no later than 8 weeks prior to the date of the meeting. When requested SAE International Staff will send invitations to non-committee personnel (interested parties).

2.5.3 Meeting Agenda

Detailed agendas should be provided to the committee a minimum of 6 weeks prior to the meeting.

2.5.4 Mandatory Topics to be Covered During the Meeting

Topics to be covered at the beginning of each meeting include:

- Self-Introductions
- Disclaimer Announcement – “SAE International technical committee members act as individuals and not as agents or representatives of their employers”
- Disclaimer Announcement – “Audio or video recording of meetings is not permitted”
- Additional Disclaimer Announcements may be required
- Agenda Approval
- Circulation of Attendance Roster which shall include a statement of commitment to the SAE International IP policies
- Approval/confirmation of minutes from the previous meeting

2.5.5 Committee Code of Conduct During the Meeting

Following are general items for committee conduct:

- No Commercialism – Stick to the Technical Issues and never endorse or belittle specific products.
- Only one person speaking at any given time (presenter has the floor).
- Attack the issue, not the person.

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.5 Technical Committee Meetings (continued)**2.5.5 Committee Code of Conduct During the Meeting (continued)**

- Be on time ... returning from breaks/lunch.
- Set all cellular phones on silent mode.
- Respect all ideas and comments.
- No silent skepticism., Be candid.
- Do not dominate discussions.
- Stay focused on the meeting.
- Avoid unauthorized or “private” meetings. Discussions should be open and follow the agenda or other legitimate direction agreed upon by consensus of the committee.
- Never participate in discussions of cost, pricing plans, pricing policies, product usage surveys, marketing plans or any related topics. Be aware of and follow ITAR and EAR rules and regulations governing export control.
- Participate as individuals and not as agents or representatives of any organization.
- Secure staff guidance as well as advice from legal counsel when necessary.
- Strive for an open atmosphere that promotes a free-flowing interchange of technical information.
- Follow the processes, rules, and guidelines of SAE International and the ESC Governance Policy.
- Strive for high-quality technical reports that benefit all stakeholders.

2.5.6 Presentation Guidelines

Following are general items to consider when developing or permitting a presentation to a committee:

- No commercialism.
No discussion of cost, pricing plans, pricing policies, product usage surveys, marketing plans or any related topics.
- Presentations must focus on technical issues (not on marketing aspects of products).
- Presentations should be related to or support the development or maintenance of SAE International technical reports.
- All presentations should be submitted in electronic format to the Chairperson prior to the meeting and a copy provided at that time for inclusion in the minutes. All presentations should be cleared by the presenter for public release and marked as such.

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.5 Technical Committee Meetings (continued)**2.5.7 Preparation of Meeting Minutes**

The minutes of the meeting shall be prepared by the Committee Secretary or an individual designated by the Committee Chairperson. The minutes will be released promptly and shall be subject to confirmation, with corrections if necessary, at the following meeting.

2.5.7.1 Unconfirmed Meeting Minutes

The standard note “Unconfirmed Minutes” will be above the title and date of each set of minutes. The following standard note will be located on the first page of each set of minutes:

“These minutes are for the use of the committee. Unless authorized by SAE International, they should not be published or further circulated. Requests for corrections should be provided to SAE International Staff within three weeks after receipt.”

2.5.7.2 Confirmed Meeting Minutes

After meeting minutes have been distributed to the committee membership, a vote is taken at the next meeting to note any corrections to the Unconfirmed Minutes and declare them Confirmed noting any changes or corrections.

2.5.7.3 Minutes as Business Records

The minutes of the technical committee are considered business records of SAE International and copies are not made available for public release. Copies of minutes will be provided only to: 1) Committee voting members, 2) non-voting participants on the committee roster and 3) the SAE International administrative bodies to which the committee reports. SAE International technical committee minutes are open for public inspection and may be examined during business hours at SAE International’s offices at 400 Commonwealth Drive, Warrendale, PA 15096, USA or other SAE International offices by appointment. Persons examining committee minutes may not make photocopies or scan the documents. Minutes and other Business Records of the technical committees shall not be distributed beyond the committee membership without prior approval from SAE International Staff.

2.5.7.4 Content of Minutes

The committee should elect a secretary to record minutes. Minutes should be in the current SAE International minutes template and contain the following ‘minimum’ information:

- Name of committee
- Date and place of meeting
- Name of Chairperson or Acting Chairperson
- Presence of a quorum of members (the name of the voting members in attendance (first initial and last name)) and those members that are absent.
- Approval of previous meeting minutes (with or without corrections)
- Reports given
- Status of technical report Works in Progress

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.5 Technical Committee Meetings (continued)

2.5.7 Preparation of Meeting Minutes (continued)

2.5.7.4 Content of Minutes (continued)

- Committee Decisions
- Committee Actions
- Adjournment

2.5.7.5 Meeting Minutes Considerations

The following items must be considered when preparing minutes:

- Committee members participate as individuals and should not be affiliated with any company in the minutes. Examples of where it is permissible to use company names include presentations, providing test data, and recognizing company hosts.
- Copyrighted material or trademarks should not be included without written permission from the respective company or trademark/copyright holder.
- Minutes are to be submitted in the current SAE International minutes template in an editable electronic format to the SAE Staff Representative for review and posting on SAE Standards Works.
- Any attachments need to be provided to the SAE International Staff Representative and/or secretary in an electronic format.

2.5.8 Attendance at Meetings

Physical attendance at face to face meetings is the preferred method of attendance and committee participants are encouraged to attend all meetings in person. Committees may determine the level of face to face participation needed to maintain voting status.

2.5.8.1 Virtual Attendance

In order to promote the greatest participation, committees are encouraged to provide the option for those participants unable to attend a meeting in person to participate via electronic means (which shall include both teleconference and internet meeting participation). A participant who is attending a meeting virtually shall be counted towards quorum for any votes or actions taken during the meeting.

2.5.8.2 Alternates

Committee members who are unable to attend a meeting in person and are unable to participate virtually may send an alternate in their place if:

- The participant has notified the committee chair in advance of the meeting, providing all contact information for the alternate
- The participant has pre-briefed the alternate on all topics, documents, and actions planned to be covered during the meeting so that the alternate is prepared to act in the participant's stead

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.5 Technical Committee Meetings (continued)2.5.8 Attendance at Meetings (continued)2.5.8.2 Alternates (continued)

The alternate is only representing the committee member who made the appointment (i.e., a committee member may not ask another committee member to represent both himself/herself and the member unable to attend).

Alternates are counted towards committee quorum and allowed to vote in the original member's place.

2.5.9 Voting at Meetings (other than Technical Report ballots)

Decisions are reached by a majority (at least 51%) of the voting members in attendance, providing a quorum (50%) is present (voting on technical reports is covered elsewhere in these guidelines).

2.5.9.1 Proxy Voting

No granting of Proxies or participation in any committee meeting decisions, actions or votes by proxy is allowed. Members unable to attend in person have the option of attending virtually or sending an alternate. A strict one person – one vote policy shall be followed.

2.5.10 Termination of a Meeting

SAE International Staff or the Chairperson may immediately terminate a technical committee meeting at any time if the discussion or actions violate SAE International policy.

2.5.11 Electronic Communication

All communication between SAE International and technical committees under Councils will be conducted via SAE Standards Works which provides the ability to share files and send e-mail. This includes meeting notices, agendas and minutes.

POLICY TYPE RELATIONSHIPS WITH EXECUTIVE STANDARDS COMMITTEE

2.6 Termination of Technical Committees

A technical committee or Group may be discharged by its Council when the assigned work is completed and responsibility for reviewing its published technical reports is delegated to another technical committee.

POLICY TYPE	LIMITATIONS
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3. Limitations

3.1 Inquiries About Technical Reports

3.1.1 Definitions

Clarifications imply making plain or intelligible what is not immediately obvious or entirely known.

Interpretations imply explaining based on individual belief, judgment, or circumstance.

3.1.1.1 Clarifications of SAE International Standards

Formal requests for clarifications of SAE International standards:

- Should be placed on the committee agenda for consideration at the next meeting
- If by general technical committee consensus it is determined that the technical report requires clarification, the technical committee should initiate a revision of the technical report in accordance with Section 1.17 - Approval of Technical Reports and
- The Requestor should be notified of the decision to revise such technical report

If by general technical committee consensus the technical committee determines that no clarification or further review is required, the Requestor shall be notified of such determination.

Informal requests for clarifications of SAE International standards:

- May be handled directly by the technical committee chairperson or assigned by him/her to a committee member
- SAE International staff should be made aware of such a request
- It must be clear that the response by committee member, chair or any other individual is a personal opinion and not obtained by committee consent. SAE International stationery must not be used for such response

3.1.1.2 Interpretations

No member or participant of an SAE International Technical Committee, Council, the Executive Standards Committee, or SAE International Staff Representative shall make any interpretation of a technical report in the name of SAE International. In no event shall any such interpretation or clarification pursuant to an informal request in Section 3.1.1.1 above be binding upon SAE International or the technical committee responsible for such SAE International Standard.

3.1.2 Services Related to SAE International Technical Standards

While conducting services such as consulting and training, related to SAE International standards, the SAE International technical committee members shall not provide their opinions and/or interpretations of SAE International Standards on behalf of SAE International.

POLICY TYPE	LIMITATIONS
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3.2 Revisions to the ESC Governance Policy

Amendments to these Executive Standards Committee Governance Policies shall be approved by formal vote by not less than sixty-six percent (66%) of the members of the Executive Standards Committee.

POLICY TYPE	LIMITATIONS
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3.3 Test Materials

A particular product or material may be identified by name when it is essential to uniformity in testing. In such cases, an “or equivalent statement” should be added to the company product or material referenced in the document.

POLICY TYPE	LIMITATIONS
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3.4 Records

The records of the Executive Standards Committee, its Councils, Council Oversight Groups and its Technical Committees, shall be maintained for a reasonable time in the offices of SAE International where they will be available for inspection by members of the SAE International and the public, except as the Executive Standards Committee or the SAE International legal counsel (in the case of classified material) directs otherwise. Minutes shall be maintained by SAE International on SAE Standards Works/Forums for a period of not more than five (5) years. All other documents maintained by SAE International on SAE Standards Works/Forums and all SAE International hard copy documents which provide a basis for a technical report shall be discarded at the time of publication of the subject technical report. Refer to Appendix 4.1 - Retention Schedule.

3.4.1 Technical Committee Rosters

Technical committee membership rosters constitute SAE International business records.

3.4.1.1 Current and Non-Published Rosters

Rosters listing technical committee members may only be provided to (a) members of the technical committee, (b) non- voting participants (excluding mailing list), and (c) the SAE International administrative bodies to which the technical committee reports. Rosters may not be provided to any other party except to further SAE International's activities. Note: Rosters of the TSC are internally classified as mailing lists and their release is governed in part by SAE International Standard Operating Procedure Number 801 Rules for the External Release of SAE International Mailing Lists.

3.4.1.2 Communications with Technical Committees or Individual Technical Committee Members

Individuals who wish to communicate with a technical committee may do so only through the SAE International Staff Representative. Such correspondence should be sent to the SAE International Staff Representative who will forward the material to the Chairperson. Contact information for the individual technical committee members may not be released without the permission of that member.

3.4.2 Technical Committee Voting Records including Ballots with Comments

Technical Standards Committee ballots and voting summaries are considered business records of SAE International and copies are not made available for public release. Individual ballots and voting summaries identifying individual technical committee members are not retained.

Refer to Section 1.10 of Appendix 4.4 for Technical Committee Rosters for American National Standards (ANS).

3.4.2.1 Permitted Distribution

During the period in which a document is in the balloting process, ballots and voting summaries may be provided to:

- a. Voting members of the technical committee
- b. Document sponsors
- c. Committee participants (excluding mailing list)

Copies of ballots and voting summaries may not be provided to any other party.

POLICY TYPE	LIMITATIONS
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3.5 **Correspondence**

The Chairperson and SAE International Staff Representative should be copied on technical committee correspondence. Members shall not use stationery with company letterhead or SAE International letterheads.

**OPERATING PROCEDURE
RETENTION, REMOVAL AND DISCARD OF DOCUMENTATION GENERATED DURING THE DEVELOPMENT
OF A TECHNICAL REPORT OR DURING THE CONDUCT OF TECHNICAL COMMITTEE BUSINESS**

1. **Purpose**

To establish a procedure and time frame for the retention, removal, and discard of SAE International Technical Committee, Council Oversight Group and technical report related documents.

2. **Applicability**

This procedure applies to all SAE International staff working with technical committees to develop, revise or reaffirm technical reports.

3. **Policy**

Technical Committee and Technical Report Records are retained in accordance with Executive Standards Committee Governance Policy, Section 3.4 - Section 3.5, Correspondence, which states:

“The records of the Executive Standards Committee, its Councils, Council Oversight Groups and its Technical Committees, shall be maintained for a reasonable time in the offices of the SAE International where they will be available for inspection by members of the SAE International and the public, except as the Executive Standards Committee or the SAE International legal counsel (in the case of classified material) directs otherwise. Minutes shall be maintained by SAE International on SAE Standards Works/Forums for a period of not more than five (5) years. All other documents maintained by SAE International on SAE Standards Works/Forums and all SAE International hard copy documents which provide a basis for a technical report shall be discarded at the time of publication. Documents submitted for adoption as an American National Standard must use the data retention process outlined in ANSI’s Optional Process for National Adoption of Standards.

4. **Document Categories**

4.1 **Ballots:**

The comments returned by the individual technical committee members in response to the circulation of a technical report for a vote.

4.2 **Ballot Summary:**

A record of the votes and comments of the individual technical committee members.

4.3 **Basis Documents:**

All documents provided to SAE International which contain information that the members of the technical committee used to develop, revise, or reaffirm a technical report.

4.4 **Non-Basis Documents:**

All documents which do not contain information from which the technical report was developed.

4.5 **Minutes:**

The formal minutes of technical committee, sub-committee, and task force meetings.

5. **Retention Times**

5.1 **Ballots:**

Discard as soon as the technical report to which the summary relates has been published.

**OPERATING PROCEDURE
RETENTION, REMOVAL AND DISCARD OF DOCUMENTATION GENERATED DURING THE DEVELOPMENT
OF A TECHNICAL REPORT OR DURING THE CONDUCT OF TECHNICAL COMMITTEE BUSINESS**

- 5.2 Ballot Summary:
Discard as soon as the technical report to which the summary relates has been published.
- 5.3 Basis Documents:
Discard at time of publication.
- 5.4 Non-Basis Documents:
Discard upon publication of the meeting minutes.
- 5.5 Minutes:
Discard minutes with a meeting date older than five (5) years.

6. **Procedure**

For each document category there is a single-criteria, which determines if the document should be retained or discarded. If the discard criterion for a document has been satisfied, it **must** be discarded.

6.1 Discard Criteria

- 6.1.1 Ballots:
The technical report has been published.
- 6.1.2 Ballot Summary:
The technical report has been published.
- 6.1.3 Basis Documents:
The technical report has been published.
- 6.1.4 Non-Basis Documents:
Upon publication of the meeting minutes.
- 6.1.5 Minutes:
The minutes have a meeting date older than five (5) years.

7. **Operational Procedure**

- 7.1 Determine the document's category.
- 7.2 Determine if the discard criteria for the document has been satisfied.
- 7.3 If the criteria are satisfied, discard the document.

**OPERATING PROCEDURE
RETENTION, REMOVAL AND DISCARD OF DOCUMENTATION GENERATED DURING THE DEVELOPMENT
OF A TECHNICAL REPORT OR DURING THE CONDUCT OF TECHNICAL COMMITTEE BUSINESS**

8. Comments

Documents should be examined only to the extent necessary to determine their category and whether or not they meet the discard criteria.

- 8.1 Correspondence and other material which might be kept by the individual staff members during the technical report development or review process should be removed once the new, revised or reaffirmed report has been published.
- 8.2 SAE International staff should have technical report related material only if they are currently working with the report.
- 8.3 Do not duplicate files unless it is absolutely necessary.

**OPERATING PROCEDURE
TSB 003 – RULES FOR SAE USE OF SI METRICS**

TSB 003 – Rules for SAE Use of SI Metrics (formerly J916) is available at:

<http://www.sae.org/standardsdev/tsb/tsb003.pdf>

**OPERATING PROCEDURE
RAPID RESPONSE PROCESS**

1. Purpose

To establish a process for the rapid development of SAE International technical reports based upon an immediate emergency related to safety or security. This process is intended to produce a final, published SAE International technical report within thirty (30) days of notice of the need. All times given in the process are suggested “not-to-exceed” maximums. Activities should be completed as rapidly as possible, consistent with good practices.

2. Applicability

This process applies to all Councils that operate under the Executive Standards Committee. Councils may invoke additional requirements so long as they are not in conflict with the process outlined by the Executive Standards Committee.

3. Process

- 3.1 SAE International receives a request for the rapid development of a technical report based upon an emergency situation related to safety or security.
- 3.2 Within one (1) day after receiving the request, SAE International staff will forward it to the appropriate Council for review. The entire Council may wish to review the request or the Council chairperson may appoint a subset of the Council to perform the function.
- 3.3 Within three (3) days after receiving the request, the Council or its appointed subset, will review the request to determine whether it meets the criteria for the rapid response process. They should reflect real emergency situations justifying the need for these extraordinary procedures.
- 3.4 Within five (5) days after receiving the request, a determination is made by the Council or its subset whether the request meets the criteria for Rapid Response. If the request meets the criteria, a Rapid Response Task Group will be created. Each Council member will identify a participant (technical expert) for the newly formed Rapid Response Task Group. If there is an existing SAE International technical committee whose scope or charter addresses the applicable technology, the membership of the technical committee will also be invited to participate in the Rapid Response Task Group. SAE International Staff will make public notice of the project via its normal means of communication. If the Council, or its subset, determine that the request does not meet the criteria for rapid response, then SAE International Staff will notify the requestor.
- 3.5 No later than six (6) days after receiving the request, the Chairperson of the Council will appoint a Chairperson of the Rapid Response Task Group.
- 3.6 Within twenty-five (25) days after receiving the request, the Rapid Response Task Group will convene and develop a draft technical report.

Appendix 4.3 (continued)

**OPERATING PROCEDURE
RAPID RESPONSE PROCESS**

- 3.7 Within twenty-six (26) days after receiving the original request, the draft technical report will be balloted simultaneously to the Rapid Response Task Group and the Council. The ballot period is forty-eight (48) hours. Ballots using the Rapid Response process shall be clearly distinguished from the normal ballot.
 - 3.7.1 No minimum number of responses is required from the Task Group.
 - 3.7.2 The number of Council responses is consistent with Executive Standards Committee's procedures.
 - 3.7.3 Any comments or negative responses at either the Task Group or Council level must be addressed by the Task Group Chair and handled in a manner consistent with Executive Standards Committee's procedures.
- 3.8 Within thirty (30) days after receiving the request, SAE International will publish and release the technical report. Upon publication, the Task Group is disbanded and the future maintenance of the technical report is determined by the Council.

**OPERATING PROCEDURE
OPTIONAL PROCESS FOR NATIONAL ADOPTION OF SAE STANDARDS**

Revised Based on the current edition of ANSI Essential Requirements

Introduction

Any Sector Council or technical committee that chooses to submit a standard for adoption as an American National Standard must use this process. This process is based on the current edition of the *ANSI Essential Requirements: Due Process Requirements for American National Standards*.

1.0 Essential Requirements for Due Process

These requirements apply to activities related to the development of consensus for approval, revision, reaffirmation and withdrawal of American National Standards (ANS).

Due process means that any person (organization, company, government agency, individual, etc.) with a direct and material interest has a right to participate by:

- a. expressing a position and its basis
- b. having that position considered, and
- c. having the right to appeal.

Due process allows for equity and fair play. The following constitute the minimum acceptable due process requirements for the development of consensus.

1.1 Openness

Participation shall be open to all persons who are directly and materially affected by the activity in question. There shall be no undue financial barriers to participation. Voting membership on the consensus body shall not be conditional upon membership in any organization, nor unreasonably restricted on the basis of technical qualifications or other such requirements. Persons who desire to participate may contact SAE at 1.724.776.4841.

1.1.1 Membership Requests

In accordance with clause 3.4 of the current edition of ANSI Essential Requirements, SAE will retain, for one standards cycle, all requests for membership in a consensus body working on documents that are being proposed as American National Standards (ANS). Such records to be retained electronically in SAE's current Standards database and/or in hard copy by the SAE Standards Specialist responsible for the consensus body.

1.2 Lack of Dominance

The standards development process shall not be dominated by any single interest category, individual or organization. Dominance means a position or exercise of dominant authority, leadership or influence by reason of superior leverage, strength, or representation to the exclusion of fair and equitable consideration of other viewpoints.

Appendix 4.4 (continued)

**OPERATING PROCEDURE
OPTIONAL PROCESS FOR NATIONAL ADOPTION OF SAE STANDARDS***Revised Based on the current edition of ANSI Essential Requirements***1.3 Balance**

The standards development process should have a balance of interests. Participants from diverse interest categories shall be sought with the objective of achieving balance. The balance of any consensus body working on documents that are being proposed as American National Standards (ANS) will be reviewed regularly. In any case where the consensus body does not reflect a balance of interest, SAE will provide evidence of outreach targeted at the underrepresented interest categories.

1.4 Coordination and Harmonization

Good faith efforts shall be made to resolve potential conflicts between and among existing American National Standards and candidate American National Standards.

1.5 Notification of Standards Development and Coordination

Notification of standards activity shall be announced in suitable media such as the SAE website, www.sae.org, as appropriate to demonstrate an opportunity for participation by all directly and materially affected persons.

1.6 Consideration of Views and Objections

Prompt consideration shall be given to the written views and objections of all participants, including those commenting on the PINS announcement or public comment listing in *Standards Action*.

1.7 Consensus Vote

Evidence of consensus in accordance with these requirements (Refer to Section 1.16.2.2).

Consensus means existence of a substantial agreement but at least fifty percent (50%) must respond with an approval, disapproval, or waive, and at least seventy-five percent (75%) of the non-waive respondents must approve.

1.8 Appeals for Technical Reports

Any person (whether or not a member, participant or observer) having a procedural complaint or substantive disapproval or whose dissenting view on a technical report remains unresolved, shall have the right to appeal to the Executive Standards Committee (after appeals have been made to the technical committee or the Council). An appeal from the action or refusal to act of the Council or technical committee (consensus body) shall follow this process.

1.8.1 Filing the Appeal

An appeal shall be filed in writing with the Secretary of the Executive Standards Committee within ten (10) days from the date of action or refusal to act of the Council. In the case where appellant was not present at the meeting taking such action, or refusing to act, then ten (10) days from the date notice of such action was available to the public or made known to appellant.

OPERATING PROCEDURE
OPTIONAL PROCESS FOR NATIONAL ADOPTION OF SAE STANDARDS

Revised Based on the current edition of ANSI Essential Requirements

1.8.2 Appeals Panel

The Chairperson of the Executive Standards Committee shall appoint an Appeals Panel and with Executive Standards Committee Vice-Chairperson shall act as the Chairperson and Vice Chairperson, respectively, of such Appeals Panel. The Appeals Panel shall include three (3) additional members selected by the Chairperson from the membership of the Executive Standards Committee. The SAE Director of Standards shall serve as a Secretary to the Appeals Panel. All members of the Appeals Panel will be requested to attend in person.

1.8.3 Support Material

Within thirty (30) days of filing the appeal, the appellant shall file with the Secretary of the Appeals Panel all material supporting the appeal case. Failure to file such items will result in a dismissal of such appeal with prejudice.

1.8.4 Additional Evidence

The Chairperson of the Appeals Panel may invite such other persons to present testimony or evidence, as the Chairperson deems necessary for a fair presentation of the facts. A list of all such persons invited or requested to present evidence in such matter shall be provided to the appellant at least fifteen (15) days prior to the hearing.

1.8.5 Time and Location of the Appeal will be established as follows:

- a. The Chairperson of the Appeals Panel shall set the time and location during the week and the place of the next regularly established Executive Standards Committee meeting, to hear such appeal, provided the notice of appeal was filed more than ninety (90) days prior to such meeting, or
- b. In the case, such notice of appeal was filed within ninety (90) days or the parties of the appeal request a later date, the hearing shall be held at the next regularly scheduled meeting of the Executive Standards Committee, or
- c. The Chairperson may, at the request of any party to the appeal, schedule such hearing any time or place convenient to the parties and the Appeals Panel.

1.8.6 Appeal Hearing

An agenda for the appeal hearing will be developed and circulated in advance among the parties attending the hearing.

Example: Appeal hearing agenda guideline.

- i. Opening and introductions
- ii. Review of the process, rules, and expectations for conduct
- iii. Statement and summary of the issue with some background information
- iv. Presentation of the support material by the appellant
- v. Presentation of additional evidence
- vi. Presentation by additional persons
- vii. Deliberation and Vote by the Appeal Panel (Vote is by simple majority)

NOTE: Failure of appellant to appear at such hearing shall constitute a withdrawal of the appeal.

OPERATING PROCEDURE
OPTIONAL PROCESS FOR NATIONAL ADOPTION OF SAE STANDARDS

Revised Based on the current edition of ANSI Essential Requirements

1.8.7 Decision

Within forty-five (45) days of the close of the hearing, the Appeals Panel shall render a decision in writing. The decision, which contains support information, shall be sent to the appellant and any other interested persons appearing at such hearing and the chairperson of any technical committee or Council whose action or refusal to act was the subject of such appeal.

1.9 **Appeals for Non-Procedural Issues**

Any SAE technical committee or person (whether or not a member, participant or observer) who has a complaint or concern which cannot or fails to be resolved at the immediate higher level shall have the right to request the Executive Standards Committee for assistance in resolving such a complaint or concern through an Arbitration Process:

1.9.1 Filing Request for Assistance

A request for assistance through the Arbitration Process by Petitioner shall be filed in writing with the Secretary of the Executive Standards Committee within ten (10) days from the last attempt to resolve the issue at the immediate higher level.

1.9.2 Arbitration Board

The Chairperson of the Executive Standards Committee shall appoint an Arbitration Board. The Board shall consist of the Chairperson(s) of the Council(s) related to the request, and not more than four additional members selected from the membership of the Executive Standards Committee, the Councils under the Executive Standards Committee, or Standards Committee Chairs. The Chairperson of the Executive Standards Committee shall become the Chairperson of the Arbitration Board and will only vote should it be necessary to break a tie. The SAE Director of Standards shall serve as a non-voting Secretary to the Arbitration Board.

1.9.3 Arbitration Process

The Chairman of the Arbitration Board shall determine the process for the arbitration hearing including:

- a. Date, time, location
- b. Options to participate electronically
- c. Arbitration Board members
- d. Process of approval of Arbitration Board members
- e. Definition of the Arbitration and Assignment of "Petitioner" and "Respondent" roles
- f. Number of participants each, Petitioner and Respondent, are allowed to include in the hearing process
- g. Length of time for opening, rebuttal, and closing statements and requirements for presentations and submittals

**OPERATING PROCEDURE
OPTIONAL PROCESS FOR NATIONAL ADOPTION OF SAE STANDARDS**

Revised Based on the current edition of ANSI Essential Requirements

1.9.4 Arbitration Hearing

An agenda for the hearing will be developed and circulated in advance among the parties attending the hearing.

Example: Arbitration hearing agenda guideline.

- i. Opening and introductions
- ii. Review of the process, rules, and expectations for conduct
- iii. Statement and summary of the issue with some background information
- iv. Call Petitioner & Respondent
- v. Repeat i. and ii. for participants
- vi. Opening statements by the Petitioner
- vii. Rebuttal statements by the Respondent
- viii. Opening statements by the Respondent
- ix. Rebuttal statements by the Petitioner
- x. Closing statement by the Petitioner
- xi. Closing statement by the Respondent
- xii. Q&A from the Arbitration Panel
- xiii. Deliberation and Vote by the Arbitration Board. Vote is by simple majority.

1.9.5 Decision

Results of the Arbitration Board shall be communicated to all parties in writing within thirty (30) days. (The written decision needs to be coordinated with and agreed to by all members of the panel). The results of this Arbitration process shall be final and binding.

1.10 **Openness**

Timely and adequate notice of any action to create, revise, reaffirm or withdraw a standard, and the establishment of a new consensus body shall be provided to all known directly and materially affected interests. Notice should include a clear and meaningful description of the purpose of the proposed activity and shall identify a readily available source for further information. In addition, the name, affiliation and interest category of each member of the consensus body shall be made available to interested parties upon request.

1.11 **Lack of Dominance**

Unless it is claimed in writing (including electronic communications) by a directly and materially affected party that a single interest category, individual or organization dominated the standards development process, no test for dominance is required.

2.0 **Balance and Technical Committee Composition**

The guideline for determining balance is that no single interest category constitutes more than one-third (1/3) of the membership of a consensus body dealing with safety-related standards or no single interest category constitutes a majority of the membership of a consensus body dealing with other than safety-related standards. The consensus body is the technical committee.

Appendix 4.4 (continued)

**OPERATING PROCEDURE
OPTIONAL PROCESS FOR NATIONAL ADOPTION OF SAE STANDARDS***Revised Based on the current edition of ANSI Essential Requirements*

Overall technical committee membership shall attempt to attain an equitable balance of representation by knowledgeable persons at interest so as to provide a competent and authoritative technical committee. In considering the equitable balance of a technical committee, the individual's point of view as a producer, user, consumer or regulator shall be considered.

Annually, all technical committee members will be asked to declare their interest category based upon subject matter addressed by the committee.

In an effort to make this as easy as possible, SAE has chosen to use three (3) categories. The definitions are listed below:

User – A member whose technical views are drawn from an organization that purchases or uses materials, products, systems, or services, other than for household use, covered in the committee or subcommittee scope/charter, provided that the member would not also be classified as a producer as it relates to work of the committee.

Producer – A member whose technical views are drawn from an organization that produces or sells materials, products, systems or services covered in the committee or subcommittee scope/charter.

General Interest – A member whose technical views are drawn from an organization that cannot be classified as either a Producer or a User. Examples include members whose technical views are drawn from consumer interest, academic, regulatory or laboratory communities, or who are individuals whose participation is not being sponsored in any way by any other interest.

**Consultant category based on dominant interest of work.*

2.1 Coordination and Harmonization

Good faith efforts shall be made to resolve potential conflicts between and among existing American National Standards and candidate American National Standards.

2.1.1 Definition of Conflict

Conflict within the ANS process refers to a situation where, viewed from the perspective of a future implementer, the terms of one standard are inconsistent or incompatible with the terms of the other standard such that implementation of one standard under terms allowable under that standard would preclude proper implementation of the other standard in accordance with its terms.

2.1.2 Coordination/Harmonization

ANSI-Accredited Standards Developers shall make a good-faith effort to resolve potential conflicts and to coordinate standardization activities intended to result in harmonized American National Standards. A "good faith" effort shall require substantial, thorough and comprehensive efforts to harmonize a candidate ANS and existing ANSs. Such efforts shall include, at minimum, compliance with all relevant sections of these procedures. Developers shall retain evidence of such efforts in order to demonstrate compliance with this requirement to the satisfaction of the appropriate ANSI body.

**OPERATING PROCEDURE
OPTIONAL PROCESS FOR NATIONAL ADOPTION OF SAE STANDARDS**

Revised Based on the current edition of ANSI Essential Requirements

2.2 Notification of Standards Development and Coordination

Notification of standards activity shall be announced in suitable media such as the SAE website, www.sae.org, to demonstrate the opportunity for participation by all directly and materially affected persons. At the initiation of a project to develop or revise an American National Standard, notification shall be transmitted to ANSI using the Project Initiation Notification System (PINS) form, or its equivalent, for listing in *Standards Action*. A statement shall be submitted and published as part of the PINS announcement that should include:

- a. an explanation of the need for the project, including, if it is the case, a statement of intent to submit the standard for consideration as an ISO or ISO/IEC JTC-1 standard; and
- b. identification of the stakeholders (e.g., telecom, consumer, medical, environmental, etc.) likely to be directly impacted by the standard.

Developers are encouraged to consult any relevant international or regional guides that may impact the proposed standard. If the response to sub-section (b) changes substantively as the standard is developed, a revised PINS shall be submitted and published. A PINS form may be submitted, but is not required, at the initiation of a project to reaffirm or withdraw an American National Standard. Comments received in connection with a PINS announcement shall be handled in accordance with these procedures.

A PINS is not required for revisions of an American National Standard that is maintained under continuous maintenance and (1) is registered as such on the ANSI website, (2) has a notice in the standard that the standard is always open for comment and how to submit comments, and (3) has information on the developer's website that the standard is under continuous maintenance and how to submit comments. A PINS is also not required in connection with the decision to maintain an ANS under the stabilized maintenance option.

If a developer receives written comments within thirty (30) days from the publication date of a PINS announcement in *Standards Action*, and said comments assert that a proposed standard duplicates or conflicts with an existing American National Standard (ANS) or a candidate ANS that has been announced previously in *Standards Action*, a mandatory deliberation of representatives from the relevant stakeholder groups shall be held within ninety (90) days from the comment deadline. Such a deliberation shall be organized by the developer and the commenter and shall be concluded before the developer may submit a draft standard for public review. If the deliberation does not take place within the ninety (90) day period and the developer can demonstrate that it has made a good faith effort to schedule and otherwise organize it, then the developer will be excused from compliance with this requirement. The purpose of the deliberation is to provide the relevant stakeholders with an opportunity to discuss whether there is a compelling need for the proposed standards project. The outcome of such a deliberation shall be conveyed in writing by the developer and commenter (ideally as a joint submission) to the ANSI Board of Standards Review (BSR) for consideration should the developer ultimately submit the related candidate standard to ANSI for approval. In the case of ANSI Audited Designators, the Audited Designator shall review the results of the deliberation prior to designating a standard as an ANS. While the outcome is not binding, participants are encouraged to develop a consensus on whether and how the standards development project should proceed.

**OPERATING PROCEDURE
OPTIONAL PROCESS FOR NATIONAL ADOPTION OF SAE STANDARDS**

Revised Based on the current edition of ANSI Essential Requirements

In addition, proposals for new American National Standards and proposals to revise, reaffirm or withdraw approval of existing American National Standards shall be transmitted to ANSI using the BSR-8 form, or its equivalent, for listing in *Standards Action* in order to provide an opportunity for public comment. The comment period shall be one of the following:

- A minimum of thirty (30) days if the full text of the revision(s) can be published in the *Standards Action*;
- A minimum of forty-five (45) days if the document is available in an electronic format, deliverable within one (1) day of a request, and the source (e.g., URL or an E-mail address) from which it can be obtained by the public is provided to ANSI for announcement in *Standards Action*; or
- A minimum of sixty (60) days, if neither of the aforementioned options is applicable.

Such listing may be requested at any stage in the development of the proposal, at the option of the SAE, and may be concurrent with final balloting. However, any substantive change subsequently made in a proposed American National Standard requires listing of the change in *Standards Action*.

2.3 Consideration of Views and Objections

Prompt consideration shall be given to the written views and objections of all participants, including those commenting on the PINS announcement or public comment listing in *Standards Action*.

In connection with an objection articulated during a public comment period, or submitted with a vote, an effort to resolve all expressed objections accompanied by comments related to the proposal under consideration shall be made, and each such objector shall be advised in writing (including electronic communications) of the disposition of the objection and the reasons therefore. If resolution is not achieved, each such objector shall be informed in writing that an appeals process exists within procedures used by SAE. In addition, except in the case of Audited Designators, each objection resulting from public review or submitted by a member of the consensus body, and which is not resolved (see definition¹) must be reported to the ANSI BSR.

¹The approved definition follows: “A negative vote cast by a member of the consensus body or a comment submitted as a result of public review where the negative voter agrees to change his/her vote, or the negative commenter accepts the proposed resolution of his/her comment.”

When this process is completed, SAE may consider any comments received subsequent to the closing of the public review and comment period, or shall consider them in the same manner as a new proposal. Timely comments that are not related to the proposal under consideration shall be documented and considered in the same manner as submittal of a new proposal. The submitter of the comments shall be so notified.

Each unresolved objection and attempt at resolution, any substantive change made in a proposed American National Standard shall be reported to the consensus body in order to afford all members of the consensus body an opportunity to respond, reaffirm or change their vote.

All ballots, including recirculation ballots, shall be a minimum of fourteen (14) days and a maximum of twenty-eight (28) days.

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2.4 Evidence of Consensus and Consensus Body Vote

Evidence of consensus in accordance with these procedures and the accredited procedures of SAE shall be documented.

Consensus is demonstrated, in part, by a vote of the consensus body. Such a vote shall be conducted and reported in accordance with the rules set forth herein. Votes for the approval of a document or portion thereof as a candidate ANS may be obtained by letter, fax, recorded votes at a meeting or electronic means. All members of the consensus body shall have the opportunity to vote. When recorded votes are taken at meetings, members who are absent shall be given the opportunity to vote before or after the meeting.

Consensus means existence of a substantial agreement but at least fifty percent (50%) must respond with an approval, disapproval or waive, and at least seventy-five percent (75%) of the non-waive respondents must approve.

- 2.4.1 SAE shall not change a vote unless instructed to do so by the voter. If the change of vote was not submitted in writing by the voter, then written confirmation of such a vote change shall be provided to the voter by the developer. It is never appropriate for SAE to inform voters that if they are not heard from, their negative vote will be considered withdrawn and their vote will be recorded as an abstention or an affirmative. All negative votes that are not changed at the request of the voter shall be recorded and reported to the BSR as outstanding negatives by SAE.
- 2.4.2 SAE shall record and consider all negative votes accompanied by any comments that are related to the proposal under consideration. This includes negative votes accompanied by comments concerning potential conflict or duplication of the draft standard with an existing American National Standard and negative votes accompanied by comments of a procedural or philosophical nature. These types of comments shall not be dismissed due to the fact that they do not necessarily provide alternative language or a specific remedy to the negative vote.
- 2.4.3 SAE is not required to consider negative votes accompanied by comments not related to the proposal under consideration, or negative votes without comments. SAE shall indicate conspicuously on the ballot that negative votes must be accompanied by comments related to the proposal and that votes unaccompanied by such comments will be recorded as “negative without comments” without further notice to the voter. If comments not related to the proposal are submitted with a negative vote, the comments shall be documented and considered in the same manner as submittal of a new proposal. If a negative vote unaccompanied by comments related to the proposal is received, the vote may be counted as a “negative without comment” for the purposes of establishing a quorum and reporting to ANSI. SAE is not required to conduct a recirculation ballot of the negative vote. SAE is required to report the “no” vote as a “negative without comment” when making their final submittal to the BSR.
- 2.4.4 SAE shall maintain records of evidence regarding any change of an original vote.

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- 2.4.5 Except in regard to votes on membership and officer-related issues, each member of a consensus body should vote one of the following positions (or the equivalent):
- a. Approval
 - b. Disapproval, with reasons (the reasons for a negative vote must be given and if possible should include specific wording or actions that would resolve the objection)
 - c. Abstain/Waive

- 2.4.6 For votes on membership and officer-related issues, the affirmative/negative /abstain method of voting shall be followed. Votes with regard to these issues need not be accompanied by reasons and need not be resolved or circulated to the consensus body.

2.5 **ANSI Patent Policy - Inclusion of Patents in American National Standards**

There is no objection in principle to drafting an American National Standard (ANS) in terms that include the use of an essential patent claim (one whose use would be required for compliance with that standard) if it is considered that technical reasons justify this approach. Participants in the ASD/ANSI standards development process are encouraged to bring patents with claims believed to be essential to the attention of SAE. If SAE receives a notice that a proposed ANS or an approved ANS may require the use of such a patent claim, the procedures in this clause shall be followed.

2.5.1 Statement from patent holder

SAE shall receive from the patent holder or a party authorized to make assurances on its behalf, in written or electronic form, either:

- a) assurance in the form of a general disclaimer to the effect that such party does not hold and does not currently intend holding any essential patent claim(s); or
- b) assurance that a license to such essential patent claim(s) will be made available to applicants desiring to utilize the license for the purpose of implementing the standard either:
 - i) under reasonable terms and conditions that are demonstrably free of any unfair discrimination; or
 - ii) without compensation and under reasonable terms and conditions that are demonstrably free of any unfair discrimination.

Such assurance shall indicate that the patent holder (or third party authorized to make assurances on its behalf) will include in any documents transferring ownership of patents subject to the assurance, provisions sufficient to ensure that the commitments in the assurance are binding on the transferee, and that the transferee will similarly include appropriate provisions in the event of future transfers with the goal of binding each successor-in-interest.

The assurance shall also indicate that it is intended to be binding on successors-in-interest regardless of whether such provisions are included in the relevant transfer documents.

2.5.2 Record of statement

A record of the patent holder's statement shall be retained in the files of both SAE and ANSI.

2.5.3 Notice

When SAE receives from a patent holder the assurance set forth in 2.5.1.b above, the standard shall include a note substantially as follows: NOTE – The user’s attention is called to the possibility that compliance with this standard may require use of an invention covered by patent rights. By publication of this standard, no position is taken with respect to the validity of any such claim(s) or of any patent rights in connection therewith. If a patent holder has filed a statement of willingness to grant a license under these rights on reasonable and nondiscriminatory terms and conditions to applicants desiring to obtain such a license, then details may be obtained from the standards developer.

2.5.4 Responsibility for identifying patents

Neither SAE nor ANSI is responsible for identifying patents for which a license may be required by an American National Standard or for conducting inquiries into the legal validity or scope of those patents that are brought to their attention.

2.6 **Commercial Terms and Conditions**

Provisions involving business relations between buyer and seller such as guarantees, warranties, and other commercial terms and conditions shall not be included in an American National Standard. The appearance that a standard endorses any particular products, services or companies must be avoided. Therefore, it generally is not acceptable to include manufacturer lists, service provider lists or similar material in the text of a standard or in an annex (or the equivalent). Where a sole source exists for essential equipment, materials or services necessary to comply with or to determine compliance with the standard, it is permissible to supply the name and address of the source in a footnote or informative annex as long as the words “or the equivalent” are added to the reference. In connection with standards that relate to the determination of whether products or services conform to one or more standards, the process or criteria for determining conformity can be standardized as long as the description of the process or criteria is limited to technical and engineering concerns and does not include what would otherwise be a commercial term or proper name.

2.7 **Antitrust Policy**

American National Standards shall be developed in accordance with applicable antitrust and competition laws and meetings amongst competitors to develop American National Standards are to be conducted in accordance with these laws.

2.8 **Evidence of Compliance**

SAE shall retain records to demonstrate compliance with all aspects of ANSI’s and SAE’s accredited procedures. Such records shall be available for audit as directed by the ANSI Executive Standards Council (ExSC).

Records concerning new, revised, or reaffirmed American National Standards maintained under the periodic maintenance option shall be retained for one complete standards cycle, or until the standard is revised.

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Records concerning actions on American National Standards, or a part(s) of an American National Standard, maintained under the continuous maintenance option shall be retained for a minimum of five (5) years or until approval of the subsequent revision or reaffirmation of the complete standard.

Records concerning American National Standards maintained under the stabilized maintenance option shall be retained until the standard is reaffirmed, revised, or subsequently reviewed in connection with the stabilized maintenance of the standard as an ANS.

Records concerning withdrawals of all American National Standards shall be retained for at least five (5) years from the date of withdrawal.

2.9 **Inquiries About Technical Reports**

2.9.1 Definitions

Clarifications imply making plain or intelligible what is not immediately obvious or entirely known.

Interpretations imply explaining based on individual belief, judgment, or circumstance.

2.9.1.1 Clarifications of SAE Standards

Formal requests for clarifications of SAE standards:

- should be placed on the committee agenda for consideration at the next meeting. If by general technical committee consensus the technical committee determines that the technical report requires clarification the
- technical committee should initiate a revision of the technical report in accordance with Section 1.16 - Approval of Technical Reports and
- the Requestor should be notified of the decision to revise such technical report.

If by general technical committee consensus the technical committee determines that no clarification or further review is required, the Requestor shall be notified of such determination.

Informal requests for clarifications of SAE standards:

- May be handled directly by committee chairmen or assigned by him/her to a committee member.
- SAE Staff should be made aware of such a request.
- It must be clear that the response by committee member, chair or any other individual is a personal opinion and not obtained by committee consent. SAE stationery must not be used for such response.

2.9.1.2 Interpretations

No member or participant of an SAE technical committee, Council, or Executive Standards Committee, or SAE Staff Representative shall make any interpretation of a technical report in the name of SAE. In no event shall any such interpretation or clarification pursuant to an informal request in Section 2.9.1.1 above be binding upon SAE or the technical committee responsible for such SAE Standard.

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2.9.2 Services Related to SAE Technical Standards

While conducting services such as consulting and training related to SAE standards, the SAE technical committee members shall not provide their opinions and/or interpretations of SAE Standards on behalf of SAE International.

2.10 **Reaffirmation of an American National Standard**

The due process and consensus requirements defined herein apply to reaffirmations as they do to all approval actions related to American National Standards. The procedures used for reaffirmation of an American National Standard by SAE shall be implemented according to SAE's ANSI-approved procedures. Reaffirmations shall provide an opportunity for public comment.

Reaffirmations shall be accomplished without any substantive change to the main text of the standard. All non-substantive changes in the main text of the standard shall be explained, or noted, in a foreword. An American National Standard undergoing an update of references to standards necessary to implement the American National Standard shall be processed as a revision unless the updated reference is only a reaffirmation of the referenced standard. Any substantive changes in such references require processing as a revision.

The designation of ANSI approval shall clearly indicate if the approval is a reaffirmation.

2.11 **Criteria for Withdrawal**

2.11.1 Administrative Withdrawal

An American National Standard shall be withdrawn five (5) years following approval, if the standard has not been revised or reaffirmed, unless an extension has been granted by the ExSC or its designee. An American National Standard that has not been reaffirmed or revised within the five-year (5) period, and that has been recommended for withdrawal by the ExSC or its designee, shall be withdrawn at the close of a thirty (30) day public review notice in *Standards Action*. American National Standards that have not been revised or reaffirmed within ten (10) years from the date of their approval as American National Standards shall be withdrawn and such action shall be announced in *Standards Action*.

2.11.2 Withdrawal by SAE

If SAE withdraws its approval of one or more of its American National Standards, SAE shall notify ANSI immediately and the standard shall be withdrawn as an ANS in accordance with SAE's accredited procedures and announced in *Standards Action*.

SAE may abandon the processing of a proposed new or revised American National Standard or portion thereof if SAE has followed its accredited procedures. A written justification for such an action shall be made available upon receipt of any written request received by SAE within sixty (60) days of the final action.

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2.11.3 Procedure for Withdrawal

No vote of the technical committee (consensus body) is needed to withdraw an American National Standard. However, SAE shall formally notify the consensus body of its intention to withdraw when such a body exists. Prompt consideration shall be given to any objections, verbal or written, of such plans to withdraw the American National Standard.

3.0 **Metric Policy**

All work completed under this process must comply with the SAE Metric Policy (Appendix 4.2) ESC 003 of the Executive Standards Committee Governance Policy.

4.0 **Publication Policies**

4.1 Designation of American National Standards

A standard that is approved, as an American National Standard shall have its title page marked with the words “an American National Standard.” In addition, American National Standards shall be marked in such a way as to identify the version of the standard or shall be identified by a unique alphanumeric designation.

The ANSI approval logo and the words “an American National Standard” shall not be used to identify any standard that has not received approval as an ANS by the ANSI Board of Standards Review or been approved by SAE who has been granted authority to designate its standards as American National Standards.

Portions of a published document that were not approved through the full-consensus process but contain information that may appear to be requirements necessary for conformance with the approved American National Standard (ANS) shall be (1) clearly identified at the beginning and end of each such portion of the document, or (2) such information shall be overprinted on the cover page. These portions of the document shall be marked with the following, or similar, explanatory language:

“The information contained in this (portion of a document) is not part of this American National Standard (ANS) and has been processed in accordance with ANSI’s requirements for an ANS. As such, this (portion of a document) may contain material that has not been subjected to public review or a consensus process. In addition, it does not contain requirements necessary for conformance to the standard.”

4.2 Publication of American National Standards

American National Standards shall be published by SAE and made available as soon as possible, but no later than six (6) months after approval as an American National Standard.

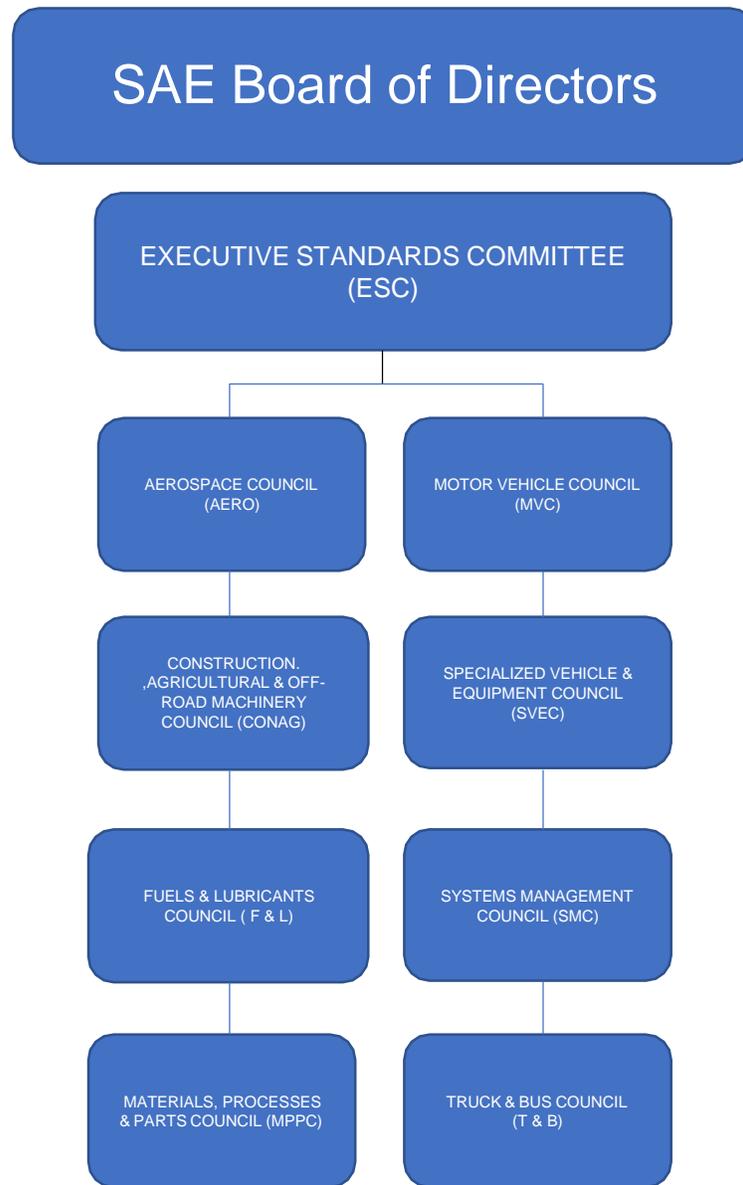
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5.0 **National Adoption of ISO or IEC Standards as American National Standards**

Any SAE Council or technical committee that wishes to adopt an ISO or IEC standard as an American National Standard shall comply with the requirements set forth in the Procedures for the National *Adoption of ISO or IEC Standards as American National*. This includes the expedited procedures for the identical adoption of ISO or IEC standards. (Visit ANSI online at www.ansi.org for a copy of the Procedures.)

COUNCILS REPORTING TO THE EXECUTIVE STANDARDS COMMITTEE



**OPERATING PROCEDURE
EXAMPLE OF TECHNICAL COMMITTEE REPORTING STRUCTURE**

