

## ASHRAE HANDBOOK COMMITTEE

# MANUAL OF PROCEDURES

### 1.0 HANDBOOK CONTENT AND PHILOSOPHY

- 1.1 ASHRAE is the recognized authority on current engineering procedures and practices in the fields of heating, ventilation, air conditioning, and refrigeration (HVAC&R). The Society publishes the *ASHRAE Handbook* primarily to provide technical information and data for the design engineer. The information is directed at those who understand engineering principles and need its procedures, design data, and review of recent industry practices. Typical users include consulting engineers, plant engineers, equipment vendors, contractors, government officials, and engineering students.
- 1.2 The Handbook is published each year in print and electronic formats, in a four-year, repeating sequence of volumes as follows:

*Fundamentals*

*Refrigeration*

*HVAC Applications*

*HVAC Systems and Equipment*

All four volumes of the Handbook are also published each year in a combined electronic form. The Handbook, both electronic and print, is published in two editions. One edition contains Inch-Pound (I-P) units of measurement and the other contains the International System (SI) of units.

- 1.3 The general content and philosophy of the volumes are as follows:

- 1.3.1 ***Fundamentals*** covers the basic principles and data for the entire technology of the industry, including the following:
- Theories and engineering concepts
  - Data on general subjects applicable to many specific fields
  - Data on basic working materials
  - Methods of calculating heating, cooling, and ventilation loads
  - Data and procedures for relatively unchanging subjects such as pressure losses in fittings and duct and pipe sizing
- 1.3.2 ***Refrigeration*** covers refrigeration equipment and systems in a particular application, process, or cold storage facility and addresses current design for specific applications.
- 1.3.3 ***HVAC Applications*** describes the use of heating, ventilation, and air-conditioning to provide desired conditions in a particular building occupancy or to accomplish a specific purpose in particular applications.

- 1.3.4 ***HVAC Systems and Equipment*** describes both the combinations of equipment and the components or assemblies that perform a particular function either individually or in combination.

## **2.0 COMMITTEE RESPONSIBILITIES**

- 2.1 The Handbook Committee (HBC) is responsible for preparing and publishing the *ASHRAE Handbook*. This committee formulates editorial policies and establishes the overall philosophy and guidelines for the *Handbook* to ensure a well-rounded, authoritative publication consistent with the mission of ASHRAE. The HBC or its representative shall reply in writing to all comments received that pertain to *Handbook* content or procedures. The HBC assigns the preparation of chapters to appropriate Technical Committees (TCs).
- 2.1.1 The TCs establish the scope of the chapter(s) assigned to them and select reviewers and revisers. The reviewers suggest deletions and additions. The revisers organize the material and rewrite it within the guidelines established by the HBC and as described in the Authors and Revisers Guide. The volume subcommittees shall determine if the guidelines have been followed and shall have authority to change or delete material if the TC is unwilling to do so. The final arbiter in a dispute is the HBC; the procedure is described in Section 3.6.
- 2.1.2 The Manual of Procedures (MOP) for Technical Committees, Task Groups, and Technical Resource Groups states:
- “5.5. Handbook
- 5.5.1. Each TC/TG/TRG is charged with the responsibility of reviewing Handbook chapters within its field of interest and with making appropriate recommendations to the Handbook Committee and the responsible TC, TG, or TRG for a specific chapter(s).
- 5.5.2. The TC/TG/TRGs are responsible for the technical content of these chapters, but review and revision must be coordinated with the publication schedule established by the Handbook Committee. The most authoritative reference for TC/TG/TRG handbook responsibilities and procedures is the Handbook Authors and Reviser’s Guide.
- 5.5.3. MTGs review Handbook chapters within its field of interest and make appropriate recommendations if this responsibility is part of its scope.”
- 2.1.3 The HBC, in cooperation with the Handbook Editor, shall prepare and maintain an Authors and Revisers Guide (ARG).
- 2.1.3.1 The Functional subcommittee and Handbook Editor will review the ARG annually for minor edits and updates, and each four years do a major revision of the ARG if needed.
- 2.1.4 This committee shall develop procedures for recommending updates to the strategic plan on a continuous basis. As a minimum, the committee shall submit a report to the council at a time determined by the Board Planning Committee. The report includes the current status of each activity that supports the fulfillment of the committee’s assignments under the strategic plan. The committee shall report to the council all recommendations for changes to the strategic plan as provided by the committee’s constituents before the annual conference.

## 2.2 Subcommittees for Handbook Volumes

- 2.2.1 Each volume subcommittee has responsibility for preparing a specific *Handbook* volume.
- 2.2.2 Subcommittee members help find individuals or groups to review chapters. TCs are the primary sources for chapter authors, reviewers, and revisers.
- 2.2.3 The HBC volume subcommittee member works with each reviewer to transmit comments, criticism, and suggestions to the responsible author or reviser so the chapter will reflect current practice.
- 2.2.4 At their first ASHRAE annual conference, the incoming volume subcommittee chair meets with the incoming volume subcommittee
  - (a) to review duties and responsibilities of the subcommittee,
  - (b) to review and finalize chapter assignments, and
  - (c) to review and discuss commentary forms for each chapter as prepared by the prior volume subcommittee liaisons.
- 2.2.5 At the following ASHRAE winter conference, the incoming volume subcommittee uses the chapter revision history maintained by Handbook staff to determine the status of each chapter regarding its timeliness and currency. The volume subcommittee uses its collective judgment, taking into account the stability of each chapter's content. The volume subcommittee members (liaisons) inform each TC of the status of their chapter(s) as determined. Adjustments to status may be suggested by the respective TCs, in conjunction with the liaison, for possible change.

## 2.3 Other Subcommittees

- 2.3.1 The Executive Subcommittee of the HBC consists of the chair of the HBC, the chairs of the volume subcommittees, and the Director for the HBC. The chair of the HBC is the chair of the Executive Subcommittee. This subcommittee is concerned with activities of the HBC in the current Society year.
- 2.3.2 The Training Subcommittee has the newest volume chair as its chair, and other members as appointed by the HBC chair. This subcommittee is responsible for training incoming HBC members and the authors and revisers of Handbook chapters.
- 2.3.3 The Functional Subcommittee has the second newest volume chair as its chair, and other members as appointed by the HBC chair. This subcommittee is responsible for annually reviewing and recommending updates as needed for the Rules of the Board (ROBs), Manual of Procedures (MOP), and the Authors and Revisers Guide (ARG).
- 2.3.4 The Electronic Media Subcommittee has the third newest volume chair as its chair, and other members as appointed by the HBC chair. This subcommittee investigates and makes recommendations regarding electronic content development and delivery.
- 2.3.5 The Strategic Planning Subcommittee has the HBC's vice chair as its chair, and other members as appointed by the HBC chair. This subcommittee recommends objectives to further the Society's goals for the Handbook and makes plans for the committee's future operation.
- 2.3.6 Other standing or temporary committees may be appointed or dissolved by the current HBC chair.

## 2.4 Committee Personnel

- 2.4.1 The HBC chair is usually the retiring subcommittee chair for the volume most recently published. The chair
- (a) presides at all HBC meetings and
  - (b) prepares the agenda for these meetings in consultation with the Handbook Editor.
- 2.4.2 The HBC vice chair usually is the chair of the subcommittee responsible for the volume published in that fiscal year. The vice chair presides at HBC meetings in the absence of the chair.
- 2.4.3 The chair for each volume subcommittee
- (a) assigns volume subcommittee members as liaisons to TCs for specific chapters,
  - (b) monitors and keeps the Handbook Editor informed of the progress on chapters being prepared, and
  - (c) regularly reports to the HBC on all matters pertaining to the assigned volume.
- 2.4.4 The HBC members
- (a) act as liaisons between the Editor and revisers,
  - (b) arrange for adequate review of their assigned chapters,
  - (c) monitor progress of the review and revision process, and
  - (d) submit final, TC-approved manuscripts to the Editor.

## 2.5 Staff Support

- 2.5.1 The Handbook Editor and staff support the HBC. The Editor prepares and distributes meeting notices, agendas, minutes, and any other material required for committee use.
- 2.5.2 The Handbook Editor and supporting staff
- (a) edit TC- and HBC liaison-approved chapter manuscripts, sometimes substantially, and
  - (b) suggest new chapters that conform to Section 1.0, Handbook Content and Philosophy.
- 2.5.3 The Publisher grants permission to quote, reprint, or otherwise reproduce material from *Handbook* volumes, based on policy established by the BOD. If any request is not clearly covered by such policy, the Publisher submits it to the BOD for a decision.

## 2.6 Interaction with Other Committees

- 2.6.1 The HBC shall seek coordination with the Technical Activities Committee (TAC), appropriate TCs, and other society committees as needed.
- 2.6.2 In the event TCs are not able to or do not provide the necessary reviews or revisions, the HBC shall seek other appropriate means to complete the reviews and revisions in a timely manner.
- 2.6.3 The HBC works with the editors of *ASHRAE Journal* and *ASHRAE Insights* to publish articles containing *Handbook* material of current value.
- 2.6.4 The HBC gives the ASHRAE Program Committee (APC) suggestions for program material that develops during review and revision of chapters. The APC provides the

committee with author's comments on reviewed papers' impact on *Handbook* information and with abstracts for potential inclusion with relevant chapters.

- 2.6.5 The Training Subcommittee chair leads an authors and revisers workshop each year at the ASHRAE winter conference. The purpose of the workshop is to help the TCs in their duties of revising and/or authoring *Handbook* chapters. The leader is responsible for planning, scheduling, and announcing the workshop.
- 2.6.6 The HBC chair appoints, from the committee's membership, liaisons to the TAC sections. These liaisons attend the assigned TC Chairs'/Section meetings at the annual and winter conferences.

## **2.7 Mentoring Program (ROB 100-128-003)**

- 2.7.1 The Training Subcommittee is responsible for training new committee members. The Training Subcommittee conducts a training session for new and continuing HBC members at the ASHRAE annual (summer) conference.
- 2.7.2 The volume subcommittee chairs shall maintain contact with their committee members and transmit to the Training Subcommittee any observations of areas for improvement.
- 2.7.3 The volume subcommittee chairs shall maintain contact with their subcommittee members and transmit to the Training Subcommittee any observations of areas for improvement.
- 2.7.4 The Handbook Editor will send new HBC members a copy of the applicable Rules of the Board (ROBs), Manual of Procedures (MOP), Authors and Revisers Guide (ARG), the current HBC roster, and minutes for the most recent meeting.
- 2.7.5 Each new HBC member should develop a rapport with other members to gain experience and maximize productivity.
- 2.7.6 The chair shall
  - (a) assure that the time allotted at the beginning of the first meeting is sufficient for proper introduction of the new members,
  - (b) assess at a later meeting the effectiveness of the training program,
  - (c) provide any assistance to enhance the training program, and
  - (d) include an objective for mentoring in the committee's Management by Objectives (MBO).

## **2.8 Changes to Rules of the Board (ROBs)**

- 2.8.1 Changes to Rules of the Board (ROBs) are submitted by the committee to the Publishing and Education Council in the following manner:
  - (a) *Proposing a change to an existing rule.* Present a track-changes comparison showing the *current* ROB number and wording and the *proposed* wording. A proposed change, as a minimum, includes the rule number, the proposed change, and the reason for the change.
  - (b) *Proposing a new rule.* Present the wording for the new rule and suggest where it should be placed within the ROB organization.

- (c) *Proposing the rescinding of a rule.* Identify the ROB book in which the rule is located, the rule number or other identification code, the wording of the rule, and the reason for rescinding it.
- (d) To propose changes to Society-wide policies and procedures, follow the same procedures as for proposing changes to ROB's.

## **2.9 Changes to the Manual of Procedures (MOP)**

- 2.9.1 Changes to the HBC MOP shall be submitted to the Publishing and Education Council after an affirmative vote of the HBC.
- 2.9.2 Appendices are part of the MOP and, therefore, require Publishing and Education Council approval.

## **2.10 Reports**

- 2.10.1 Before the ASHRAE annual conference, the vice chair will prepare objectives for the committee for the next year and present these objectives to the committee for review at its meeting held during the annual conference. The objectives will be included in the committee's report to the Publishing and Education Council at the annual conference as an information item, and a copy of the objectives will be sent to the staff assistant to the Board of Directors.
- 2.10.2 If any committee does not submit its objectives to the Publishing and Education Council at the annual conference, the assigned Director (BOD Ex Officio) will work with the committee's incoming chair to complete objectives.
- 2.10.3 Each objective should be measurable and should include a projected completion date, fiscal impact (if any), and other information that would clarify the intent of the objective. If an objective is to be assigned to a specific member or subcommittee of the committee, this should also be included.
- 2.10.3 A status report of the objectives will be included in the committee report submitted to the council at the ASHRAE winter conference, and a copy of the objectives will be sent to the staff assistant to the Board of Directors.
- 2.10.4 A final report of the objectives will be included in the committee report submitted to the Publishing Council at the annual conference, and a copy of the objectives will be sent to the staff assistant to the Board of Directors. The objectives prepared by the committee vice chair for the next year, or by the individual who will be the next year's chair, will also be included in this report.

## **3.0 HANDBOOK PROCEDURES**

All *Handbook* chapters are under continuous maintenance, and may be revised annually, but must also receive a review and likely a revision in each regular four-year cycle.

### **3.1 Continuous Maintenance**

- 3.1.1 On its own initiative, a TC may revise an assigned chapter in any publishing year. Upon approval by the TC and acceptance by their HBC liaison, the revised chapter will

appear, subject to submission deadlines, in the next scheduled electronic and print *Handbook* volumes.

- 3.1.2 When the author of peer-reviewed program material indicates the material applies to a *Handbook* chapter, the TC's Handbook subcommittee will be asked to review the paper and the TC may incorporate the published material in a revision of their chapter(s).
- 3.1.3 The TCs note any identified conflict of the *Handbook's* information with proposed Society standards or guidelines during the public review period. The TC takes one of the following steps:
  - (a) Comment on the standard or guideline draft to eliminate the conflict.
  - (b) Revise the chapter to eliminate the conflict.
  - (c) On publication of the standard or guideline, revise the chapter to reference it and to explain any remaining conflicts.

## **3.2 Chapter Review**

- 3.2.1 TCs review their assigned chapters within six months of publication of the print versions and plan the next revision during this period.
- 3.2.2 Steps in the review process are as follows:
  - (a) Shortly after publication of a volume, the Handbook Editor sends to the appropriate volume subcommittee members (1) the ARG and (2) a revision schedule.
  - (b) HBC volume subcommittee members (liaisons) then meet with their assigned TCs to ensure that the reviews begin. If a TC cannot find reviewers for a chapter, the volume subcommittee member or the Editor will assist in this area. Additional reviews may be obtained from HBC members, the College of Fellows, or others within or outside ASHRAE.
  - (c) The TC Handbook subcommittee chair collects the reviewers' written reports and sends copies to the chapter's lead reviser and their HBC liaison.

## **3.3 Chapter Revision**

- 3.3.1 Revision follows the review and lasts up to two years. The revised chapter then receives TC approval via a recorded vote. It is then sent to the volume subcommittee liaison between March and July of the year before publication of the printed volume following the schedule set by the Handbook Editor in consultation with the volume subcommittee chair.
- 3.3.2 Steps in the revision process are as follows:
  - (a) The volume subcommittee liaison gathers lead revisers' names from the TC and forwards them to the Handbook Editor.
  - (b) The liaison checks with each lead reviser at least every six months, preferably in person at the annual and winter conferences, to be sure the revision is on schedule and to answer questions. The liaison notifies the Editor if the submission schedule needs to be adjusted.

- (c) The lead reviser sends draft revisions to reviewers and the volume subcommittee liaison. The liaison should try to reconcile any controversy that develops as a result of reviewers' comments.
- (d) On receiving the final version of the revised chapter, the volume subcommittee liaison checks that it has been reviewed and approved by the TC. If nonmembers of the TCs revised the chapter, the liaison arranges for review by the responsible TC.
- (e) The liaison checks the final draft to ensure that it complies with the Authors and Revisers Guide.
- (f) The volume subcommittee liaison acknowledges receipt of the final draft and thanks the revisers for their work.
- (g) The liaison sends the final TC-approved draft, completed checklist, and supporting materials to the Editor.
- (h) The liaison completes a commentary form for each chapter and sends a copy to the outgoing volume subcommittee chair who passes them to the incoming volume subcommittee chair and the Handbook Editor for the information of the incoming liaisons.

### 3.4 Addition of a Chapter

- 3.4.1 Anyone may request that a chapter be added to the *Handbook* by writing to the HBC chair or the Handbook Editor. A proposed chapter outline, as described in the ARG, should be submitted to assist with evaluation of the idea. If the HBC approves the request, it will assign the chapter's preparation to the appropriate TC. TCs may also propose a new chapter through the process described in the Authors and Revisers Guide.

### 3.5 Deletion or Reassignment of a Chapter

- 3.5.1 Chapters are deleted or reassigned in the following manner:
  - (a) Any TC may request that a chapter assigned to it be deleted or reassigned after a recorded TC vote by writing to its volume subcommittee liaison.
  - (b) Any Society member may request that a chapter be deleted or reassigned by writing to the chair of the TC assigned to prepare the chapter. The request should include reasons and technical data, if any, for deleting or reassigning the chapter.
  - (c) The TC shall review the request and forward recommendations to the volume subcommittee liaison who shall recommend action by the HBC.
  - (d) The HBC may delete or reassign any chapter on its own initiative.
  - (e) A reference to a deleted chapter may be included in the current *Handbook* to alert readers of the location of the material in a prior *Handbook*.

### 3.6 Resolution of Disputes

- 3.6.1 A dispute is defined as a major difference of opinion or fact with part or all of a chapter that is brought to the attention of the HBC and which could affect the credibility or reputation of ASHRAE.

- 3.6.2 The HBC shall ensure that the dispute is handled professionally, fairly, and without bias.
- 3.6.3 The following procedure shall be followed to resolve a dispute:
- 3.6.3.1 The HBC liaison determines that a conflict is occurring within a Technical Committee.
- 3.6.3.2 The liaison brings the concern to the volume subcommittee chair, who notifies the HBC chair.
- 3.6.3.3 The volume subcommittee chair and liaison meet with the conflicting parties to attempt to resolve the situation.
- 3.6.3.4 If, at this stage, the conflict is unresolved, a Handbook Committee Resolution Team consisting of the HBC chair, volume chairs, and Director is formed by the HBC chair.
- 3.6.3.5 The Handbook Committee Resolution Team meets with the conflicting parties.
- 3.6.3.6 It is hoped the conflict will be resolved within one of the preceding steps; however, if the conflict continues, the Handbook Committee Resolution Team will vote on one of the following:
1. To accept one side, with overwhelming technical evidence.
  2. To recommend to the HBC to remove the chapter entirely.
  3. To republish the previous version of the chapter.
- 3.6.3.7 The results of the dispute are reported to the Publishing and Education Council.

### **3.7 Procedure for Gathering and Distributing External (non-TC) Comments**

Comments on the *Handbook* are encouraged. All forms of comments are accepted; written comments are preferred (e.g., by letter, fax, e-mail, Handbook Web page form). Comments received by HBC members should be transmitted to the Handbook Editor, who will distribute them to the appropriate TC(s). The Handbook Editor will acknowledge receipt to the commenter. TCs should be encouraged to communicate the results of consideration of a comment to any commenter who provides contact information and indicates a desire for such a response. Commenters should also be encouraged to attend TC or HBC meetings to participate directly in the review and revision process.

## **APPENDIX**

### (from ROB Volume 2) 2.411.003.2 Guidelines for Awards

The following guidelines for ASHRAE awards are approved: (99-01-27-51/06-01-25-08/07-03-25-01)

- All requests or suggestions for new awards, revisions to current awards, or award deletions shall be forwarded to the Honors and Awards Committee for review and

recommendation before being forwarded to Members Council and the BOD for review and approval.

- ASHRAE awards are grouped into the following categories, each of which has its defined form of award:
  1. Personal Honors (plaque and medallion)
  2. Personal Awards for General Society Activities (plaque and lapel pin)
  3. Personal Awards for Specific Society Activities (plaque and lapel pin)
  4. Paper Awards (plaque and honorarium)
  5. Society Awards to Groups or Chapters (plaque)
- Awards will normally carry the name of an ASHRAE activity (e.g., Distinguished Service Award, Fellow, Journal Paper Award). No business, product or other commercial name shall be used for an award. Only in very exceptional instances may consideration be given to naming the award after an individual.
- Each proposed award shall be submitted to the Honors and Awards Committee with a detailed description including the name of the award, the suggested category for the award, the reason for establishing the award, and the proposed selection and awarding process.
- Initial total funding for the award shall be described in the proposal, along with provisions for future funding and inflation considerations. Funding shall be self-perpetuating and supporting for the expected life of the award.
- Proliferation of awards that would tend to detract from the worth of existing awards must be avoided. The award must first be considered as applying to an important field of ASHRAE related activity; the name of the award would then add prestige.
- Awards may be proposed by any committee, chapter, or individual to the immediate authority but eventually must pass through the Honors and Award Committee for approval prior to submission to Members Council and then to the Board of Directors. The Honors and Awards Committee will assist anyone wishing to submit a proposal for a new award. The proposal should be reviewed early in the process to allow determination for the appropriate nature of the anticipated award and meeting all necessary criteria for acceptance.

This committee shall include in their supporting material for candidates only information pertinent to the requirements for the particular award for which the candidate is being recommended. (70-07-01-11)

All voting for honors and awards of the Society shall be strictly secret and held at meetings of the Board of Directors and Members Council (not by mail ballot), and that the H&A Committee be instructed to place the necessary information for such voting before the BOD at least two months prior to the applicable meeting. (65-01-28-19/06-01-25/26-8.16)

It is the policy of the Society not to consider for approval any Society honors or awards posthumously, other than the Hall of Fame.