



The Accredited Standards Committee

STANDING DOCUMENT 1 (SD1)
ASC X12 ADMINISTRATIVE POLICIES
& PROCEDURES

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FOREWORD

This document is a compilation of ASC X12 Policies and Procedures that have been developed as a supplement to the Organization & Procedures Manual (OPM). It is intended to assist the members of ASC X12, its subcommittees and task groups, and interested individuals from the general public who actively participate in ASC X12.

Suggestions for improvements to this document are welcome. They should be addressed to the ASC X12 Secretariat:

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ASC X12 POLICIES

ASC X12 OPERATING INSTRUCTIONS CHAIR/VICE CHAIR ELECTION

PURPOSE:

The purpose of these instructions is to define the means by which ASC X12 identifies candidates for and subsequently elects its Chair and Vice Chair.

INSTRUCTIONS:

1. Candidates for these two positions must meet the following criteria:
 - a. Must be an ASC X12 individual member or be an employee of an ASC X12 organization member which is in good standing.
 - b. Must submit a statement expressing the willingness of his/her employer to provide support for the employee's service as either the ASC X12 Chair or Vice Chair.
 - c. Must submit Application Supporting Documents, which consist of a statement of interest, qualifications (e.g. biography, curriculum vitae) and ASC X12 objectives for communication to the ASC X12 membership.
2. The election of these two positions will take place during the final ASC X12 Standing Meeting of odd-numbered years (hereafter "Election Meeting") with the new officers to assume their duties at the conclusion of that meeting.
3. Approximately 120 days prior to the Election Meeting, the Chair of ASC X12 will appoint Nominating Committee of at least three people. In the event that the Chair is running for re-election the Steering Committee will confirm the members of the Nominating Committee.
4. Nominations will be due at the Secretariat's office 90 days prior to the Election Meeting. The Nominating Committee will select the slate for Chair and Vice Chair approximately 60 days prior to that meeting. Multiple candidates for a position may be offered.
5. At least 30 days prior to the Election Meeting, the ASC X12 Secretariat will distribute to members in good standing, the slate of candidates with Application Supporting Documents. An ASC X12 Chair & Vice Chair Election Proxy Voting Authorization Form may be used by members unable to attend the election to enable someone else to vote on behalf of that member. Proxies will be submitted to the ASC X12 Secretariat at the Election Meeting for validation and inclusion in the voting process.

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CHAIR/VICE CHAIR ELECTION
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6. Those interested in serving but not included on the slate may petition for inclusion on the ballot by satisfying the criteria in Section 1 and obtaining written endorsement by at least 20% of the current membership. The endorsement documentation along with the information outlined in Section 1 must be sent to the Secretariat 14 days before the Election Meeting to allow the Secretariat the opportunity to verify the petition documentation.
7. The voting representatives of ASC X12 members in good standing will be eligible to participate in the election, one vote per member.

The ASC X12 Chair and Vice Chair election will be conducted by the Secretariat at the Election Meeting. The Nominating Committee Chair, the Policies & Procedures TG Chair, the Secretariat President and one Secretariat staff member will tabulate the ballots. The Nominating Committee Chair will decide any issues of process execution.

Election will be by simple majority of the eligible ballots cast. If one candidate receives a majority of votes cast on the ballot, a winner is determined. Otherwise, the following process (steps a or b) will be repeated until one candidate receives a majority of the votes cast.

- a. If one candidate does not receive a majority of votes cast on the ballot, the candidate receiving the least votes will be eliminated and a run-off election will be held with the remaining candidates.
 - i. If candidates tie for least votes received, they will be eliminated except when doing so will result in only one candidate remaining, in which case the run-off will be among all candidates. Should the ballot result in a tie for least votes after two ballots, the tie will be decided by toss of a fair coin, the winner remains in the election process.
 - b. Should the final ballot result in a tie, the election will be decided by a single toss of a fair coin.
8. The Secretariat will announce the winner of both the ASC X12 Chair and Vice Chair positions after the ballots have been tallied.
 9. Newly elected officials will assume office at the conclusion of the meeting in which the election was held.
 10. The Secretariat will keep both the tally sheets and the ballots for at least 180 days after the Election Meeting to respond to any disputes concerning the election results.



DATE:

TO: ASC X12 Members

FROM:

RE: ASC X12 Biennial Election xxxx-xxxx Term

The election of an ASC X12 Chair and Vice Chair for the xxxx-xxxx term will be held on (insert date and location) Nominations are now being accepted from ASC X12 members for these offices. A two-year term of service will begin on (insert date).

To request consideration as a nominee for either office, please complete and return the enclosed application to the ASC X12 Secretariat no later than (insert date).

Candidates for nomination must be an ASC X12 member in good standing. Validation of ASC X12 membership will be conducted by, the ASC X12 Secretariat, as of the date of the election.

The current version of the *ASC X12 Organization and Procedures Manual (OPM)* defines that members of ASC X12 shall consist of organizations (i.e. companies, industry associations, government agencies, educational institutions, etc.) and individuals having direct and material interest in the activities of the committee. The ASC X12 Chair and Vice Chair shall not both be employees of or represent the same organization member or be employees of or represent two organization members that are subsets of one another. An employee of an organization member includes the owner, if the organization is a company.

Election to either office (Chair or Vice Chair) is to accept a position of great responsibility and obligation. It is essential that candidates and when applicable, their employers', recognize that the offices will require a considerable amount of time and expense. Both parties must be willing to make the commitment. When applicable, the candidate's employer is required to attest to full support of the candidate by signing the enclosed application.

Please forward any questions or comments to (insert Secretariat staff name and contact information).



**TO: INSERT SECRETARIAT STAFF CONTACT NAME
ADDRESS
PHONE
FAX
EMAIL**

****NOTE: INSERT APPLICATION DEADLINE**

Please consider me as a candidate for nomination to the following office of the Accredited Standards Committee X12 (check all applicable).

- Chair, ASC X12
- Vice Chair, ASC X12

I am eligible for election to either of these two offices based upon the requirements of ASC X12 membership as specified in the current version of the *ASC X12 Organization and Procedures Manual (OPM)*.

Name: _____

Title: _____

Company: _____

Address: _____

Email: _____

Phone: _____ - _____

Fax: _____ - _____

Signature: _____ Date: _____

Please attach your Application Supporting documents, (ASC X12 objectives, qualifications, and a statement explaining your interest in becoming ASC X12 Chair or Vice Chair).

When applicable, my employer has agreed to a time and a financial commitment for my service as ASC X12 Chair or Vice Chair.

Employer's Signature: _____ Date: _____



TO: ASC X12 Voting Representatives and Alternates

SUBJECT: ASC X12 Chair and Vice Chair Election

The enclosed ASC X12 Chair and Vice Chair candidate application supporting documents and voting proxy authorization, when needed, are to be used for the (insert election date) ASC X12 Chair and Vice Chair election. The election is scheduled for (insert time and place).

Insert paragraph about voter registration time and place.

One election ballot per member will be distributed during voting registration.

For organizational members, if you, as a primary voting representative are unavailable to vote in the election, your member's alternate representative may register to vote in your absence. If neither you, as the voting representative or voting alternate are available to attend the election, your designee must present the attached voting proxy at the election site in order to participate in the election.

If you have any questions about the election, please contact (insert Secretariat staff name and contact information).

**ASC X12 Chair and Vice Chair Election
Organization Member Proxy Voting Authorization**

(Only to be used in absence of principal and alternate member representative of record)

_____ (ASC X12 member in good standing), appoints the individual listed below to exercise its voting privilege during the ASC X12 Chair and Vice Chair election scheduled for the ASC X12 General Session on (insert date).

Name: _____
(Type or Print)

Title: _____

Company: _____

Address: _____

Email _____

Signature: _____

Date: _____

Primary or Alternate of Record (Circle One)

Signed for the above named member on _____
(Date)

Signature: _____

Name: _____
(Type or Print)

Witnessed by: _____
(Type or Print)

Signature: _____

Date: _____

Proxy designees must submit this completed authorization to the Secretariat at the voter registration desk or via electronic means prior to the Election Meeting in order to participate in the election.

Any reproduction of this form must be done in its entirety or the proxy becomes NULL and VOID.

Voting By Proxy Policy

An ASC X12 member may vote by proxy on ASC X12 Committee matters at an ASC X12 Standing Meeting, if the principal voting representative and alternate, if applicable, cannot be present for the vote.

The principal voting representative shall submit an official proxy notification to the Secretariat no later than close-of-business of the business day before the ASC X12 Standing Meeting at which a vote will take place. The proxy notification shall name the person authorized to exercise the proxy vote, so that the Secretariat can ensure proper voter registration. The ASC X12 member may name the Secretariat to exercise the proxy, in which case the member shall also instruct the Secretariat how to vote.

Once a proxy notification has been received by the Secretariat, such notification can be changed (e.g., to designate a different person to vote on the member's behalf) or rescinded (e.g., the principal or alternate will vote in person after all) only by the principal voting representative. The change to or rescinding of the proxy shall be received in writing prior to the opening of voter registration.

Approved by:
ASC X12 Executive Committee May 11, 1993
ASC X12 Steering Committee October 7, 1993
ASC X12 January 7, 1994
Revised by ASC X12 Steering Committee February 3, 2011

ESTABLISHING ASC X12 SUBCOMMITTEES

This policy augments the ASC X12 Organization & Procedures (OPM) to define the process and criteria for establishing a new ASC X12 subcommittee.

The ASC X12 Steering Committee will review petitions to establish new subcommittees. The Steering Committee will use the following criteria for evaluating such petitions to determine whether to submit the petitions to the ASC X12 membership for approval:

1. The draft purpose and scope of the subcommittee (presented by the petitioner) must comply with the OPM definition for a subcommittee program of work.
2. The group submitting the petition must have operated within ASC X12 at the task group level for at least a year.
3. The draft purpose and scope of the subcommittee must be clearly different from that of any existing subcommittee and it must be verified that no existing subcommittee is prepared to expand its purpose and scope to encompass the group's purpose and scope. The Steering Committee has an obligation to prevent overlap among subcommittees and to prevent creating separate subcommittees that are functionally related. Subcommittees confined to a separate industry (e.g. chemical, automotive) should be avoided.
4. Broad support for the activity must be demonstrated. At least ten organizations must be prepared to participate within the new Subcommittee and a significant percentage of these organizations should be ASC X12 members or should have pledged to become a member. Representation should be cross-industry and represent organizations on both ends of the trading relationship.
5. The proposed subcommittee must have at least one approved project proposal to work on and must be able to present a business information flow model to demonstrate its plans for follow-on work. The group must also be able to show how it plans to organize into task groups, when there is a need for further delineation of activities in order to complete the work, to address its standards-setting efforts.

If the ASC X12 Steering Committee approves the petition, a letter ballot will be submitted to the ASC X12 membership, according to the procedures defined for voting in the OPM.

Approved by:
ASC X12 Executive Committee May 11, 1993
ASC X12 Steering Committee October 7, 1993
ASC X12 January 7, 1994
Revised by ASC X12 Steering Committee February 3, 2011

ASC X12 MEMBERSHIP POLICIES

Each member in good standing has full membership rights including the right and privilege of voting on all technical and administrative matters. Each member must name a primary voting representative and, with the exception of individual members, they may also name an alternate voting representative. The primary voting representative is the principal contact between the member and the ASC X12 Committee and its Secretariat. Any change in the primary or alternate voting representative must be sent to the Secretariat in writing. All ballot packages and other official correspondence will be sent to the primary voting representative.

MEMBERSHIP CATEGORIES – DUES STRUCTURE AND PARTICIPATION LIMITS

ORGANIZATION – Includes entities such as private companies, public corporations, and partnerships which pay dues based on gross revenues, and financial institutions (banks and savings & loans) which pay dues based on assets. An unlimited number of employees from an organization member may attend an ASC X12 Standing or Interim Meeting.

Affiliates, divisions, or subsidiaries of public corporations join ASC X12 by meeting one of the following criteria:

1. If the parent organization is a member, dues are based on the gross revenue of the individual affiliate, division or subsidiary.
2. If the parent organization is not a member, dues are based on the gross revenue of the parent company.

NONPROFIT – Includes charitable and other organizations classed as 501(c)(3) by the Internal Revenue Service, and trade or professional associations classed as 501(c)(6) by the Internal Revenue Service. Dues are a flat fee. An unlimited number of employees from a nonprofit organization and two designated "members of the organization" may attend an ASC X12 Standing or Interim Meeting.

GOVERNMENT – Includes federal, state, and provincial government departments and agencies. Dues are a flat fee. An unlimited number of employees from a department or agency may attend an ASC X12 Standing or Interim Meeting.

INDIVIDUAL – Includes individuals who are self-employed and have no employees. Persons who are employed by an organization are not eligible for individual membership. Dues are a flat fee. The individual is the primary representative and may attend an ASC X12 Standing or Interim Meeting. An individual may not have an alternate representative.

NEW MEMBERS

The designated primary representative will be notified when membership is effective. New members will be added to the membership rolls after the completed membership application, along with the applicable dues payment, is processed by the Secretariat. Membership is for a twelve-month period.

MEMBERSHIP RENEWAL

The member is responsible for ensuring that membership applications and dues are received by the Secretariat prior to the expiration of membership. Ninety (90) days prior to the expiration of member dues, a notice of approaching expiration is sent to the primary voting representative. Sixty (60) days from expiration, a reminder notice is sent. Thirty (30) days from expiration, a warning letter is sent that the membership, along with all privileges, will be suspended on the expiration date.

MEMBERSHIP LISTS

Membership lists are available as follows:

1. To the public -member name only;
2. To members -member name, primary representative name and telephone number, and alternate representative name.

ASC X12 MEMBERSHIP MOTION POLICY

1.0 Purpose and Scope

This policy is designed to provide governing rules and structure surrounding the process of the submission of motions for ASC X12 Committee ballot.

This policy is limited to administrative matters, of the ASC X12 Committee. This policy does not address technical matters of the Committee nor election of Committee officers. All member representatives and alternatives submitting motions of an administrative nature for ASC X12 consideration must abide by this policy.

2.0 Motion Submission

Motions related to ASC X12 administrative matters may be submitted by any ASC X12 primary or alternate representative.

Motions must be submitted in writing to the ASC X12 Chair via the Secretariat. The submitter can request whether the motion is to be balloted via letter or during an ASC X12 General Session.

- A. If motions are to be balloted during an ASC X12 General Session, then motions shall be submitted at least sixty (60) days prior to the ASC X12 Standing Meeting.
- B. If motions are to be balloted via letter ballot, then motions may be submitted any time. Motions will be mailed as letter ballots within forty-five (45) days of the ASC X12 Steering Committee review.

Written submission of motions must include adequate supplementary material. Supplementary material will be included in mailings to members and must provide the voting member explanatory information surrounding the motion subject, indicate pros and cons, and estimate impact to the ASC X12 Committee.

3.0 Submitted Motion Processing

All submitted motions will be authorized by the ASC X12 Steering Committee. Questions related to the motion submission will be returned to the submitter in writing within twenty (20) days of original receipt. The Steering Committee will make every attempt to provide the submitter with assistance in clarifying the motion if necessary.

Motions to be balloted via letter ballot will be drawn into letter ballot form by the Secretariat and reviewed by the submitter and The Steering Committee prior to mailing. Ballots will be mailed to the primary voting representative of each ASC X12 Member in good standing. ASC X12 Organization & Procedures Manual (OPM) will be followed for processing the administrative votes. The Secretariat will mail final, tallied results of motions balloted to primary voting representative of each ASC X12 Member in good standing within thirty (30) days of the ballot closing.

Motions to be balloted at an ASC X12 General Session will be documented in writing and mailed to the primary voting representative of each ASC X12 Member in good standing thirty (30) days prior to the next ASC X12 Standing Meeting in which an ASC X12 General Session will be held.. ASC X12 OPM will be followed for processing the administrative votes.

- A. Amendments to motions will not be entertained.
- B. The Secretariat will identify eligible voters at the next ASC X12 Standing Meeting in which an ASC X12 General Session will be held. Proxies will be allowed.
- C. The ASC X12 Chair will conduct a vote on the submitted motion according to Robert's Rules of Order.
- D. Results will be tallied by the Secretariat and announced at the end of the general session.

The Secretariat will notify the submitter in writing of the outcome of both general session and letter ballots.

Approved by the Executive Committee May 11, 1993
Approved by the X12 Steering Committee: October 7, 1993
Approved by ASC X12 January 7, 1994
Revised for clarification based on member comments: December 16, 1994
Revised by ASC X12 Steering Committee February 3, 2011

Secretariat Note: ***Sections of this policy has been incorporated in the rewrite of the OPM.***

ASC X12 DUES DEVELOPMENT PROCESS

- I. The ASC X12 Chair or designee drafts a dues change proposal.
- II. The Secretariat reviews the proposal for financial impact and reports back to the ASC X12 Steering Committee.
- III. The ASC X12 Steering Committee reviews the Secretariat's comments and revises the proposal if necessary.
- IV. The ASC X12 Steering Committee distributes the proposal to ASC X12 members for comment.
- V. The ASC X12 Steering Committee reviews the member comments, revises the dues change proposal if necessary.
- VI. The ASC X12 Steering Committee determines whether to return to step IV or proceed with a vote on the proposal
- VII. If approved, the Secretariat implements the dues change.

ASC X12X/TG3/96-141
March 20, 1996

ASC X12 Administrative Letter Ballot Documents Effective Date Policy

The effective date of an ASC X12 Administrative Letter Ballot Document is midnight, of the last day of the ASC X12 Standing Meeting following the closure of the ballot. The effective date may be overridden by a vote of the ASC X12 Steering Committee.

ASC X12X/TG3/96-057
January 25, 1996

ASC X12 General Session Voter Registration Policy

Voter registration hours shall be published at least 30 days prior to the date at which a vote will be taken. The voter registration desk shall be open for at least four hours prior to the scheduled start time of the General Session at which the vote will be taken. The registration desk shall close prior to the scheduled start time of the ASC X12 General Session at which the vote will be taken. At the discretion of the ASC X12 Chair, the registration desk hours may be extended, but shall close no later than when the General Session is officially called to order, to allow the Secretariat time to confirm a quorum.

ASC X12X/TG3/96-056
January 25, 1996

Waiver of ASC X12 Meeting Registration Fees Policy

Registration Fees for an ASC X12 Standing or Interim Meeting may be waived at the discretion of the ASC X12 Chair. Requests for such waivers shall be submitted in writing to the Secretariat.

Amended and Approved by:
ASC X12 Steering Committee June 5, 2002
Approved by ASC X12 Steering Committee August 13, 1996
Revised by ASC X12 Steering Committee February 3, 2011

ASC X12X/2002-72
June 5, 2002

ASC X12 First-Time Attendee Policy

Non-member companies that attend an ASC X12 Standing Meeting under the non-member fee may apply that fee towards membership if the application is submitted within 90-days.

ASC X12 Constitution/Charter Approval Procedure

ASC X12 Subcommittee and Task Groups requesting ASC X12 Steering Committee approval for changes to their constitutions or charters shall use the following procedures:

1. Submit an electronic copy of the document with highlighted changes to the Secretariat. The Secretariat shall forward the document to the Policies & Procedures (P&P) Task Group. The Secretary will post the document to the P&P Task Group's Central Desktop workspace for review.
2. P&P will review the document to ensure compliance with the SD2 and OPM documents and any other applicable procedures. P&P may make other comments on the documents if they wish to do so.
3. After the P&P Task Group reviews the document it shall be returned to the submitting subcommittee/task group with noted recommendations, if any.
4. The subcommittee/task group shall make any revisions necessary to comply with established ASC X12 procedures and may consider any other P&P comments at their discretion. The subcommittee/task group shall approve any changes and forward the constitution/charter to the Secretariat.
5. The Secretariat will notify the ASC X12 Chair that the final document is ready for review and approval.
6. The ASC X12 Chair will schedule a Steering Committee vote on the final document.

ASC X12X/TG3/98-046
February 5, 1998

ASC X12 Listservs

All ASC X12 listservs shall be open to all members of ASC X12 in at least read-only mode.

ASC X12 Listserv Usage Guidelines

1. Take care in what you write. Email messages are frequently archived and your message may be stored in a place to which many people have access.
2. When responding to a message, be careful that the response is directed to the intended audience. If the response is intended for an individual member of a listserv, use the individual's email address. Otherwise responses will be forwarded to the listserv.
3. If you find a personal message has gone to a list or group, consider sending an apology to the person and to the group.
4. If you are in a disagreement with an individual on a listserv, shift the dialogue from the listserv to a direct exchange between one another using your individual email addresses. If the debate is of interest to others, summarize the content of the dialogue for the others at a later time.
5. Establish a subject line naming convention so recipients recognize the ASC X12 group or subject addressed. For example: Subcommittee group name: Subject
6. Always give your name and contact information when sending a message to a listserv. This will ensure that your message will be identifiable to all those on the listserv.
7. Avoid sending messages that are no more than gratuitous replies to replies.
8. Neither post nor respond to unprofessional material, including derogatory or negative comments, about individuals, companies or products.
9. Save the subscription messages for any lists you join. These usually tell you how to unsubscribe.
10. Advertising solicitations for products and/or services are prohibited on all ASC X12 listservs. Such solicitations should be reported to the Subcommittee Chair or webmaster responsible for a particular listserv.

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USAGE GUIDELINES
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11. Delivery receipts, non-delivery notices, and vacation programs are neither totally standardized nor totally reliable across the range of email applications. It is recommended that they not be used because they can potentially disrupt the proper functioning of a listserv. Consider unsubscribing or setting a "nomail" option (when it's available) when you cannot check your mail for an extended period.
12. Avoid sending large files to the listservs. Either compress the files you send or if files are posted to a particular webpage, refer listserv members to the posting location to view and download the material.
13. Be careful with monospacing fonts and diagrams. These will display differently on different systems, and with different mailers on the same system. Avoid using Rich Text documents, HTML, encryption or foreign language special characters in messages or attachments.
14. Report any "SPAM" messages to postmaster@disa.org.

ASC X12 Intellectual Property Rights Policy Statement

1. Patents.

ASC X12 adopts and agrees to observe and follow, the American National Standards Institute's ("ANSI") Procedures for the Development and Coordination of American National Standards Sections 1.2.12-1.2.12.4 (the "ANSI Patent Policy") In the event it becomes necessary to interpret the ANSI Patent Policy, ASC X12 will review and consider, among other things, ANSI's guidelines and explanatory materials, including without limitation, ANSI's Guidelines for Implementation of the ANSI Patent Policy for guidance in the interpretation and construction of the ANSI patent procedures in their application to contributors to the ASC X12 Standards and ASC X12 pursuant to this policy.

2. Other Proprietary Rights.

Member agrees not to assert copyright against X12, other Members or third parties based upon the making, use, sale, reproduction, distribution, disclosure, display, and transmission, of the ASC X12 Standard. Member hereby grants to X12, and to the extent such rights cannot be granted at this time, will grant to X12, a perpetual, irrevocable, royalty free, worldwide, non-exclusive license under its copyrights, with the right to sublicense, to make, have made, use, distribute or sell, reproduce, display, disclose, perform, transmit, improve and create derivative works based upon the Standard and the Change Procedures for ASC X12 Standard. All rights not expressly granted to ASC X12 herein are reserved to the Member.

ASC X12 Liaison Appointment, Roles and Responsibilities

This policy supplements OPM provisions for naming liaisons to and from external standards groups and organizations.

1. Liaison Roles and Responsibilities

a. **Formal Liaison** A Formal Liaison from ASC X12 to a designated organization is empowered to speak and act officially on behalf of ASC X12. A Formal Liaison is expected to present ASC X12 positions based on direction from the ASC X12 Chair. When a Formal Liaison is offered voting privileges in an external organization he/she is expected to act in the best interests of ASC X12.

b. **Informational Liaison** An Informational Liaison is appointed to an external organization for the purpose of collecting and sharing information between the two organizations. An Informational Liaison is not authorized to speak or act officially on behalf of ASC X12 or to state ASC X12 positions on any subject.

c. **External Liaisons to ASC X12** Whether individuals appointed by external organizations are Formal Liaisons or Informational Liaisons to ASC X12 will be determined by the external organization. However, ASC X12 has no provisions for granting voting rights on ASC X12 matters to an external liaison.

2. Oversight of Formal Liaisons and Informational Liaisons

a. If the designated organization is not related to the purpose and scope of any active ASC X12 sub-group, the ASC X12 Steering Committee will oversee the liaison's activities.

b. If the designated organization is related to the purpose and scope of one ASC X12 sub-groups, the ASC X12 Steering Committee will delegate oversight of the liaison's activities to a specific ASC X12 sub-group.

c. If the designated organization is related to the purpose and scope of more than one X12 sub-group, the ASC X12 Steering Committee will delegate oversight to a primary ASC X12 sub-group and require the Chair of that sub-group to coordinate with one or more additional sub-groups as necessary.

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3. Appointment of Liaisons

- a. Requests to serve in a liaison capacity for ASC X12 shall be submitted to the ASC X12 Chair for Steering Committee consideration.
- b. The ASC X12 Steering Committee must approve designation of both Formal and Informational Liaisons from ASC X12 to any external organization.
- c. A Formal Liaison must be a specifically-named individual; if this person can no longer fulfill the function, the Steering Committee must approve a replacement.
- d. An Informational Liaison may be a specifically-named individual or an ASC X12 sub-group. If an Informational Liaison is a designated ASC X12 sub-group, that sub-group may name the individual that fulfills the function, including naming replacements.
- e. All approved ASC X12 liaison appointments will be formalized in writing from the ASC X12 Chair. The appointment letter will clearly define the scope and limits of the liaisons responsibilities.
- f. As a general rule, ASC X12 will not pay dues to any other organization in order to participate in that organization's work. The preferred approach is to arrange reciprocal memberships between the organizations. If a reciprocal membership cannot be established, a written request for dues payment to the organization must be submitted to the ASC X12 Chair explaining the nature of the liaison relationship and the benefits that will flow to ASC X12 from the work. Requests for dues payment will be forwarded to the ASC X12 Steering Committee for review and approval.

ASC X12 Anti-Trust Statement

As a standards development organization accredited by the American National Standards Institute (ANSI), the Accredited Standards Committee (ASC) X12 and its sub-groups shall conduct all of its activities in conformance with all applicable federal antitrust laws. The establishment of ASC X12 electronic data interchange standards is an open process and subject to public domain.

Items of particular importance and concern revolve around the following activities:

- Any effort undertaken, whether expressed or implied, that could be considered to restrain trade or act as a barrier to commerce to any individual or group of individuals shall be avoided.
- As in any meeting where competitors in an industry are present, there shall be no discussion of pricing, whether of individual company prices, industry pricing policies, or plans of any company concerning specific products, customers, or territories. This is to avoid violation of antitrust laws regarding price fixing and market division.
- Members must take special care to avoid making any statements or engaging in conduct prohibited by this policy. Responsibility for compliance rests with every ASC X12 member and any invited guests or participants.
- If members have any doubt concerning propriety of any matters under discussion at such meetings, members shall report objection(s) to the ASC X12 Chair, Vice Chair, Steering Committee member or Secretariat President. Refer to the attached procedures addendum for additional reporting instructions.

This notice shall be in effect during and concerning all activities of ASC X12 and shall be read or referred to at the beginning of every ASC X12 Standing or Interim Meeting.

ASC X12 Anti-Trust Statement Addendum
Reporting Procedures

In order to report suspected violations of the ASC X12 Anti-Trust Statement, a member shall complete the following actions:

- Declare and be identified as an objector to the discussion or activity in question.
- Immediately disassociate one's self from the discussion, request that the objection and departure from the ASC X12 Standing or Interim Meeting be recorded in meeting minutes and leave the meeting.
- Report objection(s) to the ASC X12 Chair, Vice Chair, Steering Committee member or Secretariat President.

ASC X12 Marketing Messages

Policies, Procedures, and Conventions for Developing and Releasing

The Marketing and Business Development Task Group (MBTG) developed these policies, procedures, and conventions to ensure ASC X12 marketing messages are developed and approved consistently, with appropriate oversight.

Section 1: Policies

- All marketing messages developed and/or released by MBTG will follow this procedure.
- All marketing messages developed and/or released by MBTG will adhere to the approved MBTG Consistent Terminology Rules.

Section 2: Marketing Message Approval Procedure

- MBTG develops an ASC X12 message and determines the appropriate platform(s) for releasing the message
OR
A Subcommittee Chair brings a message to MBTG for dissemination.
- MBTG verifies that the draft message adheres to all ASC X12 conventions.
- Conventions include but not limited to logo use, fonts and terminology.
- The MBTG Chair determines which subcommittee or subcommittees are directly affected by the proposed message.
- The MBTG Chair, ASC X12 Chair and affected Subcommittee Chair(s) review and approve the message.
- The message will be released via the pre-determined platform(s).
- Steering will be notified that a message has been approved and released via a Central Desktop posting.

Section 3: Glossary

Marketing Message: any content produced which will be delivered on a defined platform for the intent of promoting ASC X12. These messages include but are not limited to: press releases, marketing materials, advertisements, education, social networking, outreach. The purpose of messaging is designed to, but not limited to the promotion of ASC X12 membership, technologies, and work products.

Platform: the communication method to be used to deliver a specific message. Each platform will be specifically approved by the Steering Committee for ASC X12 messaging before any messages are developed using this procedure.

Platforms include but are not limited to: press releases, tweets (via twitter) and PowerPoint presentations.

ASC X12 Interpretation Request Process and Procedures

Process

The purpose of these instructions is to refine the process as documented in SD2 (Chapter V) for ASC X12 and the Secretariat to achieve consensus and provide answers to formal and informal Requests for Interpretation (RFI) of an ASC X12 American National Standard (ANS), ASC X12 Standard, ASC X12 Guideline, or ASC X12 Technical Report (hereafter, "standard"), received through electronic submission to a Request For Interpretation Portal. The process is important to assure that all requests are handled expeditiously, that all ASC X12 subgroups have the opportunity to participate in the development and approval of responses and to provide accurate information via responses to the user community. While every effort is made herein to reflect the SD2 process, SD2 shall govern in the event any conflict is found.

An interpretation is a clarification of a standard. It consists of a response to the interpretation requester developed by the ASC X12 subcommittee with maintenance responsibility for the standard in question, and is intended to enhance understanding and facilitate proper use of the standard. Interpretations can be formal or informal. Informal interpretations are for questions where the answers do not go through a formal approval process. Formal interpretations involve an extensive approval process within ASC X12 and result in a letter or email from the Chair of ASC X12. Both types of interpretation are documented within a public access Portal for public availability.

If an individual is seeking only clarification of a standard and cannot determine whether a change to the standard is necessary or believes no change to a standard is needed to achieve clarity sufficient for implementation of the standard, then a request for interpretation should be submitted. However, if the individual is seeking a change to a standard, a Data Maintenance (DM) Request should be submitted rather than a request for interpretation (see Chapter II:3 in ASC X12, Standing Document 2: Operations Manual).

If during development of the proposed interpretation a need for revision of a standard is identified, the developing subcommittee submits a DM Request. Once approved, the revision is incorporated in the standard and published according to defined procedures (see Chapter II:3 in ASC X12, Standing Document 2: Operations Manual).

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Procedure

General Notes:

The Secretariat is responsible for the following:

- Monitoring the RFI status for timeliness of processing.
- Notifying the submitter of finalization of the RFI and the location of the response within the portal.
- Closing and documenting the RFI in the portal, the assigned SC(s), and PRB if the submitter withdraws the RFI.

The portal database maintains the official version of the proposed interpretation response.

1. The request for interpretation is created by submitting a request to the secretariat through the interpretation portal on the ASC X12 website.
 - a. The submitter can be anyone, ASC X12 membership is not required.
 - b. The submitter provides a comprehensive description of the aspect of the standard that an interpretation is requested on.
 - c. The submitter also provides a business case to explain the need for the interpretation. The affected standard is specified by title, reference number(s), version/release, and publication date.
2. The Secretariat (portal administrator) reviews and processes the interpretation request:
 - a. The Secretariat may contact the submitter for additional information if the request is not deemed clear or complete. The portal will be updated with any additional information supplied.
 - b. The request is reviewed to verify that it is not a duplicate of a previous request.
 - 1) If it is a duplicate, the submitter is supplied with the prior interpretation information and requested to confirm whether or not this answers the question.
 - a) If confirmed the question is answered, document this is duplicate to RFI # and close.
 - b) If confirmed the question is NOT answered, updated the request to clarify what is being asked.
3. The Secretariat forwards the request to the X12 Subcommittee with maintenance responsibility for the standard in question, requesting the SC assign a Project Delegate to the RFI. If the Secretariat is unclear as to the appropriate SC, they will consult with PRB to identify the primary SC for the RFI.
4. PRB is notified of the RFI, allowing other interested SCs to opt in on the response.

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5. The SC follows internal processes for the development and approval of the response.
 - a. If the SC needs additional information or clarification about the question to develop a response, they do so through the Secretariat.
 - b. If the RFI is an informal request, the SC verifies that all other interested SCs agree with the proposed response.
 - 1) Upon verification of agreement, the approved response is entered in the portal.
 - 2) The SC assigns the completed interpretation back to the Secretariat.
 - c. If the RFI is a formal request, the SC coordinates the response with all other interested SCs.
 - 1) Upon approval of all interested SCs, the formal response is entered as draft within the portal.
 - 2) The SC assigns the interpretation to TAS for continued review and approval.
6. TAS evaluates the proposed formal interpretation and takes one of the following actions:
 - a. Recommends the proposed interpretation go forward without change to the PRB for approval to publish. (Go to #8)
 - 1) The Secretariat assigns the RFI to PRB.
 - b. Recommends revision or provides other comments to the developing SC. (Go to #7)
 - 1) TAS recommendations are entered into the portal.
 - 2) The Secretariat assigns the RFI back to the SC.
7. The developing SC considers the TAS recommendations and takes one of the following actions:
 - a. Votes to proceed to the PRB without revision and reports this decision to TAS. (Go to #8)
 - 1) This decision is reported to TAS in order for the RFI to be placed on PRB agenda.
 - a) If TAS has technical issues with the way the developing SC has responded to TAS recommendations, TAS and the SC must work to resolve these issues.
 - b) If TAS takes procedural issue with the developing SC's response, the TAS PRB representative conveys to the PRB the TAS position on the issue.

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- b. Decides to revise the proposed interpretation:
 - 1) Develops revisions and updates the draft response in the portal.
 - 2) Coordinates the revision with all other interested SCs.
 - 3) Prepares a report of the SC response to TAS recommendations, itemizing each recommendation and stating the response to each, and listing any revisions made other than those recommended by TAS.
 - 4) Enters the report and a list of revisions into the tool defined for this purpose.
 - 5) Assigns the interpretation to the portal administrator who notifies TAS that revisions are ready for review. (Go back to #6)
- 8. The PRB takes one of the following actions:
 - a. Approves publication of the interpretation response to the submitter.
 - 1) The Secretariat updates the status in the portal to approved.
 - 2) The Secretariat notifies the submitter that the RFI is finalized.
 - b. Disapproves issuance of the proposed interpretation for procedural reasons and directs the developing SC to resolve the objections before returning to the PRB.(Go back to #5)

ASC X12 STEERING COMMITTEE POLICIES

Executive Committee of the ASC X12 Steering Committee Election Process

1.0 Election Process

- 2.1 The Chair and Vice Chair of the ASC X12 Committee shall assume their Executive Committee positions at the first Executive Committee Meeting following their election into their ASC X12 Committee positions. The Past Chair shall assume his/her Executive Committee position at the first Executive Committee Meeting following the end of their term as Chair.
- 2.2 Nominations for the three at large Executive Committee positions will be accepted 30 days prior to an election and may be received on the floor prior to the ballot, at the same Executive Committee Meeting of the election. Any Steering Committee voting member may be nominated.
- 2.3 The three at large Executive Committee members will be elected from the voting membership of the ASC X12 Steering Committee by a secret, majority vote of the ASC X12 Steering Committee.

In the event of a tie vote, ballots will be cast until a simple majority is concluded.

Steering Committee Meeting Ground Rules

1. Setting the Agenda

- a. Any interested party may request time on the agenda. Requests for agenda items must be received by the Secretariat before the established cut-off date, at least 5 weeks prior to each Steering Committee Meeting.
- b. Agenda items which require Steering Committee discussion/action must have adequate supporting documentation to be included on the agenda. Preferably, this documentation will be sent with the agenda, but may be sent separately as long as the timing limits are met. This requirement may be waived at a Steering Committee Meeting if a majority of members agree.
- c. A meeting design team (made up of the ASC X12 Chair, ASC X12 Vice-Chair, and the Secretariat President) will set the tentative agenda for each Steering Committee Meeting about 5 weeks before that meeting. The tentative agenda and supporting documentation will be distributed to members at least 4 weeks in advance.
- d. Status reports shall be provided at the ASC X12 Standing Meeting. Extensive reports should be in writing to facilitate accurate minutes and efficient verbal report outs.
- e. All agenda items will be timed. People sponsoring an agenda item can specify a period of time, but the meeting design team will budget time as needed to fit the time available.

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2. Steering Committee Meeting Conduct

- a. Steering Committee will hold at least two sessions during each ASC X12 Standing Meeting, once early during the meeting and once late during the meeting. Other sessions will be held as necessary and as noted in the tentative agenda.
- b. The agenda will be finalized as an early item of business at the first session. Once the agenda has been finalized, additional items may be added under "Old/New Business". A majority of members present must approve adding the discussion/action items.
- c. The Chair will lead the meeting; in his/her absence, the Vice-Chair will lead.
- d. No agenda item will be allowed to go more than 5 minutes past its allotted time without agreement of a majority of members present.
- e. Each agenda item will have a discussion leader who is responsible for ensuring that the discussion is completed within the allotted time. Members may participate freely in any discussions on the agenda; guests may speak only if recognized by the discussion leader.

Approved by:
ASC X12 Executive Committee May 11, 1993
ASC X12 Steering Committee October 7, 1993
Revised by ASC X12 Steering Committee February 3, 2011