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Accredited Standards Committee X12
Electronic Data Interchange
Organization and Procedures

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Accredited Standards Committee X12 Electronic Data Interchange

Organization and Procedures

1 GENERAL

1.1 Document Purpose.

This document defines the organization and operating procedures for the American National Standards Institute (ANSI) Accredited Standards Committee X12 on Electronic Data Interchange (EDI), hereafter referred to as X12. This document takes precedence over any other X12 documents that define organization or procedures.

This document meets the requirements for due process and development of consensus for approval of American National Standards as defined in the ANSI Essential Requirements.

1.2 Definitions of Terms Used. This section provides definitions and abbreviations for a number of terms used in this document.

- (1) **ANSI:** American National Standards Institute
- (2) **ANS:** American National Standard. A standard approved by ANSI
- (3) **BSR:** Board of Standards Review. The ANSI board responsible for approving proposed standards as American National Standards
- (4) **dpANS:** Draft proposed American National Standard. A standard approved by X12 as a candidate for an American National Standard
- (5) **X12 Standard:** A standard approved by X12, normally intended for subsequent submission to ANSI for approval as an American National Standard
- (6) **EDI:** Electronic Data Interchange, the exchange between organizational entities of computer processable data in a standard format
- (7) **Letter Ballot:** Vote taken at a place and time other than a meeting, including votes taken using electronic means
- (8) **PRB:** Procedures Review Board
- (9) **TAS:** Technical Assessment Subcommittee
- (10) **Straw Vote:** A non-binding vote taken to gain a sense of the voting members of a group on a particular issue
- (11) **UN/EDIFACT:** United Nations Electronic Data Interchange for Administration, Commerce and Transport: the international EDI standards approved and published under the auspices of the United Nations Economic Commission for Europe
- (12) **X12:** ANSI Accredited Standards Committee (ASC) X12 for Electronic Data Interchange

2 ACCREDITED STANDARDS COMMITTEE X12

2.1 X12 Scope. X12 develops, maintains, interprets, publishes and promotes the proper use of electronic business interchange standards. These standards may be based on, but are not limited to, the Electronic Data Interchange (EDI) or the Extensible Markup Language (XML) syntaxes.

Standards activities undertaken by X12 may encompass any subject area for which electronic business interchange standards can be developed. Subject areas include, but are not limited to, order processing, shipping and receiving, invoicing, payment and cash application data, transportation, product development, manufacturing, quality, marketing and data to and from

entities involved in finance, insurance, education, and state and federal governments. This includes activities leading to both American National Standards and international standards.

2.2 X12 Membership. The members of 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.

2.2.1 X12 Membership Categories. Membership categories shall be organization and individual. The Steering Committee may authorize sub-categories. Members shall elect to be a voting member or an informational member at the time of membership application or renewal. An informational member shall have all the rights and privileges of membership, except the right and responsibility to participate in X12 letter ballots and votes at X12 meetings. Voting membership may be changed to informational membership at any time.

2.2.2 Application for X12 Membership. An organization or individual who is otherwise eligible for membership may become a member by submitting the appropriate application form and paying on schedule the applicable dues. Individuals employed by organizations or who own businesses that have employees do not qualify for individual membership; however, the Steering Committee may approve a waiver of this restriction in individual cases. Subsets of an organization (e.g., a division of a company or a bureau of a government agency) may apply for separate organizational membership.

2.2.3 Interest Categories. When applying for membership, the applicant shall declare an interest category from among a list of interest categories approved by the Steering Committee. This interest category designation is used when reporting voting results to ANSI to demonstrate a reasonable balance of interests in the voting population.

2.2.4 X12 Member Representatives

2.2.4.1 Principal. Each organization member shall designate a principal representative who receives all X12 correspondence and, for voting members, votes for the member. The identity of the principal representative shall be provided to the secretariat in writing. An individual member is the principal representative.

2.2.4.2 Alternate. An organization member may also designate up to two alternate representatives. The role of the alternate is to represent and, where allowed, vote for the member in the absence of or in lieu of the principal representative.

2.2.4.3 Representing Multiple Organizations. A person may be the principal or alternate representative for more than one organization member, with the right to exercise that role for each organization member. Should this situation exist, the organizations involved shall be informed that they are being represented by the same person.

2.2.5 Termination of X12 Membership. Membership shall be terminated at the expiration of the member's dues period, unless the applicable dues are paid for the next period. The X12 Secretariat may establish a reasonable grace period during which membership privileges shall continue. A member may terminate membership during a dues period by writing to the X12 Secretariat. Dues shall not be refunded in such cases.

2.2.6 X12 Membership Dues. The membership dues structure and amounts shall be approved by the Steering Committee in coordination with the X12 Secretariat. A member may apply in writing for a waiver of dues if the member believes that the established dues impose a financial hardship. Such waivers shall require approval by the Steering Committee.

2.2.7 X12 Voting Member Responsibilities. Voting members shall have the responsibility to vote on the following matters:

- (1) Creating, reaffirming, revising and withdrawing an ANS
- (2) Creating, revising and withdrawing an X12 Standard
- (3) Creating, revising and withdrawing an X12 Guideline
- (4) Creating, revising and withdrawing X12 procedures, including this OPM
- (5) Creating and terminating, and changing the purpose or scope of an X12 subgroup
- (6) Electing and removing X12 officers
- (7) Reassigning the duties of the X12 Secretariat
- (8) Terminating X12
- (9) Other matters requiring X12 voting member action as provided for in these or other applicable procedures

2.3 X12 Officers. X12 officers shall be the X12 Chair and the X12 Vice-Chair.

2.3.1 Election of X12 Officers. X12 officers shall be elected at the last regularly-scheduled X12 meeting of odd-numbered years and shall assume their duties at the conclusion of that meeting.

2.3.2 X12 Officer Qualifications. An X12 officer shall be an individual member or an employee of an organization member. The X12 Chair and the X12 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.

2.3.3 Nominating Committee. The X12 Chair shall select and the Steering Committee shall confirm a nominating committee of at least three individuals to determine the slate of candidates for election as X12 officers.

2.3.4 X12 Officer Terms. X12 officers shall serve for two-year terms and shall be eligible for re-election.

2.3.5 Removal of X12 Officers. X12 officers may be removed from office by recommendation of the Steering Committee or by a petition of a group of X12 voting members equal to a quorum, and by vote of X12 voting members.

2.3.6 Filling Un-expired X12 Officer Terms. If an X12 officer position becomes vacant, the remainder of the un-expired term shall be fulfilled as follows:

2.3.6.1 X12 Chair. The X12 Vice-Chair shall assume the position of X12 Chair. If the X12 Vice-Chair is unable to assume the position, the X12 Chair shall form a nominating committee to select a replacement. The Steering Committee shall vote whether to approve the person nominated as the replacement.

2.3.6.2 X12 Vice-Chair. The X12 Chair shall nominate and the Steering Committee shall approve a replacement.

2.3.7 X12 Officer Principal Duties

2.3.7.1 X12 Chair

- (1) Communicating X12 official positions and representing X12 to external organizations
- (2) Chairing the Steering Committee
- (3) Ensuring prompt and efficient progress of X12 work
- (4) Overseeing the performance of the X12 Secretariat

- (5) Approving requests to waive payment of meeting registration fees
- (6) Extending letter ballot voting periods
- (7) Selecting X12 officer election nominating committee members
- (8) Nominating a replacement to fill an X12 Vice Chair vacancy
- (9) Appointing PRB at-large members

2.3.7.2 X12 Vice-Chair

- (1) Assisting the X12 Chair as needed
- (2) Presiding at meetings in the absence of the X12 Chair
- (3) Assuming the duties of the X12 Chair should the X12 Chair position become vacant.
- (4) Communicating the X12 official positions and representing X12 to external organizations in the absence or unavailability of the X12 Chair.
- (5) Chairing the PRB

2.4 X12 Meetings. X12 shall meet as a whole from time to time to conduct the official business of the committee.

2.4.1 X12 Quorum. Twenty percent of X12 voting members shall constitute a quorum for the purpose of conducting an official vote at a meeting. If a quorum is not present, actions may be taken subject to confirmation by letter ballot. An X12 voting member's proxy shall count for the purpose of determining a quorum.

2.4.2 Scheduling of X12 Meetings. The frequency and timing of regularly-scheduled X12 meetings shall be determined by the Steering Committee, but at least one X12 meeting shall be held each calendar year. A special X12 meeting may be called by vote of the Steering Committee or by petition of a number of X12 voting members equal to a quorum.

2.4.3 Open Attendance at X12 Meetings. Meetings of X12 as a whole and of all X12 subgroups shall be open to all people (members and non-members) having direct and material interest in the work of X12.

2.4.4 X12 Meeting Notice. The X12 Secretariat shall give X12 members at least 30 days notice of X12 meetings. A preliminary agenda shall accompany the meeting notice.

2.4.5 X12 Meeting Minutes Distribution. The X12 Secretariat shall make available minutes of official X12 sessions to X12 members no later than 30 calendar days after the meeting.

2.4.6 X12 Meeting Registration Fees. Both members and non-members may be charged a registration fee to attend meetings of X12 as a whole or of X12 subgroups. The X12 Steering Committee in coordination with the Secretariat shall approve the structure and amounts of any such fees. In individual cases, the X12 Chair may waive payment of meeting registration fees for a particular meeting (e.g., to allow subject-matter experts to participate in the development of a standard).

2.5 X12 Member Voting

2.5.1 X12 Member Motions. Any X12 voting member may submit a motion to be considered for X12 vote. Such motions shall be sent to the X12 Secretariat in writing addressed to the X12 Chair.

2.5.2 Authorization of an X12 Vote. Unless otherwise specified in this OPM, an X12 vote shall be authorized by the Steering Committee or by petition of a number of X12 voting members equal to a quorum. An X12 vote may be by letter ballot or by vote at an official X12 meeting, unless otherwise specified for certain types of votes in this OPM.

2.5.3 X12 Voting Positions. Unless otherwise noted in this OPM and except for election of X12 officers, voting positions on all issues shall be:

- (1) Approve
- (2) Approve, with comment
- (3) Disapprove, with reasons (the reasons for a negative vote shall be given and if possible should include specific wording or actions that would resolve the objection)
- (4) Abstain (comments may be included)

2.5.4 X12 Member Voting Eligibility. Each voting member shall be entitled to only one vote on any motion before X12. The vote shall be cast by the principal representative or an alternate if the principal representative fails to vote. Two or more organization members may appoint the same individual as their principal or alternate representative.

2.5.5 X12 Letter Ballots

2.5.5.1 Votes Requiring a Letter Ballot. Votes on the following issues shall be conducted via letter ballot:

- (1) Revising X12 procedures, including this OPM
- (2) Creating, reaffirming, revising or withdrawing an ANS, an X12 Standard, or an X12 Guideline
- (3) Creating or terminating an X12 subgroup, or revising the purpose or scope of an X12 subgroup
- (4) Reassigning the duties of the X12 Secretariat
- (5) Terminating X12

2.5.5.2 Voting Periods. Unless otherwise specified in this OPM, the letter-ballot voting period shall be 30 calendar days. In individual cases, the X12 Chair or the Steering Committee may authorize a voting period longer than normal.

2.5.6 Establishing a Voting Panel for dpANS ballots. X12 shall form a voting panel composed of X12 voting members who express an interest in voting on ballots related to creating, reaffirming or revising an ANS. X12 shall ensure that voting panels represent a reasonable balance of the interests of the X12 membership as a whole.

2.5.7 Voting at Official X12 Meetings

2.5.7.1 Notice of Vote. All documentation pertaining to an X12 vote at a meeting shall be distributed to X12 voting members at least 30 calendar days prior to the meeting.

2.5.7.2 Use of Proxies. Proxies shall be allowed for all votes taken at official X12 meetings. Proxies shall be put in writing.

2.5.8 X12 Vote Minimum Percent Approval. Unless otherwise specified in this OPM, all actions require approval by a simple majority of X12 voting members who vote, excluding abstentions.

2.5.8.1 X12 Votes Requiring Two-Thirds Approval. The following specific actions shall require approval by two-thirds of X12 voting members who vote, excluding abstentions:

- (1) Adopting or revising X12 procedures, including this OPM
- (2) Establishing an X12 subgroup or revising the purpose or scope of an X12 subgroup
- (3) Terminating X12
- (4) Reassigning the duties of the X12 Secretariat
- (5) Removing X12 officers from office

2.5.8.2 X12 Votes Requiring Ninety Percent Approval. Creating, reaffirming, or revising an X12 Standard or X12 Guideline shall require approval by 90% of X12 voting members who vote, excluding abstentions.

2.5.8.3 Percent Requirements for dpANS Voting. Creating, reaffirming, or revising an ANS shall require approval by at least a majority of the dpANS voting panel and by at least two-thirds of the dpANS voting panel members who vote, excluding abstentions.

2.5.9 Straw Votes. X12 votes may be designated as non-binding straw votes to gain the sense of X12 on an issue. Only X12 voting members may vote.

2.5.10 Reporting X12 Voting Results. The final result of voting shall be reported in the minutes of the X12 meeting at which a vote occurred or the X12 meeting following the close of a letter ballot period.

2.6 Representation Role. Only the X12 Chair may represent X12 to external organizations, but the X12 Chair may designate someone else to carry out this authority.

2.7 Termination of X12. A proposal to terminate X12 may be made by any directly or materially affected individual or organization. The proposal shall be submitted in writing to the X12 Secretariat and to ANSI Staff and shall include at least the following:

- (1) Reasons why the committee should be terminated
- (2) The name(s) of the organization(s) that will assume responsibility for maintenance of the ANSs that are the responsibility of X12

After discussion with the proponents of the action, the X12 Secretariat, and ANSI, the Steering Committee shall decide whether to submit the proposal to X12 voting members for vote. Concurrently, the proposal shall be announced for comment in ANSI *Standards Action*.

3 X12 SECRETARIAT

3.1 Responsibilities. The X12 Secretariat shall assist X12 by:

- (1) Maintaining accreditation in accordance with ANSI requirements, including submission of the X12 member roster
- (2) Ensuring X12 compliance with approved X12 procedures, including this OPM
- (3) Maintaining a roster of X12 members and a list of standards for which the X12 is responsible
- (4) Performing administrative work, including preparing meeting notices, agendas and minutes; arranging meeting logistics; preparing and processing ballots; preparing draft standards; maintaining adequate records; administering document control
- (5) Submitting candidate standards approved by X12, with supporting documentation, for ANSI designation as ANSs
- (6) Publishing or causing to be published all X12 documents, including standards, guidelines and technical reports, etc. on behalf of X12
- (7) Performing other administrative functions as determined by the X12 Steering Committee

3.2 Specification of X12 Secretariat Duties. The Steering Committee shall be responsible for approving the administrative duties to be performed by the X12 Secretariat on behalf of X12, except those required by ANSI to fulfill the official requirements of an ASC secretariat. The X12 Chair shall oversee the X12 Secretariat's performance of its duties in support of X12.

3.3 Reassignment of X12 Secretariat Duties. An initiative to reassign X12 Secretariat duties to another organization shall be submitted for approval by X12 voting members before such reassignment may take place.

4 X12 SUBGROUPS

X12 may authorize the formation of subgroups of the X12 Committee to perform certain specified duties on behalf of X12. X12 subgroups shall be subcommittees, the Steering Committee and the PRB.

4.1 Subcommittees

4.1.1 Subcommittee Creation and Termination. The creation and termination of subcommittees require approval by X12 voting members.

4.1.2 Subcommittee Inactivation and Reactivation. A subcommittee may become inactive in lieu of termination if it intends to become active again at some point in the future. Inactivation requires approval by the subcommittee and the Steering Committee. While inactive, subcommittee representation in such subgroups as the Steering Committee, PRB and TAS shall be suspended. Subcommittee work product maintenance responsibility shall be temporarily transferred to one or more other subcommittees. The Steering Committee shall review subcommittee inactive status every 12 months to determine whether to continue inactivation or to reactivate or terminate the subcommittee. A subcommittee shall not be in inactive status for longer than three years. Subcommittee reactivation requires approval by the Steering Committee at which point work product maintenance responsibility shall be returned.

4.1.3 Subcommittee Purpose and Scope. The original purpose and scope at time of creation and any changes to the purpose and scope of an existing subcommittee shall be submitted for approval by X12 voting members.

4.1.4 Subcommittee Procedures. A subcommittee's activities shall be governed by subcommittee procedures approved by the subcommittee and the Steering Committee. These subcommittee procedures shall comply with those in this OPM and with all other applicable X12-approved procedures. Changes in subcommittee procedures shall be submitted for approval by the subcommittee and the Steering Committee.

4.1.5 Subcommittee Membership

4.1.5.1 Open Membership. Any X12 member may become a subcommittee member. Membership may be by organization or by individual as specified in subcommittee procedures. If membership is by organization, a person may represent more than one organization. Subcommittees may impose an attendance requirement to attain and retain membership.

4.1.5.2 Subcommittee Membership in TAS. In addition to open membership, each subcommittee is automatically a member of TAS. Subcommittees may appoint principal and alternate representatives but only one person may represent a subcommittee at any given time for voting purposes. Although attendance at TAS meetings is expected, subcommittee membership in TAS shall not be lost by not attending TAS meetings.

4.1.6 Subcommittee Responsibilities

4.1.6.1 Responsibilities of All Subcommittees

- (1) Developing proposed and maintaining existing ANSs, X12 Standards, X12 Guidelines and Technical Reports
- (2) Preparing official interpretations of documents for which the subcommittee is responsible
- (3) Reviewing externally-developed standards for processing as ANSs, X12 Standards, X12 Guidelines and Technical Reports
- (4) Contributing to the development of UN/EDIFACT standards within the subcommittee's area of responsibility

- (5) Providing technical liaison on behalf of X12 with other organizations involved in activities related to the subcommittee's responsibilities

4.1.6.2 Additional Responsibilities of TAS. In addition to its responsibilities as a subcommittee, TAS shall have the following additional responsibilities:

- (1) Maintaining X12 design rules and guidelines
- (2) Coordinating the disposition of requests for changes to X12 products (e.g., X12 Standards, X12 Guidelines, etc).
- (3) Ensuring X12 design rules and guidelines and X12 syntax rules are adhered to during the development and maintenance processes for X12 products.

4.1.7 Subcommittee Officers. Subcommittee officers shall consist of a chair, vice-chair, recording secretary and representatives to PRB and TAS. Subcommittees may have more than one recording secretary.

4.1.7.1 Election of Officers. The subcommittee chair and vice-chair shall be elected by subcommittee members. All other officers shall be appointed by the subcommittee chair, unless otherwise specified in subcommittee procedures.

4.1.7.2 Officer Qualifications. All officers other than the recording secretary shall be subcommittee members. The recording secretary shall be either a subcommittee member or a member of the X12 Secretariat staff. The subcommittee chair and vice-chair shall not both be employees of or represent the same X12 organization member or be employees of two X12 organization members that are subsets of one another. An employee includes the owner of an X12 organization member that is a business.

4.1.7.3 Terms of Office. The subcommittee chair and vice-chair shall serve for two-year terms and shall be eligible for re-election, unless term limits are specified in subcommittee procedures. The terms of all other officers shall be indefinite, unless otherwise specified in subcommittee procedures.

4.1.7.4 Officer Voting Privilege. All subcommittee officers may vote on subcommittee matters, except the chair may vote only to break a tie vote and the recording secretary may not vote if this person is a member of the X12 Secretariat staff.

4.1.7.5 Removal from Office. Elected subcommittee officers may be removed from office by vote of subcommittee members as specified in subcommittee procedures. Appointed officers may be removed by the subcommittee chair.

4.1.8 Subcommittee Meetings.

4.1.8.1 Meeting Scheduling. The frequency and timing of regular meetings shall be approved by the subcommittee, but at least one subcommittee meeting shall be held each calendar year. Special meetings may be called by the subcommittee chair or by approval of a simple majority of the subcommittee. Meetings need not coincide with official X12 meetings. Meetings may be conducted electronically.

4.1.8.2 Meeting Notice and Preliminary Agenda. For regularly scheduled meetings, a meeting notice and a preliminary agenda shall be distributed to subcommittee members at least 15 calendar days prior to meetings. For special meetings, these shall be distributed to subcommittee members at least 60 calendar days prior to meetings, unless a majority of subcommittee members approves a shorter notification period.

4.1.8.3 Quorum. Quorum requirements may be defined in subcommittee procedures but shall be at least twenty percent of subcommittee voting members. A quorum is required to conduct

official business. If a quorum is not present, actions may be taken subject to confirmation by letter ballot.

4.1.8.4 Distribution of Meeting Minutes. Subcommittee meeting minutes shall be made available to subcommittee members, the Steering Committee and the X12 Secretariat no later than 30 calendar days after meetings are held.

4.1.9 Subcommittee Voting

4.1.9.1 Voting Methods. Subcommittees shall vote by letter ballot or by vote at official subcommittee meetings. The choice of voting method shall be determined by the subcommittee chair unless otherwise specified in subcommittee procedures.

4.1.9.2 Voting Positions. Voting positions for subcommittee votes shall be at a minimum: approve, disapprove, or abstain. Additional positions may be authorized in subcommittee procedures.

4.1.9.3 Voting Eligibility. Each subcommittee member shall be entitled to only one vote. If membership is by organization, a person may cast a separate vote for each organization represented.

4.1.9.4 Letter Ballots. Voting periods may be specified in subcommittee procedures but shall be no less than 15 calendar days. A minimum ballot return equal to a quorum shall be required for a vote to be official.

4.1.9.5 Use of Proxies. Proxies shall be allowed for votes taken at official subcommittee meetings unless otherwise disallowed by subcommittee procedures. Proxies shall be in writing. Assigning a proxy to someone shall not eliminate the need to meet any subcommittee meeting attendance requirements to retain membership in the subcommittee.

4.1.9.6 Minimum Percent Approval. Approval by at least a simple majority of subcommittee members who vote, excluding abstentions, shall be required to approve a motion. A higher percentage approval may be specified in subcommittee procedures.

4.1.9.7 Straw Votes. Subcommittee votes may be designated as non-binding straw votes to gain the sense of the subcommittee on an issue.

4.1.10 Subcommittee Task Groups. Subcommittees may establish task groups to assist in performing subcommittee responsibilities. All work of task groups require approval by their parent subcommittees.

4.1.10.1 Subcommittee Task Group Procedures. If subcommittee task groups have charters or operating procedures, these shall be approved by the parent subcommittee.

4.1.10.2 Delegation of Subcommittee Authority. Subcommittees may delegate to task groups the authority to act on behalf of the subcommittees. In these cases actions by task groups carry the authority of their parent subcommittees.

4.1.10.3 Subcommittee Task Group Officers. Subcommittee chairs shall have the authority to appoint and remove task group chairs unless otherwise specified in subcommittee procedures. Subcommittee task groups may have co-chairs. Terms of office for task group chairs shall be indefinite unless otherwise specified in subcommittee procedures. Task group chairs may appoint vice-chairs and recording secretaries, if desired.

4.1.11 Subcommittee Support Services

Subcommittees and subcommittee sub-groups in need of publishing, technical or other kinds of support services must submit such requests to the Secretariat for fulfillment.

4.2 Steering Committee

4.2.1 Steering Committee Responsibilities.

- (1) Reviewing and recommending for X12 voting member ballot:
 - A. Adopting and revising X12 procedures, including this OPM
 - B. Creating and terminating X12 subgroups, including adopting and revising the purpose and scope of these subgroups
 - C. Terminating X12
 - D. Reassigning X12 Secretariat duties
- (2) Providing recommendations to the X12 Secretariat for the annual operating budget.
- (3) Authorizing X12 votes other than those specified in this OPM, including authorizing ballot periods longer than normal.
- (4) Confirming the results of ballots concerning X12 procedures and setting the effective date of procedure changes
- (5) Planning and coordinating the work of X12
- (6) Determining the schedule of X12 meetings and calling special X12 meetings
- (7) Approving the duties of the secretariat in support of X12
- (8) Determining the schedule for processing proposed ANSs
- (9) Assigning liaison responsibilities
- (10) Approving X12 membership dues structure and amounts, and the waiver of dues payment
- (11) Approving X12 meeting registration fees structure and amounts.
- (12) Approving X12 membership categories (including the rights and privileges of each) and interest categories
- (13) Approving X12 policies
- (14) Approving changes to X12 subgroup procedures
- (15) Approving the individual to fulfill the unexpired term of the X12 Chair and the X12 Vice-Chair
- (16) Confirming the composition of the nominating committee for X12 officer election
- (17) Performing other duties as may be defined in these or other applicable X12 procedures
- (18) Approving a waiver to allow an individual employed by a non-member organization to become an individual member
- (19) Elect at-large members of the Executive Committee

4.2.2 Steering Committee Membership and Officers

- (1) X12 Chair, who shall also serve as the Steering Committee Chair
- (2) X12 Vice-Chair, who shall also serve as the Steering Committee Vice-Chair
- (3) Chair of each X12 subcommittee
- (4) Immediate past X12 Chair and Vice-Chair (limited to a single two-year term)
- (5) Chair of each Steering Committee task group
- (6) X12 Secretariat staff representative
- (7) Recording secretary, appointed by the Steering Committee Chair

4.2.3 Steering Committee Voting Privileges

4.2.3.1 Steering Committee Official Vote. All Steering Committee members may vote except the chairs of Steering Committee task groups, the X12 Secretariat staff representative and the recording secretary. The Steering Committee Chair may vote only to break tie votes.

4.2.3.2 Steering Committee Straw Vote. Steering Committee votes may be designated as non-binding straw votes to gain the sense of the Steering Committee on an issue. All Steering Committee members may vote.

4.2.4 Steering Committee Meetings.

4.2.4.1 Meeting Scheduling. The frequency and timing of regular meetings shall be approved by the Steering Committee. Special meetings may be called by the Steering Committee Chair or by approval of a simple majority of the Steering Committee. Meetings need not coincide with official X12 meetings. Meetings may be conducted electronically.

4.2.4.2 Meeting Notice and Preliminary Agenda. For regularly scheduled meetings, these shall be distributed to Steering Committee members at least 15 calendar days prior to meetings. For special meetings, these shall be distributed to Steering Committee members at least 60 calendar days prior to meetings unless a simple majority of the Steering Committee voting members approve a shorter notification period.

4.2.4.3 Quorum. A quorum of the Steering Committee shall be a simple majority of voting members. A quorum is required to conduct official business. If a quorum is not present, actions may be taken subject to confirmation by letter ballot.

4.2.4.4 Designating a Substitute. A Steering Committee member representing an X12 subgroup or a Steering Committee task group may designate a substitute from that group's membership to attend a Steering Committee meeting. This person shall have the same rights as the Steering Committee member while at the meeting.

4.2.4.5 Distribution of Meeting Minutes. Meeting minutes shall be made available no later than 30 calendar days after meetings are held.

4.2.5 Steering Committee Voting Process. The Steering Committee shall vote by letter ballot or by vote at official meetings; voting method shall be determined by the Steering Committee Chair. Voting positions shall be approve, disapprove, or abstain. Letter ballot voting periods shall be at least 15 calendar days and a minimum ballot return equal to a quorum shall be required for a vote to be official. Approval by a simple majority of Steering Committee members who vote, excluding abstentions, is required for a motion to be approved.

4.2.6 Steering Committee Task Groups. The Steering Committee may establish task groups to assist in performing its responsibilities. All work of Steering Committee task groups is advisory to and shall be approved by the Steering Committee.

4.2.6.1 Steering Committee Task Group Procedures. If Steering Committee task groups have charters or operating procedures, these shall be approved by the Steering Committee.

4.2.6.2 Delegation of Steering Committee Authority. The Steering Committee may delegate to task groups the authority to act on its behalf; in these cases, actions by task groups carry the authority of the Steering Committee.

4.2.6.3 Steering Committee Task Group Officers. The Steering Committee Chair shall have the authority to appoint and remove the chairs of Steering Committee task groups. Steering Committee task groups may have co-chairs. The task group chair may appoint a vice-chair and a recording secretary, if desired. The term of office of task group officers shall be indefinite.

4.2.7 Executive Committee. The Steering Committee may form an Executive Committee to assist in carrying out its responsibilities. If the Executive Committee has a charter or operating procedures, these shall be approved by the Steering Committee. Work by the Executive

Committee is advisory to and shall be approved by the Steering Committee, unless specific responsibilities have been delegated to the Executive Committee by the Steering Committee.

4.2.7.1 Membership. The Executive Committee shall be composed of three ex officio members, the X12 Chair, X12 Vice-Chair, and the most recent past X12 Chair (if still a member of the Steering Committee), and three at-large members, elected by the Steering Committee, who shall be voting members of the Steering Committee. The X12 Chair shall serve as Executive Committee Chair.

4.2.7.2 Election of At-Large Members. At-large members of the Executive Committee shall be elected at the first Steering Committee meeting following the election of the X12 Chair and X12 Vice-Chair. At-large members shall serve for a two-year term.

4.2.7.3 Removal from Membership. Executive Committee members, other than the X12 Chair and X12 Vice-Chair, may be removed from membership on the Executive Committee by a approval of two-thirds of Steering Committee voting members who vote, excluding abstentions. The Steering Committee may impose a meeting-attendance requirement as a condition for continued membership on the Executive Committee.

4.2.7.4 Filling Un-expired Terms. If an Executive Committee position becomes vacant, the remainder of the un-expired term shall be fulfilled as follows:

- (1) **X12 Chair and X12 Vice-Chair.** Replacement on the Executive Committee is governed by rules for fulfilling un-expired terms of these X12 positions.
- (2) **Past X12 Chair.** The past X12 Chair shall not be replaced.
- (3) **At-Large Members.** The Steering Committee shall elect a replacement, who shall be a voting member of the Steering Committee.

4.2.7.5 Meetings. Executive Committee meetings may be called with at least 30 calendar days notice by the Executive Committee Chair or by agreement of a number of Executive Committee members equal to a quorum. A quorum shall be a simple majority of the Executive Committee. A quorum shall be present for official votes to take place. Executive Committee members may not designate a substitute to represent them at Executive Committee meetings. Meetings may be conducted electronically.

4.2.7.6 Voting. The Executive Committee votes shall be by letter ballot or by vote at official Executive Committee meetings. The choice of voting method shall be determined by the Executive Committee Chair. Each Executive Committee member is entitled to one vote, except the Executive Committee Chair shall vote only to break a tie vote. Letter ballot voting periods shall be no less than 15 calendar days and a minimum ballot return equal to a quorum shall be required for a vote to be official. Approval by at least a simple majority of Executive Committee members who vote, excluding abstentions, shall be required to approve a motion.

4.2.8 Steering Committee Support Services

The Steering Committee and Steering Committee sub-groups in need of publishing, technical or other kinds of support services must submit such requests to the Secretariat for fulfillment.

4.3 Procedures Review Board (PRB)

4.3.1 PRB Responsibilities. The PRB shall be responsible for ensuring compliance with X12 procedures and shall approve the following for X12 ballot, ANSI public review and publication, as appropriate:

- (1) Original and revised project proposals
- (2) Proposals to create, revise, reaffirm or withdraw an ANS
- (3) Proposals to create, revise, reaffirm or withdraw an X12 Standard

- (4) Proposals to create, revise, reaffirm or withdraw an X12 Guideline
- (5) Proposed X12 interpretations

4.3.2 PRB Membership. The PRB shall consist of the following members:

- (1) X12 Vice-Chair
- (2) One representative from each subcommittee
- (3) Up to three at-large members as appointed by the X12 Chair and confirmed by the PRB (one-year term)
- (4) X12 Secretariat staff representative

4.3.3 PRB Officers. The X12 Vice-Chair shall serve as the PRB Chair. The PRB shall elect a PRB Vice-Chair, who may be any voting member of the PRB other than the X12 Vice-Chair. The term of office of the PRB Vice-Chair shall be one year. The X12 Secretariat staff representative shall serve as the recording secretary for an indefinite term.

4.3.4 PRB Voting Privileges. All PRB members may vote except the recording secretary. The PRB Chair may vote only to break tie votes.

4.3.5 PRB Meetings

4.3.5.1 Meeting Scheduling. The frequency and timing of regular meetings shall be approved by the PRB. Special meetings may be called by the PRB Chair or by approval of a simple majority of the PRB. Meetings need not coincide with official X12 meetings. Meetings may be conducted electronically.

4.3.5.2 Meeting Notice and Preliminary Agenda. For regularly scheduled meetings, these shall be distributed to PRB members at least 15 calendar days prior to meetings. For special meetings, these shall be distributed to PRB members at least 60 calendar days prior to meetings unless a simple majority of PRB members approves a shorter notification period.

4.3.5.3 Quorum. A quorum of the PRB shall be a simple majority of voting members unless a higher percentage is specified in PRB procedures. A quorum is required to conduct official business. If a quorum is not present, actions may be taken subject to confirmation by letter ballot.

4.3.5.4 Designating a Substitute. A PRB member representing an X12 subgroup may designate a substitute from that group's membership to attend a PRB meeting. This person shall have the same rights as the PRB member while at the meeting.

4.3.5.5 Distribution of Meeting Minutes. Meeting minutes shall be made available no later than 30 calendar days after meetings are held.

4.3.6 PRB Voting. The PRB shall vote by letter ballot or by vote at official PRB meetings; voting method shall be decided by the PRB Chair unless otherwise specified in PRB procedures. Voting positions shall be approve, disapprove, or abstain. Letter ballot voting periods shall be at least 15 calendar days and a minimum ballot return equal to a quorum shall be required for a vote to be official. Approval by a simple majority of PRB members who vote, excluding abstentions, is required for a motion to be approved, unless a higher percentage is specified in PRB procedures.

4.3.7 PRB Task Groups. The PRB may establish task groups to assist in performing its responsibilities. All work of PRB task groups is advisory to and shall be approved by the PRB.

4.3.7.1 PRB Task Group Procedures. If PRB task groups have a charter or operating procedures, these shall be approved by the PRB.

4.3.7.2 Delegation of PRB Authority; The PRB may delegate specific duties to task groups; in these cases, the work of task groups carry the authority of the PRB.

4.3.7.3 PRB Task Group Officers. The PRB Chair shall appoint the chairs of PRB task groups; PRB task groups may have co-chairs. The task group chair may appoint a vice-chair and a recording secretary, if desired. The term of office of task group officers is indefinite unless specified otherwise in PRB procedures.

5. PRODUCTS OF X12

X12 develops and maintains several types of products: American National Standards for EDI, X12 Standards, X12 Guidelines, and Interpretations. In addition, X12 subcommittees develop and maintain Technical Reports. The procedure for the development, revision, reaffirmation and withdrawal of American National Standards for EDI is described in this section of the OPM. The process by which X12 Standards, X12 Guidelines, and Interpretations are developed, revised, reaffirmed and withdrawn is described in Standing Document 2: Operations Manual.

5.1 American National Standards. This designation is reserved for publications that have satisfied ANSI requirements to be so designated, as specified in the ANSI Essential Requirements (latest version). The source of a new ANS is normally an existing X12 Standard but can also be an externally developed standard, for example a UN/EDIFACT standard. When approved by ANSI, an ANS must be revised, reaffirmed, or withdrawn within five years of approval, according to procedures provided in this section. At any point prior to ANSI approval of an ANS, the X12 Steering Committee may interrupt the process and refer the project for further work at the X12 Standard level, or may abort the project.

5.1.1 Development or Revision of an ANS. These procedures shall be used for the development or revision of an ANS.

5.1.1.1 Plan Initiation. Approximately three years after approval by ANSI of an ANS (or at any time for a new ANS), the Secretariat shall draft a plan and time table for the next ANS approval cycle.

5.1.1.2 Selection Of ANS Candidates.

Early in the planning process, subcommittees should review all X12 Standards, project proposals, and any other current or potential work items in their area of responsibility. A schedule of development and maintenance work should be created to meet that cutoff dates for new or proposed X12 Standards and maintenance on existing X12 Standards, to be included in the designated Release.

As per the schedule, the X12 Steering Committee shall direct the responsible subcommittees to indicate those X12 Standards, included in the designated Release, that should be considered for dpANS status. Subcommittees may elect to designate all of their X12 Standards as candidates or may elect to keep one or more of them at the X12 Standard level.

The responsible subcommittees shall select candidates, and report the list of candidates, in writing, to the Steering Committee and the Secretariat. The subcommittees shall also identify Project Delegates for the purpose of coordinating the work effort.

The Steering Committee shall approve the list of candidates from all subcommittees and direct the Secretariat to create a preliminary dpANS(s) based upon the list.

5.1.1.3 dpANS PROCESS.

After the designated Release has been approved for publication by the PRB and the Steering Committee has approved a list of dpANS(s) candidates, the Secretariat shall take the following actions:

- (A) Develop the content and format of the preliminary dpANS document(s) and issue it from the standards database. This document(s) will consist of the selected dpANSs from the designated X12 Standard Release, appropriate front matter and appendices.
- (B) Create necessary Transmittal Form(s) (TF).
- (C) Distribute the TF, preliminary dpANS document, and established schedule to appropriate subcommittee chairs and project delegates.

The responsible SC shall take the following actions according to the established schedule:

- (A) Review the preliminary dpANS document(s) to ensure that all of their dpANS(s) are included and correctly represented. If errors are found, the Project Delegate or SC chair shall immediately notify the Secretariat so that necessary corrections can be made to the data base. If corrections are made, the Secretariat shall send corrected pages to the SC for review.
- (B) In coordination with the Secretariat, review for accuracy a roster of the SC membership as of the date the SC approves the dpANS. This roster shall be kept with the dpANS(s) administrative file at the Secretariat.
- (C) Submit the updated TF, SC membership roster and any corrections of the dpANS to the Secretariat by the date specified in the established schedule.

The Secretariat shall make any corrections to the dpANS and submit the dpANS and all appropriate TFs to the PRB as proof that the SCs have completed their work and the dpANS is ready for X12 vote and public review.

5.1.1.4 PRB Approval.

The PRB shall review the dpANS(s) and TF(s) to ensure that X12 procedures have been followed and that the dpANS is ready for concurrent X12 vote and public review. The vote to approve the dpANS can be done at a meeting or by ballot. The PRB shall take one of the following actions:

- (A) Approve the dpANS for X12 ballot and public review.
- (B) Disapprove the dpANS for X12 ballot and public review. If the PRB disapproves the dpANS, the PRB officers, the Secretariat, and a representative from each involved SC shall work to resolve the objections. When resolution is reached, the Secretariat shall ballot members of the PRB for approval to send the dpANS(s) out for X12 ballot and public review.

5.1.1.5 Voting Process. Evidence of consensus shall be determined through an X12 voting panel ballot and a public review, which may be conducted concurrently.

The Secretariat shall survey the voting membership to ascertain if they wish to vote on the dpANS. The survey period shall be at least 30-days. Fifteen days before the end of the survey period, the Secretariat shall send a reminder notice to all members who have not yet responded. All members not returning a survey form by the end of the survey period shall be categorized as "no interest"; members responding to the survey shall become the voting panel. The Secretariat shall review the list of respondents and ensure that the voting panel is representative of the membership.

5.1.1.5.1 X12 Vote. The ballot voting period shall be a minimum of 45 days. The Secretariat shall send a second notice at 30 days after the distribution date to all members that have not returned their ballot. Ballots shall be received within the voting period to be counted. In the event that sufficient ballots are not returned at the end of 45 days, the X12 Chair may extend the ballot period.

Voting on the dpANS(s) shall be by member ballot. The voting options are:

- (A) Approve.
- (B) Approve while making comments of an editorial nature.
- (C) Disapprove with comment. Each disapprove vote shall be accompanied by a comment which specifies the part or item of the dpANS that the voter disapproves.
- (D) Abstain.

For a member ballot, a majority of the ballots distributed, including abstentions, shall be returned or the issue is unresolved. A favorable vote by X12 is two-thirds approval of the ballots returned excluding abstentions.

5.1.1.5.2 Public Review

The public review of a dpANS is an ANSI requirement and helps to ensure that all persons who are directly and materially affected by the dpANS have an opportunity to comment on it. The public does not vote, but all comments received from the public fall under the same procedures as do comments from X12 members. Public review shall be conducted per ANSI Essential Requirements.

Upon approval of the PRB, the X12 Secretariat shall transmit to ANSI appropriate documentation for the dpANS and a request that notice of public review be announced in Standards Action. The public review period of the dpANS will be 45 days and commence with the publishing of the notice in Standards Action. Each comment shall be recorded as it is received and retained by the X12 Secretariat until the comment period is closed. The public review period may also be concurrent with the X12 voting period.

5.1.1.6 Resolution of Member and Public Review Comments and Disapprovals. Prompt consideration shall be given to the expressed views and objections of all participants, including those comments received from the public. An effort to resolve all expressed disapprovals shall be made, and each disapprover shall be advised of the disposition of the disapproval and the reasons therefor. In addition, each disapprover shall be informed that an appeals process exists.

When the balloting and public review period have closed, the Secretariat shall do the following:

- (A) Tally all ballots and post the tally to the appropriate TF. Any ballot or comment received by the Secretariat after the specified ballot closing date shall not be counted in the tally. Late comments shall be sent to the appropriate SC for future consideration. Those submitting late comments shall be notified by the Secretariat that their comments shall not be included in this comment resolution process.
- (B) Forward to the responsible SC Chair and Project Delegate the TF and applicable comments from members and the public.
- (C) Prepare a report of the results of the ballot and public review for the Steering Committee.

The responsible SC shall evaluate all ballot comments and disapprovals. Prompt consideration shall be given to all comments regardless of where they originate and an effort shall be made to resolve all expressed objections. SCs not adhering to scheduled deadlines for the development of responses shall place their dpANS in jeopardy of being eliminated as a dpANS candidate by the Steering Committee.

Comments and disapprovals that request increased functionality in a dpANS shall not prevent the dpANS from going forward to attain ANS status. Such changes may be made at the X12 Standard level.

Any dpANS that is not syntactically correct or does not follow current design rules shall be corrected in order to remain a dpANS. The SC may elect to remove the dpANS from the dpANS package and make all changes at the X12 Standard level. The change would then be considered at the next X12 Standard approval cycle.

The SC may decide to make substantive changes to the dpANS in order to satisfy an objection. A substantive change is any modification that would cause a change in the use of a standard or change the requirements for compliance with a standard. The change shall be approved by the SC and reviewed by TAS. All substantive changes shall undergo a 45-day public and X12 review

in order to afford them an opportunity to reaffirm or change their votes. NOTE: This would result in a difference between the X12 Standard and dpANS.

Per the approved schedule, SCs shall meet to discuss and respond to all comments. Those submitting comments may be invited by the Secretariat to attend this meeting to discuss their comments. This meeting and discussion may result in the withdrawal of an objection. Any such withdrawal shall be in writing to the Secretariat. At this meeting the SC shall:

- A) Develop and approve written responses to all comments that have not been withdrawn, and update appropriate TF(s).
- (B) Forward the ballot comment response letter(s) and the TF(s) to the Secretariat with notice to proceed with the response review period.
- (C) Forward to the Secretariat an annotated copy of the dpANS indicating typographical corrections to be made (if any).

5.1.1.7 Response Review Period (30-Day). If there are unresolved disapprovals, the comments and responses shall be distributed to the entire consensus body for a 30-day review to afford them an opportunity to reaffirm or change their previous votes or comments.

When ballot and public review comment response letters are received by the Secretariat from SCs, the Secretariat shall:

- (A) Record receipt of the ballot comment response letter(s) and post this date to the TF.
- (B) Review the comment response materials for completeness. If not complete, notify the SC Chair and return the materials to the Project Delegate for additional work.
- (C) Forward response letter(s) to the commentor(s) for a 30-day response review. Response letters to those who voted disapprove shall include a form on which they may withdraw the objection (because the response answers their concern), or note that they continue to disapprove the dpANS with reasons for their continuing disapproval/objection.

At the end of the response review period, the Secretariat shall revise the vote tally and TF(s), as necessary, and send all adjusted vote tallies, TF(s), and any continuing disapprovals/objections to the appropriate SC Chair and Project Delegate. If there are no continuing objections or substantive changes, the Secretariat shall distribute to all PRB members the results of the review period.

As per the schedule, the SC Chair or Project Delegate shall write a comment disposition report describing their attempts to resolve any continuing disapproval(s)/objection(s).

5.1.1.8 Final Resolution Period (30-Day)

If there is a continuing disapproval(s)/objection(s), a comment disposition report(s), along with the original disapproval, SC response, continuing disapproval/objection, and any substantive change(s) shall be distributed to the voting panel and all public review commentors, by the Secretariat for a 30-day review period. If the dpANS has been changed because something has been eliminated, a notice of what has been eliminated shall be included in this distribution. This review period shall give all voters and commentors an opportunity to change their vote or withdraw their comment, based on SC responses and any substantive changes. All changes to votes or comments shall be received in writing by the Secretariat within the review period.

After the final resolution period, the Secretariat shall:

- (A) Update the vote tally(s) and TF(s), as necessary and send all adjusted vote tallies and TF(s) to the appropriate SC Chair and Project Delegate.
- (B) Distribute to all PRB members the comment dispositions reports for all continuing disapprovals/objections, along with the original disapproval, SC response and continuing disapproval/objection.

The PRB shall review all comment disposition report packages to ensure that all reasonable attempts have been made to resolve disapproval votes and comments, and that the dpANS is

ready to be sent to the ANSI Board of Standards Review (BSR). The PRB shall take one of the following actions:

- (A) Approve the dpANS(s) for submission to ANSI.
- (B) Disapprove the dpANS(s) for submission to ANSI.
- (C) If the PRB disapproves the dpANS(s), the PRB officers, the Secretariat, and a representative from each involved SC shall work to resolve the objections. When resolution is reached, the Secretariat shall ballot members of the PRB for approval to submit the dpANS(s) to ANSI.

5.1.1.9 ANSI Submission and Approval. Approval of an ANS requires verification by ANSI that the standard was developed in accordance with those X12 procedures in effect when X12 was last accredited. ANSI pays particular attention to whether due process was followed, consensus was achieved, and an effort was made to resolve any objections to the standard.

Per ANSI Essential Requirements, the Secretariat shall prepare the proper documentation (including any outstanding disapprovals) and submit the required forms to the ANSI Board of Standards Review (BSR).

Notice of the BSR's final action shall be published in Standards Action and announced to the X12 Committee. Any dpANS(s) not approved by the BSR shall revert to 5.1.1.7.

5.1.1.10 Publication of an ANS. Upon notification of approval by ANSI, the X12 Secretariat shall publish, or arrange for the publication of, approved ANSs on behalf of X12.

5.1.2 Retention of Records for an ANS. Records shall be prepared and maintained to provide evidence of compliance with these procedures. Records concerning a new, revised, or reaffirmed ANS shall be retained for one complete standards cycle, or until the ANS is revised. Records concerning withdrawn ANS shall be retained for at least five years from the date of withdrawal.

5.1.3 Reaffirmation of an ANS. If an ANS is not revised it may be reaffirmed for another 5 years following the same procedures as for development.

5.1.4 Withdrawal of an American National Standard. At any time in the five-year life of an American National Standard (ANS), the responsible X12 developing subcommittee may decide that it should be withdrawn. The process for withdrawing an ANS is similar to the process for approving it, in that, the groups that approved the document shall agree to withdraw the document.

5.1.5 Interpretation of an ANS. At any point a request for interpretation may be submitted by anyone. The request shall be in writing and submitted to the X12 Secretariat. X12 shall develop the interpretation using the same procedures as used for X12 Standards. When approved, interpretations become part of the ANS. Interpretations shall not be revised, reaffirmed or withdrawn.

5.2 X12 Standards. An X12 Standard is a standard approved by X12 which, although not required, is intended for subsequent submission to ANSI for approval as an ANS. Most standards are maintained as X12 Standards and only periodically submitted for consideration as a revised ANS.

5.2.1 Development of a New X12 Standard.

5.2.1.1 Initiation. Development of a new X12 Standard shall require PRB approval of a Project Proposal and assignment to one or more developing subcommittees.

5.2.1.2 Technical Assessment. Following development but prior to balloting, a new draft X12 Standard shall be reviewed for compliance with applicable design and syntax rules.

5.2.1.3 X12 Vote. New draft X12 standards shall be balloted to allow X12 voting members to determine whether they think the new standard should be published as developed.

5.2.1.4 Resolution of Comments and Disapprovals. An effort to resolve all expressed disapprovals shall be made, and each disapprover shall be advised of the disposition of the disapproval and the reasons therefor. In addition, each disapprover shall be informed that an appeals process exists.

5.2.1.5 Rebuttal Ballot. If there are unresolved disapprovals, the comments and responses shall be sent to the X12 voting members who previously voted for a 30-day review to afford them an opportunity to reaffirm, or change their previous votes or comments.

5.2.1.6 Substantive Change. If substantive changes are required to resolve disapprovals, the revised draft standard shall be reballoted.

5.2.2 Revision of X12 Standards. The PRB shall assign maintenance responsibility for an approved X12 Standard to a subcommittee (typically the developing subcommittee).

5.2.2.1 Change Requests. Requests for change to an X12 Standard may be submitted by anyone. Such requests shall be reviewed by the subcommittee with maintenance responsibility.

5.2.2.2 Technical Assessment. The proposed change shall be reviewed for compliance with applicable design rules and syntax prior to balloting.

5.2.2.3 X12 Vote. Proposed changes to X12 Standards shall be balloted to allow X12 voting members to determine whether they think the change is valid.

5.2.2.4 Resolution of Comments and Disapprovals. An effort shall be made to resolve all expressed disapprovals, and each disapprover shall be advised of the disposition of the disapproval and the reasons therefor. In addition, each disapprover shall be informed that an appeals process exists.

5.2.2.5 Rebuttal Ballot. If there are unresolved disapprovals, the comments and responses shall be sent to the X12 voting members who previously voted for a 30-day review to afford them an opportunity to reaffirm, or change their previous votes or comments.

5.2.2.6 Substantive Change. If substantive changes are required to resolve disapprovals, the revised change shall be reballoted.

5.2.3 Withdrawal of an X12 Standard. At any time an X12 Standard may be withdrawn following procedures detailed in Standing Document 2.

5.2.4 Publication of an X12 Standard. The X12 Secretariat shall publish, or arrange for the publication of, approved X12 Standards on behalf of X12.

5.2.5 Interpretation of an X12 Standard. At any point a request for interpretation may be submitted by anyone. The request shall be in writing and submitted to the X12 Secretariat. X12 shall develop the interpretation using procedures detailed in Standing Document 2. When approved, interpretations become part of the X12 Standard. Interpretations shall not be revised, reaffirmed or withdrawn.

5.3 X12 Guidelines. X12 Guidelines are not standards and are not intended to be used as such. X12 Guidelines may be produced to disseminate the technical and logical concepts reflected in standards already approved or under development, or to convey information on the “state of the art” as it relates to EDI, X12 Standards, or some aspect of the standards. Guidelines may

address such topics as EDI technology advances, relationships to other technologies, and technical architecture issues. Guidelines are not necessarily specific to a single X12 Standard or version/release of a standard.

X12 Guidelines shall be developed, revised, reaffirmed and withdrawn using the same X12 procedures as are used for X12 Standards. An approved X12 Guideline shall be revised or reaffirmed within five years of approval or shall be automatically withdrawn. X12 may withdraw an X12 Guideline at any time.

5.4 Subcommittee Technical Reports. Technical Reports are not standards, nor are these intended to be used as such. Technical Reports express the intent of the responsible X12 subcommittee on the usage of a specific X12 Standard or how a number of X12 Standards relate to one another.

Technical Reports shall be initiated and developed by subcommittees. Prior to publication, Technical Reports shall be reviewed by TAS to ensure consistency with the X12 Standard to which it refers. Technical Reports shall not require approval by the PRB or by X12 voting members prior to publication. A subcommittee may revise an existing Technical Report at any time but shall revise, reaffirm or withdraw a Technical Report within five years of approval. A Technical Report may be withdrawn by a subcommittee at any time.

6 UN/EDIFACT Standards.

X12 contributes to the development and maintenance of United Nations Standard Messages (UNSMs) under rules defined by the UN Centre for the Facilitation of Procedures and Practices for Administration, Commerce and Transport (UN/CEFACT) and according to any applicable X12 procedures.

7 LIAISON ACTIVITIES

7.1 Provision for Liaison. To achieve effective coordination of standards development and to avoid unnecessary overlap and duplication, X12 may provide liaison members to other standards developing groups or other organizations whose work is related to electronic data interchange concepts. Further, X12 may invite interested standards developers to provide liaison members to X12.

7.2 Authorization for Liaison. Liaison activities shall be approved by the Steering Committee. Any X12 subgroup may be assigned liaison responsibilities.

7.3 Liaison Reports. X12 subgroups having liaison responsibilities shall provide to the Steering Committee a report of liaison activities as appropriate, but such reports shall be provided at least once each year.

8 APPEALS

Persons who have directly and materially affected interests and who have been or will be adversely affected by any substantive or procedural action or inaction by X12 or the X12 Secretariat with regard to the development, revision, reaffirmation, or withdrawal of an ANS, X12 Standard, or X12 Guideline have the right to appeal. The burden of proof to show adverse effect shall be on the appellant. Appeals shall be directed to the X12 Secretariat.

ANSI will not normally hear an appeal of an action or inaction by X12 or the X12 Secretariat until the X12 appeal process has been completed. Such appeals shall be directed to ANSI in accordance with the procedures of the appropriate ANSI board or council.

8.1 Complaint. The appellant shall file a written complaint with the X12 Secretariat within 30 calendar days after the date of notification of action or at any time with respect to inaction. The complaint shall state the nature of the objection(s) including any adverse effects, the section(s) of this OPM or the standard(s) that are at issue, action(s) or instance(s) of inaction that are at issue, and the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts to resolve the objection(s) and the outcome of each shall be noted.

8.2 Response. Within 30 calendar days after receipt of the complaint, the respondent (X12 Chair or X12 Secretariat staff representative) shall respond in writing to the appellant, specifically addressing each allegation of fact in the complaint to the extent of the respondent's knowledge.

8.3 Hearing. If the appellant and the respondent are unable to resolve the written complaint informally, the X12 Secretariat shall schedule a hearing with an appeals panel on a date agreeable to all participants, giving at least 15 calendar days notice.

8.4 Appeals Panel. The appeals panel shall consist of three individuals who have not been directly involved in the dispute and who will not be materially or directly affected by any decision made in the dispute. At least two members shall be acceptable to the appellant and at least two members shall be acceptable to the respondent.

8.5 Conduct of the Hearing. The appellant has the burden of demonstrating adverse effects, improper action or inaction, and the efficacy of the requested remedial action. The respondent has the burden of demonstrating that X12 and the X12 Secretariat took all actions in compliance with this OPM and that the requested remedial action would be ineffective or detrimental. Each party may cite other pertinent arguments and members of the appeals panel may address questions to individuals.

8.6 Decision. The appeals panel shall render its decision in writing within 30 calendar days, stating findings of fact and conclusions, with reasons therefore, based on a preponderance of the evidence. Records of appeals shall be kept by the X12 Secretariat and made available to the involved parties. Consideration may be given to the following positions, among others, in formulating the decision:

- (1) Finding for the appellant, remanding the action to X12 or the X12 Secretariat with a specific statement of the issues and facts in regard to which fair and equitable action was not taken
- (2) Finding for the respondent, with a specific statement of the facts that demonstrate fair and equitable treatment of the appellant's objections
- (3) Finding that new, substantive evidence has been introduced, and remanding the entire action to X12 or the X12 Secretariat for appropriate consideration

8.7 Further Appeal. If the appellant gives notice that further appeal to ANSI is intended, a full record of the complaint, response, hearing and decision shall be submitted to ANSI by the X12 Secretariat.

9. METRIC POLICY

ASC X12 includes Units of the International System of Units (SI) and English measurements as needed by the users of the X12 standards. (ANSI's policy is: "Units of the International System of Units (SI), the modernized metric system, are the preferred units of measurement in American National Standards.")

10. PATENT POLICY

ASC X12 shall follow the ANSI Patent Policy (see *ANSI Essential Requirements, current edition*) when questions of patent arise.

11. PARLIAMENTARY PROCEDURES

On questions of parliamentary procedure not covered herein, Robert's Rules of Order (latest edition) shall be used to expedite due process.

12. CHANGES TO PROCEDURES

12.1 Confirmation of Ballot Results. If the results of a member ballot concerning changes to X12 procedures, including this OPM, satisfy approval requirements, the Steering Committee shall vote whether to confirm the results of the ballot. The intent is to allow the opportunity to not implement proposed procedure changes when there are meaningful, substantive comments received from the X12 membership that need to be resolved before implementing the procedure changes.

12.2 Effective Date. The Steering Committee shall decide the effective date of approved X12 procedure changes.