

**ASC X12X/TG3/97-063**

***Replaces ASC X12X/TG3/95-469A***

**ACCREDITED STANDARDS COMMITTEE X12**

**Electronic Data Interchange**

***STANDING DOCUMENT 2: OPERATIONS MANUAL***  
**DEVELOPMENT AND MAINTENANCE PROCEDURES**  
**for Standards, Interpretations, Guidelines**  
**and Technical Reports**

Supersedes: ASC X12X/TG3/95-469A  
Approved by X12 Members: January 22, 1997

## ***A NOTE ON THIS EDITION***

The revisions indicated in this edition of SD2 were developed by the Policies & Procedures Task Group (old O&PTG) of the X12 Steering Committee. Revisions have been made to update these procedures to reflect current X12 practices. Chapter V was added in preparation for processing Version 4 and is marked new but is not underlined.

## ***FOREWORD***

This X12 Standing Document was developed by the Policies & Procedures Task Group of the Accredited Standards Committee (ASC) X12 Steering Committee. The task group was charged with creating and maintaining a document to define—at a more detailed level than is practical in the ASC X12 Organization and Procedures manual (OPM)—the procedures for development and maintenance of X12’s major work products, which are EDI standards, interpretations, guidelines, and technical reports.

This document is intended to guide the members of ASC X12, its subcommittees, task groups, and interested individuals from the general public, who wish to contribute to the development and maintenance of ASC X12 standards and guidelines. It closely defines the responsibilities of the ASC X12 developing subgroups, X12 approval bodies, and the X12 Secretariat during development and maintenance activities.

When revisions are approved, the effective date will be indicated on the cover.

Suggestions for improvements to this Standing Document are welcome. They should be addressed to:

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## **CHAPTER I: GENERAL INFORMATION**

### **SECTION 1: INTRODUCTION**

- 1.1** The ASC X12 Organization & Procedures manual (OPM), which is approved by the membership of ASC X12 and by the American National Standards Institute (ANSI), broadly defines the operating procedures of ASC X12 in carrying out its mission.
- 1.2** These Standing Document 2 procedures define the critical approval levels that must be achieved before a document can be published as an ASC X12 Draft Standard for Trial Use (DSTU), an American National Standard (ANS), an ASC X12 interpretation, an ASC X12 Guideline, or Technical Report.
- 1.3** The OPM shall govern in the event of conflict between the OPM and the procedures defined herein. The OPM and X12 Standing Documents govern in the event of conflict between these documents and the constitutions/operating procedures of X12 subgroups. Appeals procedures are defined in the OPM.

### **SECTION 2: SCOPE**

- 2.1** This Standing Document 2 defines the procedures which shall be followed for development and maintenance of:  
  
American National Standards  
X12 Draft Standards for Trial Use for Electronic Data Interchange  
X12 Interpretations  
X12 Guidelines  
Technical Reports
- 2.2** The relationships between and the functions of the various X12 subgroups, the processing steps required, the approvals that must be achieved, and the responsibilities of the Secretariat in support of development and maintenance are described.
- 2.3** Procedures for development and maintenance of UN/EDIFACT standard messages, guidelines and interpretations are covered in *Standing Document 6, United Nations EDIFACT Standard Messages, Development and Maintenance Procedures*.

### **SECTION 3: GLOSSARY OF TERMS**

The ASC X12 documents cited in Section 2, and other terms, definitions, abbreviations, and acronyms used in this document are defined in this section.

#### **ACCREDITED STANDARDS COMMITTEE X12 (ASC X12)**

Accredited by ANSI in 1979, ASC X12, Electronic Data Interchange, is a voluntary standards group charged with developing American National Standards for electronic data interchange.

#### **AMERICAN NATIONAL STANDARD (ANS)**

An American National Standard for Electronic Data Interchange is a standard that has been approved by the ASC X12 Committee and has successfully gone through the ANSI specified, public review process and has been reviewed by the ANSI Board of Standards Review.

#### **AMERICAN NATIONAL STANDARDS INSTITUTE (ANSI)**

A national coordinator of voluntary standards for the United States. ANSI approves a standard only when it has verified evidence presented by the standard developer that those materially affected by the standard have reached substantial agreement (consensus) on its provisions.

#### **BALLOT**

Submission of a document or data maintenance to X12 members for approval. A ballot can be in either electronic form or hardcopy.

#### **BALLOT COMMENT RESPONSE LETTER**

A written communication from the subcommittee responsible for the balloted item, addressing comments received from X12 members.

#### **COMMENTOR**

An ASC X12 member who votes to "approve with comment" or "disapprove with comment" on a letter ballot.

#### **CONSENSUS**

Consensus is established when substantial agreement has been reached by directly and materially affected interests. Substantial agreement means much more than a simple majority, but not necessarily unanimity. Consensus requires that all views and objections be considered, and that a concerted effort be made toward their resolution.

X12 members are the final approval body for Draft Standards for Trial Use (DSTUs), and guidelines. Consensus may only be achieved when, after X12 vote and comment resolution, minimum approval percentages are met as specified later in this document. Approval of dpANS by X12 is specified in SD2:V.

## CONSTITUENT PART

A constituent part is a portion of a transaction set, segment, composite data structure, or data element such as a title, purpose and scope, contents of a position within a transaction set, or a sequential position within a segment.

## CORRECTION

Any modification which is made to remove an error or mistake in communication of a work item. A correction can result in a substantive change as defined later in this Glossary. Faults in the original design and intent of the developer(s) are excluded from this category.

## DATA MAINTENANCE (DM)

Term used to describe the X12 processes of evaluating, approving and recording revisions to the standards based on Work Requests. DM is the term used to identify a Work Request after a DM number has been assigned. See Work Request, DM Number.

## DESIGN RULES AND GUIDELINES

*ASC X12 Design Rules and Guidelines* is an X12 publication intended to assist standards developers in establishing uniformity in transaction set design and maintenance efforts. Part I contains rules that must be adhered to; Part II contains additional design suggestions which should be followed.

## DM NUMBER

Number assigned by the Secretariat to each Work Request received to identify the item in the standards database for tracking and audit purposes.

## DM STATUS REPORT

Lists the current status of all open DMs.

## DOCUMENT CONTROL NUMBER

Number assigned by the Secretariat to all X12-related documents and correspondence, for tracking purposes, which is posted to the document by the author, before it is distributed.

## DRAFT PROPOSED AMERICAN NATIONAL STANDARD (dpANS)

An X12 Draft Standard for Trial Use which has been approved by the developing subcommittee and the ASC X12 Steering Committee, as a candidate for American National Standard status. Notification to ANSI of such approval, as a draft proposed American National Standard (dpANS), initiates a public review process which, after comment resolution and ANSI approval, leads to publication of a new or revised American National Standard.

## DRAFT STANDARD FOR TRIAL USE (DSTU)

An X12 standard developed under the *ASC X12 Organization and Procedures Manual and Standing Document 2* which adheres to *ANSI Procedures for the Development and Coordination of American National Standards* and is approved by ASC X12 for publication and trial use implementation. Following this trial-use period, the DSTU, revised as necessary, may be submitted to ANSI for approval as an American National Standard (ANS).

## ELECTRONIC DATA INTERCHANGE (EDI)

Exchange of computer processable data in a standard format between organizational entities.

## GUIDELINE

An X12 Guideline may be developed to disseminate the technical and logical concepts reflected in standards approved or under development. Guidelines are not standards nor intended to be used as such; they are developed, approved, published and maintained in a fashion similar to DSTUs.

## INTERPRETATION

An official clarification of a standard consisting of a letter to the interpretation requester, developed by the ASC X12 subcommittee with maintenance responsibility for the standard in question.

## OPEN FORUM

Meeting sponsored by a subcommittee to discuss comments and disapprovals received during balloting of a proposed DSTU or guideline for which the subcommittee is responsible. The subcommittee or a designated task group attempts to resolve objections to the balloted document at the meeting. Commentors are invited to attend.

## ORGANIZATION AND PROCEDURES MANUAL (OPM)

ASC X12-approved document which explains the organization of the X12 Committee and outlines the procedures required by ANSI for development of American National Standards, DSTUs, guidelines and interpretations. The OPM is used by ANSI as the basis for the X12 Committee's accreditation.

## PAN AMERICAN EDIFACT BOARD (PAEB)

The PAEB serves as the coordination body of Pan American national standards bodies and provides a forum for Pan American representation and consensus to the Rapporteur. The PAEB serves as the Rapporteur Advisory and Support Team for the Pan American designated Rapporteur to the United Nations Working Party 4/Group of Experts 1.

## PINS (PROJECT INITIATION NOTIFICATION SYSTEM)

An ANSI system used by the Secretariat to notify ANSI and through its public review process other standards developers of the initiation of a new X12 development project expected to lead to approval of a new American National Standard, or revision or cancellation of such activity.

## PROCEDURES REVIEW BOARD (PRB)

Approval body with responsibility to ensure that due process was followed and consensus was reached during development and maintenance of ASC X12 DSTUs, dpANSs, guidelines and interpretations (see Chapter 1, Section 4).

## PROCEDURES REVIEW BOARD REPRESENTATIVE (PRB REP)

Designated subcommittee member assigned primary responsibility to represent the subcommittee on the PRB and for communications between the subcommittee and the PRB.

#### **PROJECT DELEGATE**

Designated subcommittee member assigned primary responsibility for communications between the Secretariat and the subcommittee on development of a particular project proposal.

#### **PROJECT PROPOSAL**

A written description of a proposed development activity for a new standard or guideline to be developed by an X12 subcommittee and approved by the PRB, which makes it an official X12 work item.

#### **PROPOSED DSTU, PROPOSED GUIDELINE**

Working paper which represents the subcommittee's current position on the document before PRB approval for publication.

#### **REBALLOT**

Resubmission of a document or data maintenance to X12 members for approval; rebalot invalidates the prior X12 ballot on the item.

#### **REBUTTAL BALLOT**

Resubmission of a document or data maintenance for approval to the X12 members who originally voted on the issue; required because of revisions or disapproval votes by the membership during the initial ballot for the item. This review gives members an opportunity to reaffirm or change their vote.

#### **SECRETARIAT**

Organization that administers and supports the development and maintenance activities of ASC X12 (see Chapter 1, Section 4).

#### **STANDARDS DATABASE**

Computer database maintained by the Secretariat which records information about and the status of each X12 standard, guideline, interpretation and DM.

#### **STANDARDS DEVELOPMENT WORKBOOK**

Publication containing all ASC X12 standards in the X12 standards database, including data maintenance, which have achieved PRB approval for X12 ballot. Used by X12 subgroups to aid in the development and maintenance of X12 standards by providing a current "snapshot" of the database and as supporting material for technical ballots. Not intended for implementation.

#### **STANDING DOCUMENT (SD)**

Document developed under the aegis of the ASC X12 Steering Committee. SDs may define procedures and policies, list recommendations, and provide other information about the ASC X12 Committee and X12 subgroups and activities.

#### **STATUS REPORT**

Lists the current status of all X12 Committee development activities and is maintained and published regularly by the Secretariat.

#### **SUBCOMMITTEE (SC)**

Subgroup of ASC X12 with development and maintenance responsibility for project proposals, DSTUs, ANSs, guidelines, technical reports, and interpretations within its approved purpose and scope.

#### **SUBGROUP**

A term which can be used to refer to an organizational entity at any level within the X12 Committee, such as subcommittee, task group, work group, etc. It is assigned responsibility for work related to the scope or mission of its parent organization.

#### **SUBSTANTIVE CHANGE**

Any modification which would cause a change in the use of a standard or change the requirements for compliance to that standard.

#### **TASK GROUP (TG)**

A subset of an X12 subgroup charged with responsibility for work related to a portion of the scope or mission of the parent organization and for reporting to its parent organization.

#### **TECHNICAL ASSESSMENT SUBCOMMITTEE (TAS) (X12J)**

The technical review body of X12 responsible for reviewing all new development and modifications to the X12 standards to ensure adherence to the most recently approved syntax and design rules. (See Chapter 1, Section 4.)

#### **TECHNICAL ASSESSMENT SUBCOMMITTEE REPRESENTATIVE (TAS REP)**

Designated subcommittee member assigned primary responsibility for representing the subcommittee to TAS and for communications between the subcommittee and TAS (see Chapter 1, Section 4).

#### **TECHNICAL REPORT**

A Technical Report (tutorial or reference model) may be developed by an X12 subcommittee to provide guidance to standards users and software developers regarding usage of X12 standards or elements of the standards. They are intended to encourage uniform standards implementations. Technical reports do not require approval by the full X12 Committee, but subcommittee approval is required.

#### **TRANSMITTAL FORM (TF)**

Used to record the dates of the review and approval levels achieved for a particular development project. Information about a project is passed between the subcommittee, the Project Delegate, the Secretariat, TAS and the PRB using this form, which is maintained in the standards database.

#### **WORK REQUEST (WR)**

Form used for requesting revision to an existing DSTU, for requesting a new X12 development project, or for listing supporting data maintenance for a new DSTU.

## **SECTION 4: ORGANIZATION AND ROLES**

### **4.1 X12 MEMBER**

Membership in the ASC X12 Committee is defined in the ASC X12 OPM. The member is represented by a person (designated as principal representative) who receives official X12 correspondence for the member. For other than an Individual Member, an alternate may be designated. On any X12 voting issue the member has one vote. Ballots are used to conduct X12 member voting on new Draft Standards for Trial Use (DSTUs), data maintenance, guidelines, and draft proposed American National Standards (dpANSs).

### **4.2 X12 SUBGROUPS**

The ASC X12 Committee accomplishes development and maintenance work through X12 subgroups, which are described in general terms below.

4.2.1 Subcommittees (SCs). ASC X12 SCs are established with a purpose and scope approved by the X12 membership. SCs are charged with responsibility for development of new standards, guidelines, technical reports, and interpretations, and maintenance of existing standards, guidelines and technical reports which fall within their scope. SCs in turn may assign such projects to task groups, while retaining approval responsibility. Officers include a chair (who represents the SC to the X12 Steering Committee), vice chair, and secretary. Communications with the Secretariat on a project are conducted through the SC chair and Project Delegate. Official representatives include liaisons to TAS, PRB, and the Pan American EDIFACT Board (PAEB) through the DLTG. Additional offices may be specified by a subcommittee.

- A. Project Delegate. New X12 standards development activities are formally initiated by approval of a project proposal prepared and submitted by an SC. A Project Delegate (usually the chair of the task group) is designated by the SC to facilitate communications on the project between the SC, the task group (if any) and the Secretariat. Only one alternate may be designated by the SC.
- B. Technical Assessment Subcommittee (TAS) Representative. Each SC (except TAS) elects or appoints an individual responsible for representing the SC position to TAS. This individual becomes a voting member of TAS and attends TAS meetings. This representative is the main link between TAS and the SC. One or more alternates may be designated by the SC.
- C. Procedures Review Board (PRB) Representative. Each SC elects or appoints an individual responsible for representing the SC position to the PRB. This individual becomes a voting member of the PRB and attends PRB meetings. One or more alternates may be designated by the SC.

- D. U.S. Delegate Liaison Task Group (DLTG) Representative. Each SC elects or appoints an individual responsible for representing the SC position to the X12 DLTG. This individual becomes a voting member of the X12 DLTG. One or more alternates may be designated by the SC. (See *Standing Document 6*).

4.2.2 X12J Technical Assessment Subcommittee (TAS). Membership in TAS is open to X12 members; each X12 subcommittee is also entitled to representation in TAS (see Chapter I, Section 4.2.1B) and has responsibility for the following:

- A. Maintaining *X12.3 Data Element Dictionary* (simple data elements and composite data structures), *X12.22 Segment Directory*, and *ASC X12 Design Rules and Guidelines*.
- B. Processing DMs and Work Requests for new development activity.
- C. Coordinating the processing of Work Requests for changes to standards which are the maintenance responsibility of another SC.
- D. Evaluating, as input to the responsible SC during development, the purpose and scope, technical content, design, and syntax of each proposed DSTU, guideline, interpretation and technical report.
- E. Providing recommendations to the PRB on DSTUs, DMs, and guidelines proposed for ballot to X12 members by a SC.
- F. Authorizing publication of Technical Reports.

4.2.3 Procedures Review Board (PRB). The PRB is an approval body with responsibility to ensure that due process was followed and consensus was reached during development and maintenance of ASC X12 standards, guidelines, and interpretations so all participants have confidence in the fairness of the results. The PRB does not act on technical matters. Specific functions of the PRB include, but are not limited to, the following:

- A. Approving project proposals as official X12 work items; determining whether the proposal is within the scope of ASC X12 and functionally compatible with existing or developing ASC X12 standards and guidelines.
- B. Authorizing X12 member ballot for proposed DSTUs, guidelines and data maintenance to existing DSTUs and guidelines.
- C. Authorizing publication of approved DSTUs, guidelines, and interpretations.
- D. Authorizing X12 member ballot and public review for dpANS.
- E. Authorizing release of dpANS to the ANSI Board of Standards Review for consideration as American National Standards.

- F. Assigning or reassigning projects to SCs for development and maintenance.
- G. Providing a forum for resolution of objections and, if necessary, referring a ballot item back to the developing SC if due process was not followed.

### **4.3 SECRETARIAT**

The Secretariat provides administrative support for the activities of the X12 Committee (e.g., responds to inquiries, processes membership, conducts letter ballots, publishes, provides meeting support, issues status reports).

### ***SECTION 5: MAINTENANCE OF THIS STANDING DOCUMENT***

The Steering Committee is responsible for maintaining this Standing Document. Requests for change should be sent to the Secretariat.

### ***SECTION 6: FORMS***

A number of forms and instructions support these procedures and appear in the Appendix. These forms and instructions shall be used and adhered to by individuals participating in X12 Committee activities.

**NOTE:** Forms and instructions may be revised at any time and new forms may be instituted to reflect changes in operations or procedures. The most current forms should be used. Forms are available from the Secretariat on request.



## **CHAPTER II: PROCEDURES FOR DRAFT STANDARDS FOR TRIAL USE**

### ***SECTION 1: INTRODUCTION***

- 1.1** The Draft Standard for Trial Use level of approval allows a new standard, or a revision to a standard to be tested and refined prior to being submitted as a candidate for American National Standard.
- 1.2** This chapter defines procedures for development and maintenance of DSTUs. The information is organized into three major sections: Introduction, Development Procedures, and Maintenance Procedures.
- 1.3** In the sections that follow, procedures are outlined in chronological sequence, where possible. Notes are intended to provide information to help the user of this document understand the intent or to amplify a particular procedure. Notes are part of the procedures to which they relate and carry the same weight. The Appendix to this Standing Document 2 contains forms and instructions designed to support these procedures. Forms and instructions are subject to change; the most current forms can be obtained from the Secretariat. Internal references include chapter and section numbers in the following format: II:2.3.4 is section 2.3.4 of Chapter II.

### ***SECTION 2: DEVELOPMENT PROCEDURES***

#### **2.1 PROJECT INITIATION METHODS**

New projects are initiated only by approval of a Project Proposal (PP) prepared by an ASC X12 subcommittee (SC). There are two different starting points which can result in a PP.

A SC may prepare a PP in response to a Work Request (WR), (proceed to II:2.1.1) a SC may independently prepare a PP in recognition of a new activity (proceed to II:2.1.2).

##### **2.1.1 Project Initiation By Work Request**

- 2.1.1.1** A request for new project initiation may be submitted by anyone ("submitter"), using the WR form, even by someone who is not an X12 member. The submitter provides a comprehensive description of and business case for the proposed DSTU development so that the WR can be evaluated by the appropriate review groups. The submitter takes the following actions:

- A. Prepares the WR according to instructions on the form.
- B. Forwards the WR to the Secretariat for processing.

2.1.1.2 The Secretariat reviews and processes the WR:

- A. If the WR is not clear or not complete, contacts the submitter for clarification or returns the WR to the submitter explaining the reasons for returning it.
- B. When the WR is clear and complete, assigns a DM number (item is hereafter called a "DM") and enters the DM into the standards database.
- C. Notifies the submitter of the DM number.
- D. Distributes the DM to TAS for review at the next TAS meeting.

2.1.1.3 TAS establishes a cutoff date for receipt of material to be included on the agenda of the next TAS meeting. The DM is logged for the next TAS meeting for which the cutoff date is met. At the meeting TAS reviews each DM and takes one of the following actions:

- A. Refers the DM to the appropriate SC.
- B. Defers the DM to the next TAS meeting.

**NOTE:** The Secretariat may be requested to obtain additional clarification from the submitter.

- C. Accepts withdrawal from the submitter and closes the DM.
- D. Disapproves the DM with reasons and closes the DM.

2.1.1.4 The Secretariat:

- A. Records TAS action in the minutes and distributes minutes to TAS members and X12 SC chairs.
- B. Notifies the submitter of the disposition of the DM.

**NOTE:** After this notice, no further notice of status is provided by the Secretariat unless otherwise specified in these procedures. The submitter may request the status of the DM at any time by contacting the Secretariat.

- C. Records the status of each DM in the standards database.
- D. Forwards referred DMs to the assigned SCs.

2.1.1.5 The assigned SC evaluates the DM and takes one of the following actions:

**NOTE:** SC evaluation criteria may include the following: Are there adequate resources for the project? Is the project suitable for this SC activity? Can the stated need be satisfied by an existing standard or by modifications to an existing standard rather than creating a new one?

- A. Prepares a PP (proceed to II:2.1.2.1B).
- B. Declines responsibility for the DM and reports to TAS the reasons for this decision (revert to II:2.1.1.3).
- C. Defers the DM and reports the DM's status to TAS. The DM may be deferred for up to one year from the time of assignment to the SC; otherwise revert to II:2.1.1.3.

## **2.1.2 Project Initiation By Project Proposal**

2.1.2.1 The SC:

- A. Prepares and approves the PP.
- B. Designates a Project Delegate and where possible an alternate.
- C. Forwards the PP to the Secretariat.

**NOTE:** See Appendix for PP form.

2.1.2.2 The Secretariat reviews and processes the PP:

- A. If the PP is not clear and complete, contacts the submitter for clarification or returns the PP to the submitter explaining the reasons for returning it.
- B. When the PP is clear and complete, assigns a PP number and enters the PP into the standards database.
- C. Distributes the PP to the Procedures Review Board (PRB) for review at the next PRB meeting.

2.1.2.3 The PRB evaluates the PP and takes one of the following actions:

**NOTE:** PRB evaluation criteria includes: Is the purpose/scope clearly stated and within the mission of ASC X12? Is the business function satisfied by another existing or proposed project? Is there sufficient reason not to modify an existing standard to satisfy the business function?

- A. Approves and authorizes the SC to begin work. The PRB may assign joint development responsibility to more than one SC; in this case the PRB assigns primary responsibility to one SC.

**NOTE:** If joint development is assigned, all SCs having joint development must assign a Project Delegate.

- B. Disapproves the PP with reasons.
- C. Accepts withdrawal of the PP by the SC's PRB rep with reasons.

2.1.2.4 If the PP is disapproved by the PRB, the SC may revise the PP and resubmit (revert to II:2.1.2.1).

2.1.2.5 The Secretariat:

- A. If the PP is approved:
  - 1. Closes the DM associated with the PP (if any) and assigns an ASC X12 standard reference number and, if appropriate, a transaction set ID number.
  - 2. Notifies ANSI of the new project using the ANSI Project Initiation Notification System (PINS).
  - 3. Lists the PP in the X12 Status Report.
  - 4. Initializes and distributes a Transmittal Form (TF) to the Project Delegate identified by the SC on the PP and to the SC chair.

**NOTE:** The Project Delegate is responsible for ensuring that document control is established; see "Document Control Number" in the Glossary (Chapter I). See Appendix for Sample TF form.

- B. If the PP is withdrawn or disapproved, the Secretariat takes one of the following actions:
  - 1. If there is a DM associated with the PP, notifies TAS of the withdrawal or disapproval. The Secretariat closes the DM and notifies the submitter of the WR.
  - 2. If there is no DM associated with the PP, deletes the PP from the standards database.
- C. Records and distributes the minutes of the PRB meeting to PRB, Steering Committee and X12 members, and to the Project Delegate as notice of action.

## **2.2 DRAFT STANDARD FOR TRIAL USE DEVELOPMENT**

2.2.1 The SC responsible for the PP ("developing SC") develops the proposed DSTU and the associated DM to revise X12.3 and X12.22 and any other related standards, as necessary.

**NOTE:** TAS is available to the SC for technical assistance and consultation during DSTU development.

**NOTE:** The developing SC reports DSTU development activity in its minutes. The Project Delegate keeps the Secretariat informed of the status of the proposed DSTU through the TF.

2.2.2 If joint development responsibility has been assigned, all developing SCs must approve the proposed DSTU at each SC approval point. The primary developing SC has responsibility for presenting the proposed DSTU to TAS and the PRB. If the joint developing subcommittees cannot come to a mutual technical agreement, TAS shall choose one of the proposed solutions and the developing subcommittees shall proceed with this proposed solution.

2.2.3 If the developing SC decides to withdraw the PP or wishes to have the PP reassigned to another SC, the SC requests, in writing, the Secretariat to place the PP on the agenda of the next PRB meeting.

2.2.3.1 The PRB takes one of the following actions:

- A. Accepts withdrawal of the PP.
- B. Reassigns responsibility for the PP.

2.2.3.2 The Secretariat:

- A. If the PP is withdrawn, notifies ANSI, if appropriate.
- B. If PP responsibility is reassigned, initializes and distributes a Transmittal Form (TF) to the Project Delegate identified by the assigned SC and to the SC chair.
- C. Records and distributes the minutes of the PRB meeting to PRB, Steering Committee and X12 members, and to the Project Delegate as notice of action.

2.2.4 Upon SC Approval for initial TAS review, the Project Delegate provides the proposed DSTU to the Secretariat with a request that it be entered into the standards database. The Secretariat copyedits and styles the proposed DSTU and assigns a DM number to the proposed DSTU and associated data maintenance.

**NOTE:** For the purposes of these procedures, the "proposed DSTU" consists of the proposed standard and any data maintenance associated with it and identified by the DM number for the proposed DSTU.

**NOTE:** This becomes the official version of the proposed DSTU. The developing SC works with the Secretariat thereafter to maintain a current draft of the proposed DSTU in the standards database. It is the Project Delegate's responsibility to ensure that the DSTU is correctly represented in the standards database at all times. The objective is to be able to produce a current copy of the proposed DSTU from the standards database at any time, but at the point of SC approval for TAS final review (II:2.2.5), the proposed DSTU must be generated from the standards database.

2.2.5 When the proposed DSTU is ready for TAS review, the developing SC:

- A. Votes to approve the proposed DSTU and proceed to TAS for review.
- B. Updates and forwards the TF to the Secretariat with a request to place the proposed DSTU on the agenda of the next TAS meeting for TAS review.

**NOTE:** A PP must be approved by the PRB before the proposed DSTU will be reviewed by TAS. See II:2.1.2.3. Consult TAS review procedures.

2.2.6 The Secretariat:

- A. Updates the TF to reflect SC approval.
- B. Generates the proposed DSTU from the standards database for TAS review.
- C. Schedules the item on the TAS agenda.
- D. Distributes the TF and proposed DSTU to TAS members.

2.2.7 TAS evaluates the proposed DSTU and takes one of the following actions:

**NOTE:** TAS evaluates the proposed DSTU and its associated data maintenance to ensure that the most recently approved X12 syntax and design rules are adhered to. TAS has responsibility for the disposition of changes to documents assigned to them by the PRB for maintenance (e.g., *X12.3 Data Element Dictionary*, *X12.22 Segment Directory*). Other SCs may be consulted on specific DMs affecting the standards for which TAS is responsible, but TAS retains disposition authority. A DM may be referred to more than one SC; in such cases, all SCs report to TAS on the DM before TAS disposes of the DM. DMs (or portions of DMs) which affect the standards for which another SC has maintenance responsibility are referred to that SC for decision prior to TAS action on the item.

- A. Recommends the proposed DSTU go forward without change to the PRB for approval to ballot.
- B. Recommends revision or provides other comments to the developing SC.

2.2.8 The Secretariat:

- A. Updates the TF to reflect TAS review.
- B. Records TAS action in TAS minutes.
- C. Distributes TAS minutes to TAS members, SC chairs and the Project Delegate as notice of action.
- D. Attaches TAS recommendations to the proposed DSTU.
- E. If TAS recommends that the proposed DSTU go forward to the PRB for member ballot, prepares the proposed DSTU for the PRB (proceed to II:2.2.10).

2.2.9 The developing SC considers the TAS recommendations and takes one of the following actions:

- A. Decides to revise the proposed DSTU:
  - 1. Develops and approves revisions and updates the TF.
  - 2. Prepares a report of the SC response to TAS recommendations, itemizing each recommendation and stating the response to each and listing any revisions made in addition to those recommended by TAS.
  - 3. Submits the report, an updated TF, a list of revisions, and the revised proposed DSTU to the Secretariat for processing.
  - 4. Arranges for TAS review of revisions (processing reverts to II:2.2.6).

**NOTE:** Revisions shall conform to the most recently approved X12 syntax and design rules.

**NOTE:** At an X12 meeting the developing SC is responsible for scheduling TAS review and for distribution of appropriate material to TAS.

- B. Votes by at least a two-thirds (66-2/3%) majority to not revise the DSTU as recommended by TAS (otherwise, revert to 2.2.9A):
  - 1. Reports this decision to TAS.
    - a. If TAS votes by at least a three-quarters (75%) majority to continue the TAS position, the proposed DSTU shall be returned to the developing SC for further consideration. The SC will work with TAS to resolve the disagreement (revert to II:2.2.9).

- b. If TAS fails to vote by at least a three-quarters (75%) majority to continue the TAS position, the SC version is accepted.

2.2.10 The Secretariat prepares the PRB agenda and coordinates with the developing SC. The Secretariat receives and checks the following for completeness:

- A. Updated TF
- B. Proposed DSTU
- C. DSTU examples

2.2.11 The PRB takes one of the following actions:

**NOTE:** If there is disagreement on any procedural aspect of the proposed DSTU, the objecting party shall convey this objection to the PRB for resolution.

- A. Approves the proposed DSTU for X12 membership ballot (and in the case of joint development responsibility, assigns future responsibility for the proposed DSTU to only one SC).

**NOTE:** This includes approval of any revision to the purpose and scope of the project since first approval of the PP.

- B. Disapproves the proposed DSTU for X12 membership ballot because of procedural issues, and directs the developing SC to resolve the objections before returning to the PRB.

2.2.12 The Secretariat:

- A. Records and distributes the minutes of the PRB meeting to PRB, Steering Committee and X12 members and the Project Delegate as notice of action.
- B. If the PRB disapproves the proposed DSTU for ballot, processing reverts to II:2.2.1.
- C. If the PRB approves the proposed DSTU for ballot:
  - 1. Prepares and mails the ballot and proposed DSTU to X12 members for a 45-day voting period.
  - 2. Distributes to the Project Delegate and developing SC chair an information copy of the letter ballot and TF which records the ballot closing date.

3. Publishes the proposed DSTU in the next *Standards Development Workbook*.

**NOTE:** Any revisions to the proposed DSTU after first publication are recorded in subsequent workbooks.

- D. If the purpose and scope of the PP is revised, updates the X12 Status Report and notifies ANSI using PINS.

## 2.3 X12 MEMBER BALLOT

2.3.1 An X12 member casts a ballot on the proposed DSTU and takes one of the following actions:

**NOTE:** Any portion of the proposed DSTU or supporting is subject to comment. However, a disapproval vote on the document must be based on technical or functional issues. Other concerns shall be communicated separately, in writing, to the Secretariat for forwarding to the appropriate X12 subgroup.

**NOTE:** If a ballot is received by the Secretariat with no vote marked, the Secretariat shall register the vote as "abstain".

- A. Approves.
- B. Approves with comment.

**NOTE:** Comments are allowed and are instructions to the developing SC that the member believes revision to some part of the document should be made but that, whether or not such revision is made, the member approves the proposed DSTU. Comments are provided on an attachment to the ballot.

- C. Disapproves with comment.

**NOTE:** Disapproval vote indicates to the developing SC that the member believes, for the reasons indicated in the comment, that revisions should be made and that unless they are made, the member disapproves the proposed DSTU. Reasons for disapproval are provided with the ballot; additional comments may also be provided and should be separately identified as such. If a disapproval is received without comment, the Secretariat shall register the vote as "abstain".

- D. Abstains.
- E. Indicates no interest.

**NOTE:** If a member indicates "no interest," the member may not subsequently change this and the member is not included in any rebuttal ballot.

2.3.2 After the voting period the Secretariat:

A. Tallies the vote and updates the TF.

**NOTE:** Any ballot received by the Secretariat after the specified ballot closing date (late) shall not be counted in the tally.

B. Forwards to the Project Delegate and developing SC chair the vote tally, TF, and a file of all comments.

C. Reports the ballot results at the next X12 meeting and attaches the ballot report to the minutes of the meeting, which is distributed to all X12 members.

D. Invalidates the ballot if either of the following two criteria occur:

1. fewer than 20% of the ballots are returned, or
2. more than one-third (33-1/3%) of the ballots returned, not counting “No Interest” and “Abstain” ballots, are “Disapproves with comment”.

If the ballot is invalid, revert to II:2.2.1.

E. . If there are no disapprovals and no corrections, places the item on the agenda of the next PRB meeting for approval to publish (proceed to II:2.4.6 ).

F. If there are no disapprovals but there are corrections proceed to II:2.7.

## **2.4 RESOLUTION OF BALLOT DISAPPROVALS**

If there are ballot disapprovals (and if the ballot is valid), the developing SC completes the actions in this Section II:2.4 within one year of the ballot closing date. If the one-year limit is exceeded, the original ballot is invalidated by the Secretariat (revert to II:2.2.1). Consensus requires that all views and objections be considered, and that a concerted effort be made toward their resolution.

2.4.1 The SC:

A. Conducts an Open Forum at the next ASC X12 meeting after the ballot closes where the developing SC (or designated task group) and commentors attempt to resolve disapprovals. If a commentor does not attend, the written disapproval reasons provided during the vote are read at the Open Forum for discussion purposes. After the forum, the developing SC posts this Open Forum date to the TF. Open Forum results are reported in the SC minutes.

**NOTE:** See Appendix for Open Forum Checklist for conducting an Open Forum and preparing SC minutes.

- B. If there is a change to an X12 member's vote, a vote change form furnished by the commentator that the vote is changed is attached to the TF. A voter may also change a vote to an "approve" contingent upon the SC submitting a mutually agreed upon WR to the Secretariat. The SC submits the Vote Change Form to the Secretariat before the PRB cutoff time.

**NOTE:** The Secretariat ensures that the requested WR is attached to the contingent Vote Change Form before submission of the package to PRB. If the WR is not attached, the vote change is null and void.

**NOTE:** See Appendix for ASC X12 Ballot Vote Change Form. This form must be used to record a vote change. A vote change may be submitted up until the PRB cutoff time.

- C. Prepares the ballot comment response letter which consists of one letter composed of the following:
  - 1. The X12 vote tally on the proposed DSTU.
  - 2. The SC's response to each disapproval.

**NOTE:** See Appendix for X12 Ballot Comment Response Letter Format. Voters who approved and provided comments may be responded to at the SC's discretion.

- D. Arranges for review of the ballot comment response letter by the developing SC chair and updates the TF.
- E. Forwards the ballot comment response letter and the TF to the Secretariat.
- F. Determines that corrections (see I:3 Glossary of Terms), but no revisions to the proposed DSTU are required. The SC marks such corrections on the DSTU and proceeds to II:2.7. The SC forwards response letters and TF to the secretariat
- G. Determines that no revisions and no corrections to the proposed DSTU are required to resolve disapprovals received during balloting, proceed to II:2.4.5.
- H. Determines that revisions are required.

2.4.2 If the SC determines that revisions are required, the SC:

- A. Develops and approves revisions, and updates the TF.
- B. Submits an updated TF, revised DSTU, and a list of revisions, to the Secretariat for processing.

C. Arranges for TAS review of revisions.

2.4.3 TAS evaluates the revisions and takes one of the following actions:

A. Accepts the revisions (proceed to II:2.4.7).

B. Recommends alternate revisions.

2.4.4 The developing SC considers the TAS recommendations for alternate revisions and takes one of the following actions:

A. Decides to revise the proposed DSTU (revert to II:2.4.2).

**NOTE:** Revisions shall conform to the most recently approved X12 syntax and design rules.

B. Votes by at least a two-thirds (66-2/3%) majority to not revise the proposed DSTU as recommended by TAS (otherwise, revert to II:2.4.4A):

1. Reports this decision to TAS.

a. If TAS votes by at least a three-quarters (75%) majority to continue the TAS position, the DSTU shall be returned to the developing SC for further consideration. The SC will work with TAS to resolve the disagreement (revert to II:2.4.4A).

b. If TAS fails to vote by at least a three-quarters (75%) majority to continue the TAS position, the SC version is accepted.

2. Updates the TF.

3. Forwards the TF to the Secretariat.

2.4.5 Three Percent Rule. If, at the PRB cutoff time, more than 3% of the X12 members who cast a vote on the issue, not counting abstention and no interest votes, represent unresolved disapprovals, or if revision to the proposed DSTU was made, a rebuttal ballot or rebalot is required (proceed to II:2.4.7). If 3% or fewer X12 members who cast a vote on the issue, not counting abstention and no interest votes, represent unresolved disapprovals, the developing SC:

A. Decides whether to proceed to the PRB for approval to publish the proposed DSTU and updates the TF. If the SC decides not to publish, revert to II:2.4.2.

B. Notifies the Secretariat to place the item on the agenda of the next PRB meeting.

**NOTE:** If an SC decides to proceed to the PRB under the 3% Rule at an X12 meeting, the SC's PRB rep is responsible for distribution of review materials to the PRB (see II:2.4.6C-D).

#### 2.4.6 The Secretariat:

- A. Records receipt of the ballot comment response letter and updates the TF.
- B. Schedules the proposed DSTU on the agenda of the next PRB meeting.
- C. Receives and checks the following for completeness:
  - 1. Updated TF.
  - 2. Proposed DSTU (marked with corrections, if any).
  - 3. Copies of unresolved disapprovals (if any).
  - 5. Vote Change Forms (if any).
  - 6. Ballot comment response letter.
- D. Coordinates with the SC for distribution of review materials to the PRB.
- E. Mails the ballot comment response letter to commentor (proceed to II:2.8).

#### 2.4.7 The SC determines if it is to be a rebalot or a rebuttal ballot.

- A. Decides by at least a two thirds (2/3) majority to process the changes as a rebuttal ballot (proceed to II:2.5).
- B. If the developing SC does not approve by a 2/3 majority, the changes are processed as a rebalot. During a rebalot, previous ballot comments are available from the Secretariat upon voter request (revert to II:2.2.10).

**NOTE:** A proposed DSTU with changes following a ballot may be sent out for a rebuttal ballot only if none of the alterations have caused a substantive change to the function or structure of the DSTU. If the changes are substantive, the DSTU must be sent out for rebalot.

## 2.5 X12 MEMBER REBUTTAL BALLOT

#### 2.5.1 Upon notification from the developing SC to proceed with the rebuttal ballot, the Secretariat:

- A. Records receipt of the ballot comment response letter and updates the TF.
- B. Reviews the rebuttal ballot materials for completeness. If not complete, returns the materials to the Project Delegate for additional work (revert to II:2.4.1.C).

- C. Sends the following to current X12 members who originally cast a ballot on the proposed DSTU (except those who voted "no interest") for a 30-day voting period:

**NOTE:** Any member who voted on the initial ballot but is not currently a member will not receive the mailing.

1. Rebuttal ballot, including a statement that if there are any continuing disapprovals after the close of the rebuttal ballot, an Open Forum will be held at the next ASC X12 meeting after the closing date.
  2. Ballot comment response letter.
  3. Log of comments.
  4. Proposed DSTU (reflecting revisions, if any).
  5. List of revisions (if any revisions were made).
- D. Distributes to the Project Delegate and developing SC chair an information copy of the rebuttal vote package and the TF which records the rebuttal ballot closing date.

2.5.2 X12 members who receive the rebuttal ballot, cast a ballot and take one of the following actions:

**NOTE:** If a member does not return a rebuttal ballot by the specified rebuttal ballot closing date, the member's vote is recorded as "approve" by the Secretariat, except that those who voted to abstain will continue to be recorded as "abstain." The original vote of an X12 member whose membership lapses shall be recorded as "abstain".

**NOTE:** Any portion of the proposed DSTU or supporting documentation, is subject to comment. However, disapproval vote on the document shall be based on technical or functional issues. Other concerns should be communicated in writing to the Secretariat for forwarding to the appropriate X12 subgroup.

**NOTE:** If a ballot is received by the Secretariat with no vote marked, the Secretariat will register the vote as "abstain".

- A. Approves.
- B. Approves with comment

**NOTE:** Comments are allowed and are instructions to the developing SC that the member believes revision to some part of the document should be made but that, whether or not such revision is made, the member approves the proposed DSTU. Comments are provided on an attachment to the ballot.

- C. Disapproves with comment.

**NOTE:** Disapproval vote indicates to the developing SC that the member believes, for the reasons indicated in the comment, that revisions should be made and that unless they are made, the member disapproves the proposed DSTU. Reasons for disapproval are provided with the ballot; comments may also be provided and should be separately identified as such. If a disapproval vote is received without comment, the Secretariat shall register the vote as “abstain”.

- D. Abstains.

2.5.3 After the rebuttal ballot, the Secretariat:

- A. Tallies the vote and updates the tally on the TF.

**NOTE:** Any ballot received by the Secretariat after the specified ballot closing date (late) is not counted in the tally. If a late ballot contains comments, the comments will not be forwarded to the developing SC.

- B. Forwards the TF and all disapprovals and comments to the Project Delegate and chair of the developing SC.
- C. Reports the ballot results at the next X12 meeting and attaches the ballot report to the minutes of the meeting, which is distributed to all X12 members.
- D. If the tally shows no disapprovals, places the proposed DSTU on the agenda of the next PRB meeting for approval to publish and coordinates with the developing SC to distribute copies of the proposed DSTU and the TF to PRB members (proceed to II:2.8).

## 2.6 RESOLUTION OF REBUTTAL BALLOT DISAPPROVALS

2.6.1 After receipt of the tally, if there are unresolved disapprovals, the developing SC takes the following actions within one year of the rebuttal ballot closing date:

**NOTE:** If the one year period is exceeded a rebalot is required (revert to II:2.2.1).

- A. Conducts an Open Forum at the next ASC X12 meeting after the rebuttal ballot closes, where the developing SC (or designated task group) and commentors attempt to resolve disapprovals. If a commentor does not attend, the disapproval reasons provided during the rebuttal ballot are read at the Open Forum for discussion purposes. After the forum, the developing SC posts this Open Forum date to the TF. Open Forum results are reported in the SC minutes. (See Appendix for Open Forum Checklist for conducting an Open Forum and preparing SC minutes).

- B. If there is a change to an X12 member's vote, a vote change form furnished by the commentator that the vote is changed is attached to the TF. A voter may also change a vote to an “approve” contingent upon the SC submitting a mutually agreed upon Work Request to the Secretariat. The SC submits the Vote Change Form to the Secretariat before the PRB cutoff time.

**NOTE:** The Secretariat ensures that the requested WR is attached to the contingent Vote Change Form before submission of the package to PRB. If the WR is not attached, the vote change is null and void.

**NOTE:** See Appendix for ASC X12 Ballot Vote Change Form. This form must be used to record a vote change. A vote change may be submitted up until the PRB cutoff time.

- C. Determines that revisions are required (proceed to II:2.6.2).
- D. Agrees that no revisions and no corrections to the proposed DSTU are required (proceed to II:2.6.5).
- E. Determines that corrections (see I:3 Glossary of Terms), but no revisions, to the proposed DSTU are required, marks such corrections on the DSTU and proceeds to II:2.7.

2.6.2 If the forum results in agreement by the developing SC to change the requirements or use of the proposed DSTU, the SC:

- A. Develops and approves revisions, and updates the TF.
- B. Submits an updated TF, revised DSTU, and a list of revisions, to the Secretariat for processing.
- C. Arranges for TAS review of revisions.

2.6.3 TAS evaluates the revisions and takes one of the following actions:

- A. Accepts the revisions (revert to II:2.4.7).
- B. Recommends alternate revisions.

2.6.4 The developing SC considers the TAS recommendations for alternate revisions and takes one of the following actions:

- A. Decides to revise the proposed DSTU (revert to II:2.6.2).

**NOTE:** Revisions shall conform to the most recently approved X12 syntax and design rules.

B. Votes by at least a two-thirds (66-2/3%) majority to not revise the proposed DSTU as recommended by TAS (otherwise, revert to II:2.6.2):

1. Reports this decision to TAS:

a. If TAS votes by at least a three-quarters (75%) majority to continue the TAS position, the proposed DSTU shall be returned to the developing SC for further consideration. The SC will work with TAS to resolve the disagreement (revert to II:2.6.2).

b. If TAS fails to vote by at least a three-quarters (75%) majority to continue the TAS position, the SC version is accepted.

2. Updates the TF.

3. Forwards the TF to the Secretariat (revert to II:2.4.7).

2.6.5 Ten Percent Rule. If, at the PRB cutoff time, more than 10% of the X12 members who cast a vote on the issue, not counting abstentions and no interest votes, represent unresolved disapprovals, a rebuttal ballot or rebalot is required (revert to II:2.4.7). If 10% or fewer X12 members who cast a vote on the issue, not counting abstention and no interest votes, represent unresolved disapprovals, the developing SC:

A. Decides to proceed to the PRB for approval to publish the proposed DSTU and updates the TF. If the SC decides not to proceed to the PRB, then revert to II:2.6.2.

B. Notifies the Secretariat to place the item on the agenda of the next PRB meeting and distributes review materials to the Secretariat.

2.6.6 The Secretariat:

A. Schedules the proposed DSTU on the agenda of the next PRB meeting.

B. Receives and checks the following for completeness and transmits to the PRB:

1. Updated TF.

2. Proposed DSTU (marked with corrections, if any).

3. Vote Change Forms (if any). Proceed to II:2.8.

## **2.7 CORRECTION OF ERRORS PRIOR TO PUBLICATION**

The procedure for corrections is not intended to be an alternative to the normal ballot resolution process. It is provided to allow timely repair of errors before PRB approval to publish that cause a work item to deviate from the original intent of the developers. TAS has the final say as to whether the change is really just a correction.

2.7.1 When resolving errors found during a ballot, the developing SC:

- A. Identifies the error and approves the correction, and updates the TF.
- B. Submits an updated TF, corrected DSTU and a list of corrections to the Secretariat for processing.
- C. Arranges for TAS review.

2.7.2 TAS evaluates the corrections and takes one of the following actions:

- A. Accepts the proposed corrections.
  - 1. If DSTU is forwarded for approval after an original ballot, revert to II:2.4.5.
  - 2. If DSTU is forwarded for approval after rebuttal ballot, revert to II:2.6.5.
- B. Disapproves the correction on the basis that it does not fit within the category of a correction and a rebalot or a rebuttal ballot is required (revert to II:2.4.7).
- C. Recommends alternate corrections.

2.7.3 The developing SC considers the TAS recommendation for alternate corrections and takes one of the following actions:

- A. Accepts the corrections as proposed by TAS.
  - 1. If DSTU is forwarded for approval after an original ballot, revert to II:2.4.5.
  - 2. If DSTU is forwarded for approval after rebuttal ballot, revert to II:2.6.5.
- B. Decides on alternate corrections (revert to II:2.7.2).

## **2.8 PRB APPROVAL TO PUBLISH**

2.8.1 The Secretariat:

- A. Prepares the PRB agenda
- B. Coordinates with the developing SC for distribution of copies of the PRB review package which consists of:
  - 1. Updated TF.
  - 2. Proposed DSTU (marked with corrections, if any).
  - 3. Copies of unresolved disapprovals, if any.
  - 4. Vote Change Forms, if any are received, are validated by the Secretariat, and a final tally is established before the PRB takes action on the DSTU.
  - 5. Final ballot comment response letter.

**NOTE:** Consult PRB documentation requirements. If required documentation is incomplete when presented at the meeting, the PRB shall disapprove the document for publication.

#### 2.8.2 The PRB takes one of the following actions:

**NOTE:** If there is disagreement on any procedural aspect of the proposed DSTU, the objecting party shall convey this objection to the PRB for resolution.

**NOTE:** If more than 3% on an original ballot or rebalot, or 10% on a rebuttal ballot of X12 members casting a ballot, not counting abstentions and no interest votes, represent continuing disapprovals, the PRB shall disapprove the DSTU.

- A. Approves the DSTU for publication.

**NOTE:** This includes approval of any revision to the purpose and scope of the project since PRB approval to ballot.

- B. Disapproves the DSTU for publication and directs the developing SC to resolve the procedural objections before returning to the PRB.

#### 2.8.3 The Secretariat:

- A. Records and distributes the minutes of the PRB meeting to PRB, Steering Committee and X12 members, and the Project Delegate as notice of action.
- B. If the PRB disapproves the proposed DSTU for publication for procedural reasons, processing reverts to the point in the process where the procedural problem is claimed to have occurred.

- C. If the PRB approves the DSTU for publication:
  - 1. Assigns a publication date and version control ID, as appropriate.
  - 2. Publishes the DSTU.
  - 3. Places the DSTU in maintenance status.

## **2.9 CORRECTION OF ERRORS AFTER PUBLICATION**

**NOTE:** The procedure for correction of errors after publication is provided to allow timely repair of publication errors of new transaction sets before implementations have occurred.

2.9.1 After a new transaction set (DSTU) has been approved for publication, the responsible SC shall review the DSTU as published to ensure the DSTU is accurate, and takes one of the following actions prior to the end of the PRB cut-off time at the next X12 meeting.

- A. If no publication errors are found, updates the TF and submits to the Secretariat.
- B. Submits a list of revisions to the Secretariat and updates the TF.

2.9.2 The Secretariat:

- A. Determines that errata is in order and appropriate, and corrects the publication by issuance of errata to all purchasers of the publication.
- B. Determines that errata is not in order or appropriate, issues notice to the SC to submit a WR to make the corrections.

## **SECTION 3: MAINTENANCE PROCEDURES**

### **3.1 WORK REQUEST**

Draft Standards for Trial Use (DSTUs) are placed in maintenance status after approval for publication by the PRB. Individuals or organizations may propose revisions to the DSTU according to the procedures in this section.

**NOTE:** Data maintenance associated with a proposed DSTU is governed by the procedures defined in Chapter II, Section 2. For the purposes of these procedures, the "proposed DSTU" consists of the proposed standard and any data maintenance associated with it and identified by the DM number for the proposed DSTU.

3.1.1 A request for change to a DSTU may be submitted by anyone ("submitter"), using the WR form. The submitter takes the following actions:

- A. Prepares the WR according to instructions on the form.

**NOTE:** Submitter provides a comprehensive description of and business case for the proposed change so that the WR can be evaluated by the appropriate review groups. See Appendix for the Work Request form.

- B. Forwards the WR to the Secretariat for processing.

3.1.2 The Secretariat reviews and processes the WR.

- A. If the WR is not clear or not complete, contacts the submitter for clarification or returns the WR to the submitter explaining the reasons for returning it.
- B. No WR may be applied against a new transaction set, segment, composite data structure, or data element until the entity has completed the approval process.
- C. When the WR is clear and complete, assigns a DM number (WR is hereafter called a "DM") and enters the DM into the standards database.
- D. Distributes the DM to TAS for review at its next meeting.

**NOTE:** TAS establishes a cutoff date for receipt of material to be included on the agenda of the next meeting. The DM is logged for the next TAS meeting for which the cutoff date is met.

3.1.3 TAS reviews each DM and takes one of the following actions:

**NOTE:** TAS interprets and attempts to understand each DM in order to arrive at the appropriate maintenance action required to meet the stated business case. In addition, TAS ensures that the DM conforms to most recently approved X12 syntax and complies with Design Rules. TAS shall refer a DM that refers to an item (DSTU) that is the responsibility of another SC to that SC, unless the TAS representative from that SC determines that it is not necessary for the responsible SC to review the DM.

- A. Approves the DM as submitted.
- B. Approves the DM with modifications.
- C. Defers the DM to the next meeting.

**NOTE:** The Secretariat may be requested to obtain additional clarification from the submitter.

- D. Accepts withdrawal from the submitter and closes the DM.
- E. Disapproves the DM with reasons and closes the DM.
- F. Refers the DM to another SC.

**NOTE:** TAS has responsibility for coordinating all DMs with other SCs and has specific responsibility for the disposition of DMs (or portions of DMs) related to the documents assigned to them by the PRB for maintenance (e.g., *X12.3 Data Element Dictionary*, *X12.22 Segment Directory*). Other SCs may be consulted on specific DMs affecting the standards for which TAS is responsible, but TAS retains disposition authority. A DM may be referred to more than one SC; in such cases, all SCs report to TAS on the DM before TAS disposes of the DM. DMs (or portions of DMs) which affect the standards for which another SC has maintenance responsibility are referred to that SC for decision prior to TAS action on the item.

#### 3.1.4 The Secretariat:

- A. Records TAS action in the minutes and distributes minutes to TAS members and X12 SC chairs.
- B. Notifies the submitter of the DM number and the disposition of the DM.

**NOTE:** After this notice, no further notice of status is provided by the Secretariat unless otherwise specified in these procedures. The submitter may request the status of the DM at any time by contacting the Secretariat.

- C. Records the status of each DM in the standards database.
- D. If the DM is approved or approved with modification by TAS, proceed to II:3.1.6.
- E. Forwards referred DM to the assigned SC.

#### 3.1.5 If a DM is referred, the assigned SC evaluates the DM and takes one of the following actions:

**NOTE:** The SC may obtain additional clarification from the DM submitter, or the submitter may withdraw the DM.

- A. If the DM was referred to a SC for an opinion, the SC reports to TAS at the next TAS meeting (revert to II:3.1.3).
- B. If the DM relates to a standard for which the SC has maintenance responsibility, the SC:
  1. Takes action on the DM (approves, approves with modification, or disapproves).

2. Reports this decision to TAS for final disposition of the DM (revert to II:3.1.3).

**NOTE:** TAS accepts the SC's decision for disposition of a DM unless the decision violates most recently approved X12 syntax or Design Rules.

3.1.6 The Secretariat prepares the DM Status Report which lists TAS-approved DMs, schedules the item on the agenda of the next PRB meeting, and coordinates with TAS for distribution of copies to the PRB.

3.1.7 The PRB reviews the DM Status Report and for each DM takes one of the following actions:

**NOTE:** If there is disagreement on any procedural aspect of a DM, the objecting party shall convey this objection to the PRB for resolution.

- A. Approves for X12 membership ballot.
- B. Disapproves for X12 membership ballot.

3.1.8 The Secretariat:

- A. Records the minutes of the PRB meeting and distributes them to PRB members and to SC Chairs as notice of action.
- B. If the PRB disapproves the DM for ballot, processing reverts to II:3.1.3.
- C. If the PRB approves a DM for ballot:
  1. Prepares a letter ballot and mails the ballot and the DM voting package to X12 members for a 45-day voting period.
  2. Publishes the DM in the *Standards Development Workbook*.

**NOTE:** Any revisions to the DM after first publication are recorded in subsequent workbooks.

## **3.2 X12 MEMBER BALLOT**

3.2.1 An X12 member casts a ballot on the DM voting package and, for each DM, takes one of the following actions:

**NOTE:** Any portion of a DM is subject to comment. However, disapproval vote on the DM shall be based on technical or functional issues. Other concerns should be communicated in writing to the Secretariat for forwarding to the appropriate X12 subgroup.

**NOTE:** If a ballot is received by the Secretariat with no vote marked, the Secretariat will register the vote as "abstain".

- A. Approves.

**NOTE:** Comments are allowed and are instructions to TAS that the member believes revision to the DM should be made but that, whether or not such revision is made, the member approves the DM. Comments are provided on an attachment to the ballot.

- B. Disapproves with comment.

**NOTE:** Disapproval vote indicates to TAS that the member believes, for the reasons indicated in the comment, that revisions to the DM should be made and that unless they are made, the member disapproves the DM. Reasons for disapproval are provided with the ballot; additional comments may also be provided and should be separately identified as such. If a disapproval vote is received without comment, the Secretariat shall register the vote as “abstain”.

- C. Abstains.

- D. Indicates no interest.

**NOTE:** If a member indicates "no interest," the member may not subsequently change this vote, and the member is not included in the rebuttal ballot.

### 3.2.2 After the voting period the Secretariat:

- A. Tallies the vote and updates the TF.

**NOTE:** Any ballot received by the Secretariat after the specified ballot closing date (late) shall not be counted in the tally. If a late ballot contains comments, the comments may be forwarded to TAS.

- B. Forwards to the TAS Chair and Secretary the vote tally, TF, and a file of all comments.

- C. Invalidates the ballot if either of the following two criteria occur:

1. fewer than 20% of the ballots are returned, or
2. more than one-third (33-1/3%) of the ballots returned, not counting “No Interest” and “Abstain” ballots, are “Disapproves with comment”.

If the ballot is invalid, revert to II:3.1.3.

- D. If there are no disapprovals and no corrections for a DM, records the status of the DM as "approved" in the standards database (proceed to II:3.6).

- E. If there are no disapprovals and there are corrections proceed to II:3.5.

### 3.3 RESOLUTION OF BALLOT DISAPPROVALS

3.3.1 TAS reviews comments received, determines whether revisions are required, and takes the following actions:

- A. Refers a DM to the SC with maintenance responsibility for the DSTU being revised (proceed to II:3.3.2).
- B. If TAS determines that no revisions and no corrections to a DM are required, proceed to II:3.4 for a rebuttal ballot.
- C. If TAS determines that no revisions but corrections to a DM are required, proceed to II:3.5.
- D. If TAS determines that revisions to a DM are required, they shall determine:
  - 1. If the revisions have caused a substantive change, the DM shall be processed for a rebalot. TAS prepares a statement to accompany the rebalot package which explains the reason for the rebalot. If a DM is rebaloted, the Secretariat invalidates the previous X12 ballot for that DM (revert to II:3.1.3).
  - 2. If the revisions have not caused a substantive change, the DM shall be sent for a rebuttal ballot (proceed to II:3.4).

3.3.2 The SC to which the DM was referred takes the following actions:

- A. Evaluates the disapprovals.
- B. Prepares a written response to the disapproval comments.
- C. Recommends one of the following to TAS:
  - 1. Rebuttal ballot for the DM with no change to the DM.
  - 2. Rebuttal ballot for the DM with modifications to the DM.
  - 3. Rebalot for the DM with modifications to the DM.
- D. Provides the response (and the revised DM if any) to TAS at its next regularly scheduled meeting (revert to II:3.1.3).

**NOTE:** If the SC does not provide a response by the time of the next TAS meeting, TAS may choose to assume responsibility for resolving the DM.

**NOTE:** DMs referred to SC for disapproval comment response are included in the next DM rebuttal vote package after the SC response is accepted by TAS.

### **3.4 X12 MEMBER REBUTTAL BALLOT FOR THOSE WHO VOTED**

3.4.1 After the DM ballot closes and before the next X12 meeting TAS (or a designated task group):

- A. Prepares the ballot comment response letter for rebuttal ballot, which consists of one letter addressing all comments against the pertinent DMs.

**NOTE:** Response letter is prepared according to the Ballot Comment Response Letter Format (see Appendix).

- B. The TAS secretary:
  - 1. Arranges for review of the ballot comment response letter by the TAS chair and posts the chair's approval date on the TF.
  - 2. Notifies the Secretariat to proceed with the rebuttal ballot.

**NOTE:** The ballot comment response letter is reviewed by members of TAS concurrent with Rebuttal ballot

3.4.2 If there are unresolved disapprovals, the comments and responses are sent to the X12 member, who originally cast a vote (except “no interest”), for a 30-day review, in order to afford them an opportunity to re-affirm or change their vote. The Secretariat:

- A. Records receipt of the ballot comment response letter and updates the TF.

**NOTE:** The Secretariat checks the letter to ensure that all disapproval votes are responded to.

- B. Sends the following:
  - 1. Rebuttal ballot, including a statement that if there are any continuing disapprovals after the close of the rebuttal ballot, an Open Forum will be held at the next ASC X12 meeting after the closing.
  - 2. Ballot comment response letter.
  - 3.. List of DMs designated for rebuttal ballot.
  - 4. List of DMs designated for future rebalot (if any).

5. Revised DMs and list of revisions (if any revisions were made).

- C. Distributes to the TAS secretary and the chairs of all subcommittees an information copy of the rebuttal ballot mailing.

3.4.3 X12 members who receive the rebuttal ballot cast a ballot and take one of the following actions:

**NOTE:** If a member does not return a rebuttal ballot by the specified rebuttal ballot closing date, the member's vote shall be recorded as "approve" by the Secretariat, except that those who voted to abstain shall continue to be recorded as "abstain".

**NOTE:** Any portion of a proposed DM is subject to comment. However, disapproval vote on the DM shall be based on technical or functional issues. Other concerns should be communicated in writing to the Secretariat for forwarding to the appropriate X12 subgroup.

**NOTE:** If a ballot is received by the Secretariat with no vote marked, the Secretariat shall register the vote as "abstain".

- A. Approves.

**NOTE:** Comments are allowed and are instructions to TAS that the member believes revision to the DM should be made but that, whether or not such revision is made, the member approves the DM. Comments are provided on the ballot. If a member provides comments at this point, comments will not necessarily be addressed by TAS.

- B. Disapproves with comment.

**NOTE:** Disapproval vote indicates to TAS that the member believes, for the reasons indicated in the comments, that revisions to the DM should be made and that unless they are made, the member disapproves the DM. Reasons for disapproval are provided with the ballot; additional comments may also be provided and should be separately identified as such. If a disapproval vote is received without comment, the Secretariat shall register the vote as "abstain".

- C. Abstains.

**NOTE:** Abstentions may include comments.

3.4.4 After the rebuttal ballot, the Secretariat:

- A. Tallies the vote and updates the TF.

**NOTE:** Any ballot received by the Secretariat after the specified ballot closing date (late) is not counted in the tally.

- B. Forwards the TF, disapprovals and comments to the TAS secretary and SC chair.
- C. Adjusts the status of the DM in the standards database and prepares the DM Status Report which lists approved DMs.

3.4.5 After receipt of the tally, if there are unresolved disapprovals, TAS takes the following actions:

- A. Conducts an Open Forum at the next ASC X12 meeting after the rebuttal ballot closes, where TAS (or designated task group) and commentors attempt to resolve disapprovals. If a commentor does not attend, the written disapproval reasons provided during the rebuttal ballot are read at the Open Forum for discussion purposes. After the forum, TAS posts this Open Forum date to the TF. Open Forum results are reported in TAS minutes.

**NOTE:** The SC responsible for a DM must provide representation with authority to act for the SC at the Open Forum.

**NOTE:** See Appendix for Open Forum Checklist for conducting an Open Forum and preparing SC minutes.

- B. If there is a change to an X12 member's vote, a vote change form furnished by the commentor, that the vote is changed, is attached to the TF.

**NOTE:** See Appendix for ASC X12 Ballot Vote Change Form. This form must be used to record a vote change. A vote change may be submitted up until the PRB cutoff.

- C. If the forum results in agreement by TAS or a SC to revise the DM, reverts to II:3.1.4.
- D. If more than 10% of the X12 members who cast a vote on the DM, not counting abstention and no interest votes, represent unresolved disapprovals, reverts to II:3.1.3.
- E. Notifies the Secretariat to prepare the DM Status Report for the next PRB meeting (proceed to II:3.6).

### **3.5 CORRECTION OF ERRORS PRIOR TO PUBLICATION**

The procedure for corrections is not intended to be an alternative to the normal ballot resolution process. It is provided to allow timely repair of errors before PRB approval that cause a work item to deviate from the original intent of the developers. When resolving errors found on a DM during a ballot, TAS:

- A. Identifies the error and approves the correction (proceed to II:3.6).
- B. Disapproves the correction on the basis that it does not fit within the category of a correction and a rebuttal vote is therefore required (revert to II:3.4).

### **3.6 PRB APPROVAL TO PUBLISH**

3.6.1 The Secretariat updates the DM Status Report, places the item on the PRB agenda, and coordinates with TAS for distribution of copies of:

- A. DM Status Report.
- B. Vote Change Forms (if any).

3.6.2 The PRB reviews the DM Status Report and for each DM takes one of the following actions:

**NOTE:** Vote Change Forms, if any are received, are validated by the Secretariat; and a final tally is established before the PRB takes action on a DM.

**NOTE:** If there is disagreement on any procedural aspect of a DM, the objecting party shall convey this objection to the PRB for resolution.

- A. Approves the DM for publication.
- B. Disapproves, for procedural issues, the DM for publication and directs TAS to resolve the objections before returning to the PRB.

3.6.3 The Secretariat:

- A. Records the minutes of the PRB meeting and distributes them to PRB members and SC Chairs as notice of action.
- B. If the PRB disapproves a DM for publication, processing reverts to II:3.1.3.
- C. If the PRB approves a DM for publication, assigns version control ID and publishes the updated standards.

## ***SECTION 4: WITHDRAWAL OF A DSTU***

At some time, the responsible X12 developing subcommittee may decide that a Draft Standard for Trial Use (DSTU) should be withdrawn. If the DSTU is approved to be withdrawn, it will be marked for delete in the next release or subrelease. The DSTU will be physically deleted from the standards database one year following its being marked for delete in an ASC X12 annual release.

### **4.1 WITHDRAWAL INITIATION**

4.1.1 The responsible SC:

- A. Prepares and approves the Withdrawal Form (WF). See appendix for copy of form.
- B. Forwards the WF to the Secretariat.

4.1.2 The Secretariat reviews and processes the WF:

- A. If the WF is not clear and complete, contacts the respective SC project delegate for clarification.
- B. Distributes the WF to the PRB for review at their next meeting and notifies the Steering Committee.

4.1.3 The PRB reviews the WF and takes one of the following actions:

- A. Agrees that the proposed DSTU withdrawal be sent out for member vote in the next voting package.
- B. Refers the WF back to the SC with comments for further work.

## 4.2 X12 MEMBER BALLOT

If the DSTU withdrawal is approved for ballot, the Secretariat notes the proposed withdrawal in the X12 Status Report and prepares the ballot package.

4.2.1 An X12 member casts a ballot on the withdrawal of a DSTU and takes one of the following actions:

- A. Approves.

**NOTE:** Comments are allowed and should be provided on an attachment to the ballot.

- B. Disapproves with comment.
- C. Abstains.
- D. Indicates no interest.

4.2.2 If a ballot is received by the Secretariat with no vote marked, the Secretariat shall register the vote as “abstain”. If a ballot is received that is marked “Disapproves with comment” but no comment is made, the Secretariat shall register the vote as “abstain”.

4.2.3 After the voting period the Secretariat:

- A. Tallies the vote and forwards the tally and any comments to the responsible SC chair.
- B. Reports the ballot results at the next X12 meeting and attaches the ballot report to the minutes of the meeting, which are distributed to all X12 members.
- C. Invalidates the ballot if either of the following two criteria occur:
  - 1. fewer than 20% of the ballots are returned, or
  - 2. more than one-third (33-1/3%) of the ballots returned, not counting “No Interest” and “Abstain” ballots, are “Disapproves with comment”.

If the ballot is invalid, the DSTU is not withdrawn.
- D. If there are no disapprovals, places the item on the agenda of the next PRB meeting for approval to withdraw.

### **4.3 RESOLUTION OF BALLOT DISAPPROVALS**

If there are ballot disapprovals (and if the ballot is valid), the developing SC shall work with those that disapproved the withdrawal, to satisfy their business needs.

### **4.4 WITHDRAWAL OF THE DSTU**

#### **4.3.1 The Secretariat:**

- A. Forwards to the responsible SC Chair the vote tally and a file of all comments.
- B. Notifies ANSI of the withdrawn DSTU using the ANSI Project Initiation Notification System (PINS).
- C. Marks the DSTU “withdrawn” in the X12 Status Report. The DSTU shall be listed as withdrawn in the Status Report for one year, before deletion.
- D. Marks the DSTU for “delete” in the standards database and in the next Release.
- E. Deletes the DSTU from the standards database after one year.



## **CHAPTER III: PROCEDURES FOR INTERPRETATIONS**

### ***SECTION 1: INTRODUCTION***

- 1.1** This chapter defines procedures for processing a request for an interpretation of an X12 American National Standard (ANS) or X12 Draft Standard for Trial Use (DSTU) (hereafter, "standard").
- 1.2** In this chapter the information is organized into two major sections: Introduction, and Development and Approval Procedures. Procedures are outlined in chronological sequence. Notes are intended to provide information to help the user of this document understand the intent or to amplify a particular procedure (notes are to be considered part of the procedure to which they relate and carry the same weight). The Appendix to this Standing Document 2 contains forms and instructions designed to support these procedures. Forms and instructions are subject to change; the most current forms can be obtained from the Secretariat. Internal references include chapter and section numbers in the following format: III:2.2.4 is section 2.2.4 of Chapter III.
- 1.3** An interpretation is an official clarification of a standard. It consists of a letter 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.
- 1.4** 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 Work Request (WR) shall be submitted rather than a request for interpretation (see Chapter II:3).
- 1.5** If during development of the proposed interpretation a need for revision of a standard is identified, the developing subcommittee submits a WR. Once approved, the revision is incorporated in the standard and published according to defined procedures (see Chapter II:3).

## **SECTION 2: DEVELOPMENT AND APPROVAL PROCEDURES**

### **2.1 INTERPRETATION REQUEST INITIATION**

2.1.1 A request for interpretation may be submitted by anyone ("submitter") by writing to the Secretariat.

**NOTE:** The submitter provides a comprehensive description of the aspect of the standard that needs interpretation and 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.

2.1.2 The Secretariat reviews and processes the interpretation request:

- A. Acknowledges the request in writing within thirty days of receipt. If the request from the submitter is not clear or complete, contacts the submitter for clarification or returns the letter to the submitter explaining the reasons for returning it.
- B. When the request is clear and complete, forwards the request to the X12 subcommittee with maintenance responsibility for the standard in question and requests that SC to assign a Project Delegate for the interpretation.
- C. By copy of the notice to the assigned subcommittee, notifies the submitter of the SC assignment.

**NOTE:** After this notice, no further notice of status is provided by the Secretariat unless otherwise specified in these procedures. The submitter may request the status of the interpretation at any time by contacting the Secretariat.

- D. Places the item on the agenda of the next PRB meeting.

2.1.3 At or before the next ASC X12 meeting after assignment, the developing SC reviews the request for interpretation and takes the following actions:

- A. Contacts the submitter to determine whether a formal interpretation is required or an informal process can be used to answer the questions raised by the submitter. If an informal process is agreeable, a representative of the SC writes a letter to the submitter responding to the request for interpretation and copies the Secretariat as notification of action.

**NOTE:** A more rigorous process should be used where either the submitter requires a more official response than would be afforded through an informal process or the SC believes the nature of the request significant enough to warrant more thorough discussion and formal SC vote.

- B. If a formal interpretation is required, determines whether to accept or decline responsibility for drafting the interpretation.
  - 1. If the SC declines, the SC prepares a written statement of the reasons for its decision.
  - 2. If the SC accepts, identifies a Project Delegate.

2.1.4 At the next meeting of the PRB the SC reports the status of the interpretation and the PRB chair takes one of the following actions:

- A. If the newly assigned SC declines and the PRB determines that an interpretation should be written, reassigns the interpretation to another SC (Revert to III:2.1.3).
- B. If the PRB determines that no interpretation should be written, requests the Secretariat to advise the submitter of the reasons for declining to respond to the request for interpretation.
- C. If the assigned SC accepts, notes the assigned Project Delegate and authorizes the SC to proceed with development.

2.1.5 The Secretariat:

- A. If no interpretation will be written, advises the submitter of the reasons.
- B. If an interpretation will be written, initializes and distributes a Transmittal Form (TF) to the Project Delegate identified by the SC and to the SC chair.
- C. If at any time the submitter withdraws the request for interpretation, closes the file on the item and notifies the SC and PRB.

**NOTE:** The Project Delegate is responsible for ensuring that document control is established; see "Document Control Number" in the Glossary (Chapter 1). See Appendix for Sample TF form.

- D. Assigns an Interpretation Project (IP) number and records the item in the X12 Status Report.
- E. Records and distributes the minutes of the PRB meeting to PRB, Steering Committee and X12 members, and to the Project Delegate as notice of action.

## 2.2 INTERPRETATION DEVELOPMENT

2.2.1 The SC assigned responsibility (hereafter "developing subcommittee") drafts the proposed interpretation.

- A. The developing SC has one year, beginning at the PRB meeting where assignment is confirmed, to complete the steps in this section.
- B. The developing SC reports development activity to the PRB at each PRB meeting.

2.2.2 During development, the Project Delegate provides the proposed interpretation to the Secretariat. The Secretariat copyedits and styles the interpretation and maintains the database file.

**NOTE:** This becomes the official version of the proposed interpretation. The developing SC works with the Secretariat thereafter to maintain a current draft of the proposed interpretation in the database. The objective is to be able to produce a current copy of the proposed interpretation from the database at any time. At the point of SC approval for TAS final review, the proposed interpretation must be generated from the Secretariat database.

**NOTE:** TAS is available to the SC for technical assistance and consultation during interpretation development.

2.2.3 When the proposed interpretation is ready for TAS review, the developing SC:

- A. Votes to approve the proposed interpretation and proceed to TAS for review.
- B. Updates the TF and forwards the TF to the Secretariat with a request to place the proposed interpretation on the agenda of the next TAS meeting for TAS review.

**NOTE:** Consult TAS review procedures.

**NOTE:** At an X12 meeting the developing SC is responsible for scheduling TAS review and for distribution of appropriate material to TAS.

2.2.4 The Secretariat:

- A. Updates the TF to reflect SC approval.
- B. Generates the proposed interpretation for TAS review.
- C. Schedules the item on the TAS agenda.
- D. Distributes the TF and proposed interpretation to TAS members.

2.2.5 TAS evaluates the proposed interpretation and takes one of the following actions:

- A. Recommends the proposed interpretation go forward without change to the PRB for approval to issue.
- B. Recommends revision or provides other comments to the developing SC.

2.2.6 The Secretariat:

- A. Updates the TF in the standards database to reflect TAS review.
- B. Records TAS action in TAS minutes.
- C. Distributes TAS minutes to TAS members, SC chairs and the Project Delegate as notice of action.
- D. Attaches TAS recommendations to the proposed interpretation (proceed to III:2.2.7).
- E. If TAS recommends that the proposed interpretation go forward to the PRB, prepares the proposed interpretation for the PRB, proceed to III:2.2.8.

2.2.7 The developing SC considers the TAS recommendations and takes one of the following actions:

- A. Votes to proceed to the PRB without revision:
  - 1. Reports this decision to TAS.

**NOTE:** This decision must be reported to TAS before the proposed interpretation can be accepted for the PRB agenda. If TAS has an issue with the way the developing SC has responded to TAS recommendations, the TAS PRB rep conveys to the PRB the TAS position on the issue.

- 2. Updates the TF for forwarding.
  - 3. Notifies the Secretariat of this decision, submits an updated TF, and requests the Secretariat to place the proposed interpretation on the PRB agenda (proceed to III:2.2.8).
- B. Decides to revise the proposed interpretation:
  - 1. Develops revisions and updates the TF.
  - 2. 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.

3. Submits the report, an updated TF, a list of revisions, and the revised proposed interpretation to the Secretariat for processing.
4. Arranges for TAS review of revisions (processing reverts to III:2.2.4).

**NOTE:** At an X12 meeting the developing SC is responsible for scheduling TAS review and for distribution of appropriate material to TAS.

2.2.8 The Secretariat prepares the PRB agenda and coordinates with the developing SC for distribution of the PRB review package, which consists of the TF, proposed interpretation, and TAS recommendations (if any); if the proposed interpretation was revised in response to TAS recommendations, the SC response report is included.

2.2.9 The PRB takes one of the following actions:

**NOTE:** If there is disagreement on any procedural aspect of the proposed interpretation, the objecting party should convey this objection to the PRB.

- A. Approves the proposed interpretation for issue to the submitter.
- B. Disapproves issuance of the proposed interpretation for procedural reasons and directs the developing SC to resolve the objections before returning to the PRB (processing reverts to III:2.2.1).

2.2.10. The Secretariat:

- A. Records and distributes the minutes of the PRB meeting to PRB, Steering Committee, and X12 members and to the Project Delegate as notice of action.
- B. Mails the interpretation to the submitter and copies X12 members.

## CHAPTER IV: PROCEDURES FOR X12 GUIDELINES AND TECHNICAL REPORTS

### SECTION 1: INTRODUCTION

- 1.1** This chapter defines procedures for development and maintenance of X12 Guidelines and Technical Reports. The information is organized into the following major sections: Introduction, X12 Guidelines, and Technical Reports.
- 1.2** In the sections that follow, procedures are outlined in chronological sequence. Notes are intended to provide information to help the user of this document understand the intent or to amplify a particular procedure (notes are to be considered part of the procedure to which they relate and carry the same weight). The Appendix to this Standing Document 2 contains forms and instructions designed to support these procedures. Forms and instructions are subject to change; the most current forms can be obtained from the Secretariat. Internal references include chapter and section numbers in the following format: IV:3.1.2 is section 3.1.2 of Chapter IV.
- 1.3** X12 Guidelines and Technical Reports are not standards, nor are they intended to be used as such. Use of X12 Guidelines and Technical Reports may result in greater consistency and coherence in information processing systems utilizing the X12 family of standards.
- 1.3.1** 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 electronic data interchange, 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. Approval of X12 guidelines is achieved by letter ballot to the X12 Committee.
- 1.3.2** A "Technical Report Type 1," tutorial (transaction set or control structures implementation guideline), addresses one particular standard(s) for general audiences. The tutorial expresses the intent of the X12 subcommittee that developed and maintains the referenced standard. It includes guidance on usage of the standard or specific elements of the standard, it may include examples of use, and it is intended to encourage uniform implementation. Information and instruction contained in a tutorial is non-binding for standards' users. This type of report does not require approval to publish by the PRB or the X12 membership.

**NOTE:** A tutorial is specific to the most current version/release of the subject(s) standard(s) unless there is an overriding reason for basing it on an earlier release. If it applies also to earlier releases, the tutorial will so state.

**NOTE:** The annual release of ASC X12 standards will indicate those DSTUs for which a tutorial is available.

1.3.3 A "Technical Report Type 2," reference model, addresses a number of X12 standards as they relate to each other or to one or more business applications. This type of report may model business practice processes, applications, and business data flows, and may address other considerations intended to assist standards users to develop software systems to facilitate EDI transmissions. This type of technical report is developed by the X12 subcommittee responsible for the referenced standards, but the report does not require approval by the X12 membership.

**NOTE:** The annual release of ASC X12 standards will indicate those DSTUs for which a reference model is available. The reference model should note the standard or standards to which it applies.

## **SECTION 2: X12 GUIDELINES**

X12 Guidelines (hereafter "Guideline") are developed and maintained in a fashion similar to X12 Draft Standards for Trial Use.

### **2.1 DEVELOPMENT AND APPROVAL**

Guidelines are developed and approved according to the procedures of Chapter II:2, except that the document is a proposed Guideline rather than a proposed Draft Standard for Trial Use.

### **2.2. PUBLICATION LIFETIME**

Three years after the Procedures Review Board (PRB) approves publication of a Guideline, the PRB will request the responsible subcommittee (SC) to reaffirm, withdraw, or revise the Guideline within two years. If the SC does not reaffirm, withdraw, or revise the Guideline at the end of the five-year period, the PRB will withdraw its approval of the Guideline.

### **2.3 MAINTENANCE**

The responsible SC may initiate revisions to the Guideline at any time after first publication.

2.3.1 Comments or suggestions for improvement of the Guideline may be submitted by anyone by writing to the Secretariat. The Secretariat shall forward such comments to the responsible SC.

2.3.2 Development and approval of a revised Guideline, and reaffirmation and withdrawal of a Guideline, are governed by procedures defined in Chapter II, beginning with Section 2.1.2, except that the document is a Guideline rather than a proposed Draft Standard for Trial Use.

## 2.4 WITHDRAWAL OF A GUIDELINE

At some time, the responsible X12 developing subcommittee may decide that a Guideline should be withdrawn. Guidelines are withdrawn using the same procedures as DSTUs. See Chapter II, Section 4.

## SECTION 3 TECHNICAL REPORTS

Technical Reports Type 1 and 2 (hereafter "Technical Report") are processed in identical fashion according to the procedures in this section.

### 3.1 PROJECT INITIATION

New Technical Reports are initiated by an ASC X12 subcommittee (SC).

#### 3.1.1 The SC:

- A. Prepares and approves a work request (WR). The WR indicates whether the proposed work is a Technical Report Type 1 or 2 and identifies the subject standard(s) by title, reference number(s), version/release, and expected publication date.

**NOTE:** At the time of its approval for publication, a tutorial (Type 1) must be based on the most current version/release of the subject standard. A reference model (Type 2) must indicate its applicability to any version/release of the subject standard(s).

- B. Designates a Project Delegate.
- C. Forwards the WR to the Secretariat.

**NOTE:** See Appendix for WR form.

#### 3.1.2 The Secretariat reviews and processes the WR:

- A. If the WR is not clear and complete, contacts the submitter for clarification or returns the WR to the submitter explaining the reasons for returning it.
- B. When the WR is clear and complete, assigns a DM number and enters the DM into the standards database.
- C. Distributes the DM to TAS for review at its next meeting.

**NOTE:** TAS establishes a cutoff date for receipt of material to be included on the agenda of the next meeting. The DM is logged for the next TAS meeting for which the cutoff date is met.

3.1.3 TAS evaluates the DM and takes one of the following actions:

- A. Approves and authorizes the SC to begin work.
- B. Disapproves the DM with reasons.
- C. Accepts withdrawal by the SC's TAS representative with reasons.

3.1.4 If the DM is disapproved by TAS, the SC may revise the DM and resubmit (revert to IV:3.1.1).

3.1.5 The Secretariat:

- A. If the DM is approved:
  - 1. Lists the DM in the X12 Status Report.
  - 2. Initializes and distributes a Transmittal Form (TF) to the Project Delegate(s) identified by the SC on the DM and to the SC chair.

**NOTE:** The Project Delegate is responsible for ensuring that document control is established; see "Document Control Number" in the Glossary (Chapter 1). See Appendix for Sample TF form.

- B. If the DM is withdrawn or disapproved, deletes the DM from the standards database.

## 3.2 DEVELOPMENT

3.2.1 The SC responsible for the DM ("developing SC") develops the proposed Technical Report.

**NOTE:** TAS is available to the SC for technical assistance and consultation during Technical Report development.

**NOTE:** The developing SC reports Technical Report development activity in its minutes. The Project Delegate keeps the Secretariat informed of the status of the proposed Technical Report through the TF.

3.2.2 If the developing SC decides to withdraw the DM, the SC Chair so notifies the Secretariat. The Secretariat closes the item and notifies TAS.

3.2.3 During development, the Project Delegate provides the proposed Technical Report to the Secretariat with a request that it be entered into the Secretariat database. The Secretariat copyedits and styles the proposed Technical Report.

**NOTE:** This becomes the official version of the proposed Technical Report. The developing SC works with the Secretariat thereafter to maintain a current draft of the proposed Technical Report in the database. It is the Project Delegate's responsibility to ensure that the Technical Report is correctly represented in the database at all times. The objective is to be able to produce a current copy of the proposed Technical Report from the standards database at any time, but at the point of SC approval for TAS final review (IV:3.2.4), the proposed Technical Report must be generated from the database.

3.2.4 When the proposed Technical Report is ready for TAS review, the developing SC:

- A. Votes to approve the proposed Technical Report and proceed to TAS for review.
- B. Updates the TF and forwards the TF to the Secretariat with a request to place the proposed Technical Report on the agenda of the next TAS meeting for TAS review.

**NOTE:** Consult TAS review procedures.

**NOTE:** At an X12 meeting the developing SC is responsible for scheduling TAS review and for distribution of appropriate material to TAS.

3.2.5 The Secretariat:

- A. Updates the TF to reflect SC approval.
- B. Generates the proposed Technical Report from the standards database for TAS review.
- C. Schedules the item on the TAS agenda.
- D. Distributes the TF and proposed Technical Report to TAS members.

3.2.6 TAS evaluates the proposed Technical Report and takes one of the following actions:

- A. Recommends the proposed Technical Report go forward, without for publication with agreement from the developing SC TAS representative.
- B. Recommends revision or provides other comments to the developing SC.

3.2.7 The Secretariat:

- A. Updates the TF to reflect TAS review.
- B. Records TAS action in TAS minutes.

- C. Distributes TAS minutes to TAS members, SC chairs and the Project Delegate as notice of action.
- D. Attaches TAS recommendations (if any) to the proposed Technical Report.
- E. Publishes the Technical Report if TAS recommends that the proposed Technical Report go forward for publication (without change).

3.2.8 The developing SC considers the TAS recommendations and takes one of the following actions:

- A. Decides to revise the proposed Technical Report (revert to IV:3.2.3).
- B. Votes by at least a two-thirds (66-2/3%) majority to not revise the proposed Technical Report as recommended by TAS (otherwise, revert to IV:3.2.3).

**NOTE:** Revisions shall conform to the most recently approved X12 syntax and design rules.

1. Reports this decision to TAS.
  - a. If TAS votes by at least a three-quarter (75%) majority to continue the TAS position, the proposed Technical Report shall be returned to the developing SC for further consideration. The SC will work with TAS to resolve the disagreement. (revert to IV:3.2.8).
  - b. If TAS fails to vote by at least a three-quarters (75%) majority to continue the TAS position, the SC version is accepted.
2. Updates the TF.
3. Forwards the TF to the Secretariat.

3.2.9 The Secretariat:

- A. Places the technical report on PRB list of documents to be published
- B. Publishes the technical report.

### 3.3 MAINTENANCE

The responsible SC may initiate revisions to the Technical Report at any time after first publication.

3.3.1 Comments or suggestions for improvement of the Technical Report may be submitted by anyone by writing to the Secretariat. The Secretariat will forward such comments to the responsible SC.

- 3.3.2 Development and approval of a revised Technical Report, and reaffirmation and withdrawal of a Technical Report, are governed by procedures defined this Chapter IV, beginning with Section 3.2, except that the document is a Technical Report rather than a proposed Technical Report.
- 3.3.3 Three years after first publication the PRB will request the SC to reaffirm, withdraw or revise and reissue the Technical Report within two years. If the SC does not reaffirm, withdraw, or revise the Technical Report at the end of the five-year period, the PRB shall direct the Secretariat to withdraw the Technical Report.

**NOTE:** Chapter II:3 (maintenance) does not apply to Technical Reports.

### **3.4 WITHDRAWAL OF A TECHNICAL REPORT**

At some time, the responsible X12 developing subcommittee may decide that a Technical Report should be withdrawn. The SC prepares and approves the Withdrawal Form (WF) and forwards the WF to the Secretariat. (See appendix for copy of form.) The Secretariat notifies the PRB that the Technical Report is being withdrawn and adds a notice of withdrawal to the X12 Status Report. The Secretariat will delete the Technical Report from the next published Publication Catalog.



## **CHAPTER V: PROCEDURES FOR PROCESSING X12 SYNTAX-BASED STANDARDS TO BECOME AMERICAN NATIONAL STANDARDS**

### **SECTION 1: INTRODUCTION**

- 1.1** The following procedures are established to ensure compliance with the criteria for approval of American National Standards (ANS) as specified by the ASC X12 Organization and Procedures Manual (OPM) and the American National Standards Institute (ANSI) Procedures for the Development and Coordination of American National Standards (latest version).
  
- 1.2** ANSI requires that an ANS be revised, reaffirmed, or withdrawn within five years of ANSI approval. In X12, each ANS exists both as an American National Standard and as a Draft Standard for Trial Use (DSTU), with normal maintenance of the standards occurring only at the DSTU level. In order for an X12 standard to become an ANS it must first be approved by X12 as a DSTU. See Chapter II for DSTU procedures.
  
- 1.3** These procedures are written primarily for the development or revision of an ANS. The assumption is that all DSTUs in a Release will have been revised at some time during the five-year period between ANSs. To reaffirm or withdraw an ANS, refer to the ANSI Procedures for the Development and Coordination of American National Standards and the X12 Organization and Procedures Manual.
  
- 1.4** Selected DSTUs become draft proposed American National Standards (dpANS). ASC X12 provides evidence of consensus through a member mail ballot and a public review of all dpANS. At any point prior to ANSI approval of an ANS, X12 or the Steering Committee may, if it so decides, interrupt the process and refer the project for further work at the DSTU level, or may abort the project.
  
- 1.5** In the sections that follow, procedures are outlined in chronological sequence. Internal references include chapter and section numbers in the following format: V:1.2. is Section 1.2 of Chapter V. The Appendix to this Standing Document 2 contains forms and instructions designed to support these procedures. Forms and instructions are subject to change; the most current forms can be obtained from the Secretariat.

## **SECTION 2: PLANNING & DEVELOPMENT**

### **2.1 PLAN INITIATION**

- 2.1.1 Approximately three years after approval by ANSI of an ANS, the Secretariat shall draft a plan and time table for the next ANS approval cycle. This plan shall describe what must happen and when it must happen in order to meet the ANSI five-year rule. The plan, which shall be approved by the Steering Committee, shall include the following:
- A. The X12 DSTU Release that will be the basis for the next version of the X12 ANS.
  - B. Cut-off dates for Project Proposals and data maintenance that can be included in the designated release. These dates will be calculated based on the X12 DSTU development and maintenance procedures in Chapter II.
  - C. A detailed schedule of requirements to assist the SCs in meeting all deadlines.

### **2.2 SELECTION OF ANS CANDIDATES**

- 2.2.1 The purpose for the two levels of standards is so that any deficiencies in a standard can be corrected at the DSTU level prior to a standard becoming an American National Standard.
- 2.2.2 Early in the planning process, SCs should review all DSTUs, PPs, and any other current or potential work items in their area of responsibility. A schedule of development and maintenance work should be created so that cut-off dates for new or proposed DSTUs and maintenance on existing DSTUs, to be included in the designated Release, are met.
- 2.2.3 As per the schedule, the Steering Committee shall direct the responsible SCs to indicate those DSTUs, included in the designated Release, that should be considered for dpANS status. SCs may elect to designate all of their DSTUs as candidates or may elect to keep one or more of them at the DSTU level.
- 2.2.4 The responsible SC(s) will select candidates, and report the list of candidates, in writing, to the Steering Committee and the Secretariat. The SCs shall also identify Project Delegates for the purpose of coordinating the work effort.
- 2.2.5 The Steering Committee shall approve the list of candidates from all SCs and direct the Secretariat to create a preliminary dpANS(s) based on that list.

## **2.3 dpANS PROCESS**

2.3.1 After the designated Release has been approved for publication by the PRB (see II:2.8) 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 DSTU 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 SC chairs and Project Delegates.

2.3.2 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 must 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 must 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.

2.3.3 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.

## **SECTION 3: X12 APPROVAL PROCESS**

### **3.1 PRB APPROVAL**

3.1.1 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 mail 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.
- C. 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.

### **3.2 X12 VOTE**

3.2.1 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 will be categorized as “no interest”; members responding to the survey will become the voting panel. The Secretariat shall review the list of respondents and ensure that the voting panel is representative of the membership. The letter ballot voting period shall be a minimum of 60 days from the mailing date. The Secretariat shall send a second notice at 30 days after the mailing date to all members that have not returned their ballot. Letter ballots must be received within the voting period to be counted. In the event that sufficient ballots are not returned at the end of 60 days, the X12 Chair may extend the ballot period.

3.2.2 Voting on the dpANS(s) shall be by mail ballot. For a letter ballot the voting positions are:

- A. Approve.
- B. Approve while making comments of an editorial nature.
- C. Disapprove with comment. Each disapprove vote must be accompanied by a comment which specifies the part or item of the dpANS that the voter disapproves. If no comment is present, the Secretariat shall register the vote as “abstain”.
- D. Abstain.
- E. Indicates no interest.

NOTE: If a “no interest” vote is submitted, the voter will not be included in the voting panel on any subsequent rebalot(s) of this item.

3.2.3 For a letter ballot, a majority of the ballots mailed, including abstentions, must be returned or the issue is unresolved. A favorable vote by X12 is two-thirds approval of the ballots returned with no interest and abstentions not counted.

### **3.3 PUBLIC REVIEW**

- 3.3.1 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 procedures.
- 3.3.2 Upon approval of the PRB (see V:3.1), the 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 60 days and commence with the publishing of the notice in *Standards Action*. It may also be concurrent with the X12 voting period.

### **3.4 RESOLUTION OF MEMBER AND PUBLIC REVIEW COMMENTS**

- 3.4.1 When the balloting and public review period have closed, the Secretariat shall do the following:
- A. Tally all ballots and post 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 consideration at the DSTU level or next review. 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.
- 3.4.2 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.
- A. 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 DSTU level.
  - B. Any dpANS that is not syntactically correct or does not follow design rules must be corrected in order to remain a dpANS. These corrections shall follow the procedures per

V:3.4.2.C. The SC may elect to remove the dpANS from the dpANS package and make all changes at the DSTU level. The change would then be considered at the next DSTU approval cycle.

- C. The SC may decide to make substantive changes to the dpANS in order to satisfy an objection. The change must be approved by the SC and reviewed by TAS. All substantive changes shall undergo a 30-day public and X12 review as per V:3.4.5.

3.4.3 Per the approved schedule, SCs will 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 (see I:1.3 Glossary of Terms) to be made (if any).

#### 3.4.4 **Response Review Period (30-Day)**

3.4.4.1 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 (revert to V:3.4.3).
- C. Forward response letter(s) to the commenter(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. The form shall state that if the commenter does not respond within the 30-day period, the Secretariat shall assume that the commenter is satisfied with the response and the Secretariat shall withdraw the disapprove vote or public review objection and register the response as approve.

3.4.4.2 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. The PRB shall process the dpANS(s) per V:3.4.6.

3.4.4.3 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).

#### 3.4.5 **Final Resolution Period (30-Day)**

3.4.5.1 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) will be distributed to the voting panel and all public review commenters, by the Secretariat for a 30-day review period. If the dpANS has been changed because something has been eliminated (see V:3.4.2.B), a notice of what has been eliminated must be included in this distribution. This review period will give all voters and commenters an opportunity to change their vote or withdraw their comment, based on SC responses and any substantive changes. All changes to votes or comments must be received in writing by the Secretariat within the review period. The voting panel and all public review commenters shall be notified that if they do not respond within the 30-day review period, it shall be assumed that they agree with the SC response and their vote or comment shall be recorded by the Secretariat as “approve”.

3.4.5.2 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.

3.4.6 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 ANSI to the 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.

## **SECTION 4: ANSI SUBMISSION & BSR APPROVAL**

- 4.1 Per ANSI procedures, the Secretariat shall prepare the dpANS and submit it with the required forms to the ANSI Board of Standards Review (BSR).
- 4.2 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 V:3.4.

## **SECTION 5: PUBLICATION**

- 5.1 Upon notification of approval by ANSI, the Secretariat shall publish the ANS(s).

## **SECTION 6: WITHDRAWAL OF AN AMERICAN NATIONAL STANDARD**

At some 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 must agree to withdraw the document.

### **6.1 WITHDRAWAL INITIATION**

6.1.1 The responsible SC:

- A. Prepares and approves the Withdrawal Form (WF). See appendix for copy of form.
- B. Forwards the WF to the Secretariat.

6.1.2 The Secretariat reviews and processes the WF:

- A. If the WF is not clear and complete, contacts the SC project delegate for clarification.
- B. Distributes the WF to the Steering Committee for review at their next meeting.

6.1.3 The Steering Committee reviews the WP and takes one of the following actions:

- A. Agrees that the proposed ANS withdrawal be sent out for member vote in the next voting package and asks the Secretariat to notify the PRB.

B. Refers the WF back to the SC with comment(s) for further work.

## **6.2 X12 MEMBER BALLOT**

6.3.1 If the ANS withdrawal is approved for ballot, the Secretariat notes the proposed withdrawal in the X12 Status Report and prepares the ballot package.

6.3.2 The X12 member ballot will be conducted per V: 3.2.

## **6.3 PUBLIC REVIEW**

6.3.1 Upon approval by X12 of the withdrawal, the Secretariat shall transmit to ANSI appropriate documentation for the withdrawal of an ANS and a request that notice of public review be announced in *Standards Action*. The public review period will be 60 days.

## **6.4 RESOLUTION OF COMMENTS**

6.4.1 The responsible subcommittee shall endeavor to resolve disapprovals, whether from the X12 ballot or public review. All reasonable effort should be made to satisfy the business requirements of those who disapproved withdrawal of the ANS.

