

**ASC X12X/TG3/2003-24**

**ACCREDITED STANDARDS COMMITTEE X12**

**Electronic Data Interchange**

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

Approved: February 2003; Updated September 2005



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

- A new type of Technical Report (TR3) has been added as 1.3.4 in Chapter IV.

Other highlights recently approved include:

- A new section (Section 4) has been added to Chapter II for Code Maintenance Procedures.
- SD2 now includes a new chapter (Chapter VI) to cover the Procedures for the Development and Maintenance of X12 XML Business Document Standards.



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## **CHAPTER I: GENERAL INFORMATION**

### **SECTION I: 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 Standard, 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 Standards for Electronic Data Interchange
  - X12 Interpretations
  - X12 Guidelines
  - Technical Reports
  - X12 XML Business Documents
- 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 X12 Standards 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 Standard 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.

## 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 X12 Standards.

## 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 X12 Standard 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, X12 Standards, guidelines and interpretations. The OPM is used by ANSI as the basis for the X12 Committee's accreditation.

**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 Standards, dpANSs, guidelines and interpretations (see Chapter I, 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 X12 STANDARD, 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 I, 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, X12 Standards, 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 I, 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 I, 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 X12 Standard, for requesting a new X12 development project, or for listing supporting data maintenance for a new X12 Standard.

#### X12 STANDARD

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 X12 Standard revised as necessary, may be submitted to ANSI for approval as an American National Standard (ANS).

## **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 X12 Standards, 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 and PRB. 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 a 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 X12 Standard, guideline, interpretation and technical report.
- E. Providing recommendations to the PRB on X12 Standards, 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 X12 Standards, guidelines and data maintenance to existing X12 Standards and guidelines.
- C. Authorizing publication of approved X12 Standards, 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 X12 Standard 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 X12 Standards. 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 X12 Standard 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.

**NOTE:** A comprehensive description of and business case for the proposed X12 Standard development is required.

- 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 SC for clarification or returns the PP to the SC 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:** Normally the PRB will assign the PP to the SC that prepared the PP.

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

- B. Disapproves the PP with reasons. The SC may revise the PP and resubmit (revert to II:2.1.2.1).
- C. Accepts withdrawal of the PP by the SC's PRB rep with reasons.

#### 2.1.2.4 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 the following action:

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 , and 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 X12 STANDARD DEVELOPMENT

2.2.1 The SC responsible for the PP ("developing SC") develops the proposed X12 Standard 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 X12 Standard development.

**NOTE:** The developing SC reports X12 Standard development activity in its minutes. The Project Delegate keeps the Secretariat informed of the status of the proposed X12 Standard through the TF.

- 2.2.2 If joint development responsibility has been assigned, all developing SCs must approve the proposed X12 Standard at each SC approval point. The primary developing SC has responsibility for presenting the proposed X12 Standard 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, and reflects change in database.
  - 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 X12 Standard to the Secretariat with a request that it be entered into the standards database. The Secretariat copyedits and styles the proposed X12 Standard and assigns a DM number to the proposed X12 Standard and associated data maintenance.

**NOTE:** For the purposes of these procedures, the "proposed X12 Standard" consists of the proposed standard and any data maintenance associated with it and identified by the DM number for the proposed X12 Standard.

**NOTE:** This becomes the official version of the proposed X12 Standard. The developing SC works with the Secretariat thereafter to maintain a current draft of the proposed X12 Standard in the standards database. It is the Project Delegate's responsibility to ensure that the X12 Standard is correctly represented in the standards database at all times. The objective is to be able to produce a current copy of the proposed X12 Standard from the standards database at any time, but at the point of SC approval for TAS final review (II:2.2.5), the proposed X12 Standard must be generated from the standards database.

2.2.5 When the proposed X12 Standard is ready for TAS formal review, the developing SC:

- A. Votes to approve the proposed X12 Standard and proceed to TAS for formal review.
- B. Updates and forwards the TF to the Secretariat with a request to place the proposed X12 Standard on the agenda of the next TAS meeting for TAS formal review.

**NOTE:** A PP must be approved by the PRB before the proposed X12 Standard 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 X12 Standard from the standards database for TAS formal review.
- C. Schedules the item on the TAS agenda.
- D. Distributes the TF and proposed X12 Standard to TAS members.

2.2.7 TAS evaluates the proposed X12 Standard and takes one of the following actions:

**NOTE:** TAS evaluates the proposed X12 Standard 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 X12 Standard 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 X12 Standard.

- E. If TAS recommends that the proposed X12 Standard go forward to the PRB for member ballot, prepares the proposed X12 Standard 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 X12 Standard:
  - 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 X12 Standard 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 X12 Standard as recommended by TAS (if 2/3 majority is not achieved, 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 X12 Standard 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 X12 Standard
- C. X12 Standard examples

2.2.11 The PRB takes one of the following actions:

**NOTE:** If there is disagreement on any procedural aspect of the proposed X12 Standard, the objecting party shall convey this objection to the PRB for resolution.

- A. Approves the proposed X12 Standard for X12 membership ballot (and in the case of joint development responsibility, assigns future responsibility for the proposed X12 Standard 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 X12 Standard 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 X12 Standard for ballot, processing reverts to II:2.2.1.

- C. If the PRB approves the proposed X12 Standard for ballot:

1. Prepares and mails the ballot and proposed X12 Standard 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 X12 Standard in the next *Standards Development Workbook*.

**NOTE:** Any revisions to the proposed X12 Standard 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 X12 Standard and takes one of the following actions:

**NOTE:** Any portion of the proposed X12 Standard or supporting is subject to comment. However, a disapproval vote on the document shall 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 X12 Standard. Comments are provided with 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 X12 Standard. Reasons for disapproval are provided with the ballot. 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 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 commentor 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 by 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.

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

**NOTE:** See Appendix for X12 Ballot Comment Response Letter Format. Voters who approved and provided comments shall be responded to by the SC.

- 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 X12 Standard are required. The SC marks such corrections on the X12 Standard and proceeds to II:2.7.
- G. Determines that no revisions and no corrections to the proposed X12 Standard 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 X12 Standard, 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 X12 Standard (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 X12 Standard as recommended by TAS (if 2/3 majority is not achieved, 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 X12 Standard 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) (proceed to 2.4.7).

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 X12 Standard 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 X12 Standard 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 a 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 X12 Standard on the agenda of the next PRB meeting.
- C. Receives and checks the following for completeness:
  - 1. Updated TF.
  - 2. Proposed X12 Standard (marked with corrections, if any).
  - 3. Copies of unresolved disapprovals (if any).

4. Vote Change Forms (if any).
  5. 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 X12 Standard 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 X12 Standard. If the changes are substantive, the X12 Standard 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 X12 Standard (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 X12 Standard (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 X12 Standard 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 X12 Standard. Comments are provided with 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 X12 Standard. Reasons for disapproval are provided with the ballot; comments are provided with the ballot. 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 X12 Standard on the agenda of the next PRB meeting for approval to publish and coordinates with the developing SC to distribute copies of the proposed X12 Standard 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 commentor 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 by 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.

- C. Determines that revisions are required (proceed to II:2.6.2).
- D. Determines that no revisions and no corrections to the proposed X12 Standard are required to resolve disapprovals received during balloting, proceed to II:2.6.5.

- E. Determines that corrections (see I:3 Glossary of Terms), but no revisions, to the proposed X12 Standard are required, marks such corrections on the X12 Standard 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 X12 Standard, the SC:
- A. Develops and approves revisions, and updates the TF.
  - B. Submits an updated TF, revised X12 Standard, 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 X12 Standard (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 X12 Standard 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 X12 Standard 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 X12 Standard 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 X12 Standard 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 X12 Standard (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 X12 Standard 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 X12 Standard is forwarded for approval after an original ballot, revert to II:2.4.5.
  - 2. If X12 Standard 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 X12 Standard is forwarded for approval after an original ballot, revert to II:2.4.5.
  - 2. If X12 Standard 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 X12 Standard (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 X12 Standard.
  - 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 X12 Standard, the objecting party shall convey this objection to the PRB for resolution.

**NOTE:** If more than 3% on an original ballot or reballot, 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 X12 Standard.

- A. Approves the X12 Standard 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 X12 Standard 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. Disapproves the proposed X12 Standard for publication because of procedural issues and directs the developing SC to resolve the objections before returning to the PRB.
- C. If the PRB approves the X12 Standard for publication:
  - 1. Assigns a publication date and version control ID, as appropriate.
  - 2. Publishes the X12 Standard.
  - 3. Places the X12 Standard 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. It is not intended to be an alternative to the normal maintenance process.

2.9.1 After a new transaction set (X12 Standard) has been approved for publication, the responsible SC shall review the X12 Standard as published to ensure the X12 Standard is accurate, and takes one of the following actions prior to the end of the PRB cutoff 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 corrections to the Secretariat and updates the TF.

### 2.9.2 The Secretariat:

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

### **SECTION 3: MAINTENANCE PROCEDURES (OTHER THAN CODE MAINTENANCE)**

#### **3.1 WORK REQUEST**

X12 Standards are placed in maintenance status after approval for publication by the PRB. Individuals or organizations may propose revisions to the X12 Standard according to the procedures in this section.

3.1.1 A request for change to an X12 Standard 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 (X12 Standard) 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 the DM for X12 membership ballot because of procedural issues and directs TAS to resolve the objections before returning to the PRB.

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*.

## 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 with 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. 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 X12 Standard 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.

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

- 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. Reballot 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:3.3.1B).

**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.

3.4.2 The comments and responses are sent to the X12 members, who originally cast a vote (except “no interest”), for a 30-day rebuttal ballot 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 reballot (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 shall 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:** See Appendix for Open Forum Checklist for conducting an Open Forum and preparing SC minutes.

- B. If the forum results in agreement by TAS or a SC to revise the DM, reverts to II:3.3.1D.
- C. If there is a change to an X12 member's vote, a vote change form shall be furnished by that member indicating the vote is changed. A voter may also change a vote to an "approve" contingent upon the DM submitter submitting a mutually agreed upon WR to the Secretariat.

**NOTE:** The Secretariat ensures that the requested WR is attached to the contingent Vote Change Form. 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.

- C. 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 the Secretariat shall invalidate the ballot.
- D. 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 the DM for publication for procedural issues 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: CODE MAINTENANCE PROCEDURES**

### **4.1 CODE MAINTENANCE REQUEST (CMR)**

Code lists associated with X12 Standards are placed in maintenance status after approval for publication by the PRB. Individuals or organizations may propose revisions to the code lists according to the procedures in this section.

4.1.1 A CMR may be submitted by anyone ("submitter"), using the CMR form on the X12 web site. The submitter prepares and submits the CMR according to instructions on the web site. Following submission a CMR number is assigned and the submitter receives a confirmation that the request has been submitted.

4.1.2 The Secretariat reviews and processes the CMR.

A. If the CMR is not clear or not complete, contacts the submitter for clarification or returns the CMR to the submitter explaining the reasons for returning it.

B. When the CMR is clear and complete, queues the CMR for the next X12 member comment period.

## 4.2 X12 MEMBER COMMENT

4.2.1 The Secretariat posts the CMRs to the X12 web site and notifies X12 voting members via email of a 21-day CMR comment period.

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

4.2.2 An X12 member submits comments via the X12 web site concerning the CMR comment package.

**NOTE:** Comments received are membership input into the TAS process for resolving code maintenance requests. This is not a member ballot.

4.2.3 After the comment period the Secretariat compiles a file of all comments and forwards this file to the TAS Chair for processing at the next TAS meeting.

## 4.3 RESOLUTION OF CMRs

4.3.1 CMR's are referred to TAS.

**NOTE:** TAS has responsibility for coordinating all CMRs with other SCs and has specific responsibility for the disposition of CMRs. Other SCs may be consulted on specific CMRs affecting the standards for which TAS is responsible, but TAS retains disposition authority. A CMR may be referred to more than one SC; in such cases, all SCs report to TAS on the CMR before TAS disposes of the CMR. CMRs (or portions of CMRs) 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.

4.3.2 TAS reviews each CMR and takes one of the following actions:

A. Approves the CMR as submitted.

B. Approves the CMR with modifications.

- C. Defers the CMR to the next meeting.
- D. Accepts withdrawal from the submitter and closes the CMR.
- E. Disapproves the CMR with reasons and closes the CMR.
- F. Refers the CMR to another SC.

#### 4.3.3 The Secretariat

- A. Records TAS action in the minutes and distributes minutes to TAS members and X12 SC chairs.
- B. Records the status of each CMR in the standards database.
- C. If the CMR is approved or approved with modification by TAS, proceed to II:4.3.4.
- D. Forwards referred CMR to the assigned SC.
- E. If the CMR is disapproved, notifies the submitter of its disposition.

4.3.4 If a CMR is referred, the assigned SC evaluates the CMR and reports its input at the next TAS meeting (revert to II:4.3.1).

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

### 4.4 PRB APPROVAL TO PUBLISH

4.4.1 The PRB reviews the CMR Status Report and for each CMR takes one of the following actions:

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

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

4.4.2 The Secretariat:

- A. Records disposition of the CMR in the PRB meeting minutes and distributes the minutes to PRB members and SC Chairs as notice of action.

- B. If the PRB disapproves a CMR for publication, processing reverts to II:4.3.1.
- C. If the PRB approves a CMR for publication, publishes the updated standards as part of the next release.
- D. Notifies the submitter of the CMR number and the disposition of the CMR.

## **SECTION 5: WITHDRAWAL OF AN X12 STANDARD**

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

### **5.1 WITHDRAWAL INITIATION**

5.1.1 The responsible SC:

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

5.1.2 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.

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

- A. Agrees that the proposed X12 Standard 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.

### **5.2 X12 MEMBER BALLOT**

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

5.2.1 An X12 member casts a ballot on the withdrawal of an X12 Standard and takes one of the following actions:

- A. Approves.

**NOTE:** Comments, if any, are provided with the ballot.

- B. Disapproves with comment.

- C. Abstains.

- D. Indicates no interest.

5.2.2 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”.

5.2.3 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 X12 Standard is not withdrawn.

- D. If there are no disapprovals, places the item on the agenda of the next PRB meeting for approval to withdraw, proceed to II:4.4.

### **5.3 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.

### **5.4 WITHDRAWAL OF THE X12 STANDARD**

**NOTE:** If there is a business need that can not be satisfied the X12 Standard shall not be withdrawn.

5.4.1 The Secretariat:

- A. Forwards to the responsible SC Chair the vote tally and a file of all comments.

- B. Notifies ANSI of the withdrawn X12 Standard using the ANSI PINS.
- C. Marks the X12 Standard “withdrawn” in the X12 Status Report. The X12 Standard shall be listed as withdrawn in the Status Report for one year, before deletion.
- D. Marks the X12 Standard for “delete” in the standards database and in the next Release.
- E. Deletes the X12 Standard 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), X12 Standard (X12 Standard), X12 Guideline, or X12 Technical Report (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. If not complete within one year, revert to III:2.1.4.
- 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 technical issues with the way the developing SC has responded to TAS recommendations, TAS and the SC should work to resolve these issues. If TAS takes procedural issue with the developing SC's response, the TAS PRB representative conveys to the PRB the TAS position on the issue.

- 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 X12 Standards 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 X12 Standards for which a reference model is available. The reference model should note the standard or standards to which it applies.

1.3.4 A "Technical Report Type 3," implementation guide, addresses one specific business purpose through the implementation of one or more X12 transaction sets. This type of report is used to facilitate uniform implementations within an industry. More than one "Technical Report Type 3" can be developed for a single transaction set provided each addresses a different business process supported by the transaction. The X12 subcommittee responsible for the specific transaction set develops this type of report. This type of report does not require approval by the X12 membership.

**NOTE:** An implementation guide is specific to a version/release of the subject standard(s). The implementation guide notes the standard(s) and version/release 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 X12 Standard.

### **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 X12 Standard.

## 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 X12 Standards. See Chapter II, Section 4.

## SECTION 3 TECHNICAL REPORTS

Technical Reports Type 1, 2 and 3 (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, updates the DM status in the 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 revision, 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 VI: PROCEDURES FOR THE DEVELOPMENT AND MAINTENANCE OF X12 XML BUSINESS DOCUMENT STANDARDS**

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

This document defines procedures for the development, maintenance, reaffirmation and withdrawal of X12 eXtensible Markup Language (XML) Business Document Standards. (Herein referred to as Standards).

XML Business Document Standards may be developed within X12 to allow for the electronic interchange of data. Standards to be developed include, but are not limited to, Templates, Modules, Assemblies, Blocks, and Components as defined by the X12-XML Design Rules. These Standards may address any data exchange between entities for which a Standard is beneficial. Approval of X12 XML Business Document Standards is achieved by gaining the consensus of the X12 membership by using either a review period or a formal ballot.

For the purposes of this document, a meeting can be held either via electronic means or in person. Notification of the meeting must be provided in compliance with the Organization and Procedures Manual (OPM).

These procedures are designed to encourage the rapid development of high quality XML Business Document Standards for immediate public use. The procedures outlined below allows for any person or entity to request either new development of or maintenance to an existing XML Business Document Standard. The procedures include review by one or more technical committees, a member review period or member ballot period, approval by a procedures group, and publication.

### ***SECTION 2 INITIATION OF WORK***

#### **2.1 SUBMITTER REQUEST**

A request to create a new Standard may be submitted by anyone (an X12 member, an X12 Subcommittee (SC), or by someone who is not an X12 member) by completing a Data Maintenance (DM) Request form. The submitter shall provide a comprehensive description of and a business case for development of the new Standard so that the appropriate X12 review groups can evaluate the DM.

The submitter prepares the DM Request Form and submits the form to the Secretariat for processing. The Secretariat ensures the form is clear and complete, contacts the submitter if modifications are needed, assigns a DM number and distributes the form to the Technical Assessment Subcommittee (TAS) for review and appropriate action.

## **2.2 TAS APPROVAL AND ASSIGNMENT**

TAS shall assign the DM to a developing SC for analysis and completion.

Any TAS representative from a lettered SC may request that a DM be referred to their SC for review and development. In addition, TAS may refer any DM to a SC when it believes that the DM requires additional review, clarification or a new Standard may need to be developed.

## **2.3 SC PROJECT PROPOSAL DEVELOPMENT**

When the DM is referred to a developing SC, the SC reviews the DM and decides if a new Standard needs to be developed. If a new Standard needs to be developed, the SC creates and approves a project proposal (PP) and submits it to the PRB for review. If modification to an existing Standard is needed, proceed to Section 4.1.

A SC may independently initiate development of a new Standard. In this case a PP shall be developed, approved and submitted to the Procedures Review Board (PRB) for review.

## ***SECTION 3 DEVELOPMENT OF A NEW XML BUSINESS DOCUMENT STANDARD***

New development encompasses the creation of new X12-XML Business Document Templates as defined by the X12-XML Design Rules. Development of other structures defined by the X12-XML Design Rules is considered maintenance because templates ultimately control the representation of the business process.

### **3.1 PRB APPROVAL OF THE PP**

The PRB reviews the PP from the submitting SC to ensure that it is complete and to allow any other SC to request joint development.

The PRB either approves the PP or refers it back to the originating SC for clarification.

### **3.2 SC NEW STANDARD DEVELOPMENT**

Once the PP is approved, the SC develops and approves the proposed Standard in accordance with the current X12-XML Design Rules. The SC designates a point of contact (POC), and an alternate if possible, for the new development effort.

With joint development, all developing SC's must agree on a single proposed Standard. If the SC's cannot agree on a single technical solution, TAS will decide among alternatives. The TAS solution will be used going forward.

Once the SC or SC's agree on a solution, the new Standard is submitted to TAS for their review and comment.

### 3.3 TAS REVIEW

When development is complete, TAS provides a technical review to ensure that the proposed Standard conforms to the X12-XML Design Rules. TAS shall do one of the following:

Approve and forward the documents to the PRB with a recommendation for X12 Member Review.

Approve and forward the documents to the PRB with a recommendation for X12 Member Ballot.

Choose among the alternatives provided by the SC's.

Disapprove for specific technical reasons based only on the most current approved X12-XML Design Rules.

#### 3.3.1 Approve for Member Review

TAS may approve the proposed Standard and forward it to PRB with a recommendation for Member Review. This requires a formal vote of the TAS membership present at the meeting. The approval of seventy-five percent of the members voting on a motion to approve the proposed Standard for Member Review, not counting abstentions, is required to move the proposed Standard to the Member Review process. If seventy-five percent is achieved, proceed to Section 3.5. If the motion fails to capture seventy-five percent, proceed to Section 3.3.2.

#### 3.3.2 Approve for Member Ballot

TAS may approve the proposed Standard and forward it to PRB with a recommendation for Member Ballot. This requires a formal vote of the TAS membership present at the meeting. The approval of a majority of the TAS members voting on a motion to approve the proposed Standard for Member Ballot, not counting abstentions, is required to move the proposed Standard to the Ballot process. If the motion captures a majority proceed to Section 3.6. If the motion fails to capture either seventy-five percent or a majority vote for the motion, excluding abstentions, proceed to Section 3.3.4.

#### 3.3.3 Choosing Among Alternatives

If, during joint development, SC's cannot agree on a single solution, TAS shall decide which of the solutions shall go forward. Once TAS decides which solution shall go forward, proceed to Section 3.3.1 to determine if it should be sent out for Member Ballot or Member Review.

#### 3.3.4 Disapproval of the New Standard

TAS may disapprove a proposed Standard for technical reasons only. Technical reasons are clear violations of the X12-XML Design Rules. The specific Design Rule violated must be included in the minutes as the reason for disapproval. Any suggested change that would bring the proposed Standard into compliance should also be reflected in the minutes. If the submitter provided an email address, a copy of the minutes with the disapproval information should be forwarded to the submitter for review. Any TAS representative from a lettered SC may request that the proposed Standard be

referred to their SC for additional work. Voting to disapprove the proposed Standard follows the voting requirements as outlined in the TAS Charter.

### **3.4 SUBCOMMITTEE ACTIONS**

If TAS does not accept the proposed Standard, the developing SC considers the TAS technical recommendations. The developing SC shall do one of the following:

Accept the TAS recommendations and forward the updated documents to PRB with a recommendation for X12 Member Review or Ballot.

Reject one or more TAS recommendations by a two-thirds majority vote.

Make additional changes, which are forwarded to TAS for technical review.

If the developing SC has voted to reject a TAS recommendation, TAS may confirm its original recommendation by a three-quarters majority vote. In this case, an adjudication panel composed of only the lettered SC representatives to TAS present at that time decides by a simple majority vote whether to sustain the TAS position. This panel's decision is final. All of the above three actions require the DM to revert to Section 3.2.

### **3.5 PRB AUTHORIZATION FOR X12 MEMBER REVIEW**

Following resolution of TAS review the PRB shall do one of the following:

Approve the proposed Standard for X12 Member Review. Proceed to Section 3.7.

Disapprove it due to stated procedural violations. The process reverts to where the procedural problem occurred.

### **3.6 PRB AUTHORIZATION FOR X12 MEMBER BALLOT**

Following resolution of TAS review the PRB shall do one of the following:

Approve the proposed Standard for X12 Member Ballot. Proceed to Section 3.8.

Disapprove it due to stated procedural violations. The process reverts to where the procedural problem occurred.

### **3.7 X12 MEMBER REVIEW**

Any X12 voting member may provide comments on the proposed Standard using the X12 web site. The review period is open for 21 days from the first posting. The secretariat is responsible for making a good faith effort to notify the X12 membership via email that the proposed Standard has

been posted for review. If there are no negative comments, the Standard proceeds to PRB for approval to publish, proceed to Section 5.

### **3.7.1 Resolving Member Comments**

The developing SC is responsible for discussing and attempting to resolve all negative comments.

The developing SC prepares and approves a comment response letter reflecting its intended resolution for each negative comment received from the member review. The SC is not required to make changes to the proposed Standard unless five percent or more of the X12 members provide substantive (according to the definition in the OPM) negative comments. If less than five percent of X12 voting members provide substantive negative comments, proceed to Section 5.

### **3.7.2 Five Percent Rule – Eligible X12 Members**

If five percent or more of the X12 members, who are eligible to comment on the issue, respond during the review period with substantive negative comments to the Standard, the developing SC must submit the proposed Standard for formal ballot. If no substantive revisions need to be made to the proposed Standard, proceed to 3.8.

### **3.7.3 Approving Revisions**

The developing SC may approve revisions to the proposed Standard before it is submitted for ballot. These revisions may be in addition to those necessary to resolve objections received during the review period. TAS reviews these revisions. Resolution of any TAS recommendations follows the process described in Section 3.3. Following resolution of TAS recommendations a ballot is required and the process reverts to the beginning of Section 3.8.

## **3.8 X12 MEMBER BALLOT**

The secretariat prepares the proposed Standard for Member Ballot. A Member Ballot is open for a period of no longer than 21 days. Any X12 member may vote on the proposed Standard using voting positions defined in the OPM. If there are no disapprovals or negative comments, the process proceeds to PRB for approval to publish, proceed to Section 5.

### **3.8.1 Resolving Member Ballot Comments**

If there are disapprovals or negative comments, the developing SC holds an open forum to discuss and attempt to resolve all disapprovals and negative comments. An X12 member may register a vote change by preparing an X12 Ballot Vote Change Form, which may be submitted contingent upon the submission of a mutually agreed DM.

The developing SC prepares and approves a ballot comment response letter reflecting its intended resolution for each disapproval and negative comment received from the ballot. There is no requirement that the SC make changes to the proposed Standard based on negative comments from the membership. However, the SC must be responsive to the member who commented.

### **3.8.2 Five Percent Rule – Actual Voters**

If fewer than five percent of the X12 members who cast a vote on the issue, not counting abstentions, represent unresolved disapprovals, the developing SC may submit the proposed Standard to the PRB for approval to publish, Proceed to Section 5.

### **3.8.3 Approving Revisions**

The developing SC may approve revisions to the proposed Standard. These revisions may be in addition to those necessary to resolve ballot comments. TAS reviews any revisions. Resolution of any TAS recommendations follows the process described in Section 3.2. Following resolution of TAS recommendations, if these revisions are substantive according to the definition in the OPM, a new Member Ballot is required and the process reverts to the beginning of Section 3.8.

## **SECTION 4 MAINTENANCE OF EXISTING STANDARDS**

A request to modify an existing Standard may be submitted by anyone (an X12 member, an X12 SC, or by someone who is not an X12 member) by completing a DM Request form. The submitter shall provide a comprehensive description of and business case for modification of the existing Standard so that the appropriate X12 review groups can evaluate the DM.

The submitter prepares the DM Request Form and submits the form to the Secretariat for processing. The Secretariat ensures the form is clear and complete, contacting the submitter if needed, assigns a DM number and distributes the form to the Technical Assessment Subcommittee (TAS) for review and appropriate action.

### **4.1 TAS APPROVAL AND ASSIGNMENT**

TAS shall do one of the following:

Approve and forward the documents to PRB with a recommendation for X12 Member Review.

Assign the DM to a developing SC for analysis and completion. If joint development is approved, one SC will be designated as the principal developing SC.

Disapprove the DM for specific technical reasons based only on the most current approved X12-XML Design Rules.

#### **4.1.1 Approval of the DM for Member Review**

TAS may approve the DM request and forward it to PRB with a recommendation for X12 Member Review. This requires a formal vote of the TAS membership present at the meeting. The approval of a majority of the members voting on a motion to approve the DM for Member Review, not counting abstentions, is required to move the DM to the Member Review process.

### **4.1.2 Referring the DM to a Subcommittee**

Any TAS representative from a lettered SC may request that a DM be referred to their SC for review and analysis. In addition, TAS may refer any DM to a SC when it believes that the DM requires additional review or clarification. Proceed to Section 4.2.

### **4.1.3 Disapproval of the DM**

TAS may disapprove a DM for technical reasons only. Technical reasons are clear violations of the X12-XML Design Rules. The specific Design Rule violated must be included in the minutes as the reason for disapproval. Any suggested change that would bring the DM into compliance should also be reflected in the minutes. If the submitter provided an email address, a copy of the minutes with the disapproval information should be forwarded to the submitter for review. Any TAS representative from a lettered SC may request that the DM be referred to their SC for additional work. Voting to disapprove the DM follows the voting requirements as outlined in the TAS Charter.

## **4.2 SUBCOMMITTEE REVIEW OF A DM**

After a DM is referred to a SC, the SC reviews the DM, makes revisions as required and sends the revisions back to TAS for their review.

## **4.3 TAS REVIEW**

When SC review and analysis is complete, TAS provides a technical review to ensure that the proposed DM conforms to the X12-XML Design Rules. TAS may:

Approve and forward the documents to the PRB with a recommendation for X12 Member Review.

Refer the DM back to the SC to for additional revisions based only on violations of X12-XML Design Rules. Revert to Section 4.2.

## **4.4 PRB AUTHORIZATION FOR X12 MEMBER REVIEW**

Following resolution of TAS review the PRB shall do one of the following:

Approve the proposed Standard for X12 Member Review. Proceed to Section 4.5.

Disapprove it due to stated procedural violations. The process reverts to where the procedural problem occurred.

## **4.5 X12 MEMBER REVIEW**

Any X12 voting member may provide comments on the proposed modification to an existing Standard using the DISA (X12) web site. The review period is open for 21 days from the first posting. The secretariat is responsible for making a good faith effort to notify the X12 membership via email that the proposed modification has been posted for review. If there are no negative

comments, the modification to the existing Standard proceeds to PRB for approval to publish, proceed to Section 5.

#### **4.5.1 Resolving Member Comments**

The developing SC is responsible for discussing and attempting to resolve all substantive negative comments.

The developing SC prepares and approves a comment response letter reflecting its intended resolution for each comment received from the ballot. The SC is not required to make changes to the proposed modification to the existing Standard unless five percent or more of the X12 voting members provide negative comments. Upon resolution of the responses, revert to 4.3.

#### **4.5.2 Five Percent Rule – Eligible X12 Members**

If five percent or more of the X12 voting members respond during the review period with substantive negative comments to the modification to the existing Standard, the developing SC shall attempt to resolve the negative comments. Revert to Section 4.2.

### **SECTION 5 PUBLICATION**

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

Prior to PRB approval to publish the developing SC may identify and recommend correction to repair errors in the documentation that deviate from the original approved intent of the developer. The procedure for correction of errors prior to publication is not to be used as an alternative to the normal ballot resolution or Member Review process. All recommended error corrections are subject to TAS review; TAS has the final say as to whether the change is just a correction.

#### **5.2 PRB APPROVAL TO PUBLISH**

The PRB reviews the proposed modification to the existing Standard to ensure documentation is complete and applicable procedures were followed. The PRB may:

Approve the proposed data maintenance for publication and place it in maintenance status and assign a responsible SC, usually the principal developing SC.

Disapprove the proposed data maintenance for publication based on procedural issues. Process reverts to the point where the procedural issue arose.

Defer making a decision for one meeting if documentation is incomplete.

### **5.3 CORRECTION OF ERRORS AFTER PUBLICATION**

The developing SC reviews the modification to the existing Standard as published to ensure the Standard is accurate. If errors are found, the SC submits a list of corrections to TAS for information and to the Secretariat for the publication of errata.

### ***SECTION 6 X12 XML BUSINESS DOCUMENT STANDARD REAFFIRMATION***

The responsible SC may initiate the process to reaffirm the Standard at any point but the process must be completed within five years after it was last modified. The process used is the same as the development process, starting at Section 3.

### ***SECTION 7 X12 XML BUSINESS DOCUMENT STANDARD WITHDRAWAL***

At any time the responsible SC may decide or the PRB may direct that a Standard be withdrawn. The responsible SC prepares and approves the Withdrawal Form (WF). The PRB reviews the withdrawal request and approves the withdrawal for X12 member ballot, unless there is a procedural problem. The X12 member balloting process is the same as for the development process, starting at Section 3. It is assumed that the only valid reason to disapprove withdrawal is that the voter still has a requirement to use the Standard in its current form. If the withdrawal is approved, ANSI is notified and the Standard is no longer available for distribution to users.

