



**ASC X12 Administrative
Policy and Procedure**

Organization and Procedures Manual for Standards Development Activities

OPMv5
MARCH 2016

OPMv5

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1 General

1.1 Document Purpose

This document defines the organization and operating procedures which apply to Standards development activities undertaken by the Accredited Standards Committee X12 (ASC X12), accredited by the American National Standards Institute (ANSI).

The procedures detailed in this document meet the requirements for due process and development of consensus for approval of American National Standards as defined in the ANSI Essential Requirements.

1.2 Definitions of Terms Used

The terms established and defined in this section are the official terms of the organization and shall be used in all applicable situations and descriptions.

Ad Hoc Group

A group established by a parent group chair for a defined purpose within a specific period of time.

ANS

American National Standard. A standard approved by ANSI.

ANS Candidate

An ASC X12 Standard selected for submission to become an ANS.

ANSI

American National Standards Institute. An organization that oversees the development and use of norms and guidelines in business sectors and accredits programs that assess conformance to standards.

ASC X12

Accredited Standards Committee X12, accredited by ANSI. The standards body that develops, maintains, interprets, publishes and promotes the proper use of American National and UN/EDIFACT International Electronic Data Interchange Standards.

ASC X12 Committee

The full ASC X12 membership.

ASC X12 Board

A group of elected leaders who oversee the business affairs of ASC X12.

ASC X12 Standard (Standard)

A specific standard approved by ASC X12, which may or may not be intended for subsequent submission to ANSI for consideration as an American National Standard.

BSR

Board of Standards Review. The ANSI board responsible for approving proposed standards as American National Standards.

dpANS

Draft proposed American National Standard. A standard approved by ASC X12 as a candidate for an American National Standard.

EDI

Electronic Data Interchange. The computer to computer exchange of processable data in a standard format.

Extensible Markup Language (XML)

A markup language that defines a set of rules for encoding documents in a format that is both human-readable and machine-readable. It is defined in the XML 1.0 Specification produced by the W3C, and several other related specifications, all gratis open standards. (Source: Wikipedia. June 8, 2012. <http://en.wikipedia.org/wiki/>)

In Writing

Within this document, the term “in writing” includes communication on paper, via postal mail or electronically via collaboration tool, email or other electronic means, unless specifically constrained to a subset of these media in a particular instance.

Meeting related terms:

Annual Meeting

A meeting called by the ASC X12 Board annually for the purpose of conducting ASC X12 business. It may be held in conjunction with a Standards Development Meeting.

Interim Meeting

A meeting scheduled between Standing Meetings as needed to accommodate work load and publication time-lines. Interim meetings may be scheduled at regular intervals or may be one-time sessions. Interim meetings generally include a single session for Steering, a subcommittee, a task group or a work group.

Meeting

A synchronous assembly for the purpose of conducting business. Meetings may be conducted virtually (for example, via teleconference, webinar or collaboration session) or in-person (for example, at a hotel or other conference facility) or both virtually and in-person.

Standards Development Meeting

A meeting called by Steering for the purpose of conducting Standards development activities. There are two types of Standards Development Meetings, Standing and Interim.

Standing Meeting

A meeting called by Steering based on a pre-determined cycle. Standing meetings include sessions for all subcommittees and Steering.

Member

An organization or individual who has completed an application, paid the applicable dues and been granted ASC X12 membership for a specific period of time. See the ASC X12 Bylaws for more information about ASC X12 memberships.

Member Representative

An individual who participates in ASC X12 activities on behalf of an ASC X12 member.

Notification

A written or electronic communication required by these procedures.

Officer

An elected or appointed leader of an ASC X12 group, including but not limited to Chair, Vice-chair or Secretary.

Organizational Levels

The hierarchy of the standards development groups; steering oversees steering task groups and subcommittees and subcommittees oversee task groups and work groups.

PRB

Procedures Review Board. The steering task group that ensures compliance with ASC X12 procedures.

Steering

The ASC X12 Steering Committee: The elected and appointed leaders who oversee operational activities related to the development and publication of Standards and related work products.

Subcommittee

A group formed by Steering and approved by the membership to facilitate efficient and effective completion of Standards development tasks related to a specific industry or to support the efforts of other subcommittees.

Subordinate Group

A group established to support the organization or to facilitate efficient and effective completion of Standards development tasks. The establishing group is responsible for the activities and decisions of the subordinate group.

Examples: Task groups and work groups.

Task Group

A subordinate group established by Steering or a subcommittee to support the organization or to facilitate efficient and effective completion of Standards development tasks. Task groups report to Steering or to a subcommittee.

TAS

ASC X12 J, Technical Assessment Subcommittee. The subcommittee that develops ASC X12 design rules and guidelines and verifies that ASC X12 Standards and associated products adhere to approved design rules, guidelines and syntax rules.

UN/EDIFACT

United Nations Electronic Data Interchange for Administration, Commerce and Transport. The international EDI standards approved and published under the auspices of the United Nations Economic Commission for Europe.

Voting related terms:

Interim Ballot

A vote executed between meetings by an ASC X12 group, including Steering, a subcommittee or any subordinate group. An interim ballot is executed in writing, electronically via collaboration tool, email or other electronic means, as determined by applicable procedures or the overseeing chair.

dpANS Ballot

A letter ballot conducted according the ANSI requirements for processing dpANS.

Letter Ballot

A membership vote executed in writing, electronically or via postal mail conducted outside of a meeting.

Meeting Vote

A vote conducted at an ASC X12 meeting by the ASC X12 Committee, Steering, a subcommittee or any subordinate group. A meeting vote may be executed via voice vote, show-of-hands or in writing as determined by applicable procedures or the overseeing chair.

Membership Vote

A vote in which every member of ASC X12 is entitled to one and only one vote. Membership votes may be executed as letter ballots or meeting votes. As defined in this OPM, member votes are related to the Standards development activities of ASC X12.

Straw Vote

A non-binding vote which may be executed in any meeting as needed to gain insight on the positions of a specific issue. Straw votes can be designated as member-only votes or all attendee votes.

Work Group

A subordinate group established by a Task Group to facilitate efficient and effective completion of Standards development tasks. Work groups report to a Task Group.

2 Standards Development

2.1 Standards Development Scope

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

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

education, and state and federal governments. ASC X12 may develop American National Standards, ASC X12 Standards and other international standards.

2.2 Standards Development Oversight

The ASC X12 Steering Committee (Steering Committee, Steering) will oversee operational activities related to member developed Standards and related work products.

2.3 Membership Voting Items

Membership voting items are initiated by Steering or any member. All membership votes related to standards development must be authorized by Steering. Unless otherwise specified in this OPM, Steering will determine whether to conduct a membership vote via letter ballot or via meeting vote at a Standards Development Meeting.

2.3.1 Steering Motions

Any Steering member may request a motion be considered for membership vote. Steering will consider the request and approve or deny a membership vote on the motion.

2.3.2 Member Motions

Any member may request a motion be considered for membership vote. Such a request must be submitted in writing to the ASC X12 Chair. When the ASC X12 Chair receives such a request, Steering will consider the request and approve or deny a membership vote on the motion.

2.3.3 Petition Motions

Any member who has submitted a request in accordance with 2.3.1 and had their request denied may circulate a petition for membership vote on a motion. When such a petition has been endorsed in writing by a number of members equal to quorum, the petition and all written endorsements must be submitted in writing to the ASC X12 Chair. When the ASC X12 Chair receives a valid petition, Steering must authorize a membership vote.

2.4 Quorum

A membership voting quorum shall be twenty percent (20%) of the ASC X12 membership at the time of the vote. A number of ballots equal to quorum must be returned for any membership vote to be recognized as an official vote.

For membership votes conducted at an in-person meeting, a properly assigned proxy will be considered a legitimate vote and will be counted when determining quorum.

2.5 Membership Voting

All full ASC X12 Committee votes (membership votes) will be conducted via letter ballot or via meeting vote at a Standards Development Meeting. Every ASC X12 member is entitled to one and only one vote in a membership vote.

Straw votes may be conducted during any Standards Development Meeting as needed to gauge the group's position on an issue. Such straw votes can be designated as member-only straw votes (one vote per member represented) or all-attendee straw votes.

2.5.1 Letter Ballots

A letter ballot must be issued for the following actions and may be issued for other actions or decisions as determined by applicable procedures or Steering:

1. Creating, reaffirming, revising or withdrawing an ANS
2. Creating, revising or withdrawing an ASC X12 Standard
3. Creating, revising or withdrawing an ASC X12 Guideline
4. Creating, revising or withdrawing ASC X12 Standards development procedures, including this OPM
5. Creating or terminating an ASC X12 subcommittee
6. Revising the purpose or scope of an ASC X12 subcommittee

Unless otherwise specified in this OPM, all letter ballots will be open for 30 calendar days. In individual cases, the ASC X12 Chair or Steering may authorize a longer voting period.

The final result of all letter ballots will be reported at the Standing Meeting following the close of the letter ballot period.

2.5.1.1 Letter Ballot Positions

Unless otherwise noted in this OPM, letter ballots will include the following voting positions:

1. Approve, with or without comment
2. Disapprove, with comment

- for administrative ballots, the comments shall include the reason(s) for the disapproval vote and may include specific revisions or actions that could resolve the disapproval.
 - for all other ballots, the comments shall include the technical reason(s) for the disapproval vote and may suggest specific revisions that could resolve the disapproval.
3. Abstain, with or without comment

2.5.2 Meeting Votes

A meeting vote must be conducted in writing, on paper or electronically, for the following actions and may be conducted for other actions or decisions as determined by applicable procedures or Steering:

1. Election of the ASC X12 Chair and/or Vice Chair
2. Removal of the ASC X12 Chair and/or Vice Chair

Unless otherwise specified in this OPM, all membership voting to be conducted via meeting vote will be announced, and relevant information distributed, at least 15 calendar days prior to the membership vote.

2.5.3 Proxies

A proxy authorizes a named individual who is not the primary or an alternate representative to represent the member at a specific meeting or for a specific matter. Proxies are only authorized when voting will take place at an in-person meeting. Proxies are not permitted for ballots conducted electronically. A proxy must be in the form of a tangible writing, or equivalent electronic medium that provides for the retention of data and its subsequent retrieval in perceivable form. Electronic mediums include but are not limited to, email, the internet and transmissions from one computer to another. A proxy must explicitly state that a specifically named individual is authorized by the member's primary representative to represent the member at a specific meeting or for a specific matter. A proxy is valid when signed, or electronically signed, by the member's primary representative and verified by an ASC X12 representative. The death or incapacity of the member appointing a proxy does not affect the validity of the proxy unless the Chair or Secretary of the Corporation had prior knowledge of the member's death or incapacity.

A vote cast by a registered alternate representative is not considered a proxy.

2.5.4 Ballot Evaluation

The following evaluation criteria apply to all membership votes.

2.5.4.1 Tabulation Criteria

The following criteria apply when tallying the votes:

- A ballot submitted with no voting position registered counts as an abstention.
- A ballot submitted with a voting position of disapprove but without a supporting comment counts as an abstention.
- A ballot submitted with a voting position of approve with comment but without a comment counts as an approval.
- A ballot received after the specified ballot closing date does not count in the tally.
- If a ballot received after the specified ballot closing date contains comments, the comments will be forwarded to the developing subcommittee(s) for consideration; however, the developing subcommittee is not required to respond to the comments as part of the ballot process.

2.5.4.2 Simple Majority Approval

Unless otherwise specified in this OPM, all membership votes require approval by a simple majority of ballots cast, excluding abstentions.

2.5.4.3 Two-Thirds Approval

The following membership votes require approval by at least two-thirds (2/3) of the ballots cast, excluding abstentions:

1. Adopting or revising this OPM or the Operations Manual: Development and Maintenance Procedures (SD2).
2. Establishing an ASC X12 subcommittee
3. Revising the purpose or scope of an ASC X12 subcommittee
4. Removing the ASC X12 Chair or Vice Chair from office

2.5.4.4 Ninety Percent Approval

The following membership votes require approval by at least ninety (90%) of the ballots cast, excluding abstentions:

1. Creating, reaffirming or revising an ASC X12 Standard
2. Creating, reaffirming or revising an ASC X12 Guideline

2.6 Standards Development Meetings

Steering will determine the Standing Meeting schedule and will call Standing Meetings on a pre-determined cycle. At least one Standing Meeting shall be held each calendar year. Standing meetings include sessions for all subcommittees and Steering.

In unusual situations, a Standing Meeting may be called by a petition endorsed by twenty percent (20%) of the ASC X12 membership.

Interim meetings may be called at all organizational levels, by the ASC X12 Chair, a steering task group chair, a subcommittee chair or another subordinate group officer with approval from the appropriate subcommittee chair. Interim Meetings are called based on workload and publication time-lines. Interim meetings may be scheduled at regular intervals or may be one-time sessions. Interim meetings generally include a single session for one ASC X12 subcommittee group, Steering or a steering task group.

To be official, all votes related to Standards development must be conducted at a properly announced and minuted Standards Development Meeting.

2.6.1 Open Attendance

ASC X12 is committed to open, consensus based processes. As such, all meetings associated with the development of ASC X12 Standards and related products will be open to any party (member or non-member) having a direct and material interest in the work of ASC X12.

Meetings concerning ASC X12 activities not associated with the development of ASC X12 Standards and related products may or may not be open to all parties. The ASC X12 Chair shall authorize any meeting not open to any party (member or non-member).

2.6.2 Meeting Notice

Meeting notice requirements must be met before an official meeting can be convened.

2.6.2.1 Standing Meeting Notice

ASC X12 members will be notified of Standing Meetings at least 30 calendar days prior to the start of the meeting. The notice must include a preliminary agenda, including at least Steering and subcommittee meeting schedules. Once the notice has been distributed, the information must be readily available on the ASC X12 web site.

2.6.2.2 Interim Meeting Notice

Except as noted below, the Officer calling the Interim Meeting will provide notice of the meeting at least 15 calendar days prior to the meeting. The notice must include either the purpose of the meeting or a preliminary meeting agenda. The notice must be issued to at least those who have participated or expressed interest in participating in the Standards development work of the group holding the Interim Meeting.

Barring an official objection delivered in writing, at least 2 hours prior to the start of the meeting, to the officer calling the Interim Meeting and the chair, the officer may call a one-time Interim Meeting with less than 15 calendar days but at least 24 hour notice.

2.6.3 Meeting Minutes

All Standing and Interim Meeting sessions must have official minutes. The minutes must at a minimum note the number of participants, the purpose of the meeting and the results of any official votes conducted during the session.

2.6.3.1 Standing Meeting Minutes Distribution

Standing Meeting minutes will be posted on the ASC X12 website no later than 30 calendar days after the conclusion of the meeting.

2.6.3.2 Interim Meeting Minutes Distribution

Unless otherwise specified in approved procedure documents, minutes of Interim Meetings shall be published as an appendix to the minutes of the next Standing Meeting.

3 ASC X12 Chair and Vice Chair

3.1 Election of ASC X12 Chair and Vice Chair

The ASC X12 Chair and Vice Chair shall be elected at the ASC X12 Annual Meeting in odd-numbered years. The Chair and Vice Chair shall assume their duties at the conclusion of that meeting, shall serve for two year terms and shall be eligible for re-election.

Procedures for conducting these elections are detailed in ASC X12 Chair and Vice Chair Elections (ADP01).

3.1.1 Chair and Vice Chair Qualifications

1. The ASC X12 Chair and Vice Chair shall be individual members or employees of an organizational member.
2. The ASC X12 Chair and Vice Chair shall not both be employees of or represent the same organizational member or be employees of or represent two organizational members that are part of the same overall corporate family (defined herein as a parent entity and all entities that are either direct or indirect subsidiaries).
3. The owner of an organizational member is considered to be an employee of the organizational member.

3.2 Principal Duties of the ASC X12 Chair

1. Communicating ASC X12 official positions and representing ASC X12 to external organizations as related to Standards development activities
2. Chairing Steering
3. Ensuring prompt and efficient progress of ASC X12 Standards development work
4. Extending the voting period for member ballots
5. Selecting steering officer election nominating committee members
6. Nominating a replacement to fill an ASC X12 Vice Chair vacancy
7. Appointing PRB at-large members
8. Representing Steering on the ASC X12 Board
9. Waiving registration/attendance fees for non-members invited to meeting for a specific purpose.
10. Other duties as necessary to oversee ASC X12's Standards development work.

3.3 Principal Duties of the ASC X12 Vice-Chair

1. Assisting the ASC X12 Chair as needed
2. Presiding at meetings in the absence of the ASC X12 Chair
3. Assuming the duties of the ASC X12 Chair should the ASC X12 Chair position become vacant
4. Communicating the ASC X12 official positions and representing ASC X12 to external organizations as related to Standards development activities in the absence or in lieu of the ASC X12 Chair
5. Chairing PRB

3.4 Filling ASC X12 Chair or Vice Chair Vacancies

1. ASC X12 Chair Vacancy
 - a. The ASC X12 Vice-Chair shall assume the position of ASC X12 Chair.

- b. If the ASC X12 Vice-Chair is unable to assume the position, the ASC X12 Vice-Chair shall form a nominating committee of at least 3 individuals to select a candidate for the position. Upon an affirmative vote of Steering, the candidate shall assume the ASC X12 Chair position for the remainder of the term.
2. ASC X12 Vice-Chair Vacancy
 - a. The ASC X12 Chair shall nominate a replacement candidate. Upon an affirmative vote of Steering, the candidate shall assume the Vice-Chair position for the remainder of the term.
3. Simultaneous ASC X12 Chair and ASC X12 Vice-Chair Vacancies
 - a. Steering shall form a nominating committee of at least 3 individuals to select replacement candidates.
 - b. Upon an affirmative vote of Steering, the candidates shall assume the positions for the remainder of the term.

4 Steering Committee

4.1 Steering Committee Composition

Steering shall be composed of the following members:

- ASC X12 Chair (voting)
- ASC X12 Vice-Chair (voting)
- Chair of each active subcommittee (voting)
- Immediate past ASC X12 Chair and Vice-Chair (limited to a single two year term) (voting)
- Chair of each steering task group (non-voting)
- Recording secretary, appointed by the ASC X12 Chair (non-voting)

4.2 Steering Committee Responsibilities

Steering Responsibilities include:

1. Reviewing and recommending for member ballot:
 - a. Revisions to ASC X12 Standards development procedures, including this OPM
 - b. Creation and termination of subcommittees
 - c. Adoption and revision of the purpose and scope of subcommittees
2. Confirming the results of member ballots
3. Setting the effective date for approved procedures
4. Planning and coordinating the Standards development work of ASC X12
5. Determining the schedule of Standing Meetings

6. Determining the schedule for processing proposed ANSs
7. Assigning liaison responsibilities as needed to support Standards development activities
8. Approving changes to subcommittee policies and procedures
9. Approving changes to steering task group policies and procedures
10. Approving individuals to fill steering officer vacancies
11. Approving Subcommittee deactivation and reactivation
12. Authorizing Standards development votes other than those specified in this OPM
13. Approving Emeritus memberships
14. Performing other duties as defined in this OPM or other applicable procedures

4.3 Steering Committee Voting

Each Steering voting member is entitled to one vote in any ballot, except the chair who votes only to break a tie vote.

Steering shall vote by meeting vote or interim ballot as determined by the ASC X12 Chair. A ballot return equal to a quorum shall be required for a vote to be official. A simple majority of ballots cast, excluding abstentions, is required for approval of a motion.

4.4 Steering Committee Meetings

4.4.1 Meeting Scheduling

The frequency and timing of meetings shall be determined by Steering, but at least one Steering meeting shall be held each calendar year in conjunction with the ASC X12 Annual Meeting.

4.4.2 Quorum

A quorum of Steering shall be a simple majority of voting members. A quorum is required to conduct official business in a meeting. If a quorum is not present, actions may be taken subject to confirmation by interim ballot.

4.4.3 Designating a Substitute

Subcommittee chairs and steering task group chairs may designate a substitute to participate in a Steering meeting in their absence. The designee shall have the same privileges and responsibilities as the Steering member while acting as the designee.

5 Subcommittees

5.1 Subcommittee Creation and Termination

The creation or termination of a subcommittee shall be approved via member ballot.

5.2 Subcommittee Purpose and Scope

The initial purpose and scope of a subcommittee, and any subsequent changes to the approved purpose and scope, shall be approved via member ballot.

5.3 Subcommittee Deactivation and Reactivation

A subcommittee may choose deactivation in lieu of termination if it intends to become active again within the next three years. Deactivation requires approval by the subcommittee and Steering. While deactivated, subcommittee representation in Steering, PRB and TAS shall be suspended. The responsibility for subcommittee work products shall be temporarily transferred to one or more active subcommittees. Steering shall review a deactivated subcommittee's status every 12 months to determine whether to continue deactivation, to reactivate or to terminate the subcommittee. A subcommittee shall not be in deactivated status for longer than three years. Subcommittee reactivation requires approval by Steering. Once the subcommittee is reactivated, work product maintenance responsibility shall be returned to the subcommittee.

5.4 Subcommittee Specific Policies or Procedures

A subcommittee shall be governed by the procedures specified in this OPM unless subcommittee procedures have been approved by the subcommittee and Steering. Such approvals will be based on the appropriateness of the policy or procedures and must comply with this OPM and other applicable ASC X12 procedures.

Unless otherwise specified herein, any subcommittee procedural requirement in this OPM may be supplemented by a more restrictive subcommittee procedure.

5.5 Subcommittee Participation

Individual members and representatives of an organizational member may participate in any or all subcommittees and in any or all subordinate groups.

Subcommittees and subordinate groups may define specific rights and privileges within the subcommittee or subordinate group that are available based on group membership.

Group membership is based on the criteria and requirements of the group's constitution or charter.

5.6 Subcommittee Responsibilities

5.6.1 Responsibilities of All Subcommittees except TAS

1. Developing and maintaining ANSs, ASC X12 Standards, ASC X12 Guidelines and Technical Reports
2. Preparing official interpretations related to documents for which the subcommittee is responsible
3. Reviewing externally-developed standards for processing as ANSs, ASC X12 Standards, ASC X12 Guidelines and Technical Reports
4. Providing ASC X12 technical liaisons to other organizations involved in activities related to the subcommittee's area of responsibility
5. Each subcommittee must appoint a primary TAS representative and is authorized to appoint alternate representatives as necessary.
6. Each subcommittee must appoint a primary PRB representative and is authorized to appoint alternate representatives as necessary.

5.6.2 TAS Responsibilities

1. Maintaining X12 Standards assigned to TAS (i.e., items used in common by other subcommittees, such as the X12.3 Data Element Dictionary and X12.22 Segment Directory)
2. Developing and maintaining Design Rules and Guidelines
3. Preparing interpretations related to standards and work products for which TAS is responsible
4. Reviewing and approving formal interpretations
5. Verifying that Standards and associated products adhere to approved design rules, guidelines and syntax rules
6. Participating in PRB

5.7 Subcommittee Quorum

The requirements of this section apply to subcommittees and all of their subordinate groups as described in Section 6 of this document.

A quorum is required to conduct official business.

If a subcommittee has defined group membership requirements, quorum shall be at least twenty percent (20%) of the group membership.

If a subcommittee has not defined group membership requirements, quorum shall be at least twenty percent (20%) of members who have self-designated as subcommittee participants on the ASC X12 member application or renewal process.

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

5.8 Subcommittee Voting

The requirements of this section apply to subcommittees and all of their subordinate groups as described in Section 6 of this document.

All subcommittee voting will be conducted via meeting vote or interim ballot, as determined by applicable procedures or the overseeing chair. Votes conducted by interim ballot must be documented in the meeting minutes of the next subcommittee meeting.

Straw votes may be executed in any meeting as needed to gauge a group's position on an issue. Such straw votes can be designated as member-only straw votes or all attendee straw votes.

5.8.1 Voting Positions

Voting positions shall be at a minimum: approve, disapprove and abstain. Additional voting positions may be authorized by subcommittee procedures or for individual votes by the overseeing chair.

5.8.2 Voting Eligibility

Each subcommittee member shall be entitled to one and only one vote in any ballot. One individual may cast a separate vote for each organizational member they officially represent. Such votes are not considered proxies.

5.8.3 Ballot Periods

Unless otherwise specified, meeting votes will be conducted within a single meeting and interim ballots will be open for at least 7 calendar days, the actual ballot period for each interim ballot will be defined by the overseeing chair or body. A voting period may be closed prior to the scheduled end date if all votes have been cast or the submitted votes represent the required ratio for approval or disapproval of the motion.

5.8.4 Ballot evaluation

A minimum ballot return equal to a quorum shall be required for a vote to be official.

A simple majority of ballots cast, excluding abstentions, is required for approval of a motion.

5.9 Subcommittee Meetings

The frequency and timing of subcommittee meetings shall be determined by the subcommittee, but at least one subcommittee meeting shall be held during each ASC X12 Standing Meeting.

The frequency and timing of subordinate group meetings shall be approved by the Chair of the establishing group.

5.10 Subcommittee Officers

Each subcommittee shall have officers, including at least a chair, vice-chair and representatives to PRB and TAS. Subcommittees may authorize other officers, including but not limited to recording secretaries. An individual may hold more than one office, except that the chair may not also hold the vice-chair position.

5.10.1 Election of Officers

The subcommittee chair and vice-chair shall be elected by subcommittee members. All other officers shall be appointed by the subcommittee chair.

5.10.2 Officer Qualifications

All officers shall be subcommittee members. Support staff may be assigned to fill the recording secretary role but will not be considered an officer based on such assignment.

The subcommittee chair and vice-chair shall not both be employees of or represent the same organizational member or be employees of or represent two organizational members that are part of the same overall corporate family.

5.10.3 Terms of Office

The subcommittee chair and vice-chair shall serve for two year terms and shall be eligible for re-election. The terms of all appointed officers shall be indefinite.

5.10.4 Officer Voting Privilege

Each subcommittee officer is entitled to one vote in any ballot, except the subcommittee chair, who votes only to break a tie vote.

5.10.5 Removal from Office

Elected subcommittee officers may be removed from office upon approval by at least a two-thirds (2/3) vote of subcommittee members. Appointed officers may be removed at will by the subcommittee chair.

6 Task Groups and Work Groups

Steering may establish and disband steering task groups as needed to support the Standards development work of the organization.

Subcommittees may establish subcommittee task groups and subcommittee task groups may establish work groups to assist with subcommittee responsibilities.

The requirements of this section apply to steering task groups, subcommittee task groups and subcommittee work groups, referenced as subordinate groups in this section.

6.1 Subordinate Group Procedures

A subordinate group shall be governed by the procedures specified in this OPM unless group specific procedures have been approved by the subordinate group and its establishing group.

Such approvals will be based on the appropriateness of the policy or procedures and compliance with this OPM and other applicable ASC X12 procedures.

Unless otherwise specified herein, any procedural requirement in this OPM may be supplemented by a more restrictive subordinate group procedure. With the express consent of both the subordinate group and its establishing group, a subordinate group may be authorized to implement a more permissive procedural requirement.

6.2 Delegation of Authority

Authority is never delegated implicitly. The establishing group shall explicitly delegate or not delegate authority to act on its behalf in specific matters.

If authority is delegated, actions by the subordinate group carry the authority of the establishing group. If authority is not delegated, all work is advisory to and shall be approved by the establishing group.

6.3 Subordinate Group Officers

The chair of the establishing group shall have the authority to appoint and remove subordinate group chairs. Subordinate groups must have one and may have more than one chair. Subordinate group chairs shall be reconfirmed at least every two years with no term limit. Subordinate groups with co-chairs may not also have a vice-chair; otherwise a subordinate chair may appoint a vice-chair. Subordinate group chairs may appoint recording secretaries.

6.4 Support Service Requests

Subordinate groups in need of publishing, technical or other kinds of support services not accommodated in currently assigned responsibilities or the current budget must submit such requests in writing to the establishing group for approval and subsequent submission to the ASC X12 Board.

7 Procedures Review Board

The Procedures Review Board (PRB) has specific responsibilities related to due process, procedural oversight and ANSI accreditation. PRB shall be responsible for ensuring compliance with ASC X12 Standards development procedures, shall have authority over all procedural matters conducted under the oversight of the Steering Committee, shall oversee dpANS development and revision activities, and shall approve the following for member ballot, ANSI public review and publication, as appropriate:

1. Original and revised project proposals
2. Proposals to create, revise, reaffirm or withdraw an ANS
3. Proposals to create, revise, reaffirm or withdraw an ASC X12 Standard
4. Proposals to create, revise, reaffirm or withdraw an ASC X12 Guideline
5. Proposed ASC X12 interpretations

7.1 PRB Membership

PRB shall consist of the following members:

1. ASC X12 Vice-Chair
2. One representative from each subcommittee

3. Up to three at-large representatives as appointed by the ASC X12 Chair for a one year term

Support staff may be assigned to support PRB but will not be considered a group member based on such assignment.

7.2 PRB Officers

The ASC X12 Vice-Chair shall serve as the PRB Chair. PRB shall elect a PRB Vice-Chair from the subcommittee and at-large representatives.

The term of office of the PRB Vice-Chair shall be two years, with no term limit.

7.3 PRB Voting Privileges

Each PRB member is entitled to one vote in any ballot, except the PRB chair, who votes only to break a tie vote.

7.4 PRB Meetings

7.4.1 Schedule

The frequency and timing of meetings shall be approved by PRB but at least one PRB meeting shall be held in conjunction with each standing meeting.

7.4.2 Quorum

A quorum for PRB shall be a simple majority of voting members. A quorum is required to conduct official business in a meeting. If a quorum is not present, actions may be taken subject to confirmation by interim ballot.

7.4.3 Designating a Substitute

A PRB member representing a subcommittee may designate a substitute from that subcommittee's membership to represent the subcommittee in a PRB meeting. The designee shall have the same privileges and responsibilities as the PRB member while acting as the designee.

7.5 PRB Voting

All PRB voting will be conducted via meeting vote or interim ballot, as determined by applicable procedures or the chair. Votes conducted by interim ballot must be documented in the meeting minutes of the next PRB meeting.

Straw votes may be executed in any meeting as needed to gauge positions on an issue. Such straw votes can be designated as member-only straw votes or all attendee straw votes.

7.5.1 Voting Positions

Voting positions shall be at a minimum: approve, disapprove and abstain. Additional positions may be authorized by the chair.

7.5.2 Voting Eligibility

Each member, as defined in Section 7.1 - PRB Membership, shall be entitled to one and only one vote.

7.5.3 Ballot Periods

Unless otherwise specified, meeting votes will be conducted within a single meeting and interim ballots will be open for at least 15 calendar days, the actual ballot period for each interim ballot will be defined by the chair. A voting period may be closed prior to the scheduled end date if all votes have been cast or the submitted votes represent the required ratio for approval or disapproval of the motion.

7.5.4 Ballot Evaluation

A minimum ballot return equal to a quorum shall be required for a vote to be official.

A simple majority of ballots cast, excluding abstentions, is required for approval of a motion.

8 Ad Hoc Groups

Any Chair may establish an ad hoc group as needed to support a specific Standards development task. An ad hoc group must have a defined purpose and specific period of performance.

All work of ad hoc groups is advisory to and shall be approved by the establishing group.

9 Standards & Related Products

ASC X12 develops and maintains several types of Standards and related products including but not limited to ANS for EDI, ASC X12 Standards, ASC X12 Guidelines, ASC X12 Interpretations and ASC X12 Technical Reports.

The process by which Standards, Guidelines, Interpretations and Technical Reports are developed, revised, reaffirmed and withdrawn is described in a separate procedure, the ***Standing Document 2: Operations Manual***.

Section 10 *American National Standards* details the procedures for the development, revision, reaffirmation and withdrawal of American National Standards for EDI.

Section 11 *ASC X12 Standards* details the procedures for initiating and balloting work related to ASC X12 Standards.

Section 12 *ASC X12 Guidelines* summarizes the procedures for ASC X12 Guidelines.

Section 13 *ASC X12 Technical Reports* summarizes the procedures for ASC X12 Technical Reports.

10 American National Standards

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

10.1 Development or Revision of an ANS

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

10.1.1 Plan Initiation

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

10.1.2 Selection of ANS Candidates

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

As per the schedule, Steering shall direct subcommittees to indicate those ASC X12 Standards that should be considered for dpANS status. Subcommittees may elect to designate some or all of their ASC X12 Standards as candidates.

The responsible subcommittee shall select candidates and submit a written list of the candidates to Steering. Each subcommittee shall also identify a project delegate to coordinate the work effort.

Steering shall approve the candidates from each subcommittee, compile a master list and direct PRB to create a preliminary dpANS(s) based upon the master list.

10.1.3 dpANS Process

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

1. Develop the content and format of the preliminary dpANS document(s) and issue it from the Standards database. This document(s) will consist of the selected dpANSs from the designated ASC X12 Standard Release, appropriate front matter and appendices.
2. Create necessary Transmittal Form(s) (TF).
3. Distribute the TF, preliminary dpANS document and establish a schedule to appropriate subcommittee chairs and project delegates.
4. Create a roster of the subcommittee membership as of the date the subcommittee approved the dpANS. This roster shall be kept with the dpANS' administrative file.

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

1. Review the preliminary dpANS document(s) to ensure that all of their dpANS(s) are included and correctly represented. If errors are found, the project delegate or subcommittee chair shall notify PRB so that necessary corrections can be made to the data base. All corrections will be distributed to the subcommittee for review
2. Review a roster of the subcommittee membership as of the date the subcommittee approves the dpANS and report any discrepancies in the roster to PRB.
3. Submit the updated TF, subcommittee membership roster and any corrections of the dpANS to the PRB by the date specified in the established schedule.

PRB shall make necessary corrections to the dpANS and ensure the dpANS is ready for member ballot and public review.

10.1.4 PRB Approval

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

1. Approve the dpANS for ASC X12 ballot and public review.
2. Disapprove the dpANS for ASC X12 ballot and public review. If PRB disapproves the dpANS, the PRB officers and a representative from each involved subcommittee shall work to resolve the objections. When resolution is reached, another PRB ballot shall be conducted.

10.1.5 Voting Process

Evidence of consensus shall be determined through a dpANS voting panel ballot and a public review, which may be conducted concurrently.

10.1.5.1 Establishing the Voting Panel

PRB shall survey the membership to ascertain if they wish to vote on the dpANS. The survey period shall be at least 30 calendar days. Fifteen calendar days before the end of the survey period, PRB shall send a reminder notice to all members who have not yet responded. Members who do not respond by the end of the survey period shall be categorized as “no interest”. PRB shall ensure that the voting panel represents a reasonable

balance of the interests of the X12 membership as a whole, as defined in section 2.3 of the ANSI Essential Requirements.

10.1.5.2 dpANS Ballot Requirements

A ballot is required for the following:

1. Creating an ANS
2. Reaffirming an ANS
3. Revising an ANS
4. Withdrawing an ANS

10.1.5.3 Member Vote

Voting on the dpANS(s) shall be by letter ballot of the voting panel. The ballot period shall be a minimum of 45 calendar days. The PRB shall send a reminder notice 30 calendar days after distribution of the ballot to the members of the voting panel that have not returned their ballot. Ballots must be received within the voting period to be counted. In the event that sufficient ballots are not returned at the end of 45 calendar days, the Chair may extend the ballot period.

A majority of the ballots distributed, including abstentions, must be returned for the vote to be considered official. A dpANS is approved if at least two-thirds of the ballots returned, excluding abstentions, are approvals.

10.1.5.4 Public Review

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

Upon approval, PRB will send appropriate documentation for the dpANS to ANSI with a request that notice of public review be announced in Standards Action. The public review period of the dpANS will be 45 calendar days (30 and 60 calendar day public review periods will be utilized when appropriate) and commence with the publishing of the notice in Standards Action. The Chair may extend the review period if appropriate. Each comment shall be recorded as it is received and retained until the comment

period is closed. The public review period may be concurrent with the ASC X12 voting period.

10.1.5.5 Recording Member and Public Review Comments and Disapprovals

Prompt consideration shall be given to all expressed views and objections, including those received from the public. An effort to resolve all expressed disapprovals shall be made, and each unresolved objector shall be notified of the disposition of the disapproval and the associated reasons. In addition, each unresolved objector shall be notified that an appeals process exists.

When the balloting and public review periods have closed, PRB shall do the following:

1. Tally all ballots and post the tally to the appropriate TF. Any ballot or comment received after the specified ballot closing date shall not be counted in the tally. Late comments shall be sent to the appropriate subcommittee for future consideration. Those submitting late comments shall be notified that their comments shall not be included in this comment resolution process.
2. Forward to the responsible subcommittee chair and project delegate the TF and applicable comments from members and the public.
3. Prepare a report of the results of the ballot and public review for Steering.

10.1.5.6 Resolution of Member and Public Review Comments and Disapprovals

The responsible subcommittee shall evaluate all ballot comments and disapprovals.

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

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

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

The subcommittee may decide to make substantive changes to the dpANS in order to satisfy an objection. A substantive change is any modification that would cause a change in the use of a standard or change the requirements for compliance with a standard. The change shall be approved by the subcommittee and reviewed by TAS. All substantive changes shall undergo a 45 day public and ASC X12 review in order to afford an opportunity to respond, reaffirm or change a previously presented vote. NOTE: This would result in a difference between the ASC X12 Standard and dpANS.

Per the approved schedule, subcommittees shall meet to discuss and respond to all comments. Commenters may be invited to attend this meeting to discuss their comments. This discussion may result in the withdrawal of an objection, such a withdrawal shall be submitted to PRB in writing. At this meeting the subcommittee shall:

1. Develop and approve ballot comment response letters for all comments that have not been withdrawn and update the appropriate TF(s).
2. Proceed with the response review period based on the ballot comment response letter(s) and the TF(s).
3. Annotate a copy of the dpANS indicating typographical corrections to be made (if any).

10.1.5.7 Response Review Period (30 Day)

If there are unresolved disapprovals or public review comments, the comments and responses shall be distributed to the voting panel for a 30 day review to afford an opportunity to respond, reaffirm or change previous votes or comments.

When ballot and public review comment responses are final, PRB shall:

1. Record receipt of the ballot comment response letter(s) and post the receipt date to the TF.

2. Review the comment response materials for completeness. If not complete, notify the subcommittee chair and return the materials to the project delegate for additional work.
3. Forward response letter(s) to the commenter(s) for a 30 day response review. Response letters to those who voted to disapprove shall include a form on which they may withdraw the objection or note that they continue to disapprove the dpANS with reasons for their continuing disapproval/objection.

At the end of the response review period, PRB shall revise the vote tally and TF(s), as necessary, and send all adjusted vote tallies, TF(s) and any continuing disapprovals/objections to the appropriate subcommittee chair and project delegate.

As per the schedule, the subcommittee chair or project delegate shall write a comment disposition report describing their attempts to resolve any continuing disapproval(s)/objection(s).

10.1.5.8 PRB Final Review

PRB shall review all comment disposition report packages (comment disposition reports, original disapprovals, subcommittee responses and continuing disapproval/objections) to ensure that reasonable attempts have been made to resolve disapproval votes and comments and that the dpANS is ready to be sent to the ANSI Board of Standards Review (BSR). PRB shall then either approve or disapprove the dpANS(s) for submission to ANSI.

If PRB disapproves the dpANS(s), the PRB officers and a representative from each involved subcommittee shall work to resolve the objections. When resolution is reached, PRB shall approve the submission of the dpANS(s) to ANSI.

10.1.6 ANSI Submission and Approval

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

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

Notice of the BSR's final action shall be published in Standards Action and announced to the ASC X12 Committee. Any dpANS(s) not approved by the BSR shall revert to Section 10.1.5.6 - Resolution of Member and Public Review Comments and Disapprovals.

10.1.7 Publication of an ANS

The ASC X12 Board shall arrange for publication of the approved ASC X12 Standards.

10.1.8 Retention of Records for an ANS

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

10.2 Reaffirmation of an ANS

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

10.3 Withdrawal of an American National Standard

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

10.4 Interpretation of an ANS

At any point a request for interpretation may be submitted by anyone. The request shall be in writing and submitted via the online RFI tool. ASC X12 shall develop the interpretation using the same procedures as used for ASC X12 Standards. When approved, the interpretation is an official decision of the consensus body that does not result in changes to the approved ANS.

Interpretations shall not be revised, reaffirmed or withdrawn.

11 ASC X12 Standards

An ASC X12 Standard is a standard approved by ASC X12 which may subsequently be submitted to ANSI for approval as an ANS.

11.1 Development of a New ASC X12 Standard

11.1.1 Initiation

To initiate a new ASC X12 Standard, PRB must approve a project proposal and assign responsibility for development to one or more subcommittees.

11.1.2 Technical Assessment

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

11.1.3 Member ballot

A letter ballot is required to approve new draft ASC X12 standards.

11.1.4 Resolution of Comments and Disapprovals

An effort to resolve all expressed disapprovals shall be made and each disapprover shall be notified of the disposition of their disapproval and the associated reasons. In addition, each disapprover shall be informed that an appeals process exists.

11.1.5 Substantive Change

If substantive revisions are required to resolve disapprovals, the revised draft standard shall be re- balloted.

11.2 Revision of ASC X12 Standards

PRB shall assign maintenance responsibility for an approved ASC X12 Standard to a subcommittee (typically the developing subcommittee).

11.2.1 Change Requests

Any party may submit a request for revisions to an ASC X12 Standard. Such requests shall be reviewed by the subcommittee with maintenance responsibility.

11.2.2 Technical Assessment

TAS shall review the proposed change for compliance with applicable design rules and syntax prior to balloting.

11.2.3 Member Ballot

A letter ballot is required to approve proposed changes to ASC X12 Standards.

11.2.4 Resolution of Comments and Disapprovals

An effort shall be made to resolve all expressed disapprovals and each disapprover shall be notified of the disposition of the disapproval and the associated reasons. In addition, each disapprover shall be informed that an appeals process exists.

11.2.5 Substantive Change

If substantive changes are required to resolve disapprovals, the revised change shall be re-balloted.

11.3 Withdrawal of an ASC X12 Standard

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

11.4 Publication of an ASC X12 Standard

The ASC X12 Board shall arrange for publication of the approved ASC X12 Standards.

11.5 Interpretation of an ASC X12 Standard

Any party may submit a request for interpretation of an ASC X12 Standard. The request shall be submitted via the online RFI tool. ASC X12 shall develop the interpretation using procedures detailed in Standing Document 2. When approved, interpretations become part of the ASC X12 Standard.

Interpretations shall not be revised, reaffirmed or withdrawn.

12 ASC X12 Guidelines

Guidelines are not ASC X12 Standards. Guidelines may be produced to disseminate the technical and logical concepts reflected in ASC X12 Standards, or to convey information on the “state of the art” as it relates to EDI, ASC 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 ASC X12 Standard or version/release of a Standard.

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

13 ASC X12 Technical Reports

Technical Reports are not ASC X12 Standards. Technical Reports express the intentions of a subcommittee related to the usage of a specific ASC X12 Standard or detail how multiple ASC X12 Standards relate to one another.

Technical Reports shall be initiated and developed by subcommittees. Prior to publication, Technical Reports shall be reviewed by TAS to ensure consistency with the associated ASC X12 Standard(s). Technical Reports shall not require PRB or membership approval. An approved Technical Report shall be revised or reaffirmed within five years of approval or shall be automatically withdrawn. ASC X12 may withdraw a Technical Report at any time.

Any party may submit a request for interpretation of an ASC X12 Technical Report. The request shall be submitted via the online RFI tool. Technical Report Interpretations do not become part of the Technical Report.

Technical Report Interpretations shall not be revised, reaffirmed or withdrawn.

14 Liaisons

For effective coordination and to avoid unnecessary overlap and duplication, ASC X12 may provide liaisons to other standards development groups or other organizations whose work is related to EDI. ASC X12 may also invite interested standards developers to provide liaisons to ASC X12.

Liaison assignments and activities shall be approved by Steering.

ASC X12 liaisons shall report on liaison activities to Steering as requested, at least once each year.

15 Complaints and Appeals

Persons who have directly and materially affected interests and who have been or will be adversely affected by any substantive or procedural action or inaction by ASC X12 with regard to the development, revision, reaffirmation or withdrawal of an ANS, ASC X12 Standard or ASC X12 Guideline have the right to appeal. The burden of proof to show adverse effect shall be on the complainant. Complaints and appeals shall be directed to the ASC X12 Board. Steering will be notified when a complaint or appeal is received.

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

15.1 Complaint

The complainant shall file a written complaint with ASC X12 Board Chair within 30 calendar days after the date of notification of action or at any time with respect to inaction. The complaint shall include the following:

- The nature of the objection(s) including any adverse effects
- The section(s) of this OPM or the Standard(s) that are at issue
- The action(s) or instance(s) of inaction that are at issue
- The specific remedial action(s) that would satisfy the complainant's concerns
- Any previous effort to resolve the objection(s) and its outcome

15.2 Response

Within five calendar days of receipt of the complaint, the ASC X12 Board Chair and ASC X12 Chair will jointly determine which of them will respond to the complaint. Regardless of the respondent, the ASC X12 Board will be responsible for all communication with the complainant.

Within 30 calendar days of receipt of the complaint, the respondent shall respond in writing to the complainant, specifically addressing each allegation of fact in the complaint and indicating what action, if any, will be taken based on the complaint.

15.3 Hearing

If the complainant and the respondent are unable to resolve the complaint to the satisfaction of both parties, the complainant shall notify the ASC X12 Board Chair in writing that they wish to appeal the response.

The ASC X12 Board shall immediately notify Steering that the complainant has appealed the response and is now considered the appellant.

Within 45 calendar days of receipt of the written notice of appeal, the ASC X12 Board Chair shall schedule a hearing with an appeals panel on a date agreeable to all participants.

15.4 Appeals Panel

The appeals panel shall consist of three individuals who have not been directly involved in the dispute and who will not be directly or materially affected by any decision made in the dispute. At least two members shall be acceptable to the appellant and at least two members shall be acceptable to the respondent. If the appellant and respondent cannot agree on the composition of the appeals panel, the appellant and respondent will each nominate two candidates and the PRB Chair and PRB Vice-Chair will randomly select three of the four to serve on the appeals panel. One member of the appeals panel is selected as scribe and is responsible for coordinating the appeals panel process and documenting the appeals panel decision.

15.5 Conduct of the Hearing

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

15.6 Decision

Within 30 calendar days, the appeals panel shall render its decision in writing to the ASC X12 Board Chair, stating findings of fact and conclusions based on the evidence.

The appeals panel will select one of the following determinations:

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

Within two calendar days of receipt of the decision, the ASC X12 Board Chair shall notify the appellant, respondent and Steering of the decision.

Records of appeals shall be kept by the ASC X12 Board and made available to the involved parties upon request.

15.7 Second Appeal

If the appellant files a second appeal to ANSI, the ASC X12 Board shall submit a full record of the complaint, response, hearing and decision to ANSI.

16 Other Policies and Procedures

16.1 Metric Policy

ASC X12 shall follow the ANSI Metric Policy (see *ANSI Essential Requirements, current edition*).

16.2 Patent Policy

ASC X12 shall follow the ANSI Patent Policy (see *ANSI Essential Requirements, current edition*).

16.3 Parliamentary Authority

PRB shall be the authority on any parliamentary issues and shall rule on such issues as PRB deems necessary to ensure proper parliamentary process is maintained. Issues may be brought forward by any ASC X12 member.

On questions of parliamentary procedure not covered in any ASC X12 policy or procedure, Robert's Rules of Order (latest edition) shall be used to expedite due process.

16.4 Commercial Terms and Conditions

ASC X12 shall follow the ANSI Commercial Terms and Conditions (see *ANSI Essential Requirements, current edition*).

16.5 Ballot Confirmation Policy

If the results of a member ballot concerning changes to ASC X12 procedures, including this OPM, satisfy approval requirements, Steering shall vote whether or not to confirm the results of the member ballot. This is a final checkpoint to ensure that proposed procedure changes are not implemented when there are meaningful, substantive comments received from the membership that need to be resolved before implementing the new procedure.

Once Steering has confirmed the results of a member ballot, Steering shall determine the effective date of approved procedures.

17 Document History

A new version of this document is effective when approved by ASC X12.

- June 2005: Approved by ASC X12
- February 2008: Approved by ASC X12
- March 2011: Approved by ASC X12
- July 2012: Approved by ASC X12
- October 2015: Approved by ASC X12
- March 17, 2016: Approved by ASC X12