Development and Maintenance Procedures for Standards, Interpretations, Guidelines and Technical Reports

Standing Document 2: Operations Manual

DL2015-33

Table of Contents

1 General Information

1.1 Introduction

The Accredited Standards Committee X12 (ASC X12) maintains a catalog of published products. This catalog includes Standards and products designed to assist with implementation of those Standards, including Guidelines, Context Inspired Component Architecture (CICA) Templates, CICA Schema, Technical Reports, Interpretations, Schema and Table Data. Some of these products are composed of lower level works. ASC X12 subcommittees develop many of these ASC X12 products. As a set, these represent the Standards work products (work products) of the organization. This document describes the development and maintenance procedures for work products. See Section 1.2 - ASC X12 Work Products for more information about ASC X12 products.

ASC X12 undertakes Standard development work based on Project Proposals and Work Requests. Any party may submit a Work Request to recommend a revision to an approved work product. Subcommittees submit Project Proposals to meet identified business needs or in response to Work Requests.

ASC X12 creates Interpretations based on Requests for Interpretation (RFIs). Any party may submit an RFI with a question related to the organization's work products. This document describes the development procedures for Interpretations.

1.2 ASC X12 Work Products

Below is a list of work products as of the publication date of this document. A current list is available on the ASC X12 website.

* EDI Standard — A set of work products including an EDI Transaction Set Directory, Segment Directory and Data Element Dictionary.
* CICA Document — a work product that references associated lower-level constructs as necessary.
* CICA Template — a work product that provides the overall definition of one or more associated CICA Documents.
* Guideline — a work product that disseminates the technical and logical concepts reflected in Standards or conveys information on the "state of the art" as it relates to electronic data interchange, CICA Templates or an aspect of a EDI Standard.
* Interpretation — a clarification that enhances understanding or facilitates proper use of work products.

- Standard — EDI Standards and CICA Templates are the official Standards of ASC X12.
- Technical Report — a work product intended to facilitate consistency and coherence across implementation of ASC X12 Standards. There are four types of Technical Reports.
  - Technical Report Type 1 is a tutorial that provides guidance on the usage of the Standard or specific elements of the Standard.
  - Technical Report Type 2 is a reference model that addresses a number of Standards.
  - Technical Report Type 3 is an implementation guide that addresses one specific business purpose through the implementation of one or more Standards.
  - Technical Report Type 4 is a clarification paper related to any work product.

1.3 Finding the Right Procedure

This document defines the procedures for a number of activities. The information below assists in locating the correct procedure.

- If you want to initiate work on a new EDI or CICA Standard — start at Section 2 *Initiating New Development*.
- If you want to initiate work on a new Guideline — start at Section 2 *Initiating New Development*.
- If you want to initiate work on a new Technical Report — start at Section 2 *Initiating New Development*.
  *Note that Technical Reports are static after publication. If revisions are in order, a new Technical Report is developed.
- If you want to revise an EDI or CICA Standard — start at Section 3.3 - Revisions to Internal Code Lists.
- If you want to revise a Guideline — start at Section 3.3 - Revisions to Internal Code Lists.

1.4 Administrative Assignments

ASC X12 has assigned responsibility for administrative tasks identified in these procedures to contracted support staff. This support staff is collectively referenced herein as "Administration". Administration has no authority over and does not participate in ASC X12 procedural decisions. Administration tasks are always identified in this document under the auspices of an overseeing ASC X12 group.

1.5 Lists and Labels

There are several categories of information, which may be presented in sets or lists. To assist users of this document, a different presentation is used for each category.

Actions/Tasks are denoted by numbered lists. The tasks do not always have to be performed sequentially.

Choices/Decisions are denoted by capital letters.

Lists/Criteria are denoted by bullets.

Note that single items for these categories are not denoted in this manner. In other words, one action is presented in sentence format; two or more actions, which occur at the same step of this procedure, are presented as a list, denoted as indicated above.

1.6 Maintenance of this Standing Document

The ASC X12 Steering Committee is responsible for this policy/procedure and publishes it for the benefit of the members of ASC X12, its subcommittees, subordinate groups, and interested individuals from the general public who actively participate in ASC X12.

Organizations and individuals agree to be bound by these policies when they apply for membership and when they renew an existing membership.

Suggestions for improvements to this document are welcome. They may be submitted at http://changerequest.x12.org.

2 Initiating New Development

An approved project request is required before new development can commence. Chapters 3 and 4 describe the development and maintenance procedures. This chapter describes the submission and approval of a project request, also known as a Project Proposal (PP).

A subcommittee prepares and submits each PP. A subcommittee may prepare a PP to satisfy a Work Request (WR) or in response to a business need identified by the subcommittee itself.

2.1 Subcommittee Prepares Project Proposal

1. The subcommittee designates a project delegate and an alternate to oversee the procedural steps.
2. The project delegate prepares the PP. The PP includes a detailed business case and comprehensive description of the proposed work.
3. The subcommittee approves the PP.
4. The project delegate submits the PP to Administration, who then prepares the PP for processing by the Procedures Review Board (PRB).
5. Administration reviews the PP. If it is not clear and complete, it is returned to the delegate with an explanation of what needs to be addressed.
6. Administration assigns a PP number and enters the PP into the PP registry.

2.2 PRB Reviews Project Proposal

PRB will evaluate and either approve or disapprove the PP, following the steps outlined below.

PRB evaluation criteria:
* Is the business case and description of the work clearly stated and within the mission of ASC X12?
* Can another existing or proposed project satisfy the business need expressed in this PP?
* Is there a compelling reason not to modify an existing ASC X12 Standard as outlined in the description of the work?
* Are there other factors to consider for this PP?

2.2.1 PRB Approves the PP

1. PRB authorizes development according to the procedures defined in either Section 3.1.1 - Committee Work Product Development Processing or Section 4.5.2 - Subcommittee Develops Draft Technical Report.

2. PRB assigns responsibility for the PP to one or more subcommittees. Normally the developing subcommittee is the subcommittee that submitted the PP. Upon request, other subcommittees will be assigned joint development responsibility (joint subcommittee). Each joint subcommittee must assign a project delegate to oversee the procedural steps within that subcommittee.

3. Administration notifies TAS and the subcommittee project delegate(s) of the approval and instructs the project delegate(s) to follow the applicable procedures based on PRB's decision.

4. Administration assigns a Standard Reference Number or Transaction Set Identifier.

5. Administration updates the PP Registry.

6. Administration submits a Project Initiation Notification System (PINS) to the American National Standards Institute (ANSI) as notification of the project.

7. Administration prepares and distributes a Transmittal Form (TF) to the primary project delegate and to the subcommittee chair.

2.2.2 PRB Disapproves the PP

1. PRB documents the reason(s) for the disapproval.

2. Administration notifies TAS, the submitter (for PPs based on a work request only) and the subcommittee project delegate of the disapproval and reason(s). The originating subcommittee may revise and resubmit the PP.

3. Administration updates the PP Registry.

3 Development and Maintenance of Committee Work Products

This chapter defines procedures for the development, maintenance, reaffirmation and withdrawal of work products that require ASC X12 member ballot approval. The following work products fall into this category:

- An ASC X12 Standard is a work product that will be published with its own ASC X12 document number.

X12.1	Transaction Set Directory
X12.22	Segment Directory
X12.3	Data Element Dictionary
X12.5	Interchange Control Structures
X12.56	Interconnect Mailbag Control Structures
X12.58	Security Structures
X12.59	Implementation of EDI Structures - Semantic Impact
X12.6	Application Control Structure
X12.61	Design Rules & Guidelines (for EDI)
X12.7	Context-Inspired Component Architecture (CICA) Technical Specification and XML Schema Syntax Representation
X12.71	Context Inspired Component Architecture (CICA) Design Rules and Guidelines
X12.750	Context Inspired Component Architecture (CICA) Construct Dictionary
X12.800	Context Inspired Component Architecture (CICA) Documents

- An EDI Transaction Set is a work product that includes a message and associated lower-level constructs (e.g., segments, data elements, and code values), as necessary. A Transaction Set is developed according to rules described in X12.6 Application Control Structure and X12.61 Design Rules & Guidelines (for EDI). Transaction Sets are published in X12.1.

- A CICA Template is a work product that provides the overall definition of one or more associated CICA Documents. A CICA Document is a work product that references

associated lower-level constructs as necessary. CICA Templates and Documents are developed according to rules described in X12.7 Context-Inspired Component Architecture (CICA) Technical Specification and XML Schema Syntax Representation and according to the rules in X12.71 Context Inspired Component Architecture (CICA) Design Rules and Guidelines. A CICA Template is published in X12.800 Context Inspired Component Architecture (CICA) Documents.

- An ASC X12 Guideline is 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, CICA Templates 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 CICA Template or version/release of a standard. ASC X12 Guidelines are not standards, nor are they intended to be used as such. Use of ASC X12 Guidelines may result in greater consistency and coherence in information processing systems utilizing the ASC X12 family of standards.

Lower-level constructs associated with work products do not require separate or individual initiation for development or maintenance. X12.6 & X12.7 define lower-level constructs that are developed and maintained according to the procedures described herein for their associated work products. The lists of lower-level constructs above are for example only. All lower-level constructs are defined by their respective architecture documents.

3.1 Development of Committee Work Products

At any point, the developing subcommittee may choose to do one of the following:
A. Withdraw the PP.
B. Request to have the PP reassigned to another subcommittee.

To do either of the above:
1. The developing subcommittee requests that Administration add discussion of the PP to the next PRB agenda.
2. After discussion, PRB either accepts withdrawal of the PP or reassigns responsibility to another subcommittee.

3.1.1 Committee Work Product Development Processing

3.1.1.1 Subcommittee Develops and Approves Proposed Work Product

The developing subcommittee drafts the proposed work product(s), and any associated revisions to existing work product(s), in accordance with policies, procedures, control and guidance documents and design rules applicable to the specific type of work product.

The developing subcommittee may seek technical assistance from TAS during development and may request an informal TAS review to discuss potential technical issues at any time before seeking formal TAS review.

When the developing subcommittee completes the draft work:
1. The project delegate provides the proposed work product(s) to Administration, clearly identifying the associated approved data maintenance (DM).
2. Administration copyedits and styles the proposed work product(s), if necessary.
3. Administration loads the draft work into the applicable repository. From this point on, the repository is the official source for the draft work product(s). The delegate must ensure that the repository contains the most current draft of the proposed work product(s) at all times. All proposed work submitted for TAS review and member ballot will be generated from the repository .
4. The developing and any joint subcommittee(s) vote to approve the proposed work product(s) for formal review by TAS.
   If there are joint subcommittees assigned to the DM, all subcommittees must approve the same work product draft. If the subcommittees cannot approve the same work product draft, TAS will review all versions approved by at least one subcommittee and TAS will determine which draft will continue through the approval process.
5. The project delegate updates and forwards the TF to Administration with a request to add discussion of the proposed work product(s) to the next TAS agenda.
6. Administration updates the TF to reflect subcommittee(s) approval.
7. Administration generates the proposed work product from the repository.
8. Administration adds the item to the next TAS agenda.

9. Administration distributes the proposed work product(s) to TAS members for review.

3.1.1.2 TAS Reviews Proposed Work Product

TAS completes a technical review to ensure that the proposed work product(s) conform to the approved purpose and scope, control and guidance documents and design rules applicable to the specific type of work product and either recommends the proposed work product(s) for member ballot or remands the proposed work to the subcommittee.

TAS disapproval of proposed work must be based on one of the following:
- Work not aligned with the approved purpose and scope for the PP.
- Clear violation of control and guidance documents and/or design rules applicable to the specific type of work product.
- TAS' recommendation for an alternative technical approach.

3.1.1.2.1 TAS Recommends for Member Ballot

Upon approval by a majority of TAS members voting, excluding abstentions, TAS recommends that PRB approve the proposed work product(s) for member ballot.

1. Administration prepares the proposed work product(s) for PRB review. Proceed to Section 3.1.1.3 - PRB Authorizes Member Ballot

3.1.1.2.2 TAS Returns the Proposed Work to the Subcommittee

Absent approval by a majority of TAS members voting, excluding abstentions, the work returns to the developing subcommittee(s) for further action.

1. TAS documents the specific violation(s) and revisions that would bring the proposed work product into alignment with the approved purpose and scope or into compliance with control and guidance documents and/or design rules applicable to the specific type of work product or their alternative technical approach.
2. Administration updates the TF to reflect TAS review.
3. Administration updates the Registry with the TAS information.

3.1.1.2.3 Subcommittee Resolves TAS Disapproval

The developing and any joint subcommittee(s) consider the specific violation(s) and any recommended revisions documented by TAS. The developing and any joint subcommittee(s) chooses one of the options below. When returning

to this step from Section 3.1.1.2.4 - TAS Resolves TAS/Subcommittee Disagreement, option B is not a valid choice.

A. Accept the TAS recommendations.
  1. The developing and any joint subcommittee(s) accept the TAS recommendations and revise the work product(s).
  2. The developing and any joint subcommittee(s) vote to approve the revised work product(s) for formal review by TAS.
  3. The project delegate updates and forwards the TF to Administration with a request to add discussion of the proposed work product(s) to the next TAS agenda.
  4. Administration updates the TF to reflect subcommittee(s) approval.
  5. Administration generates the proposed work product from the repository.
  6. Administration adds the item to the next TAS agenda.
  7. Administration distributes the proposed work product(s) to TAS members for review
  Revert to Section 3.1.1.2 - TAS Reviews Proposed Work Product
B. Reject one or more TAS recommendations with a two-thirds approval vote, excluding abstentions. Justification of why the control or guidance document has not been violated is required if the subcommittee opts to reject the TAS finding.
  1. The subcommittee must document their rationale for disagreeing with TAS' determination that the work does not align with the approved purpose and scope or conform to control and guidance documents or design rules applicable to the specific type of work product were violated or disagreeing with TAS' alternative technical approach.
  Proceed to Section 3.1.1.2.4 - TAS Resolves TAS/Subcommittee Disagreement
C. Decide to make additional changes to the proposed work product, which resolve the disagreement between the Subcommittee and TAS.
  Revert to Section 3.1.1.1 - Subcommittee Develops and Approves Proposed Work Product
D. Decide to withdraw the PP.
  Revert to Section 3.1 - Development of Committee Work Products

3.1.1.2.4 TAS Resolves TAS/Subcommittee Disagreement
Following subcommittee rejection of TAS recommendations, TAS conducts another vote on the proposed work product(s).

If TAS does not confirm the original recommendation with a three-quarters approval vote (in other words, if TAS accepts the Subcommittee's proposed work product(s) as presented), then the proposed work product(s) move to PRB for member ballot authorization.
Proceed to Section 3.1.1.3 - PRB Authorizes Member Ballot

If TAS confirms the original recommendation with a three-quarters approval vote (in other words, if TAS continues to object), then the proposed work product(s) move to the TAS Adjudication Panel.

3.1.1.2.5 TAS Adjudication Panel Decision

The TAS adjudication panel, an adjudication panel composed of only TAS subcommittee representatives present at that time, decides by a simple majority vote, excluding abstentions, whether to sustain or overrule the TAS position. The panel's decision is final.

A. Sustain the TAS position.
    1. The proposed work is remanded again to the subcommittee.
    2. The subcommittee either accepts TAS' recommendation or withdraws the work.
    Revert to Section 3.1.1.2.3 - Subcommittee Resolves TAS Disapproval
B. Overrule the TAS position.
    1. The subcommittee's work product(s) proceed to PRB for member ballot authorization.

3.1.1.3 PRB Authorizes Member Ballot

Administration:
1. Places the item on the next PRB agenda
2. Generates the proposed work product from the repository
3. Distributes the proposed work product(s) to PRB members for review

Any complaint or question about a procedural aspect of the proposed work product must be conveyed to the PRB prior to the vote authorizing the work for member ballot.

The PRB does one of the following:
A. PRB approves the proposed work product for Member Ballot.
    Proceed to Section 3.1.1.3.1 - Preparing for Member Ballot

B. PRB disapproves the proposed work product for Member Ballot due to procedural violations.

    1. PRB determines where in the process the procedural violation occurred and instructs the developing subcommittee to revert to that step in the process and resolve the procedural issue(s).

    2. Administration updates the registry.

3.1.1.3.1 Preparing for Member Ballot

1. Administration prepares the member ballot and proposed work product(s).

2. Administration publishes the proposed work product in the next appropriate Standards Development Workbook.

3. If the proposed work revises the project purpose and scope, Administration notifies ANSI using PINS.

3.1.2 Member Ballot

Administration prepares and distributes the member ballot via email, noting the start and end of the 21-day voting period.

Any concerns about the ballot itself or the distribution thereof must be submitted to Administration in writing before the end of the voting period. Administration will forward the concerns to the appropriate ASC X12 subordinate group.

3.1.2.1 Member Votes

Any portion of the balloted work product is subject to comment, regardless of the voting position taken. Disapprovals should be based on a technical or functional issue with the proposed work product and a comment describing the details of the technical or functional issue should be included with the disapproval vote.

Any ASC X12 member may vote on any member ballot. The Organization and Procedures Manual (OPM) defines that member ballots will include at least the following voting positions.

A. Approve

Indicates the member approves the proposed work product.

B. Approve with comment

Indicates the member prefers suggested revision(s) be made as indicated in the comment but approves the proposed work product with or without said revision(s).

C. Disapprove with comment

Indicates the member disapproves the proposed work. A disapproval vote should be based on a technical or functional issue and accompanied by a comment describing the details of the technical or functional issue.

D. Abstain

Indicates the member does not wish to register a position.

3.1.2.2 Finalize Member Ballot Results

The guidelines defined in the OPM (Section 2.5. Membership Voting) are followed when tallying the votes.

1. Administration tallies the vote.
2. Administration updates the TF, if necessary.
3. Administration forwards all ballot information to the project delegate(s).
4. Administration reports the ballot results to the ASC X12 Chair.

3.1.2.3 Subcommittee Evaluates Ballot Results

If the result of the ballot is that the work is approved and there are no comments to address, the developing subcommittee forwards the proposed work to PRB with a recommendation to publish.
Proceed to Section 3.1.2.7 - Approval to Publish

If the result of the ballot is that the work is approved and there are ballot comments that need to be addressed, the developing subcommittee must respond to all comments within six months of the ballot closing date or the ballot is invalidated. Administration is responsible for monitoring the timeliness of the responses and notifying PRB and the developing subcommittee when timeliness becomes a concern.

If the result of the ballot is that the work is not approved, the subcommittee goes back to the development process to design an alternative solution.

3.1.2.4 Subcommittee Responds to Ballot Comments

The developing subcommittee and any joint subcommittee(s) are not required to make changes to the proposed work based on ballot comments received, but the subcommittees must make a good-faith effort to resolve disapproval comments. PRB determines whether a good-faith effort was made as part of their pre-publication review.

The developing subcommittee (or a designated subordinate group) attempts to resolve disapprovals by choosing one of the following:

A. Open Forum Discussion

1. The developing subcommittee conducts an Open Forum to discuss the ballot comments.

   All comments must be discussed in the Open Forum, regardless of whether the commenter attends the Open Forum or not.

   At or after the Open Forum and before PRB takes action on the proposed work, a commenter may change their voting position by submitting a Vote Change Form to Administration. Administration will attach the Vote Change Form to the TF as proof of the vote change.

   A commenter may make a vote change contingent upon the developing subcommittee submitting a mutually agreed upon Work Request to Administration. Administration will attach the Work Request to the TF as proof that the agreed upon work request has been submitted. If a vote that is noted as contingent upon a work request is attached to the TF without proof of the Work Request also being attached, the vote change is not considered valid and the original vote stands as cast.

B. Response Letter

1. The developing subcommittee prepares and approves a Ballot Comment Response Letter reflecting the intended resolution for each disapproval comment received from the ballot.
2. The project delegate distributes the Ballot Comment Response Letter to the developing subcommittee chair and any joint subcommittee(s) chairs.
3. The project delegate updates the TF.
4. The project delegate forwards the Ballot Comment Response Letter and the TF to Administration.

3.1.2.5 Subcommittee Determines Next Step

The developing and any joint subcommittee(s) vote on whether revisions to the proposed work product are necessary based on the disapproval comments. The developing and any joint subcommittee(s) must agree on one of the following:

A. Revisions are necessary.

Revert to Section 3.1.1.1 - Subcommittee Develops and Approves
Proposed Work Product

B. Revisions are not necessary.

3.1.2.6 Ten-Percent Rule Applied

Prior to the next PRB meeting, Administration calculates the disapproval
percentage based on the total number of ballots cast, excluding abstentions.

A. If the disapproval percentage is 10% or higher, the proposed work must
be revised.
Revert to Section 3.1.1.1 - Subcommittee Develops and Approves
Proposed Work Product

B. If the disapproval percentage is less than 10%:
1. The developing subcommittee submits the proposed work product to
PRB for approval to publish.
2. Administration adds discussion of the proposed work product to the
next PRB agenda.
3. Administration updates the registry.

3.1.2.7 Approval to Publish

3.1.2.7.1 Correction of Non-substantive Errors Prior to Publication

Prior to PRB approval for publication of the new work product, the developing
subcommittee and any joint subcommittees may identify and recommend
non-substantive correction(s). TAS determines whether corrections are
non-substantive.

3.1.2.7.1.1 Subcommittee Publication Review

The developing subcommittee and any joint subcommittee(s) evaluate the
balloted publication:

A. No errors identified.
Proceed to Section 3.1.2.7.2 - PRB Approves for Publication

B. Substantive errors identified.
Proceed to Section 3.1.2.7.1.2 - TAS Error Correction Review

C. Non-substantive errors identified. Subcommittee proposes corrections.

3.1.2.7.1.2 TAS Error Correction Review

If the subcommittee identifies a substantive error during the publication review,
TAS evaluates the substantive error(s) and chooses one of the following.

A. Agrees with the subcommittee's determination of a substantive error and
recommends that PRB not allow publication.

Proceed to Section 3.1.2.8 - PRB Disapproves Publication

B. Disagrees with the subcommittee's determination
Revert to Section 3.1.1.2.3 - Subcommittee Resolves TAS Disapproval

C. Non-substantive errors identified. Subcommittee proposes corrections.

If the subcommittee did not identify a substantive error but did identify a non-substantive error and proposed a correction during the publication review, TAS evaluates the proposed correction(s) and chooses one of the following:

A. Accepts the proposed correction(s)
Proceed to Section 3.1.2.7.2 - PRB Approves for Publication

B. Determines a correction is substantive.
Revert to Section 3.1.1.2.3 - Subcommittee Resolves TAS Disapproval

C. Determines the correction is non-substantive and recommends an alternative correction.

3.1.2.7.1.3 Subcommittee Review of TAS Recommendation

The developing subcommittee and any joint subcommittee(s) review TAS' alternative correction recommendation and choose one of the following:

A. Accepts the correction recommended by TAS.
Proceed to Section 3.1.2.7.2 - PRB Approves for Publication

B. Confirms the subcommittee-proposed correction (Rejects the TAS recommendation).

3.1.2.7.2 PRB Approves for Publication

If there is disagreement on any procedural aspect of the proposed work product, the objecting party must convey this objection to the PRB prior to the PRB vote.

1. Administration prepares the PRB agenda.

2. Administration distributes the proposed review packet to PRB members for review. The review packet contains the TF (when applicable), final proposed work product, final Ballot Comment Response Letter (when applicable), unresolved disapprovals (when applicable), Vote Change Forms (when applicable), associated Work Requests (when applicable) and the final ballot tally.

The PRB reviews the proposed work to ensure documentation is complete and applicable procedures were followed. If required documentation is missing or incomplete when presented at the PRB meeting, PRB will disapprove publication of the proposed work.

After reviewing the packet, PRB votes to:

A. Approve publication of the proposed work.
   1. PRB assigns a responsible subcommittee, usually the developing subcommittee.
   2. Administration assigns control numbers and updates the registry.
   3. Administration notifies the project delegate of the decision.
   4. Administration publishes the work product.
B. Disapprove publication of the proposed work based on procedural violations.

3.1.2.8 PRB Disapproves Publication

If the subcommittee identified a substantive error or technical issue during the publication review, the following actions will ensue:

1. PRB invalidates the ballot.
2. PRB remands the work to the responsible group.
Revert to Section 3.1.1.1 - Subcommittee Develops and Approves Proposed Work Product
3. Administration updates the registry.
4. Administration notifies the project delegate the work has been remanded and at which step of the procedure rework begins.

If PRB determined a procedural violation occurred, the following actions will ensue:

1. PRB determines where in the process the procedural violation occurred and instructs the developing subcommittee to revert to that step in the process and resolve the procedural issue(s).
2. Administration updates the registry.
3. Administration notifies the project delegate the work has been remanded and at which step of the procedure rework begins.

3.2 Maintenance to an Existing ASC X12 Membership Approved Work Product (Other than Code Lists)

This section specifies the procedures to modify an existing Work Product, other than code list modifications which are covered in Section 3.3 - Revisions to Internal Code Lists.

Work products are placed in maintenance status after PRB approves publication. Individuals or organizations may propose revisions to existing work products according to the procedures in this section.

3.2.1 ASC X12 Membership Approved Work Product Data Maintenance Request Processing

3.2.1.1 User Submits Data Maintenance Request

A request to revise an existing work product may be submitted by anyone (an ASC X12 member or non-member) by completing a Work Request (WR) form. When a work request is received, the following ensues:

Administration:

1. Ensures the form is clear and complete
2. Contacts the submitter if modifications are needed
3. Assigns a DM number (work request is hereafter called a DM)
4. Enters the DM into the Registry
5. Distributes the DM to TAS for action

3.2.1.2 TAS Processes Data Maintenance Request

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 for which TAS is responsible, but TAS retains disposition authority. A DM may be referred to more than one subcommittee; in such cases, all SCs report to TAS on the DM before TAS disposes of the DM. DMs (or portions of DMs) for which another subcommittee has maintenance responsibility are referred to that subcommittee for decision prior to TAS action on the item.

TAS reviews the DM to ensure it conforms to the applicable ASC X12 guidance and control documents. Based on that review, TAS chooses one of the following:

A. Approves the DM as submitted.
B. Approves the DM with modifications.
C. Refers the DM to one or more SCs for further action.
D. Defers the DM to the next TAS meeting.
E. Accepts withdrawal of the DM from the submitter and closes the DM.
F. Disapproves the DM with reasons and closes the DM.

Based on TAS' decision, the following actions ensue:

1. Administration notifies the submitter of the disposition of the DM.
2. Administration records the status of the DM in the Registry.
3. Administration forwards referred DMs to the assigned SCs.

3.2.1.3 Subcommittee Develops and Approves Data Maintenance Request

The developing subcommittee drafts revisions to existing work product(s), in accordance with policies, procedures, control and guidance documents and design rules applicable to the specific type of work product.

The developing subcommittee may seek technical assistance from TAS during development and may request an informal TAS review to discuss potential technical issues at any time before seeking formal TAS review.

The subcommittee reviews and votes on the DM and chooses one of the following:

A. Approves as written
B. Approves with modification
C. Disapproves
D. Defers
E. No interest

The project delegate updates the TF to reflect the subcommittee decision.

3.2.1.4 TAS Review of Subcommittee Input on DM

TAS provides a technical review to ensure that the proposed DM conforms to the applicable ASC X12 guidance and control documents. TAS chooses one of the following:

A. Approve and forward the documents to the PRB with a recommendation to issue for Member Ballot.
   Proceed to Section 3.2.1.7 - PRB Authorizes DM for Member Ballot
B. Find non-conformance with ASC X12 guidance and control documents and refer the DM back to the subcommittee for additional revisions.
   Proceed to Section 3.2.1.5 - Subcommittee Resolves TAS Disapproval
C. Record the rejection of responsibility by subcommittee
   Revert to Section 3.2.1.2 - TAS Processes Data Maintenance Request

Based on TAS' decision, the following actions ensue:

1. Administration prepares the DM Status Report, listing the DMs approved by TAS.
2. Administration adds the DM Status Report to the next PRB agenda.
3. Administration distributes the DM Status Report to PRB.

3.2.1.5 Subcommittee Resolves TAS Disapproval

If TAS does not approve the proposed work product, the developing subcommittee(s) considers the TAS findings and chooses one of the following:
A. Accepts the TAS findings and revises the DM.
   Revert to Section 3.2.1.3 - Subcommittee Develops and Approves Data Maintenance Request
B. Rejects one or more TAS recommendations with a two-thirds approval vote, excluding abstentions. Justification of why the control or guidance document has not been violated is required if the subcommittee opts to reject the TAS finding.
   Proceed to Section 3.2.1.6 - TAS Resolves TAS/Subcommittee Disagreement
C. Decides to make additional changes to the proposed work product.
   Revert to Section 3.2.1.3 - Subcommittee Develops and Approves Data Maintenance Request

3.2.1.6 TAS Resolves TAS/Subcommittee Disagreement

Following subcommittee rejection of TAS findings, TAS conducts another vote on the proposed work product(s).

If TAS does not confirm the original recommendation with a three-quarters approval vote (in other words, if TAS accepts the Subcommittee's proposed work product(s) as presented), then the proposed work product(s) move to PRB for member ballot authorization.
Proceed to Section 3.2.1.7 - PRB Authorizes DM for Member Ballot

If TAS confirms the original recommendation with a three-quarters approval vote, an adjudication panel composed of only subcommittee TAS representatives present at that time, decides by a simple majority vote, excluding abstentions, whether to sustain or overrule the TAS position. This panel's decision is final.

Based on the results of the TAS adjudication panel vote, one of the following occurs:

A. Sustain TAS position. Upon majority approval, the proposed work is remanded again to the subcommittee. The subcommittee either accepts TAS' recommendation or withdraws the work.
Revert to Section 3.2.1.5 - Subcommittee Resolves TAS Disapproval

B. Overrule TAS position. Absent majority approval, the subcommittee decision is accepted and the proposed work product(s) move to PRB for member ballot authorization.

3.2.1.7 PRB Authorizes DM for Member Ballot

1. Administration places the item on the next PRB agenda.
2. Administration generates the proposed work product from the repository.
3. Administration distributes the proposed work product(s) to PRB members for review.

Any complaint or question about a procedural aspect of the proposed work product must be conveyed to the PRB prior to the vote authorizing the work for member ballot.

The PRB does one of the following:

A. PRB approves the proposed work product for Member Ballot.
Proceed to Section 3.2.1.7.1 - Preparing for Member Ballot

B. PRB disapproves the proposed work product for Member Ballot due to procedural violations.
  1. PRB determines where in the process the procedural violation occurred and instructs the developing subcommittee to revert to that step in the process and resolve the procedural issue(s).
  2. Administration updates the registry.

3.2.1.7.1 Preparing for Member Ballot

1. Administration prepares the member ballot and proposed work product(s).
2. Administration publishes the proposed work product in the next appropriate Standards Development Workbook.
3. If the proposed work revises the project purpose and scope, Administration notifies ANSI using PINS.

3.2.2 Member Ballot

Administration prepares and distributes the member ballot via email, noting the start and end of the 21-day voting period.

Any concerns about the ballot itself or the distribution thereof must be submitted to Administration in writing before the end of the voting period. Administration will forward the concerns to the appropriate ASC X12 subordinate group.

3.2.2.1 Member Votes

Any portion of the balloted work product is subject to comment, regardless of the voting position taken. Disapprovals should be based on a technical or functional issue with the proposed work product and a comment describing the details of the technical or functional issue should be included with the disapproval vote.

Any ASC X12 member may vote on any member ballot. The OPM defines that member ballots will include at least the following voting positions.

A. Approve
   Indicates the member approves the proposed work product.
B. Approve with comment
   Indicates the member prefers suggested revision(s) be made as indicated in the comment but approves the proposed work product with or without said revision(s).
C. Disapprove with comment
   Indicates the member disapproves the proposed work. A disapproval vote should be based on a technical or functional issue and accompanied by a comment describing the details of the technical or functional issue.
D. Abstain
   Indicates the member does not wish to register a position.

3.2.2.2 Finalize Member Ballot Results

The guidelines defined in the OPM (Section 2.5. Membership Voting) are followed when tallying the votes.

1. Administration tallies the vote.
2. Administration updates the TF, if necessary.
3. Administration forwards all ballot information to the project delegate(s).
4. Administration reports the ballot results to the ASC X12 Chair.

3.2.2.3 Subcommittee Evaluates Ballot Results

If the result of the ballot is that the work is approved and there are no comments to address, the developing subcommittee forwards the proposed work to PRB with a recommendation to publish.
Proceed to Section 3.2.2.7 - Approval to Publish

If the result of the ballot is that the work is approved and there are ballot comments that need to be addressed, the developing subcommittee must respond to all comments within six months of the ballot closing date or the ballot is invalidated. Administration is responsible for monitoring the timeliness of the responses and notifying PRB and the developing subcommittee when timeliness becomes a concern.

If the result of the ballot is that the work is not approved, the subcommittee goes back to the development process to design an alternative solution.

3.2.2.4 Subcommittee Responds to Ballot Comments

The developing subcommittee and any joint subcommittee(s) are not required to make changes to the proposed work based on ballot comments received, but the subcommittees must make a good-faith effort to resolve disapproval comments. PRB determines whether a good-faith effort was made as part of their pre-publication review.

The developing subcommittee (or a designated subordinate group) attempts to resolve disapprovals by choosing one of the following:

A. Open Forum Discussion

1. The developing subcommittee conducts an Open Forum to discuss the ballot comments.

All comments must be discussed in the Open Forum, regardless of whether the commenter attends the Open Forum or not.

At or after the Open Forum and before PRB takes action on the proposed work, a commenter may change their voting position by submitting a Vote Change Form to Administration. Administration will attach the Vote Change Form to the TF as proof of the vote change.

A commenter may make a vote change contingent upon the developing subcommittee submitting a mutually agreed upon Work Request to Administration. Administration will attach the Work Request to the TF as proof that the agreed upon work request has been submitted. If a

vote that is noted as contingent upon a work request is attached to the TF without proof of the Work Request also being attached, the vote change is not considered valid and the original vote stands as cast.

B. Response Letter

    1. The developing subcommittee prepares and approves a Ballot Comment Response Letter reflecting the intended resolution for each disapproval comment received from the ballot.

    2. The project delegate distributes the Ballot Comment Response Letter to the developing subcommittee chair and any joint subcommittee(s) chairs.

    3. The project delegate updates the TF.

    4. The project delegate forwards the Ballot Comment Response Letter and the TF to Administration.

3.2.2.5 Subcommittee Determines Next Step

The developing and any joint subcommittee(s) vote on whether revisions to the proposed work product are necessary based on the disapproval comments. The developing and any joint subcommittee(s) must agree on one of the following:

A. Revisions are necessary.
Revert to Section 3.2.1.3 - Subcommittee Develops and Approves Data Maintenance Request

B. Revisions are not necessary.

3.2.2.6 Ten-Percent Rule Applied

Prior to the next PRB meeting, Administration calculates the disapproval percentage based on the total number of ballots cast, excluding abstentions.

A. If the disapproval percentage is 10% or higher, the proposed work must be revised.
Revert to Section 3.2.1.3 - Subcommittee Develops and Approves Data Maintenance Request

B. If the disapproval percentage is less than 10%:

    1. The developing subcommittee submits the proposed work product to PRB for approval to publish.

    2. Administration adds discussion of the proposed work product to the next PRB agenda.

3. Administration updates the registry.

3.2.2.7 Approval to Publish

3.2.2.7.1 Correction of Non-substantive Errors Prior to Publication
Prior to PRB approval for publication of the new work product, the developing subcommittee and any joint subcommittees may identify and recommend non-substantive correction(s). TAS determines whether corrections are non-substantive.

3.2.2.7.1.1 Subcommittee Publication Review
The developing subcommittee and any joint subcommittee(s) evaluate the balloted publication:
A. No errors identified.
    Proceed to Section 3.2.2.7.2 - PRB Approves for Publication
B. Substantive errors identified.
    Proceed to Section 3.2.2.7.1.2 - TAS Error Correction Review
C. Non-substantive errors identified. Subcommittee proposes corrections.

3.2.2.7.1.2 TAS Error Correction Review
If the subcommittee identifies a substantive error during the publication review, TAS evaluates the substantive error(s) and chooses one of the following.
A. Agrees with the subcommittee's determination of a substantive error and recommends that PRB not allow publication.
    Proceed to Section 3.2.2.8 - PRB Disapproves Publication
B. Disagrees with the subcommittee's determination
    Revert to Section 3.2.1.5 - Subcommittee Resolves TAS Disapproval
C. Non-substantive errors identified. Subcommittee proposes corrections.

If the subcommittee did not identify a substantive error but did identify a non-substantive error and proposed a correction during the publication review, TAS evaluates the proposed correction(s) and chooses one of the following:
A. Accept the proposed correction.
    Proceed to Section 3.2.2.7.2 - PRB Approves for Publication
B. Determines a correction is substantive.
    Revert to Section 3.2.1.5 - Subcommittee Resolves TAS Disapproval
C. Determines the correction is non-substantive and recommends an alternative correction.

3.2.2.7.1.3 Subcommittee Review of TAS Recommendation

The developing subcommittee and any joint subcommittee(s) review TAS' alternative correction recommendation and choose one of the following:

A. Accepts the correction recommended by TAS.
   Proceed to Section 3.2.2.7.2 - PRB Approves for Publication
B. Confirms the subcommittee-proposed correction (Rejects the TAS recommendation).

3.2.2.7.2 PRB Approves for Publication

If there is disagreement on any procedural aspect of the proposed work product, the objecting party must convey this objection to the PRB prior to the PRB vote.

1. Administration prepares the PRB agenda.
2. Administration distributes the proposed review packet to PRB members for review. The review packet contains the TF (when applicable), final proposed work product, final Ballot Comment Response Letter (when applicable), unresolved disapprovals (when applicable), Vote Change Forms (when applicable), associated Work Requests (when applicable) and the final ballot tally.

The PRB reviews the proposed work to ensure documentation is complete and applicable procedures were followed. If required documentation is missing or incomplete when presented at the PRB meeting, PRB will disapprove publication of the proposed work.

After reviewing the packet, PRB votes to:

A. Approve publication of the proposed work.
   1. PRB assigns a responsible subcommittee, usually the developing subcommittee.
   2. Administration assigns control numbers and updates the registry.
   3. Administration notifies the project delegate of the decision.
   4. Administration publishes the work product.
B. Disapprove publication of the proposed work based on procedural violations.

3.2.2.8 PRB Disapproves Publication

If the subcommittee identified a substantive error or technical issue during the publication review, the following actions will ensue:

1. PRB invalidates the ballot.
2. PRB remands the work to the responsible group.

Revert to Section 3.2.1.3 - Subcommittee Develops and Approves Data Maintenance Request

3. Administration updates the registry.
4. Administration notifies the project delegate the work has been remanded and at which step of the procedure rework begins.

If PRB determined a procedural violation occurred, the following actions will ensue:

1. PRB determines where in the process the procedural violation occurred and instructs the developing subcommittee to revert to that step in the process and resolve the procedural issue(s).
2. Administration updates the registry.
3. Administration notifies the project delegate the work has been remanded and at which step of the procedure rework begins.

3.3 Revisions to Internal Code Lists

Internal code lists are maintained using the procedure defined in this section. ASC X12 also owns and maintains a separate type of code lists, external code lists, using procedures defined in ASC X12 policy document, ADP024 Maintaining External Code Lists.

3.3.1 Code Maintenance Request (CMR)

Code lists associated with work products 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.

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

Administration reviews and processes the CMR.

1. 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.
2. Assigns a CMR number and enters the CMR into the registry.
3. When the CMR is clear and complete, queues the CMR for the next ASC X12 member comment period.

3.3.2 ASC X12 Member Comment

The following member comment process is utilized for CMRs in lieu of member balloting:

1. Administration posts the CMRs to the ASC X12 website.
2. Administration notifies ASC X12 voting members via email of a 21-day CMR comment period.
3. ASC X12 members submit comments via the ASC X12 website.
4. Administration closes the comment period.
5. Administration compiles a list of all comments and forwards this list to the TAS members for review.
6. Administration adds the item to the next TAS agenda.

3.3.3 Resolution of CMR Comments

TAS is responsible for coordinating all CMRs with other SCs and has specific responsibility for the disposition of CMRs. Other SCs may be consulted on specific CMRs, but TAS retains disposition authority. A CMR may be referred to more than one subcommittee; in such cases, all SCs report to TAS on the CMR before TAS disposes of the CMR.

3.3.3.1 TAS Resolves CMRs

TAS reviews each CMR and chooses one of the following:

A. Approves the CMR as submitted.
B. Approves the CMR with modifications.
C. Accepts withdrawal from the submitter and closes the CMR.
D. Disapproves the CMR with reasons and closes the CMR.
E. Refers the CMR to a subcommittee other than TAS.

Based on TAS' decision, the following actions ensue:

1. Administration notifies the submitter of the disposition of the CMR.
2. Administration records the status of the CMR in the Registry.
3. Administration forwards referred CMRs to the assigned SCs.
4. Administration adds approved CMRs to the CMR Status Report.

3.3.3.2 Subcommittee Evaluates Referred CMRs

If a CMR is referred, the assigned subcommittee evaluates the CMR and reports its input at the next TAS meeting.
Revert to Section 3.3.3.1 - TAS Resolves CMRs

3.3.4 PRB Approval to Publish

3.3.4.1 TAS Corrects Errors Prior to Publication

Prior to PRB approval to publish, TAS may identify and recommend correction to repair errors in the documentation that deviate from the original approved intent. The procedure for correction of errors prior to publication is not to be used as an alternative to the normal ballot resolution or Member Ballot process.

3.3.4.2 PRB Approves Revised Code Lists for Publication

If there is disagreement on any procedural aspect of the CMRs, the objecting party must convey this objection to the PRB prior to the PRB vote.

1. Administration prepares the PRB agenda.
2. Administration distributes the CMR review packet to PRB members for review.

The PRB reviews the CMRs to ensure documentation is complete and applicable procedures were followed. If required documentation is missing or incomplete when presented at the PRB meeting, PRB will disapprove publication of the specific CMR(s).

After reviewing the packet, PRB votes to:
A. Approve publication of the CMR.
B. Disapprove publication of the CMR and directs TAS to resolve the procedural violation before returning to the PRB.
   Revert to Section 3.3.3.1 - TAS Resolves CMRs

If PRB approves a CMR for publication:
1. Administration publishes the updated work product as part of the next release.
2. Administration notifies the submitter of the CMR number and the disposition of the CMR.

3.4 Reaffirmation of an ASC X12 Membership Approved Work Product

If a work product has not been modified within five years after its publication, it must be reaffirmed or withdrawn. Reaffirmation is conducted as directed by OPM.

3.5 Withdrawal of an ASC X12 Membership Approved Work Product

At any time, the responsible subcommittee may decide or the PRB may direct that a work product be withdrawn. The responsible subcommittee prepares and approves the Withdrawal Form (WF). The PRB reviews the withdrawal request and approves the withdrawal for member ballot, unless there is a procedural violation. It is assumed that the only valid reason to disapprove withdrawal is that the voter still has a requirement to use the work product in its current form. If the withdrawal is approved, ANSI is notified and the work product is no longer available for distribution to users.

3.5.1 Withdrawal Initiation

3.5.1.1 Subcommittee Initiates Withdrawal

The responsible subcommittee:
1. Prepares and approves the Withdrawal Form (WF).
2. Forwards the WF to the Administration.

Administration reviews and processes the WF:
1. If the WF is not clear and complete, contacts the project delegate for clarification.
2. Distributes the WF to the PRB.
3. Adds the item to the PRB agenda.
4. Notifies the Steering Committee.

3.5.1.2 PRB Authorizes Member Ballot

The PRB reviews the WF and chooses one of the following:
A. Agrees that the proposed work product withdrawal be sent out for member ballot in the next ballot package.
B. Refers the WF back to the subcommittee with comments for further work Revert to Section 3.5.1.1 - Subcommittee Initiates Withdrawal

3.5.2 Member Ballot

Administration prepares and distributes the member ballot via email, noting the start and end of the 21-day voting period.

Any concerns about the ballot itself or the distribution thereof must be submitted to Administration in writing before the end of the voting period. Administration will forward the concerns to the appropriate ASC X12 subordinate group.

3.5.2.1 Member Votes

Disapprovals must be based on a business need that cannot be satisfied by any other work product and include a comment with the disapproval vote describing the details of why the business need is satisfied only by the product nominated for withdrawal.

Any ASC X12 member may vote on any member ballot. The OPM defines that member ballots will include at least the following voting positions.

A. Approve
Indicates the member approves the work product withdrawal.
B. Approve with comment
Indicates the member prefers not withdrawing the work product as indicated in the comment but approves the proposed work product withdrawal.
C. Disapprove with comment
Indicates the member disapproves the proposed withdrawal. Disapprovals must be based on a business need that cannot be satisfied by any other work product and include a comment with the disapproval vote describing the details of why the business need is satisfied only by the product nominated for withdrawal.
D. Abstain
Indicates the member does not wish to register a position.

3.5.2.2 Finalize Member Ballot Results

The guidelines defined in the OPM (Section 2.5. Membership Voting) are followed when tallying the votes.

1. Administration tallies the vote.
2. Administration updates the TF, if necessary.
3. Administration forwards all ballot information to the project delegate(s).
4. Administration reports the ballot results to the ASC X12 Chair.

3.5.2.3 Subcommittee Evaluates Ballot Results

If the result of the ballot is that the withdrawal is approved and there are no comments to address, the developing subcommittee forwards the work to PRB with a recommendation to withdraw.

Proceed to Section 3.5.3 - PRB Approval to Withdraw

If the result of the ballot is that the withdrawal is not approved, the subcommittee responds to ballot comments.

3.5.2.4 Subcommittee Responds to Ballot Comments

The work product may still be withdrawn; however, the developing subcommittee and any joint subcommittee(s) must make a good-faith effort to resolve disapproval comments. PRB determines whether a good-faith effort was made as part of their approval for withdrawal review.

The developing subcommittee (or a designated subordinate group) attempts to resolve disapprovals by choosing one of the following:

A. Open Forum Discussion

1. The developing subcommittee conducts an Open Forum to discuss the ballot comments.

   All comments must be discussed in the Open Forum, regardless of whether the commenter attends the Open Forum or not.

   At or after the Open Forum and before PRB takes action on the proposed work, a commenter may change their voting position by submitting a Vote Change Form to Administration. Administration will attach the Vote Change Form to the TF as proof of the vote change.

   A commenter may make a vote change contingent upon the developing subcommittee submitting a mutually agreed upon Work Request to Administration. Administration will attach the Work Request to the TF as proof that the agreed upon work request has been submitted. If a vote that is noted as contingent upon a work request is attached to the TF without proof of the Work Request also being attached, the vote change is not considered valid and the original vote stands as cast.

B. Response Letter

1. The developing subcommittee prepares and approves a Ballot Comment Response Letter reflecting the intended resolution for each disapproval comment received from the ballot.
2. The project delegate distributes the Ballot Comment Response Letter to the developing subcommittee chair and all joint subcommittee chairs.
3. The project delegate updates the TF
4. The project delegate forwards the Ballot Comment Response Letter and the TF to Administration.

3.5.2.5 Subcommittee Determines Next Step

The developing and any joint subcommittee(s) vote on whether the work product can be withdrawn based on the disapproval comments. The developing and any joint subcommittee(s) must agree to one of the following:

1. Withdrawal is indicated.
    Proceed to Section 3.5.2.6 - Ten-Percent Rule Applied
2. Withdrawal is not indicated.
    Revert to Section 3.5.2.1 - Member Votes

3.5.2.6 Ten-Percent Rule Applied

Prior to the next PRB meeting, Administration calculates the disapproval percentage based on the total number of ballots cast, excluding abstentions.

A. If the disapproval percentage is 10% or higher, the withdrawal must be reconsidered.
    Revert to Section 3.5.2.1 - Member Votes
B. If the disapproval percentage is less than 10%:
    1. The developing subcommittee submits the work product to PRB for approval to withdraw.
    2. Administration adds discussion of the proposed work product to the next PRB agenda.
    3. Administration updates the registry.

3.5.3 PRB Approval to Withdraw

If there is disagreement on any procedural aspect of the withdrawal, the objecting party must convey this objection to the PRB prior to the PRB vote.
1. Administration prepares the PRB agenda.
2. Administration distributes the proposed review packet to PRB members for review. The review packet contains the TF (when applicable), final proposed work product, final Ballot Comment Response Letter (when applicable), unresolved disapprovals (when applicable), Vote Change Forms (when applicable), associated Work Requests (when applicable) and the final ballot tally.

The PRB reviews the results of the withdrawal ballot and chooses one of the following:

A. Approves the withdrawal.

B. Disapproves the withdrawal based on procedural violations. Process reverts to the point where the procedural violation(s) occurred. PRB must clearly state what actions must be taken to resolve the procedural violation(s).

4 Development and Maintenance of Subcommittee Work Products

This chapter defines procedures for development and maintenance of ASC X12 Subcommittee Work Products including Technical Reports. ASC X12 Technical Reports are not standards and are not intended to be used as such. Use of ASC X12 Technical Reports may result in greater consistency and coherence in information processing systems utilizing the ASC X12 family of standards.

The work products defined in this chapter require only subcommittee approval.

4.1 Technical Report Type 1 – Tutorial

A "Technical Report Type 1" tutorial (transaction set, CICA Template or control structures implementation guideline) addresses one or more standards for general audiences. The tutorial expresses the intent of the ASC 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.

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.

The annual release of ASC X12 Standards will indicate those ASC X12 Standards for which a tutorial is available.

4.2 Technical Report Type 2 – Reference Model

A "Technical Report Type 2," reference model, addresses a number of Standards or CICA Templates 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 typically developed by the subcommittee responsible for the referenced standards.

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

4.3 Technical Report Type 3 – Implementation Guide

A "Technical Report Type 3," implementation guide, addresses one specific business purpose through the implementation of one or more ASC X12 Transaction Sets or CICA Templates. 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 ASC X12 Transaction Set, provided each addresses a different business process supported by the transaction. The ASC X12 subcommittee responsible for the specific ASC X12 Transaction Set develops, or delegates development of this report.

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.

4.4 Technical Report Type 4 – Clarification Paper

A "Technical Report Type 4," clarification paper, relates to one or more ASC X12 work products and may also relate to external standards or activities. A clarification paper addresses the intent of the subcommittee that developed and maintains the referenced work product. It includes guidance on usage of work product(s) or specific elements of work product(s). Information and instruction contained in a TR4 is clarification for implementers. Any document that meets the definition of any other work product (e.g. an ASC X12 Standard or Technical Report Type 2- Reference Model) must be developed as such and may not be developed as a TR4.

4.5 Technical Report Development

Technical Reports Type 1, 2, 3 and 4 (Technical Report) are processed in identical fashion according to the procedures in this chapter.

4.5.1 Subcommittee Options during Development

At any point, the developing subcommittee may choose to do one of the following:

A. Withdraw the PP.

B. Request to have the PP reassigned to another subcommittee.

To do either of the above:
1. The subcommittee requests that the Administration add discussion of the PP to the next PRB agenda.
2. PRB may either accept withdrawal of the PP or reassign responsibility for the PP to another subcommittee.

4.5.2 Subcommittee Develops Draft Technical Report

The project delegate during development requests that Administration enters the proposed Technical Report into the applicable repository.

Administration is responsible for the formatting of the Technical Report and ensuring it is entered into the applicable repository. This becomes the official version of the proposed Technical Report. The developing subcommittee works with Administration thereafter to maintain a current draft of the proposed Technical Report in the applicable repository. It is the project delegate's responsibility to ensure that the Technical Report is correctly represented in the applicable repository at all times. The objective is to be able to produce a current copy of the proposed Technical Report from the applicable repository at any time, but at the point of subcommittee approval for TAS final review, the proposed Technical Report must be generated from the applicable repository.

The developing subcommittee:
1. Develops the proposed Technical Report.
2. Votes to approve the proposed Technical Report and proceed to TAS for review.

Administration:
1. Adds the Technical Report to TAS agenda.
2. Generates the proposed Technical Report from the applicable repository for TAS review.
3. Schedules the item on the TAS agenda.

4.5.3 TAS Reviews Draft Technical Report

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.
Proceed to Section 4.5.6 - Approval to Publish

B. Recommends revisions or provides other comments to the developing subcommittee.

Administration:

1. Attaches TAS recommendations (if any) to the proposed Technical Report.

4.5.4 Subcommittee Resolves TAS Recommendations

The developing subcommittee considers the TAS technical recommendations and takes one of the following actions:

A. Decides to revise the proposed Technical Report.
Revert to Section 4.5.2 - Subcommittee Develops Draft Technical Report

B. Votes by at least a two-thirds majority to not revise the proposed Technical Report as recommended by TAS and reports this decision to TAS.

The developing subcommittee:

1. Updates the TF

2. Forwards it to Administration.

4.5.5 TAS Resolves TAS/Subcommittee Disagreement

Following subcommittee rejection of TAS findings, TAS conducts another vote on the proposed Technical Report(s).

If TAS does not confirm the original recommendation with a three-quarters approval vote (in other words, if TAS accepts the Subcommittee's proposed Technical Report(s) as presented), then the proposed Technical Report(s) move to PRB for approval to publish.
Proceed to Section 4.5.6 - Approval to Publish

If TAS confirms the original recommendation with a three-quarters approval vote, an adjudication panel composed of only subcommittee TAS representatives present at that time, decides by a simple majority vote, excluding abstentions, whether to sustain or overrule the TAS position. This panel's decision is final.

Based on the results of the TAS adjudication panel vote, one of the following occurs:

A. Sustain TAS position. Upon majority approval, the proposed Technical Report is remanded again to the subcommittee. The subcommittee either accepts TAS' recommendation or withdraws the work.

Revert to Section 4.5.4 - Subcommittee Resolves TAS Recommendations

B. Overrule TAS position. Absent majority approval, the subcommittee decision is accepted and the proposed Technical Report moves to PRB for approval to publish.

4.5.6 Approval to Publish

Prior to PRB approval to publish the new Technical Report, the developing subcommittee may identify and recommend non-substantive correction(s). TAS determines whether corrections are non-substantive.

4.5.6.1 Subcommittee Publication Review

The developing subcommittee evaluates the Technical Report(s) and takes one of the following actions:

A. No errors identified.

Proceed to Section 4.5.6.4 - PRB Approves New Technical Report for Publication

B. Identify correctable error(s); approve suggested correction(s).

Proceed to Section 4.5.6.2 - TAS Error Correction Review

C. Identify un-correctable error; approve return to development.

Revert to Section 4.5.2 - Subcommittee Develops Draft Technical Report

4.5.6.2 TAS Error Correction Review

TAS evaluates the correction and takes one of the following actions:

A. Accepts the proposed correction

Proceed to Section 4.5.6.4 - PRB Approves New Technical Report for Publication

B. Disapproves the correction on the basis that it does not fit the definition of a correction

Revert to Section 4.5.4 - Subcommittee Resolves TAS Recommendations

C. Recommends an alternate correction

Proceed to Section 4.5.6.3 - Subcommittee Review of TAS Alternate Recommendation

D. Agrees uncorrectable error is present

Proceed to Section 4.5.2 - Subcommittee Develops Draft Technical Report

4.5.6.3 Subcommittee Review of TAS Alternate Recommendation

The developing subcommittee reviews the TAS suggestion for an alternate correction and takes one of the following actions:

A. Accepts the correction as proposed by TAS
Proceed to Section 4.5.6.4 - PRB Approves New Technical Report for Publication

B. Sends to PRB without correction (reject the TAS recommendation)
Proceed to Section 4.5.6.4 - PRB Approves New Technical Report for Publication

C. Decides to make additional changes to the proposed ASC X12 Technical Report
Proceed to Section 4.5.2 - Subcommittee Develops Draft Technical Report

4.5.6.4 PRB Approves New Technical Report for Publication

The PRB:

1. Prepares the PRB agenda

2. Coordinates with the project delegate for distribution of the proposed Technical Report (marked with corrections, if any) in the PRB review package

The PRB reviews the proposed Technical Report to ensure documentation is complete and applicable procedures were followed. If there is disagreement on any procedural aspect of the proposed Technical Report, the objecting party must convey this objection to the PRB prior to resolution. The PRB does one of the following:

A. Approves the proposed Technical Report for publication.
    1. PRB assigns a publication date and version control ID, as appropriate.
    2. Administration publishes the Technical Report.

B. Disapproves the proposed Technical Report for publication based on procedural issues. PRB determines where in the process the procedural violation occurred and instructs the developing subcommittee to revert to that step in the process and resolve the procedural issue(s).

Administration notifies the project delegate(s) of the decision.

4.5.7 Correction of Errors after Publication

The procedure for correction of errors after publication is provided to allow timely repair of publication errors of new technical reports before implementations have occurred. It is not intended to be an alternative to the normal maintenance process.

After a new Technical Report has been approved for publication, the developing subcommittee reviews the Technical Report as published to ensure the Technical Report is accurate, and takes one of the following actions prior to the end of the PRB cutoff time at the next ASC X12 meeting.

Administration:
1. Determines that errata are appropriate and corrects the publication by issuing errata to all purchasers of the publication.
2. Determines that errata are not appropriate, and issues notice to the subcommittee to submit a work request to make the corrections.

4.6 Technical Report Revision

The responsible subcommittee may initiate revisions to a Technical Report at any time. Technical Reports are static after publication. If revisions are in order, a new Technical Report is developed.

ASC X12 welcomes suggestions and comments related to any technical report from any party. Such input may be submitted using the Change Request System.

4.6.1 Technical Report Data Maintenance Request Processing

A request to revise an existing ASC X12 Technical Report may be submitted by anyone (an ASC X12 member or non-member) by completing a work request or change request form. When a work request or change request is received, the following ensues:

Administration:
1. Ensures the form is clear and complete
2. Contacts the submitter if modifications are needed
3. Assigns a DM number (work request is hereafter called a DM)
4. Enters the DM into the Registry
5. Distributes the DM to TAS for action

4.6.2 TAS Processes Data Maintenance Request

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 Technical Report for which TAS is responsible, but TAS retains disposition authority. A DM may be referred to more than one subcommittee; 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 work product for which another Subcommittee has maintenance responsibility are referred to that subcommittee for decision prior to TAS action on the item.

TAS reviews the DM to ensure it conforms to the applicable ASC X12 guidance and control documents. Based on that review, TAS chooses one of the following:

A. Approves the DM as submitted.

B. Approves the DM with modifications.

C. Refers the DM to one or more SCs for further action.

D. Defers the DM to the next TAS meeting.

E. Accepts withdrawal of the DM from the submitter and closes the DM.

F. Disapproves the DM with reasons and closes the DM.

Based on TAS' decision, the following actions ensue:

1. Administration notifies the submitter of the disposition of the DM.

2. Administration records the status of the DM in the Registry.

3. Administration forwards referred DMs to the assigned SCs.

4.6.3 Subcommittee Reviews Data Maintenance Request

The subcommittee reviews and votes on the DM and chooses one of the following:

A. Approved as written

B. Approved with modification

C. Disapproves

D. Defers

E. No interest

The project delegate updates the TF to reflect the subcommittee decision.

4.6.4 TAS Review of Subcommittee Input on DM

TAS provides a technical review to ensure that the proposed DM conforms to the applicable ASC X12 guidance and control documents. TAS takes one of the following actions:

A. Approves and forwards the documents to the PRB with a recommendation to publish
Proceed to Section 4.6.7 - PRB Approves for Publication

B. Refers the DM back to the subcommittee for additional revisions
Proceed to Section 4.6.5 - Subcommittee Resolves TAS Recommendations

C. Finds non-conformance with ASC X12 guidance and control documents disapproves the DM with reasons and closes the DM

D. Records the rejection of responsibility by subcommittee
Revert to Section 4.6.2 - TAS Processes Data Maintenance Request

Based on TAS' decision, the following actions ensue:

1. Administration prepares the DM Status Report which lists DMs approved by TAS.

2. Administration adds the DM status Report to the next PRB agenda.

3. Administration distributes the DM Status Report to PRB.

4.6.5 Subcommittee Resolves TAS Recommendations

If TAS does not approve the proposed ASC X12 Technical Report, the developing subcommittee(s) consider the TAS findings and choose one of the following:

A. Accepts the TAS findings and revises the Technical Report.
Proceed to Section 4.6.7 - PRB Approves for Publication

B. Rejects one or more TAS recommendations with a two-thirds approval vote, excluding abstentions. Justification of why the control or guidance document has not been violated is required if the subcommittee opts to reject the TAS finding.
Proceed to Section 4.6.6 - TAS Resolves TAS/Subcommittee Disagreement

C. Decides to make additional changes to the proposed Technical Report.
Revert to Section 4.6.3 - Subcommittee Reviews Data Maintenance Request

4.6.6 TAS Resolves TAS/Subcommittee Disagreement

Following subcommittee rejection of TAS findings, TAS conducts another vote on the proposed Technical Report.

If TAS does not confirm the original recommendation with a three-quarters approval vote (in other words, if TAS accepts the Subcommittee's proposed Technical Report as presented), then the proposed Technical Report moves to PRB for publication.
Proceed to Section 4.6.7 - PRB Approves for Publication

If TAS confirms the original recommendation with a three-quarters approval vote, an adjudication panel composed of only subcommittee TAS representatives present at that time, decides by a simple majority vote, excluding abstentions, whether to sustain or overrule the TAS position. This panel's decision is final.

Based on the results of the TAS adjudication panel vote, one of the following occurs:

A. Sustain TAS position. Upon majority approval, the proposed Technical Report is remanded again to the subcommittee. The subcommittee either accepts TAS' recommendation or withdraws the work.
Revert to Section 4.6.5 - Subcommittee Resolves TAS Recommendations

B. Overrule TAS position. Absent majority approval, the subcommittee decision is accepted and the proposed Technical Report moves to PRB for publication.

Administration places the Technical Report on the PRB agenda.

4.6.7 PRB Approves for Publication

The PRB:

1. Prepares the PRB agenda.
2. Coordinates with the project delegate for distribution of the proposed Technical Report (marked with corrections, if any) in the PRB review package:

The PRB reviews the proposed Technical Report to ensure documentation is complete and applicable procedures were followed. If there is disagreement on any procedural aspect of the proposed Technical Report, the objecting party must convey this objection to the PRB prior to resolution. The PRB does one of the following:

    A. Approves the proposed Technical Report for publication.
       1. PRB assigns a publication date and version control ID, as appropriate.
       2. Administration publishes the Technical Report.
    B. Disapproves the proposed Technical Report for publication based on procedural issues. PRB determines where in the process the procedural violation occurred and instructs the developing subcommittee to revert to that step in the process and resolve the procedural issue(s).

Administration notifies the project delegate(s) of the decision.

4.6.8 Correction of Errors After Publication

The procedure for correction of errors after publication is provided to allow timely repair of publication errors of new technical reports before implementations have occurred. It is not intended to be an alternative to the normal maintenance process.

After a new Technical Report has been approved for publication, the developing subcommittee reviews the Technical Report as published to ensure the Technical Report is accurate, and takes one of the following actions prior to the end of the PRB cutoff time at the next ASC X12 meeting.

Administration:
1. Determines that errata are appropriate and corrects the publication by issuing errata to all purchasers of the publication.
2. Determines that errata are not appropriate, and issues notice to the subcommittee to submit a WR to make the corrections.

4.7 Technical Report Reaffirmation

If a Technical Report has not been revised within five years after its publication, it must be reaffirmed or withdrawn. Reaffirmation is conducted as directed by OPM.

4.8 Technical Report Withdrawal

At any time, the responsible subcommittee may decide that a Technical Report should be withdrawn. The responsible subcommittee prepares and approves the Withdrawal Form (WF). The PRB adds a notice of withdrawal to the ASC X12 Status Report.

5 Development of Interpretations

5.1 Introduction

An interpretation is an official clarification of a work product developed in response to a submitted inquiry. An interpretation enhances understanding of the work product and facilitates proper use of the work product. Interpretations are available to the public through an online tool. There are two types of Interpretations, formal and informal. Formal interpretations are approved at several organizational levels and result in a formal response from the Chair of ASC X12. Informal interpretations are subject to a subcommittee approval process and result in a response from the subcommittee.

Interpretations are not the appropriate vehicle for requesting a revision to a work product. If the response to an inquiry results in a need to revise a work product, see Section 1.3 - Finding the Right Procedure.

5.2 Initiating an Interpretation

A. A submitter (member or non-member) may request an interpretation at any time via the interpretation portal on the ASC X12 website. The submitter elects to receive a formal or informal response. The request must include the title, reference number(s), version/release, and publication date of the work product in question, a clear description what requires interpretation and a business case to explain the need for the interpretation.

B. Administration reviews the interpretation request, if the request is not clear or is incomplete Administration contacts the submitter for additional information and updates the portal.

C. Administration verifies the request is not a duplicate of a previous request. If it is a duplicate, contacts the submitter with the prior interpretation and confirms the response satisfies their request. If the submitter is satisfied, Administration cancels the request. If the submitter is not satisfied, Administration clarifies the request to eliminate the appearance of duplication and updates the portal.

D. Administration assigns and forwards the request to the subcommittee with maintenance responsibility for the standard in question, consulting with PRB to make the subcommittee determination if necessary. The assigned subcommittee is the developing subcommittee for this request.

E. Administration notifies PRB of the request, allowing other interested subcommittees to opt-in on the response. The developing subcommittee processes the request.

F. Subcommittees who opt-in on the response designate a project delegate to oversee the procedural steps within that subcommittee.

G. Administration monitors completion of the rest of the process steps to ensure timely completion of each step. If at any point in the process timeliness criteria are not met, Administration notifies PRB, which steps in to determine how to meet the timeliness criteria.

H. The submitter can withdraw the request at any time during the development process, at such time Administration updates the portal and notifies the subcommittee(s) and PRB that the request has been withdrawn.

5.3 Subcommittee Processes the Request

The developing subcommittee designates a project delegate to oversee the procedural steps. At any time during the development process, the project delegate may work with Administration to contact the submitter for additional information or clarification. The project delegate takes on of the following actions:

A. If the request is for an informal interpretation
Proceed to Section 5.3.1 - Informal Interpretation

B. If the request is for a formal interpretation
Proceed to Section 5.3.2 - Formal Interpretation

5.3.1 Informal Interpretation

1. The developing subcommittee develops and approves a response.

2. The project delegate distributes the response to the project delegates for all other subcommittees who opted in.

3. The opt-in subcommittees review and vote on the response.

    A. If all opt-in subcommittees approve the response, it is the final response to the request.

    B. If any opt-in subcommittees disapprove the response, the project delegates for each subcommittee attempt to resolve the issue(s) causing the disapproval.

    C. If the subcommittees cannot all approve a response after negotiations, the interpretation is reclassified as a formal interpretation.
    Proceed to Section 5.3.2 - Formal Interpretation

4. Administration updates the status and assignment in the portal.

5. Administration notifies the submitter that the response is posted and available for review in the portal.

5.3.2 Formal Interpretation

5.3.2.1 Subcommittee Develops the Interpretation

1. The developing subcommittee drafts the proposed interpretation within six months.
2. Administration assists with data entry, copyediting, styling and reporting status to PRB on a regular basis.
3. The project delegate coordinates with all other project delegates assigned to the request during the development cycle.
4. The subcommittee approves the proposed interpretation for TAS review.
5. The project delegate notifies Administration the subcommittee has approved the proposed interpretation.
6. Administration updates the status and assignment in the portal.
7. Administration notifies TAS that the proposed response is ready for TAS review.

5.3.2.2 TAS Evaluates Proposed Interpretation

TAS evaluates the proposed interpretation and either approves the interpretation or disapproves it.

5.3.2.2.1 TAS Approves the Proposed Interpretation

1. TAS recommends the proposed interpretation move to PRB for approval to publish.
2. Administration updates the status and assignment in the portal.
3. Administration forwards the interpretation to PRB for review.

5.3.2.2.2 TAS Disapproves the Proposed Interpretation

1. TAS returns the interpretation to the assigned subcommittee with an explanation of noted issues or other comments and a recommendation.
2. Administration updates the status and assignment in the portal.
3. Administration notifies the project delegate of the decision. The project delegate follows Section 5.3.2.3 - Subcommittee Considers TAS Recommendation.

5.3.2.3 Subcommittee Considers TAS Recommendation

The developing subcommittee considers the TAS recommendations and votes to proceed to PRB Review without accepting the TAS recommendations or to revise the proposed interpretation.

5.3.2.3.1 Subcommittee Approves the Proposed Interpretation

1. The subcommittee votes to proceed to the PRB without revision.
2. The project delegate reports the decision to TAS or the subcommittee's TAS representative.
3. Administration updates the status and assignment in the portal.
4. Administration forwards the interpretation to PRB for review.

5.3.2.3.2 Subcommittee Disapproves the Proposed Interpretation

1. The subcommittee decides to revise the proposed interpretation.
2. Administration updates the status and assignment in the portal.
3. The project delegate follows Section 5.3.2 - Formal Interpretation.

5.3.2.4 PRB Verifies Due Process

PRB votes to approve or disapprove issuance of the interpretation. An objecting party may convey any procedural objections to PRB for consideration.

5.3.2.4.1 PRB Disapproves Issuance

1. PRB disapproves issuance of the proposed interpretation for procedural reasons
2. PRB directs the developing subcommittee project delegate to return to the process appropriate process step to resolve the objections.
3. Administration updates the status and assignment in the portal.

5.3.2.4.2 PRB Approves Issuance

1. PRB approves issuance of the interpretation.
2. Administration updates the status and assignment in the portal.
3. Administration prepares a formal response and sends it to the submitter.

6 Glossary of Terms and Acronyms

A clear understanding of the vocabulary of this document is critical. This glossary is included to assist with consistent use and interpretation of terms.

Accredited Standards Committee X12 (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.

American National Standard (ANS)

A standard that has been approved by the ASC X12 Committee and the ANSI Board of Standards Review.

American National Standards Institute (ANSI)

A private non-profit organization formed in 1918 to oversee the development of voluntary consensus standards for products, services, processes, systems, and personnel in the United States. The organization also coordinates U.S. standards with international standards so that American products can be used worldwide.

ANSI does not develop standards itself, instead it accredits standards developed by other standards organizations, government agencies, consumer groups, and companies. ANSI also accredits organizations that carry out product or personnel certification in accordance with requirements defined in international standards.

ASC X12 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.

Ballot

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

CICA Template

The representation of a particular CICA standard.

Code Maintenance Request

A request for a new code, revision to an existing code description, or termination of an existing code.

Commenter
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 those with directly and materially affected interests. Substantial agreement means 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 to resolve objections.

Context Inspired Component Architecture (CICA)
ASC X12 framework for developing re usable syntax neutral components that can be expressed in XML or any future standards format.

Correction
A modification to remedy an error or mistake introduced during publication. A correction can result in a substantive change. Errors and omission in the original design are excluded from this category.

Data Maintenance (DM)
The ASC X12 process for evaluating, determining, designing, implementing, approving, tracking and recording a request to revise an existing work product, as appropriate.

Design Rules and Guidelines
Published documents intended to assist standards developers in establishing uniformity in design and maintenance efforts.

DM Number
A tracking number assigned to each Work Request.

Document Control Number
A tracking number assigned to all ASC X12 documents and correspondence before distribution.

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 CICA Templates.

Interpretation

An official clarification related to implementation of an ASC X12 product developed by the responsible subcommittee in response to a question.

Member (ASC X12)

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. ASC X12 has defined member categories of Organizational, Individual, Emeritus, and Reciprocal.

Member (Insurance Plan)

A subscriber or dependent who has been enrolled for coverage under an insurance plan.

Open Forum

A session sponsored by a subcommittee to discuss comments and disapprovals received during balloting or to gather information prior to or during development.

Organization and Procedures Manual (OPM)

ASC X12's primary policies and procedures document. ANSI accreditation is based on the OPM.

Procedures Review Board (PRB)

The group that ensures due process is followed during development and maintenance of ASC X12 products.

Project Delegate

A designated subcommittee member assigned primary responsibility for communications related to the development or maintenance of an ASC X12 product .

Project Initiation Notification System (PINS)

An ANSI system used to notify ANSI and other standards developers of the initiation of an ASC X12 project expected to lead to approval, revision or cancellation of an ASC X12 ANS.

Project Proposal (PP)

The written description of a proposed development activity for a new ASC X12 product.

Request for Interpretation (RFI)

A request for a clarification related to use an ASC X12 work product. An interpretation enhances understanding of the work product and facilitates proper use of the work product.

Standing Document (SD)

Policies and procedures developed under the aegis of the ASC X12 Steering Committee or Board of Directors. SDs may define procedures and policies, list recommendations, and provide other information related to ASC X12 products and activities.

Standing Document 2 (SD2)

Operations Manual; Development and Maintenance Procedures for ASC X12 Work Products.

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 (SC)

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 Groups

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.

Substantive Change

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

Task Group (TG)

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.

Technical Assessment Subcommittee (TAS) (X12J)

The subcommittee that develops ASC X12 design rules and guidelines and verifies that ASCX12 Standards and associated products adhere to approved design rules, guidelines and syntax rules.

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.

Technical Report

A Technical Report may be developed to provide guidance to standards users and software developers regarding usage of ASC X12 products. They are intended to encourage uniform implementations. Technical reports do not require approval by the full ASC X12 Committee, but approval by one or more subcommittees is required.

Technical Report Type 1 (TR1)

TR1 is a tutorial that addresses one particular X12 standard, and includes guidance on usage of the standard and is intended to encourage uniform implementation.

Technical Report Type 2 (TR2)

TR2 is a reference model that addresses a number of X12 standards as they relate to each other or to one or more business applications.

Technical Report Type 3 (TR3)

It addresses one specific business purpose through the implementation of one or more X12 transaction sets and is used to facilitate uniform implementations within an industry.

Technical Report Type 4 (TR4)

A TR4 is a clarification paper that relates to one or more ASC X12 work products and may also relate to external standards or activities.

Transmittal Form (TF)

A tracking form used to record the dates of the review and approval levels achieved for a particular development project.

Work Groups

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.

Work Request (WR)

Form used for requesting revision to an existing ASC X12 product or for requesting development of a new ASC X12 product.