

1 **CHAPTER 6: PROCEDURES FOR THE DEVELOPMENT AND MAINTENANCE OF X12**
2 **XML BUSINESS DOCUMENT STANDARDS**

3 **SECTION 1 INTRODUCTION**

4
5 This document defines procedures for the development, maintenance, reaffirmation and withdrawal of X12
6 eXtensible Markup Language (XML) Business Document Standards. (Herein referred to as Standards).

7
8 XML Business Document Standards may be developed within X12 to allow for the electronic interchange of data.
9 Standards to be developed include, but are not limited to, Templates, Modules, Assemblies, Blocks, and
10 Components as defined by the X12-XML Design Rules. These Standards may address any data exchange
11 between entities for which a Standard is beneficial. Approval of X12 XML Business Document Standards is
12 achieved by gaining the consensus of the X12 membership by using either a review period or a formal ballot.

13
14 For the purposes of this document, a meeting can be held either via electronic means or in person. Notification
15 of the meeting must be provided in compliance with the Organization and Procedures Manual (OPM).

16
17 These procedures are designed to encourage the rapid development of high quality XML Business Document
18 Standards for immediate public use. The procedures outlined below allows for any person or entity to request
19 either new development of or maintenance to an existing XML Business Document Standard. The procedures
20 include review by one or more technical committees, a member review period or member ballot period, approval
21 by a procedures group, and publication.

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23
24 **SECTION 2 INITIATION OF WORK**

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26 **2.1 Submitter Request**

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

32
33 The submitter prepares the DM Request Form and submits the form to the Secretariat for processing. The
34 Secretariat ensures the form is clear and complete, contacts the submitter if modifications are needed, assigns a
35 DM number and distributes the form to the Technical Assessment Subcommittee (TAS) for review and
36 appropriate action.

37
38 **2.2 TAS Approval and Assignment**

39
40 TAS shall assign the DM to a developing SC for analysis and completion.

41
42 Any TAS representative from a lettered SC may request that a DM be referred to their SC for review and
43 development. In addition, TAS may refer any DM to a SC when it believes that the DM requires additional
44 review, clarification or a new Standard may need to be developed.

45
46 **2.3 SC Project Proposal Development**

47
48 When the DM is referred to a developing SC, the SC reviews the DM and decides if a new Standard needs to be
49 developed. If a new Standard needs to be developed, the SC creates and approves a project proposal (PP) and
50 submits it to the PRB for review. If modification to an existing Standard is needed, proceed to Section 4.1.

52 A SC may independently initiate development of a new Standard. In this case a PP shall be developed,
53 approved and submitted to the Procedures Review Board (PRB) for review.
54

55

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

57

58 New development encompasses the creation of new X12-XML Business Document Templates as defined by the
59 X12-XML Design Rules. Development of other structures defined by the X12-XML Design Rules is considered
60 maintenance because templates ultimately control the representation of the business process.
61

62

63 **3.1 PRB Approval of the PP**

64

65 The PRB reviews the PP from the submitting SC to ensure that it is complete and to allow any other SC to
66 request joint development.
67

68

69 The PRB either approves the PP or refers it back to the originating SC for clarification.
70

71

72 **3.2 SC New Standard Development**

73

74 Once the PP is approved, the SC develops and approves the proposed Standard in accordance with the current
75 X12-XML Design Rules. The SC designates a point of contact (POC), and an alternate if possible, for the new
76 development effort.
77

78

79 With joint development, all developing SC's must agree on a single proposed Standard. If the SC's cannot agree
80 on a single technical solution, TAS will decide among alternatives. The TAS solution will be used going forward.
81

82

83 Once the SC or SC's agree on a solution, the new Standard is submitted to TAS for their review and comment.
84

85

86 **3.3 TAS Review**

87

88 When development is complete, TAS provides a technical review to ensure that the proposed Standard
89 conforms to the X12-XML Design Rules. TAS shall do one of the following:
90

91

92 • Approve and forward the documents to the PRB with a recommendation for X12 Member Review.
93

94

95 • Approve and forward the documents to the PRB with a recommendation for X12 Member Ballot.
96

97

98 • Choose among the alternatives provided by the SC's.
99

100

101 • Disapprove for specific technical reasons based only on the most current approved X12-XML Design Rules.
102

103

104 **3.3.1 Approve for Member Review**

105

106 TAS may approve the proposed Standard and forward it to PRB with a recommendation for Member Review.
107

108 This requires a formal vote of the TAS membership present at the meeting. The approval of seventy-five
109 percent of the members voting on a motion to approve the proposed Standard for Member Review, not counting
110 abstentions, is required to move the proposed Standard to the Member Review process. If seventy-five percent
111 is achieved, proceed to Section 3.5. If the motion fails to capture seventy-five percent, proceed to Section 3.3.2.
112

113

114

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116

105 **3.3.2 Approve for Member Ballot**
106

107 TAS may approve the proposed Standard and forward it to PRB with a recommendation for Member Ballot. This
108 requires a formal vote of the TAS membership present at the meeting. The approval of a majority of the TAS
109 members voting on a motion to approve the proposed Standard for Member Ballot, not counting abstentions, is
110 required to move the proposed Standard to the Ballot process. If the motion captures a majority proceed to
111 Section 3.6. If the motion fails to capture either seventy-five percent or a majority vote for the motion, excluding
112 abstentions, proceed to Section 3.3.4.
113

114 **3.3.3 Choosing Among Alternatives**
115

116 If, during joint development, SC's cannot agree on a single solution, TAS shall decide which of the solutions shall
117 go forward. Once TAS decides which solution shall go forward, proceed to Section 3.3.1 to determine if it should
118 be sent out for Member Ballot or Member Review.
119

120
121 **3.3.4 Disapproval of the New Standard**
122

123 TAS may disapprove a proposed Standard for technical reasons only. Technical reasons are clear violations of
124 the X12-XML Design Rules. The specific Design Rule violated must be included in the minutes as the reason for
125 disapproval. Any suggested change that would bring the proposed Standard into compliance should also be
126 reflected in the minutes. If the submitter provided an email address, a copy of the minutes with the disapproval
127 information should be forwarded to the submitter for review. Any TAS representative from a lettered SC may
128 request that the proposed Standard be referred to their SC for additional work. Voting to disapprove the
129 proposed Standard follows the voting requirements as outlined in the TAS Charter.
130

131 **3.4 Subcommittee Actions**
132

133 If TAS does not accept the proposed Standard, the developing SC considers the TAS technical
134 recommendations. The developing SC shall do one of the following:
135

- 136 • Accept the TAS recommendations and forward the updated documents to PRB with a recommendation for
137 X12 Member Review or Ballot.
- 138
- 139 • Reject one or more TAS recommendations by a two-thirds majority vote.
140
- 141 • Make additional changes, which are forwarded to TAS for technical review.
142

143 If the developing SC has voted to reject a TAS recommendation, TAS may confirm its original recommendation
144 by a three-quarters majority vote. In this case, an adjudication panel composed of only the lettered SC
145 representatives to TAS present at that time decides by a simple majority vote whether to sustain the TAS
146 position. This panel's decision is final. All of the above three actions require the DM to revert to Section 3.2.
147

148 **3.5 PRB Authorization for X12 Member Review**
149

150 Following resolution of TAS review the PRB shall do one of the following:
151

- 152 • Approve the proposed Standard for X12 Member Review. Proceed to Section 3.7.
153
- 154 • Disapprove it due to stated procedural violations. The process reverts to where the procedural problem
155 occurred.
156

157 **3.6 PRB Authorization for X12 Member Ballot**
158

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

160

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

162

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

165

166

167 **3.7 X12 Member Review**

168

169 Any X12 voting member may provide comments on the proposed Standard using the X12 web site. The review
170 period is open for 21 days from the first posting. The secretariat is responsible for making a good faith effort to
171 notify the X12 membership via email that the proposed Standard has been posted for review. If there are no
172 negative comments, the Standard proceeds to PRB for approval to publish, proceed to Section 5.

173

174 **3.7.1 Resolving Member Comments**

175

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

177

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

183

184 **3.7.2 Five Percent Rule – Eligible X12 Members**

185

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

189 **3.7.3 Approving Revisions**

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

195

196 **3.8 X12 MEMBER BALLOT**

197

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

202

203 **3.8.1 Resolving Member Ballot Comments**

204

205 If there are disapprovals or negative comments, the developing SC holds an open forum to discuss and attempt
206 to resolve all disapprovals and negative comments. An X12 member may register a vote change by preparing

207 an X12 Ballot Vote Change Form, which may be submitted contingent upon the submission of a mutually agreed
208 DM.

209
210 The developing SC prepares and approves a ballot comment response letter reflecting its intended resolution for
211 each disapproval and negative comment received from the ballot. There is no requirement that the SC make
212 changes to the proposed Standard based on negative comments from the membership. However, the SC must
213 be responsive to the member who commented.

214 215 **3.8.2 Five Percent Rule – Actual Voters**

216
217 If fewer than five percent of the X12 members who cast a vote on the issue, not counting abstentions, represent
218 unresolved disapprovals, the developing SC may submit the proposed Standard to the PRB for approval to
219 publish, Proceed to Section 5.

220 221 **3.8.3 Approving Revisions**

222
223 The developing SC may approve revisions to the proposed Standard. These revisions may be in addition to
224 those necessary to resolve ballot comments. TAS reviews any revisions. Resolution of any TAS
225 recommendations follows the process described in Section 3.2. Following resolution of TAS recommendations, if
226 these revisions are substantive according to the definition in the OPM, a new Member Ballot is required and the
227 process reverts to the beginning of Section 3.8.

228 229 230 **SECTION 4 MAINTENANCE OF EXISTING STANDARDS**

231
232 A request to modify an existing Standard may be submitted by anyone (an X12 member, an X12 SC, or by
233 someone who is not an X12 member) by completing a DM Request form. The submitter shall provide a
234 comprehensive description of and business case for modification of the existing Standard so that the appropriate
235 X12 review groups can evaluate the DM.

236
237 The submitter prepares the DM Request Form and submits the form to the Secretariat for processing. The
238 Secretariat ensures the form is clear and complete, contacting the submitter if needed, assigns a DM number
239 and distributes the form to the Technical Assessment Subcommittee (TAS) for review and appropriate action.

240 241 **4.1 TAS Approval and Assignment**

242
243 TAS shall do one of the following:

- 244
- 245 • Approve and forward the documents to PRB with a recommendation for X12 Member Review.
- 246
- 247 • Assign the DM to a developing SC for analysis and completion. If joint development is approved, one SC will
- 248 be designated as the principal developing SC.
- 249
- 250 • Disapprove the DM for specific technical reasons based only on the most current approved X12-XML Design
- 251 Rules.
- 252

253 254 **4.1.1 Approval of the DM for Member Review**

255
256 TAS may approve the DM request and forward it to PRB with a recommendation for X12 Member Review. This
257 requires a formal vote of the TAS membership present at the meeting. The approval of a majority of the
258 members voting on a motion to approve the DM for Member Review, not counting abstentions, is required to
259 move the DM to the Member Review process.

260
261

262 **4.1.2 Referring the DM to a Subcommittee**
263

264 Any TAS representative from a lettered SC may request that a DM be referred to their SC for review and
265 analysis. In addition, TAS may refer any DM to a SC when it believes that the DM requires additional review or
266 clarification. Proceed to Section 4.2.
267

268 **4.1.3 Disapproval of the DM**
269

270 TAS may disapprove a DM for technical reasons only. Technical reasons are clear violations of the X12-XML
271 Design Rules. The specific Design Rule violated must be included in the minutes as the reason for disapproval.
272 Any suggested change that would bring the DM into compliance should also be reflected in the minutes. If the
273 submitter provided an email address, a copy of the minutes with the disapproval information should be forwarded
274 to the submitter for review. Any TAS representative from a lettered SC may request that the DM be referred to
275 their SC for additional work. Voting to disapprove the DM follows the voting requirements as outlined in the TAS
276 Charter.
277

278 **4.2 Subcommittee Review of a DM**
279

280 After a DM is referred to a SC, the SC reviews the DM, makes revisions as required and sends the revisions
281 back to TAS for their review.
282

283 **4.3 TAS Review**
284

285 When SC review and analysis is complete, TAS provides a technical review to ensure that the proposed DM
286 conforms to the X12-XML Design Rules. TAS may:
287

- 288 • Approve and forward the documents to the PRB with a recommendation for X12 Member Review.
- 289
- 290 • Refer the DM back to the SC to for additional revisions based only on violations of X12-XML Design Rules.
291 Revert to Section 4.2.
292

293

294 **4.4 PRB Authorization for X12 Member Review**
295

296 Following resolution of TAS review the PRB shall do one of the following:
297

- 298 • Approve the proposed Standard for X12 Member Review. Proceed to Section 4.5.
- 299
- 300 • Disapprove it due to stated procedural violations. The process reverts to where the procedural problem
301 occurred.
302

303

304 **4.5 X12 Member Review**
305

306 Any X12 voting member may provide comments on the proposed modification to an existing Standard using the
307 DISA (X12) web site. The review period is open for 21 days from the first posting. The secretariat is responsible
308 for making a good faith effort to notify the X12 membership via email that the proposed modification has been
309 posted for review. If there are no negative comments, the modification to the existing Standard proceeds to PRB
310 for approval to publish, proceed to Section 5.
311

312 **4.5.1 Resolving Member Comments**
313

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

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

319

320 **4.5.2 Five Percent Rule – Eligible X12 Members**

321

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

325

326 **SECTION 5 PUBLICATION**

327

328 **5.1 Correction of Errors Prior to Publication**

329

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

335

336 **5.2 PRB Approval to Publish**

337

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

340

- 341 • Approve the proposed data maintenance for publication and place it in maintenance status and assign a
342 responsible SC, usually the principal developing SC.
- 343
- 344 • Disapprove the proposed data maintenance for publication based on procedural issues. Process reverts to
345 the point where the procedural issue arose.
- 346
- 347 • Defer making a decision for one meeting if documentation is incomplete.
- 348

349

349 **5.3 Correction of Errors After Publication**

350

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

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

355
356 The responsible SC may initiate the process to reaffirm the Standard at any point but the process must be
357 completed within five years after it was last modified. The process used is the same as the development
358 process, starting at Section 3.

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

360
361 At any time the responsible SC may decide or the PRB may direct that a Standard be withdrawn. The
362 responsible SC prepares and approves the Withdrawal Form (WF). The PRB reviews the withdrawal request
363 and approves the withdrawal for X12 member ballot, unless there is a procedural problem. The X12 member
364 balloting process is the same as for the development process, starting at Section 3. It is assumed that the only
365 valid reason to disapprove withdrawal is that the voter still has a requirement to use the Standard in its current
366 form. If the withdrawal is approved, ANSI is notified and the Standard is no longer available for distribution to
367 users.