ASC Administrative Policy and Procedure

ASC01

Accredited Standards Committee Operating Manual
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Accredited Standards Committee Operating Manual

1 Introduction

The Accredited Standards Committee (ASC) Steering Committee (Steering) is responsible for this policy and associated procedures. X12 members agree to adhere to X12’s policies and procedures as a condition of membership. Non-member participants afforded specific collaboration privileges agree to adhere to X12’s policies and procedures as a condition of those privileges. Any party may submit a revision suggestion at x12.org/maintenance-requests.

2 Authority

X12 maintains corporate rules which define overall corporate policies and procedures. X12 committees are required to establish a committee operating manual and are generally permitted to establish other committee-level rules that apply only to that committee. In some cases, corporate policy is intended to stand-alone and lower-level rules are prohibited. A committee’s subordinate groups may be required or permitted to establish group-specific rules that supplement the committee rules except when lower-level rules are prohibited. All supplemental rules shall provide more detail or be more restrictive than the higher-level governance. Supplemental rules are not permitted to duplicate, contradict, countermand, supersede, or overrule any higher-level rules. No accommodation is intended or provided to permit a committee or subordinate rule to override a higher-level rule with a more permissive requirement. In the case of any inconsistency between the corporate, committee, and subordinate group rules, the higher-level governance shall always prevail.

X12’s primary organizational policies are established in the X12 Bylaws (CAP01) and supplemented by other corporate governance. This operating manual supplements the corporate governance with committee-specific rules. Unless otherwise specified herein, these committee rules may be augmented by other committee rules or supplemented by subordinate group rules as described above.

3 Background

The structure of the Accredited Standards Committee (ASC), a standing committee of X12, is defined herein along with specific operating policies and procedures which apply to activities undertaken by the committee. The X12 Bylaws (CAP01) sets forth the corporate level policies and procedures that apply to all X12 committees. For a complete understanding of policy and procedure requirements, review the corresponding sections in CAP01 and ASC01.

Unless otherwise clarified, the terms committee, stakeholder, constituent, and subcommittee used herein refer specifically to the ASC committee, ASC stakeholders, ASC constituents, and ASC subcommittees. The term X12 standards herein references X12 standards maintained by the ASC.
4 ASC Mission
The ASC purpose is articulated in the *ASC Mission (CAP18)*.

5 Committee Ballots
Detailed ballot and voting requirements are set forth in the *X12 Bylaws (CAP01)*. *X12 Membership (CAP04)* provides additional detail about committee stakeholders.

5.1 Approving Motions for Committee Ballot
Discussion regarding a potential committee ballot can be initiated by Steering or any ASC constituent. Committee ballots must be authorized by Steering, either directly or via the maintenance procedure, the code maintenance procedure, or another ASC procedure.

5.1.1 Steering Initiated Motions
Any Steering constituent may move for a committee ballot on any matter.

5.1.2 Constituent Initiated Motions
Any ASC constituent may request a motion be considered for committee ballot by submitting the request in writing to ascchair@x12.org. The ASC chair shall bring the request to Steering for consideration.

5.1.3 Petition Motions
An ASC constituent who submitted a request in accordance with 5.1.2 Constituent Initiated Motions and had that request denied, may circulate a petition for a committee ballot on the same motion. To be submitted for consideration, the petition must be endorsed in writing by a number of ASC stakeholders equal to quorum. A quorum shall be established at the time of the petition’s submission. The petition and all written endorsements must be submitted in writing to ascchair@x12.org within 6 months of Steering’s original decision to deny the request. Upon timely submission and confirmation of the required endorsements, Steering must authorize a committee ballot on the motion.

5.2 Method of Voting
To ensure that every constituent has an equal opportunity to cast an informed vote, all committee ballots will be conducted via electronic vote. Following ballot confirmation, ballot results are available to X12 member representatives in the members area on X12.org.
5.3 Ballot Evaluation

In accordance with the X12 Bylaws (CAP01) all ballots are decided by a simple majority of the voters who cast a ballot, excluding abstentions, unless a super-majority determination is required in a corporate, committee, or subordinate group policy.

The following super-majority requirements apply to committee ballots.

5.3.1 Two-Thirds Approval

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

1. Revising the ASC Operating Manual (ASC01)
2. Revising the ASC Standards Development Manual (ASC02)
3. Revising the American National Standards (ANS) Processing Manual (ASC03)
4. Approving or revising the purpose and scope of an ASC subcommittee
5. Removing the ASC chair or vice-chair from office

5.3.2 Ninety Percent Approval

The following matters require approval by at least ninety percent of the ballots cast, excluding abstentions:

1. Creating or revising an EDI Standard
2. Creating or revising an ASC Guideline
3. Any ballot related to an ANS

6 Interim Meeting Notice

Meeting notice requirements are set forth in X12 Meetings (CAP06). The committee hereby supplements the corporate policy with the more restrictive committee policy described below.

An officer may call a one-time interim meeting with at least 24-hour notice. However, the meeting shall be canceled upon a constituent’s written objection to the abbreviated notice. Such an objection must be emailed to the officer calling the interim meeting, any associated subcommittee chair, and the ASC chair at least 2 hours prior to the scheduled start of the meeting.

7 ASC Chair and Vice-Chair

The ASC chair and vice-chair shall be the officers of the ASC. The officers shall be elected in accordance with the requirements set forth in X12 Committee Officer Elections (CAP09) and ASC Officer Elections (ASC04). Term limits shall not apply.
7.1 Principal Duties of the ASC Chair
The principal duties of the ASC chair are as follows:
1. Presiding at ASC meetings - the chair has the authority to determine the order of business and to establish rules for the conduct of the meeting to the extent that such rules do not conflict with organizational policies
2. Presiding at Steering meetings - the chair has the authority to determine the order of business and to establish rules for the conduct of the meeting to the extent that such rules do not conflict with organizational policies
3. Communicating ASC official positions and representing the ASC externally
4. Ensuring timely progress on ASC’s Standards development work
5. Determining the appropriate voting method for each Steering voting item
6. Extending the voting period for ballots if quorum has not been met and the chair expects extending the voting period will result in quorum being met
7. Selecting nominating committee members
8. Nominating a replacement to fill an ASC vice-chair vacancy
9. Appointing PRB at-large members
10. Appointing conveners in the absence of an elected or appointed chair
11. Representing the ASC on the X12 Board
12. Other duties as required to oversee the ASC’s activities

7.2 Principal Duties of the ASC Vice-Chair
The principal duties of the ASC vice-chair are as follows:
1. Assisting the ASC chair as needed
2. Presiding at meetings in the absence of the ASC chair
3. Assuming the duties of the ASC chair should the position become vacant
4. Communicating ASC official positions and representing the ASC externally in the absence or in lieu of the ASC chair
5. Chairing the PRB

7.3 Filling ASC Chair or Vice-Chair Vacancies
1. ASC Chair Vacancy:
   a. The ASC vice-chair shall assume the position of ASC chair.
   b. If the ASC vice-chair is unable to assume the position, the ASC vice-chair shall form a nominating committee of at least three (3) individuals to select a candidate for the position. Upon an affirmative vote of Steering, the candidate shall assume the ASC chair position for the remainder of the term.
2. ASC Vice-Chair Vacancy:
   a. The ASC chair shall nominate a replacement candidate. Upon an affirmative vote of Steering, the candidate shall assume the vice-chair position for the remainder of the term.
3. Simultaneous ASC Chair and Vice-Chair Vacancies:
   a. The X12 executive director shall convene Steering as necessary.
   b. Steering shall form a nominating committee of at least three individuals to select interim candidates.
   c. Upon an affirmative vote of Steering, the candidates shall assume the positions for the remainder of the term.

8 Steering Committee

8.1 Steering Committee Composition

Steering shall be composed of the following constituents:

- ASC chair (voting)
- ASC vice-chair (voting)
- Chair of each active subcommittee (voting)
- Immediate past ASC chair (limited to a single two-year term) (voting)
- Immediate past ASC vice-chair (limited to a single two-year term) (voting)
- Chair of each Steering task group (non-voting)

All Steering constituents shall have the right to participate in collaboration and offer motions. Voting constituents shall have the right to vote on Steering matters. The preceding notwithstanding, employees of X12 shall not be entitled to voting rights on the Steering Committee in any circumstance. If an X12 employee is serving as a voting Steering constituent, their voting privileges shall be rescinded.

8.2 Steering Committee Responsibilities

Steering responsibilities include:

1. Authorizing committee ballots
2. Planning and coordinating the Standards development work of the ASC
3. Approving revisions to subcommittee policies and procedures that do not require a committee ballot
4. Approving the purpose and scope of Steering task groups
5. Approving revisions to Steering task group policies and procedures
6. Approving individuals to fill Steering officer vacancies
7. Approving termination, deactivation, or reactivation of subcommittees
8. Performing other duties as assigned by the ASC chair, determined by the Steering constituents, or identified in committee procedures

8.3 Steering Committee Voting

Detailed ballot and voting requirements are set forth in the X12 Bylaws (CAP01).
8.4 **Steering Committee Meetings**

8.4.1 **Meeting Scheduling**

The frequency and timing of meetings shall be determined by the ASC chair in accordance with the *X12 Bylaws (CAP01)* and *X12 Meetings (CAP06)*.

8.4.2 **Quorum**

The quorum for Steering shall be 50% of the Steering constituents, including the non-voting constituents.

8.4.3 **Designating a Substitute**

In the absence of a subcommittee or steering task group chair, the vice-chair of the group shall have authority to represent the subcommittee or steering task group in Steering matters. If the group has no vice-chair, the subcommittee or steering task group chair shall designate a substitute from among the group’s constituents to represent the subcommittee or steering task group in Steering matters in their absence; however, the designee shall not be a Steering constituent in their own right and may not also simultaneously represent another Steering constituent as a designee.

If a subcommittee is not represented at two consecutive meetings, the ASC chair shall have the authority to designate a subcommittee constituent who shall consistently represent the subcommittee in Steering matters in the subcommittee chair’s absence.

When acting as a designee, a substitute shall have the same privileges and responsibilities as the Steering constituent.

9 **Subcommittees**

The ASC chair establishes subcommittees to support long-term ASC activities. Steering shall define the purpose and scope of each subcommittee, subject to approval by committee ballot. Other actions related to the subcommittee’s status are under the authority of Steering. Each subcommittee shall have one or two officer positions, including a chair. Each subcommittee shall operate under a Constitution approved by Steering. Governance related to ASC subcommittee operations, including policy related to officers, responsibilities, elections, and status are set forth in *ASC Subcommittees and Other Subordinate Groups (ASC05)*.
10 Task Groups and Work Groups

The ASC chair establishes and disbands committee task groups as necessary to support ASC activities. A subcommittee chair establishes and disbands task groups and work groups as necessary to support their subcommittee’s activities. In accordance with the X12 Bylaws (CAP01), each task or work group shall be established as either a standing group (long-term) or an ad hoc group (short-term). Ad hoc groups shall be established as advisory. ASC’s standing subordinate groups are generally established as advisory; however, standing subordinate groups may be established as an authority group with the consent of the ASC chair. Each group shall be established with a defined purpose and scope. The establishing chair may subsequently revise the purpose and scope of the group if necessary. Task groups and work groups shall not otherwise expand, narrow, or alter their purpose and scope. All Ad hoc groups shall be established with a specific period of performance and a clear statement of its expected deliverable(s).

Governance related to task and work group operations, including policy related to officers, responsibilities, elections, and status are set forth in ASC Subcommittees and Other Subordinate Groups (ASC05).

10.1 Standing Groups

Standing task groups may operate under their establishing group’s governance or may supplement that governance as described below. All task group governance shall conform to the requirements of ASC Subcommittees and Other Subordinate Groups (ASC05). Steering task groups shall operate under a Charter approved by Steering. Subcommittee task groups may operate under a Charter specific to the task group or under the subcommittee’s Constitution. Work groups shall not establish separate governance.

Each standing task or work group shall have one to three officer positions. Most standing task or work groups shall have one chair or two co-chairs. Based on an express approval from the establishing group’s chair, a subordinate group with many constituents or extensive work product responsibilities may establish one additional co-chair position. A standing task or work group shall not have a vice-chair. All subordinate group officers shall be appointed by the establishing group’s chair unless the establishing group’s constitution explicitly calls for subordinate group officers to be elected.

10.2 Ad Hoc Groups

Ad hoc task and work groups shall operate under their establishing group’s governance. These groups shall not establish separate governance. Each ad hoc task group or work group shall have a chair. Either a vice-chair position or one co-chair position may be created when the group is established. All ad hoc group officers shall be appointed.
11 Standing Steering Task Groups
Steering has established two standing task groups which shall operate in accordance with Section 10 Task Groups and Work Groups and as described herein.

11.1 Procedures Review Board
The Procedures Review Board (PRB) shall have authority over all procedural matters conducted under the oversight of Steering and specific responsibilities related to due process, procedural oversight and American National Standards (ANS). The PRB purpose and scope are articulated in PRB Purpose and Scope (ASC20). PRB operates under group-specific policies detailed in the PRB Charter (ASC21).

11.1.1 PRB Constituents
PRB shall consist of the following constituents:
1. The ASC vice-chair
2. One representative from each subcommittee
3. Up to three at-large representatives appointed by the ASC Chair for a two-year term, with no term limits

Alternates
A subcommittee may designate an official alternate for its PRB representative. The alternate shall be entitled to all privileges and responsibilities of the PRB constituent in the constituent’s absence but shall not otherwise be entitled to PRB rights and privileges. At-large representatives are not entitled to an alternate.

If a subcommittee is not represented at two consecutive meetings, the ASC chair and PRB chair shall jointly designate a subcommittee constituent who shall replace the subcommittee’s absent alternate and serve as the subcommittee’s alternate to consistently represent the subcommittee in PRB in the primary representative’s absence.

Each PRB constituent is entitled to one vote in PRB ballots and has the right to speak in meetings, participate in collaboration activities, propose and second motions, and hold office.

11.1.2 PRB Officers
The ASC vice-chair shall serve as the PRB chair. If the vice-chair position is vacant, the ASC chair shall serve as the PRB chair.
At the discretion of the PRB chair, PRB may elect a vice-chair from among its constituents. The term of office for the vice-chair shall be two years, with no term limit, provided the vice-chair remains a PRB constituent for the entire term of office. If at any time during the term of office the vice-chair ceases to be a PRB constituent, they shall be considered to have resigned from the vice-chair position.

11.1.3 PRB Meetings
The frequency and timing of meetings shall be at the discretion of the PRB chair; however, at least one PRB meeting shall be held in conjunction with each Standing Meeting.

11.1.4 Quorum
A quorum for PRB shall be 50% of the PRB constituents.

11.1.5 PRB Voting
P&P may conduct voting during any meeting or via electronic ballot issued by the P&P chair. The PRB chair will define the voting period for each electronic ballot; however, the voting period shall not be less than seven (7) calendar days.

11.2 Policies and Procedures Task Group
The Policies and Procedures Task Group (P&P) is established as a Steering advisory task group responsible for oversight of the policies and procedures of the ASC, including all subcommittee and task group-level governance. The full P&P purpose and scope statement is articulated in P&P Purpose and Scope (ASC30). P&P operates under group-specific policies detailed in the P&P Charter (ASC31).

11.2.1 P&P Constituents
P&P constituent requirements, privileges, and responsibilities are detailed in the P&P Charter (ASC31).

11.2.2 P&P Chair
The P&P chair shall be appointed by and serve at the pleasure of the ASC chair. The ASC chair shall confirm the appointment every two years, with no limit to the length of service. If the P&P chair position is vacant, the ASC chair shall convene P&P or appoint a staff convener.
11.2.3 P&P Meetings
The frequency and timing of meetings shall be at the discretion of the P&P chair; however, at least one P&P meeting shall be held in conjunction with each Standing Meeting.

11.2.4 Quorum
A quorum for P&P shall be 50% of the constituents.

11.2.5 P&P Voting
P&P may conduct voting during any meeting or via electronic ballot issued by the P&P chair. The P&P chair will define the voting period for each electronic ballot; however, the voting period shall not be less than seven (7) calendar days.

12 ASC Work Products
ASC develops and maintains several types of work products including, but not limited to, the EDI Standard, guidelines, interpretations, and technical reports. See the Products information on x12.org for a current list of work products and their descriptions.

The processes by which these products are developed, revised, and withdrawn are set forth in the Standards Development Manual(ASC02). However, the committee recognizes the value of exploring and validating significant or major process change proposals with a pilot prior to revising ASC02. Therefore, Steering shall have the authority to define a pilot process to be followed instead of the corresponding ASC02 process for a specific period as a proof of concept. Pilots are not intended to run permanently, therefore, ASC02 should be updated to include the pilot process as soon as possible after the pilot is deemed successful. Steering may also establish other boundaries for a pilot, such as limiting it to a subset of the products.

13 Liaisons
X12 has established a specific role within the organization for individuals who communicate and coordinate with other organizations with a material interest in X12 products or activities. The associated policies, including the process by which liaisons are appointed and overseen, are set forth in X12 Liaisons (CAP17).

14 Parliamentary Authority
Any matter not covered by the suite of corporate policies and procedures, identified with the prefix CAP, or the suite of ASC policies and procedures, identified with the prefix ASC, will be determined based upon Roberts Rules of Order (latest edition). PRB shall be consulted and shall rule on any parliamentary issue, including but not limited to those covered by rules of order and standing rules.
15 Ballot Confirmation Policy

Related to ballots concerning committee operations or the EDI Standard development procedures (including but not limited to ASC01 and ASC02), Steering may act to invalidate an approved ballot if it is determined the revisions will or may have a substantial, unintended, negative consequence. Such an invalidation must occur within 14 calendar days of the close of the ballot.

16 Terminology

To ensure consistent use of terms, definitions, and acronyms across X12 products and activities, X12 maintains the Wordbook, a comprehensive corporate glossary. The included terms are either proprietary to X12, cite definitions published by another authority, or represent common terms and definitions that are relevant to X12’s work. The terms and definitions defined in the Wordbook shall be used in X12 work products when applicable, without modification or revision. The Wordbook can be referenced online at wordbook.x12.org.

17 Document History

New versions of this document are effective on the approval date.

<table>
<thead>
<tr>
<th>Approved</th>
<th>Description</th>
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<tbody>
<tr>
<td>03/16/21</td>
<td>V6: Biennial Review – Revisions to section 10 to align with related corporate governance and other clarifying revisions based on constituent feedback.</td>
</tr>
<tr>
<td>3/11/19</td>
<td>V5: Biennial review - Revised to move the ANSI ANS related instructions to ASC03, to move subcommittee and subordinate group policies and procedures to ASC05, to eliminate duplication with corporate policies and procedures, to specifically identify the ASC, to address revision requests, and to otherwise simplify and clarify.</td>
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<tr>
<td>11/20/15</td>
<td>V4: Biennial review and revisions.</td>
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<tr>
<td>2/20/14</td>
<td>V3: Revisions approved by the membership.</td>
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<tr>
<td>8/13/12</td>
<td>V2: Revisions approved by the membership.</td>
</tr>
<tr>
<td>4/21/11</td>
<td>V1: Significant revisions to OPM and SD2 to synchronize the documents, increase consistency, and reflect organizational changes.</td>
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Note

Earlier versions of the OPM, including versions from February 2008 and June 2005, were balloted under the previous secretariat and balloting details are not available. All previous versions are now designated as historical.