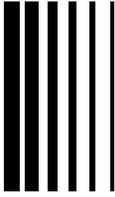
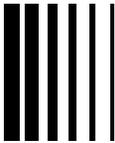


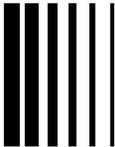
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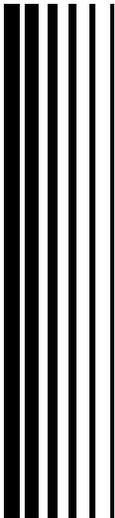
**DEFENSE INFORMATION SYSTEMS AGENCY  
JOINT INTEROPERABILITY AND ENGINEERING  
ORGANIZATION**



**DEPARTMENT OF DEFENSE  
ELECTRONIC COMMERCE/  
ELECTRONIC DATA INTERCHANGE  
(EC/EDI)**



**STANDARDS  
CONFIGURATION MANAGEMENT  
PROCEDURES MANUAL**



*Draft  
December 1997*

**FOREWORD**

The Defense Information Systems Agency (DISA), the Executive Agent (EA) for Information Technology (IT) Standards, has developed two documents that present the procedures for Electronic Commerce/Electronic Data Interchange (EC/EDI) Standards in the Department of Defense (DOD).

The first document, the "DOD Information Technology Standards Management Plan (ITSMP) for Electronic Data Interchange (EDI)", covers the organization involved in EC/EDI standards work.

The second document, the "DOD EC/EDI Standards Configuration Management Procedures Manual," provides detailed procedures for developing, coordinating, and maintaining EC/EDI Standards and Implementation Conventions (ICs).

These documents have been coordinated within the DOD via the Electronic Data Interchange Standards Management Committee (EDISMC) as described in the ITSMP.

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## INTRODUCTION

### **PURPOSE.**

This manual provides users with the descriptions and requirements of the DOD EC/EDI Standards configuration management (CM) process. Chapter One presents an overview of the DOD configuration management process. Chapter Two provides details of the serial and parallel processes currently being used in the development and coordination of Implementation Conventions (ICs) by the DOD and Federal components. Chapter Three presents the policies and procedures for the management of DOD participation in external standards bodies.

### **SCOPE.**

Standards configuration management includes the identification of business requirements, development, coordination, and maintenance of DOD EC/EDI Standards and ICs. The specific standards and ICs may change over time, but the process remains the same.

### **AUTHORITY.**

The Defense Information Systems Agency (DISA) Center For Standards (CFS) was given the authority for the Standards CM Process by the Assistant Secretary of Defense for Command, Communications and Intelligence (ASD (C3I)), in accordance with DOD Directive 8000.1, "Defense Information Management (IM) Program," October 27, 1992.

**ADDRESS.** Comments should be referred to:

Chair, EDISMC  
DISA Center For Standards  
EC/EDI Standards Branch (Code JEBCD)  
10701 Parkridge Blvd.  
Reston, VA 20191-4357

## CHAPTER 1

### 1.1 DOD CONFIGURATION MANAGEMENT

This chapter presents the objectives, scope and general methodology for governing configuration management activities within the DOD EDISMC for EDI Implementation Conventions (ICs). As described in the DOD Information Technology Standards Management Plan, ICs are the DOD configuration managed items. They are refined from American National Standards Institute (ANSI) Accredited Standards Committee (ASC) X12, United Nations Electronic Data Interchange for Administration Commerce and Transport (UN/EDIFACT) and ANSI ASC Health Level Seven (HL7) standards to meet specific DOD operational requirements.

Within DISA's Center For Standards, the EC/EDI Standards Branch (JEB CD) has responsibility for Configuration Management of EDI standards and ICs. CINC, Service and Agency input is provided via the DOD EDISMC. The procedures defined in this document apply to all DOD components for the development, coordination, and approval of all DOD EDI standards and ICs.

Configuration management ensures that adequate controls, based on best business practices and modern technology, are in place to manage this information as a vital asset. Roles and responsibilities in implementing and managing the process are outlined in succeeding chapters.

### 1.2 OBJECTIVES

The objectives of DOD ICs configuration management (CM) are:

- a. Ensure full compliance with all pertinent Federal Government policies, including the adoption of information syntax standards identified in FIPS PUB 161-2, which requires the use of ASC X12, UN/EDIFACT or ASC HL7 standards in EDI systems;
- b. Adopt the use of Federal ICs (based on approved EDI standards promulgated by recognized National and International EDI standards bodies) whenever and wherever possible;
- c. Create an organized and controlled process that identifies areas where separate DOD ICs are warranted or existing ICs need to be changed, to satisfy a DOD business need which is not met with existing standards and ICs;
- d. Ensure all ICs used by DOD are fully compliant with target EDI standards;
- e. Ensure DOD positions are coordinated with external standards organizations and with other Federal organizations;
- f. Seek commercial and Federal comment before adopting any new or changed ICs.

### 1.3 SCOPE

DOD EDI configuration management (CM) includes all activities associated with the identification, development, coordination, approval, and maintenance of ICs. Also included is IC version control (in hard copy and/or electronic form) such that the integrity of information is protected. In recognition of the importance of data integrity to the acceptance and general use of EDI, version control extends to those IC repositories under the control of the DOD EDI Configuration Manager.

Configuration management for ICs prior to 3040 is not covered by this plan. Configuration Management for ICs from 3040 onward follow the procedures described in this manual.

## **1.4 METHODOLOGY**

This section outlines the general approach (or methodology) followed in the overall DOD EDI CM process. There are steps which involve both DOD and Federal activities. Whether the Serial or Parallel process is used depends on the composition of the Functional Working Groups (FWG) and the IC (i.e. DOD or Federal). The two processes are described in detail within Chapter 2. The ultimate result of the two processes is the issuance of approved Federal ICs to be used by all government, public and private entities.

The serial and parallel processes are comprised of several phases linked together to identify, control, document, report, and audit the maintenance of ICs under the control of DOD. These generic phases are:

- a. DOD Project Proposal Registration
- b. DOD IC Development and Submission
- c. DOD IC Approval
- d. Federal IC Review and Approval
- e. DOD Implementation

The overall configuration management process is shown in Figure 1-1 and described below. When a FWG consists of both DOD and Federal members, and a Federal IC is developed, the parallel process is used. The details of the serial and parallel processes are presented in Chapter 2.

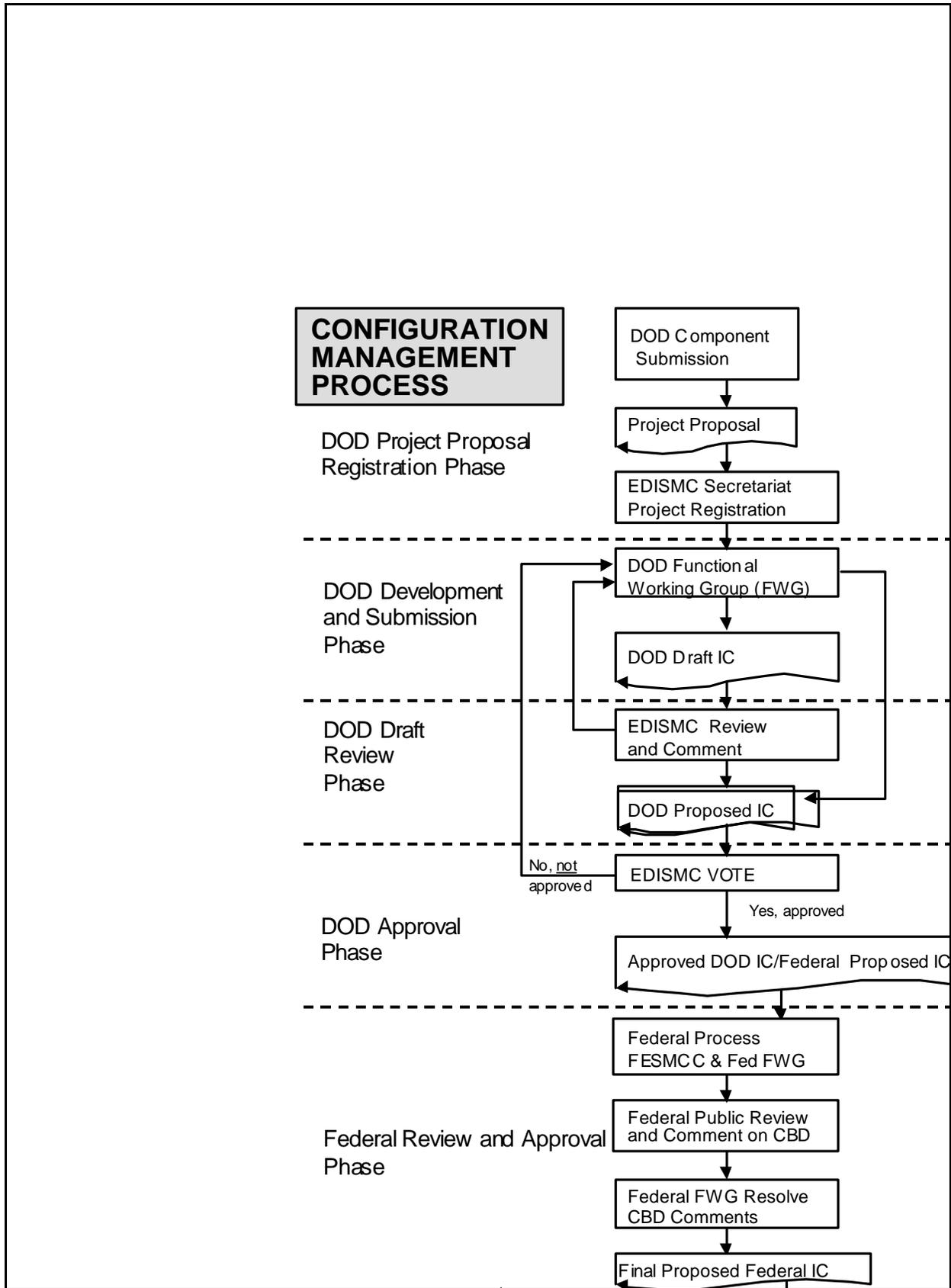


Figure 1-1 Configuration Management Process

### **1.4.1 PROJECT PROPOSAL REGISTRATION PHASE**

The objective of this phase is to register a DOD requirement (business need) using a uniform procedure which allows affected parties to participate in the development. It also allows the EDISMC to assign the development effort to a Primary Functional Working Group (FWG) when the requirement is identified by an organizational component or by an individual EDISMC member.

### **1.4.2 DEVELOPMENT AND SUBMISSION PHASE**

The activities outlined below are the steps that comprise the IC development cycle. The sequence may vary from FWG to FWG, and as circumstances dictate. In some cases, external data maintenance processes may be required as the need arises thus generating an iterative process.

(a) The FWG ensures that each proposal fulfills a valid business need, and that no other IC meets the requirement. The Primary Functional Working Group (FWG) performs its initial development for a new or revised IC. It will also ensure that any development is standards compliant. If revisions to existing standards from external bodies are necessary, Data Maintenance (DMs) or Data Maintenance Requests (DMRs) are prepared and submitted as needed. Chapter 3 outlines the procedures for submission of DMs and DMRs to standards organizations such as ASC X12, ASC HL7 and UN/EDIFACT. The DM(s)/DMR(s) must be agreed to by the standards body and implemented in the appropriate standards before the development of the IC can be completed.

(b) When development is completed, the FWG Chair submits the Draft DOD IC to the EDISMC Secretariat. At this point, custody of the IC shifts from the FWG to the EDISMC Secretariat.

### **1.4.3 DRAFT REVIEW PHASE (EDISMC)**

Draft ICs received by the EDISMC Secretariat from a FWG are reviewed for administrative completeness, and a technical analysis is performed. The technical analysis ensures that the draft IC is compliant with the ASC X12, HL7 or UN/EDIFACT standard.

(a) Once the administrative and technical analysis is completed by the EDISMC Secretariat, the DOD Draft IC is distributed electronically to the EDISMC membership for review and comment. The review and comment period is usually 30 calendar days (15 calendar days for an accelerated review and comment period).

(b) At the conclusion of the review and comment period, the EDISMC Secretariat ensures that each comment requiring action is addressed by the Primary FWG along with the submitter of the comment. Additional development may be required by the FWG. These changes shall be documented in the IC Record of Changes (ROC).

(c) Upon completion of the development effort, the "Draft IC", with the ROC, is upgraded to

"DOD Proposed IC" and progresses to the "DOD Approval Phase".

#### **1.4.4 DOD APPROVAL PHASE**

The objective of this phase is to process the "DOD Proposed IC" into the "DOD Approved Status."

- (a) The EDISMC Secretariat distributes the "DOD Proposed IC" to the EDISMC voting members requesting a vote on whether to approve or disapprove the IC. The voting period is routinely 14 calendar days, but may be shortened to 7 days, if urgency is demonstrated to the EDISMC Chair.
- (b) The EDISMC Secretariat will tally the votes and electronically announce the result based on the votes received. Consensus will be reached when 75% of the EDISMC members voting on the issue agree. Abstentions are not counted in this calculation, but count in meeting the quorum requirement. In order for business to not be impeded by members not available to vote, votes not received by the due date will be counted as abstentions (so that a quorum can be reached and the action item closed).
- (c) If the vote is to approve, the IC becomes an "DOD Approved IC". The "DOD Approved IC" progresses to the Federal Review Phase as a Federal Proposed IC. If disapproved, the reasons for disagreement are forwarded to the FWG. The FWG may request a re-vote once the disagreements are resolved. If changes to the IC were made to resolve the disagreements, the FWG shall submit an updated IC along with the ROC when requesting a re-vote.

### **1.4.5 FEDERAL REVIEW AND APPROVAL PHASE**

The EDISMC approved DOD IC is forwarded to the Federal Electronic Data Interchange Standards Management Coordinating Committee's (FESMCC) Secretariat for entry into the Federal process. At this point, the "DOD Approved IC" becomes a "Proposed Federal IC" and is assigned to a Federal Functional Working Group (FFWG).

- (a) The FFWG has the responsibility to address comments from public review of the Proposed IC. Other interested parties within DOD participate to ensure DOD requirements are met. After the FFWG has completed its review, staffing, and revision of the proposed Federal IC, its availability to the public for downloading, reviewing and commenting is announced in the Commercial Business Daily (CBD).
- (b) After the comments received during the Public Review period are addressed, the FESMCC Chair prepares a voting package for formal vote (30 calendar days) on the Federal Proposed IC.
- (c) EDISMC Secretariat circulates the Federal Voting Package among EDISMC members to establish the DOD voting position. Routine priority requires a DOD 14 calendar day voting period and urgent priority a 7 calendar day period.
- (d) The DOD representative to the FESMCC votes the position of the EDISMC membership in the Federal process.
- (e) The FESMCC Chair tallies the votes of FESMCC voting members. An approval vote establishes the proposed IC as an Approved Federal IC. A non-approval vote with the comments is returned to the FFWG for comments resolution. The FFWG is required to address each comment in a "disapprove" vote before the FESMCC chair officially approves the IC. The approved Federal IC proceeds into the DOD Implementation Phase.

### **1.4.6 DOD IMPLEMENTATION PHASE**

During this phase the federally approved IC becomes the production version and all records are updated accordingly. The "approved Federal IC" is posted in the Federal IC Registry when the Compliance Certification Facility is prepared to perform testing with the VANs, trading partners and Government sites.

## CHAPTER 2

### 2.1 The DOD IC CM PROCESS FLOW

This chapter outlines two systematic approaches employed in the DOD EDI CM process. Depending on the makeup of the FWG and the IC developed (i.e. DOD or Federal), the process is either "Serial" or "Parallel" in nature. Those FWGs that include DOD and Federal representatives are known as "Joint" FWGs. Federal ICs developed by the "Joint" FWGs follow the "Parallel" process. Those that retain only DOD members follow the "Serial" process. Each approach is comprised of several phases linked together to identify, control, document, report, and audit the maintenance of ICs under the control of DOD.

### 2.2 COMPARISON OF SERIAL AND PARALLEL CM PROCESSES

Both the Serial and Parallel processes begin the same way and result in an approved IC. What differentiates them is whether or not all DOD actions are completed before presenting the IC to the Federal EDI Standards Management Coordinating Committee (FESMCC). In the Serial process, DOD phases "a" through "d" are *followed* by similar Federal phases. In the Parallel approach, DOD and Federal phases "c" through "e" *overlap*, thereby reducing the overall time to produce an approved IC.

- |  |
|--|
| <p><b>DOD Phases</b></p> <ul style="list-style-type: none"> <li>a. Registration Phase.</li> <li>b. Development Phase.</li> <li>c. Draft Review Phase.</li> <li>d. Approval and Voting Phase.</li> </ul> <p><b>Federal Review Phases</b></p> <ul style="list-style-type: none"> <li>e. Public Comment via CBD.</li> <li>f. Resolve Comments.</li> <li>g. Federal Vote Package.</li> <li>h. EDISMC vote.(establish DOD position on Federal IC)</li> <li>j. Post as Fed IC Standard</li> <li>k. DOD Implementation Phase</li> </ul> |
|--|

Serial Process

- |   |
|---|
| <p><b>Joint FWG Processes</b></p> <ul style="list-style-type: none"> <li>a. Registration Process</li> <li>b. Development Process</li> <li>c. Federal, DOD, CBD Comment</li> <li>d. Resolution of Issues</li> <li>e. Federal and DOD Voting</li> <li>f. Rename as Fed Approved</li> <li>g. Post on Federal Registry</li> </ul> |
|---|

Parallel Process

## **2.3 DOD IC CONFIGURATION MANAGEMENT PROCEDURES**

The DOD EDISMC has developed the following procedures for EDI Configuration Management.

### **2.3.1 SERIAL IC CM PROCESSING**

An IC will follow the serial CM process when the DOD FWG is composed solely of DOD members. After this group has completed phases "a" through "d", the IC will normally pass into the Federal system. Once approved as a Federal IC, DOD will implement the IC.

In the case that an IC will not be passed to the Federal system, the DOD-specific IC will be approved and implemented without Federal involvement.

Figure 2-1 shows the overall flow of a DOD-initiated IC in the serial processing mode. The details for the events in the serial process are described in subsequent sections.

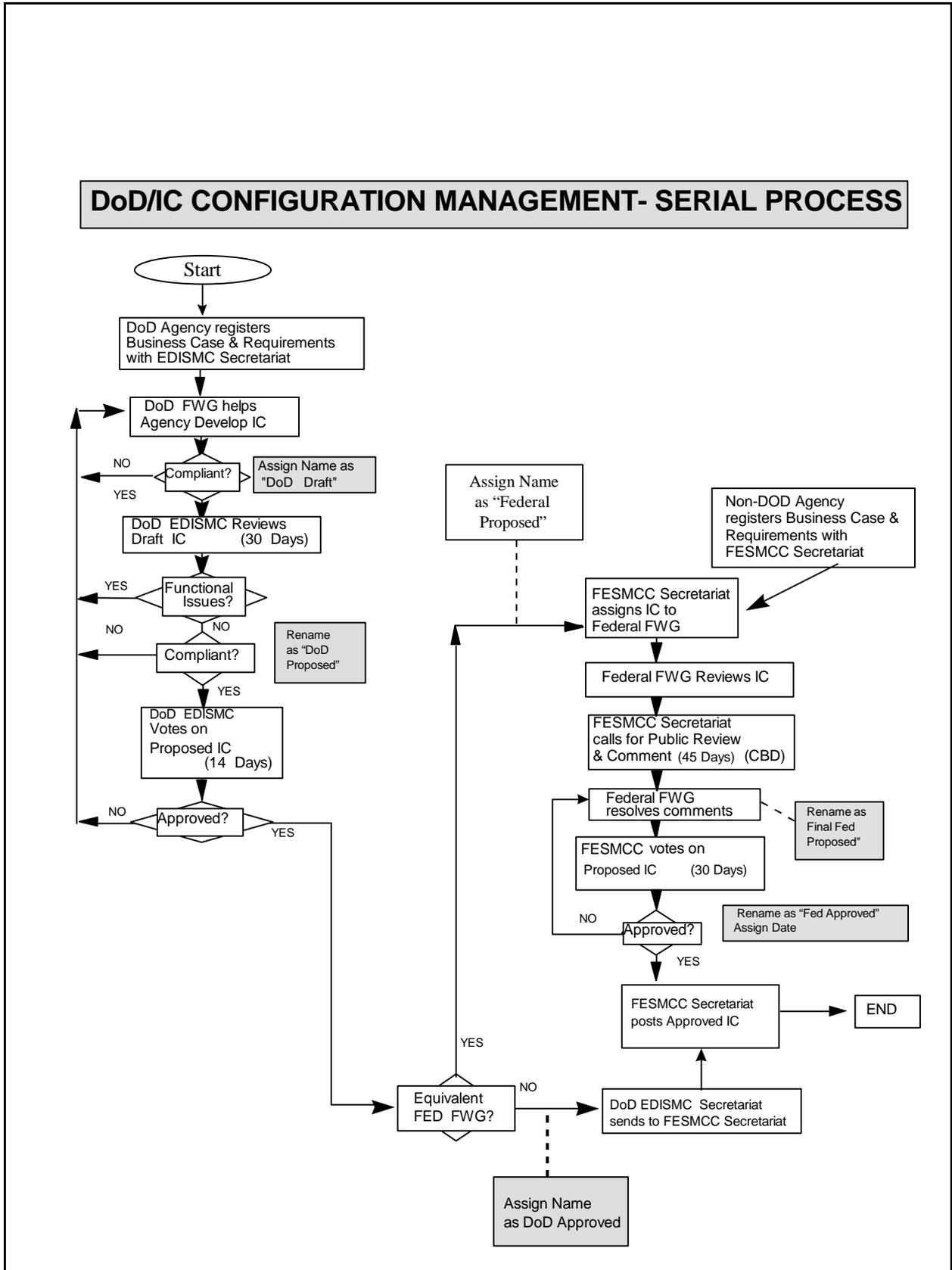


Figure 2-1 DOD IC Configuration Management Serial Process

**2.3.1.1 REGISTRATION PROCEDURES**

Proposals can represent development of new ICs or proposed changes to existing ICs. CM activities associated with proposal submission are governed by two procedures, the Registration Procedure and the Development and Submission Procedure. The Proposal Submission Document is shown in Figure 2-2, and the Registration Procedures are depicted in Table 2-1. The Development and Submission Procedure is depicted in Figures 2-3, and the steps are described in Table 2-2.

**STEP 1: DOD Agency registers Business Case & Requirements with EDISMC Secretariat.**

- (a) A DOD organizational component (or an individual) submits a new business requirement to a FWG or to the EDISMC. This requirement will be documented using a Project Proposal Submission Form (Figure 2-2). The Project Proposal will identify the business requirement and provide a description of the work being proposed.
- (b) A Primary DOD FWG will be identified to assume the responsibility for development. The nomination of the Primary FWG will be made by the Chairs of all DOD FWGs and designated by the EDISMC Secretariat. The Primary FWG will coordinate with other FWGs which have declared joint development or interest in the ICs. The submitting organization or individual will also be informed of the identity of the Primary FWG.
- (c) If the requirement is received by the EDISMC, the Secretariat will register the proposal by assigning a control number and forward the documentation to the Primary FWG for development action. Members of the EDISMC, and other interested parties, will be informed of the project proposal and the Primary FWG by the EDISMC Secretariat.

**DOD EDI PROJECT PROPOSAL SUBMISSION FORM**

**Part 1**

Submitted Date: \_\_\_\_\_ CM Control Number: \_\_\_\_\_  
(EDISMC Secretariat Only)

**Submitter Information:**

Point of Contact (POC): \_\_\_\_\_ Organization: \_\_\_\_\_

POC Address: \_\_\_\_\_  
\_\_\_\_\_

POC Phone Number: (\_\_\_\_) \_\_\_\_\_ Fax Number: (\_\_\_\_) \_\_\_\_\_

Submission represents the position of \_\_\_\_\_

**Part 2**

**References:** Version \_\_\_\_\_ / Release \_\_\_\_\_ / Subrelease/ \_\_\_\_\_ or Workbook  
(date) \_\_\_\_\_

**Part 3**

**Action Code:** \_\_\_\_ (A)dd (C)hange (D)elete

**Proposal Description:**

**Reason for Change:**

**Priority:** \_\_\_\_ (U)rgent (R)outine

**Required by:** \_\_\_\_\_

Figure 2-2 Proposal Submission Document

Table 2-1, Registration Procedures		
Step	Responsibility	Action
1	FWG/Component	Develop business need and prepare Project Proposal.
2	FWG/Component	<p>Prepare DOD EDI Submission Form. See Figure 2-2 Assign priority based on following criteria:</p> <p>Urgent            Code U :assigned when significant requirements such as production or deployment schedules will be adversely affected; to make an interface change which would cause schedule slippage to a program or project and increase its cost; when significant savings will be realized; to make a correction critical to mission success; or to implement a stringent completion date imposed by a higher authority;</p> <p>Routine            Code R : Assign for all other changes not covered above.</p> <p><b>NOTE:</b> Because of the severely shortened coordination and approval time allowed for Emergency and Urgent priority submissions, they are not appropriate for new IC submissions. These priorities are reserved for small changes to existing documents that require immediate correction.</p>
3	FWG/Component	Submit DOD Submission Form to EDISMC Secretariat.
4	EDISMC Sec.	Register the proposal as follows: Assign a Control Number in the following format : "YYYYNNN" where YYYY = calendar year designator, i.e., calendar year 1997 and "NNN" = a sequence number beginning with '001' each year. Enter this number on the Proposal Submission Form and in any tracking systems. If the proposal was submitted by a component, execute steps 5, 6 and 7 below, otherwise execute step 8.
5	EDISMC Sec.	Distribute electronic copies of proposal to Chairs of all DOD FWG and coordinate discussion to identify Primary FWG.
6	Chairs, FWG/EDISMC Sec.	Identify Primary FWG to lead development effort.

7	EDISMC Sec.	Complete registration by updating records with identity of Primary FWG and assign to Primary FWG.
8	EDISMC Sec.	Notify EDISMC members and all interested parties (electronically) that project proposal has been received and identify Primary FWG.

**Table 2-1, Registration Procedures.**

**2.3.1.2 DEVELOPMENT AND SUBMISSION PROCESS**

Figure 2-3 depicts the Development and Submission Phase flow and the procedures are shown in Table 2-2.

**STEP 2. FWG helps Agency develop IC**

The internal development activities depicted below are the steps that comprise the development cycle. The sequence shown below may vary from FWG to FWG and as circumstances dictate. In some cases, for example, Data Maintenance or Data Maintenance Requests may be required as the need arises.

- (a) The Primary FWG will ensure that each proposal fulfills a valid business need, and that no other IC meets the requirement. It will also verify that any development is standards compliant. Data Maintenance (DMs for X12) and Data Maintenance Requests (DMRs for UN/EDIFACT) to the applicable standard are prepared and submitted, as needed.

Chapter 3 outlines the procedures concerning submission of formal Data Maintenance or Data Maintenance requests to external standards organizations, such as ASC X12, ASC HL7, and UN/EDIFACT). The formal requests must be agreed upon by the standards body and implemented in those standards before the development of the DOD IC can be completed. When development is completed a red cover is attached to any printed copies of the "Draft DOD Implementation Convention (IC)". The red cover denotes that this is a DOD Draft IC.

- (b) When development is completed, the FWG Chair submits the Draft DOD IC to the EDISMC Secretariat. At this point, custody of the IC shifts from the FWG to the EDISMC Secretariat.

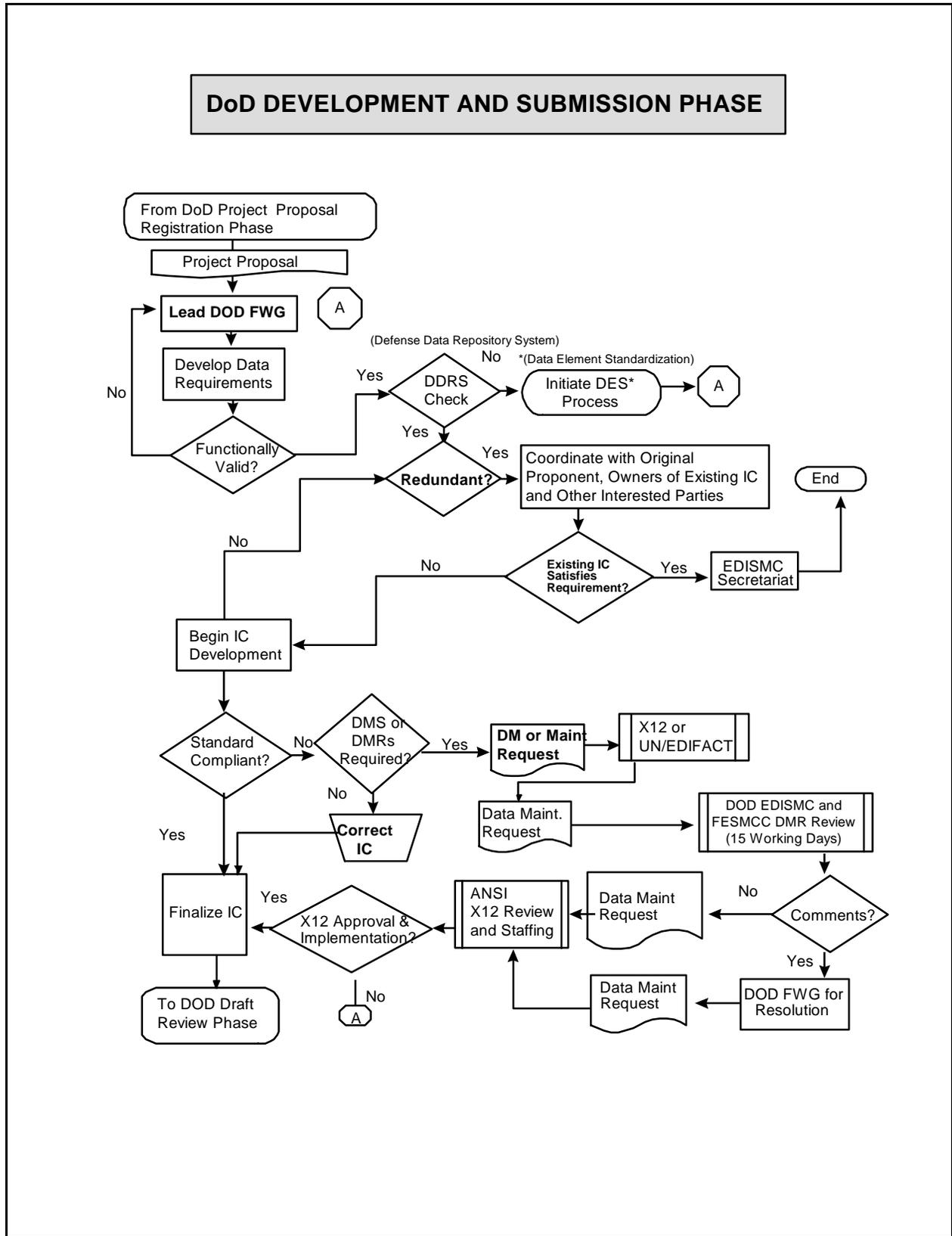


Figure 2-3 Development and Submission

<b>Table 2-2, Development and Submission Procedures</b>		
<b>Step</b>	<b>Responsibility</b>	<b>Action</b>
1	FWG	Develop Data Requirements.
2	FWG	Validate submitter's requirement as functionally valid. If the requirement is invalid, coordinate with the submitter to refine the requirement statement and adjust data requirements. as appropriate.
3	FWG	Ensure the use of data within the proposal complies with the Defense Data Repository System (DDRS). Initiate DES Process as necessary. <b>NOTE:</b> Since the purpose of EDI is to conduct business with enterprises outside the Department of Defense, the national or international standard on which the proposal is based shall take precedence. This process is concurrent with other development activities and will not interrupt or delay development.
4	FWG	Ensure no existing transaction set or IC satisfies the requirement, i.e. that it is not redundant. If another solution is found to meet the expressed requirement, coordinate with the submitter, owners of the existing transaction or IC, and other interested parties to verify that finding and proceed to Step 5 otherwise go to Step 7.
5	FWG	If an existing transaction set or IC satisfies the requirement, inform the EDISMC Secretariat.
6	EDISMC Sec.	Close out proposal and inform EDISMC members of status.
7	FWG	Ensure the proposal does not conflict with known current proposals. If this proposal is found to conflict with another proposal, resolve with the submitters.
8	FWG	If redundancy and/or conflict is identified by the FWG, and cannot be resolved through coordination with the user communities, refer the issue to the EDISMC.
9	FWG	Begin IC Development.
10	FWG	Ensure the proposal is compliant with the target standard. If data maintenance is required, prepare and submit such maintenance to the appropriate standards body via the EDISMC Secretariat. If no data maintenance is required, correct the IC to ensure compliance..
11	EDISMC Sec.	Adjust record accordingly.

<b>Table 2-2, Development and Submission Procedures</b>		
<b>Step</b>	<b>Responsibility</b>	<b>Action</b>
12	FWG	Finalize IC, add Red Cover to printed copies and forward to EDISMC Secretariat.

**Table 2-2, Development and Submission Procedures**

**2.3.1.3 DRAFT IC REVIEW PROCEDURES**

These procedures govern activities associated with the Internal DOD Review process. During this phase the proposal is labeled as a "DOD Draft" IC. The Draft Review Phase is depicted as a flow diagram in Figure 2-4 and procedural steps are described in Table 2-3.

**STEP 3. Compliance Check (Technical Analysis)**

The EDISMC Secretariat performs a technical analysis and reviews the Draft IC for administrative completeness. The Secretariat checks the IC for compliance (The policy for standards compliance is on the next page) with the appropriate standard.

- (a) If compliant, the electronic copy of the IC will be relabelled by the EDISMC as a "DOD Draft" IC. The Secretariat will present the IC to the EDISMC, thereby initiating the "DOD Draft Review" Phase.
  
- (b) If non-compliant, the EDISMC Secretariat maintains custody of the copy of the official IC, but informs the FWG Chair of the action necessary to make the IC compliant. If the FWG agrees to those changes, the Secretariat will make the changes to the IC. If the discrepancies warrant more work by the FWG, the FWG will work to resolve the problem. Once resolved, the FWG Chair will inform the Secretariat of the changes. If those changes differ from what the Secretariat had earlier suggested, then the changes may be made and then the IC checked again for compliance with the standards.

**IC Compliance**

Definition: An Implementation Convention is compliant with a Standard (ASC X12, ASC HL7 or UN/EDIFACT, as appropriate) when it follows that standard's syntax rules and is derived from only those items in the published standard. These rules and items shall not be modified, however, the following exceptions are allowed:

1. Segments, elements, and composites may be marked Not Used if their requirement designators are not Mandatory and the X12 syntax rules are not broken.
2. An identifier (ID) type data element may contain a subset of the X12 code list. The subset must contain at least one code.
3. Used segments, elements, and composites, may be marked Must Use, Recommended, or Not Recommended in addition to their X12 requirement designators.
4. Segments, elements, composites, and codes may contain implementation notes.
5. When there is an exclusion condition which states that only one of a given set of elements may be used, all elements in the set may be marked Used, provided that only one is present for each occurrence of the segment in the data resulting from the IC.

Example using the USD segment:

Syntax Notes: 1 Only one of USD03 or USD04 may be present.

USD03 118 Rate X R 1/9  
 Rate expressed in the standard monetary denomination for the currency specified  
 Use precludes the use of USD04.

USD04 954 Percent X R 1/10  
 Percentage expressed as a decimal  
 Use precludes the use of USD03.

6. The requirement designator for a Floating NTE segment may be changed to Optional when explicitly defining the location(s) of the segment.
7. In an alphanumeric data element, local codes may be used to list the allowable values. The length of the values must be between the X12 or IC min/max lengths and the list must be complete.

Example using local codes:

N406 310 Location Identifier O AN 1/30  
 Code which identifies a specific location  
 When N405 is code AR, cite the two letter APO or FPO identifier:

AA Miami  
 AE New York  
 AP San Francisco

Example using an implementation note without local codes:

N406 310 Location Identifier O AN 1/30  
 Code which identifies a specific location  
 When N405 is code AR, cite the two letter APO or FPO identifier (AA for Miami, AE for New York, AP for San Francisco).

**STEP 4. DOD EDISMC reviews Draft IC (Review and Comment Period).**

Once the Administrative and Technical Review is completed by the EDISMC Secretariat, the DOD Draft IC is distributed to the EDISMC membership for review and comment. The review and comment period is usually 30 calendar days (urgent review is 15 calendar days).

**STEP 5. Resolution of Functional Issues**

The Primary FWG is responsible for addressing each comment with the submitter of the comment. The "Draft IC" will not proceed to the next phase until all comments have been resolved. Additional development may be required by the FWG to address issues that were identified during the review and comment period. These changes will require the same review as the original development.

At the conclusion of the review and comment period, the EDISMC Secretariat reviews all comments and ensures those requiring action have been addressed by the Primary FWG. Once all comments are addressed, the "Draft IC" is upgraded to "DOD Proposed" and it progresses to the next phase, the "DOD Approval Phase".

**Note:** The Primary FWG is responsible for maintaining a record of all comments received and changes made from project inception, and to forward them to the EDISMC Secretariat when each phase closes. These comments become part of the record and allow interested parties to understand the changes to development as it progresses.

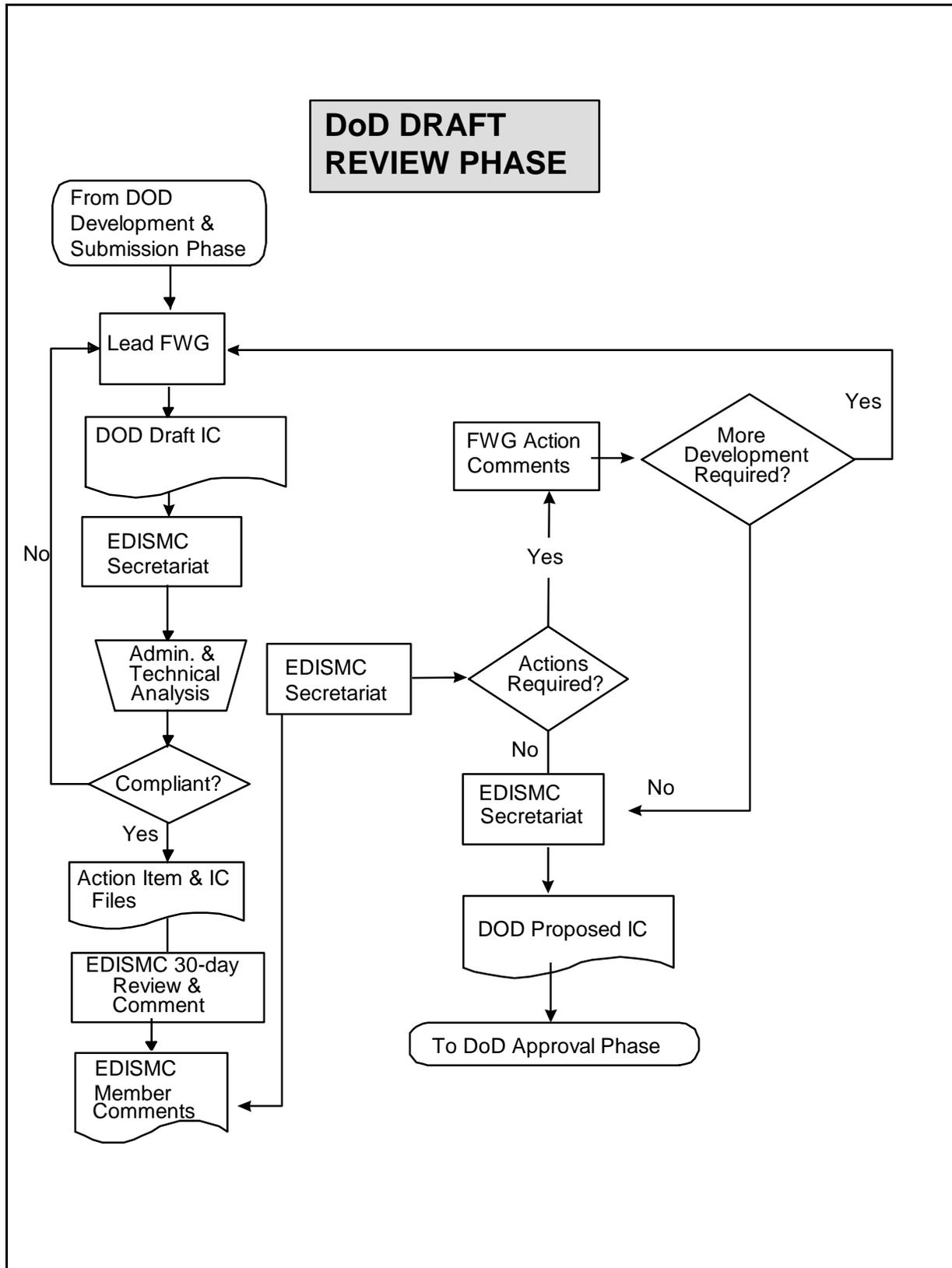


Figure 2-4 DOD Draft Review Phase

<b>Table 2-3, Draft Review Procedures</b>		
<b>Step</b>	<b>Responsibility</b>	<b>Action</b>
1	EDISMC Secretariat	Conduct administrative review to ensure the proposal is complete and understandable.
2	EDISMC Secretariat	If the proposal is not administratively correct, resolve with the FWG and apply corrections.
3	EDISMC Secretariat	Conduct Technical Analysis assuring the Proposal is compliant with the underlying standard and that: a) required data maintenance is prepared, submitted and approved by the appropriate standards organization; or b) the IC is corrected by the FWG.
4	EDISMC Secretariat	Initiate action item on the exploder for an EDISMC 30-day Review and Comment Period.
5	EDISMC Members	Forward comments electronically to the EDISMC Secretariat. <b>Note:</b> EDISMC Members must forward either comments or indicate that the package has been reviewed and no comments are being made.
6	EDISMC Secretariat	The Secretariat will make technical or administrative corrections, coordinating with the FWG and the member submitting the comments. Functional comments will be forwarded to the FWG for action. Normally, action must be taken on all comments within 2 weeks of the end of the comment period.
7	FWG	Resolve comments with all interested and affected parties. If more development is necessary, initiate appropriate activity. Once all issues have been resolved, inform EDISMC Secretariat.
8	EDISMC Secretariat	Confirm that all comments have been addressed.
9	EDISMC Secretariat	Update records indicating transition from a "DOD Draft IC" to a "DOD Proposed IC" and apply "Yellow Cover" to printed copies accordingly.

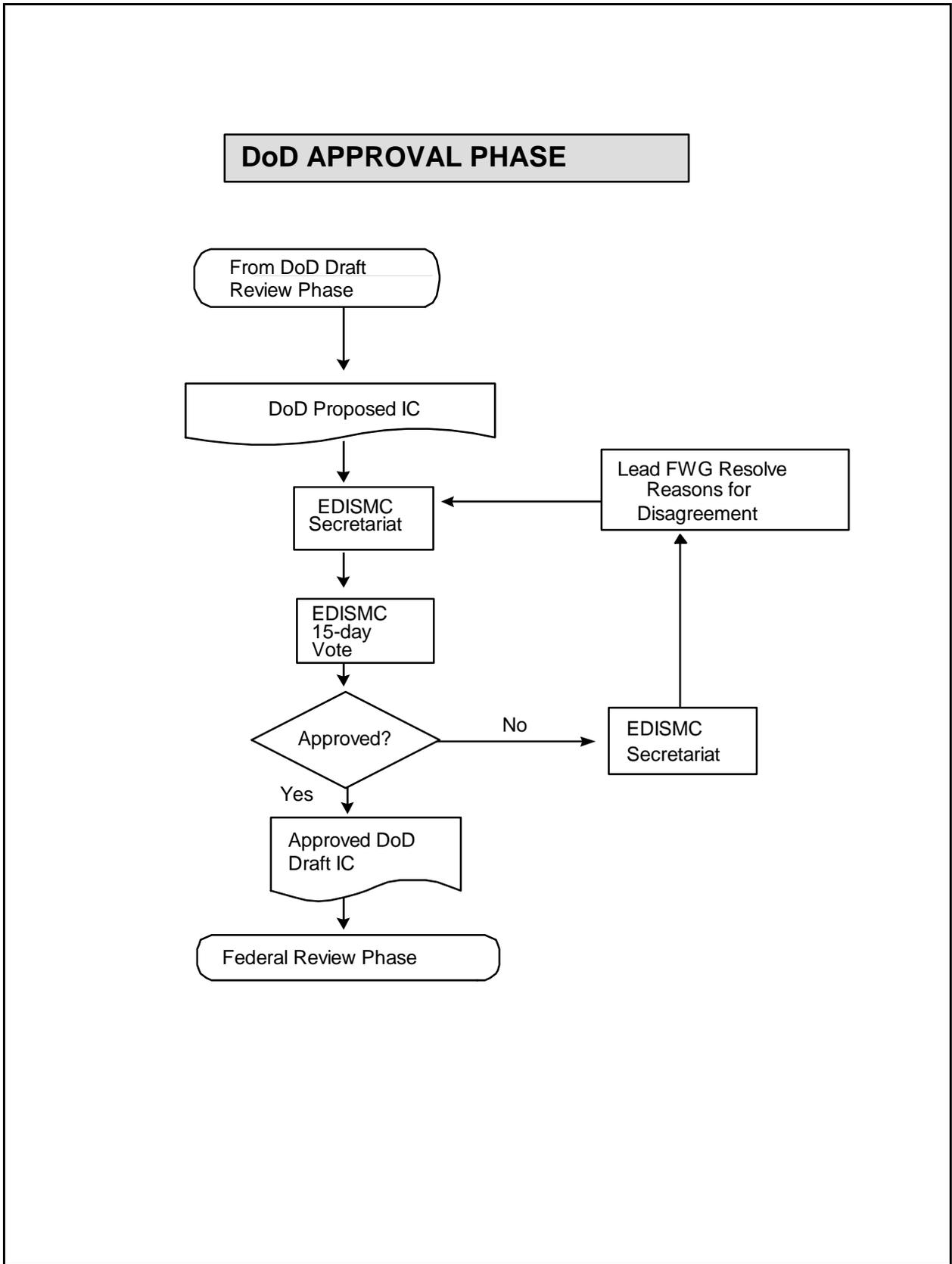


Figure 2-5 DOD Approval Phase

### 2.3.1.5 APPROVAL PROCESS

The Approval Phase and its associated process are shown in Figure 2-5. In this phase the DOD Proposed IC is approved or disapproved by the EDISMC. Upon approval, the IC progresses to the Federal process. Figure 2-5 depicts the process as a flow diagram and the procedural steps are shown in Table 2-4. The objective of this phase is to advance the DOD Proposed IC to “DOD Approved” status.

- (a) The EDISMC Secretariat will distribute the IC to the EDISMC members, requesting a vote on approving the IC. The voting period is either 14 calendar days for routine ICs or 7 calendar days for urgent ICs.
- (b) At the conclusion of the voting period, the EDISMC Secretariat will ensure that a valid vote occurred, tally the votes, and announce the results to members. Consensus will be reached when 75% of the primary EDISMC members voting on the issue agree. Abstentions shall not be counted in this calculation, but shall be counted in meeting the quorum requirement. Members who do not vote will be counted as abstentions.
- (c) If the vote is to approve, the IC becomes a "DOD Approved IC". The "DOD Approved IC" is labeled as a Federal Proposed IC and progresses to the next phase, the “Federal Review Phase.”
- (d) If the vote is to disapprove, the reasons for disagreement are forwarded to the FWG to resolve the problems. The FWG may request a re-vote once the issues are resolved.

**Note:** This last step constitutes the end of the internal DOD process in the serial mode.

<b>Table 2-4, DOD Approval Procedures</b>		
<b>Step</b>	<b>Responsibility</b>	<b>Action</b>
1	EDISMC Secretariat	Coordinate an EDISMC 14 calendar-day Voting Period.
2	EDISMC Members	Vote for Approval or Disapprove with reason for disapproval.
3	EDISMC Secretariat	<p>Tally votes:- A quorum is established when two-thirds of eligible voting members cast a ballot. If no quorum exists, another 14 calendar-day voting period would be required. However, since electronic voting is used, a quorum should always be obtained if non-votes are counted as abstentions.</p> <ul style="list-style-type: none"> <li>- If a quorum exists, determine if approval has been voted. Approval is granted when 75% of the ballots cast are for approval.</li> <li>- If the vote for approval is less than 75%, the Draft is not approved. "No" votes and reasons are forwarded to the FWG for resolution.</li> </ul>
4	FWG	Examine disagreements and resolve with party (or parties) who voted to disapprove. The FWG may request another vote. When another vote is requested revert back to Step 1.
5	EDISMC Secretariat	<p>Update all records to indicate "DOD Proposed IC" approved. Apply Green Cover to printed copies. Approval at this level will allow:</p> <ul style="list-style-type: none"> <li>- Submission to the Federal Standards Management Process labeled as a Federal Proposed IC.</li> </ul>

**Table 2-4, DOD Approval Procedures**

**2.3.1.6 FEDERAL REVIEW PROCESS**

This procedure outlines steps taken after the proposal has been approved within DOD and enters the Federal Process. The Federal Review and Approval Process is depicted as a flow diagram in Figure 2-6 and the steps are described in Table 2-5.

- (a) The DOD Proposed IC is approved by the EDISMC and is forwarded to the Federal Electronic Data Interchange Standards Management Coordinating Committee's (FESMCC) Secretariat for entry into the Federal Process. At this point, the DOD Approved IC becomes a "Proposed Federal IC" and is assigned to a Federal Functional Working Group (FFWG).
- (b) The FFWG has the responsibility to address comments which arise from public review of the Proposed IC. The chairs of the DOD FWGs are often members of the corresponding Federal Functional Working Group. Interested parties within DOD are encouraged to participate in this phase to provide maximum DOD input and to ensure DOD requirements are met. After the FFWG has completed its review, staffing, and revision of the proposed Federal IC, its availability to the public for downloading, reviewing and commenting is announced in the Commercial Business Daily (CBD).
- (c) Once all comments received during the Public Review are addressed, the FESMCC Chair prepares a Voting Package for a formal vote on the Federal Proposed IC.
- (d) It is the responsibility of the EDISMC Secretariat to circulate the Federal Voting Package among EDISMC members, and to establish the DOD voting position by requesting a vote by members. Routine priority requires a 14 day voting period and urgent priority a 7 day period.
- (e) The DOD representative to the FESMCC votes the position of the EDISMC membership in the Federal Process.
- (f) The FESMCC Secretariat tallies the votes of FESMCC members and informs members of results. An approval vote establishes the proposed IC as a Federal IC. Non-approved proposed ICs are returned to the FFWG to address issues expressed during the vote. Approved Federal ICs progress to the DOD Implementation Phase described below.

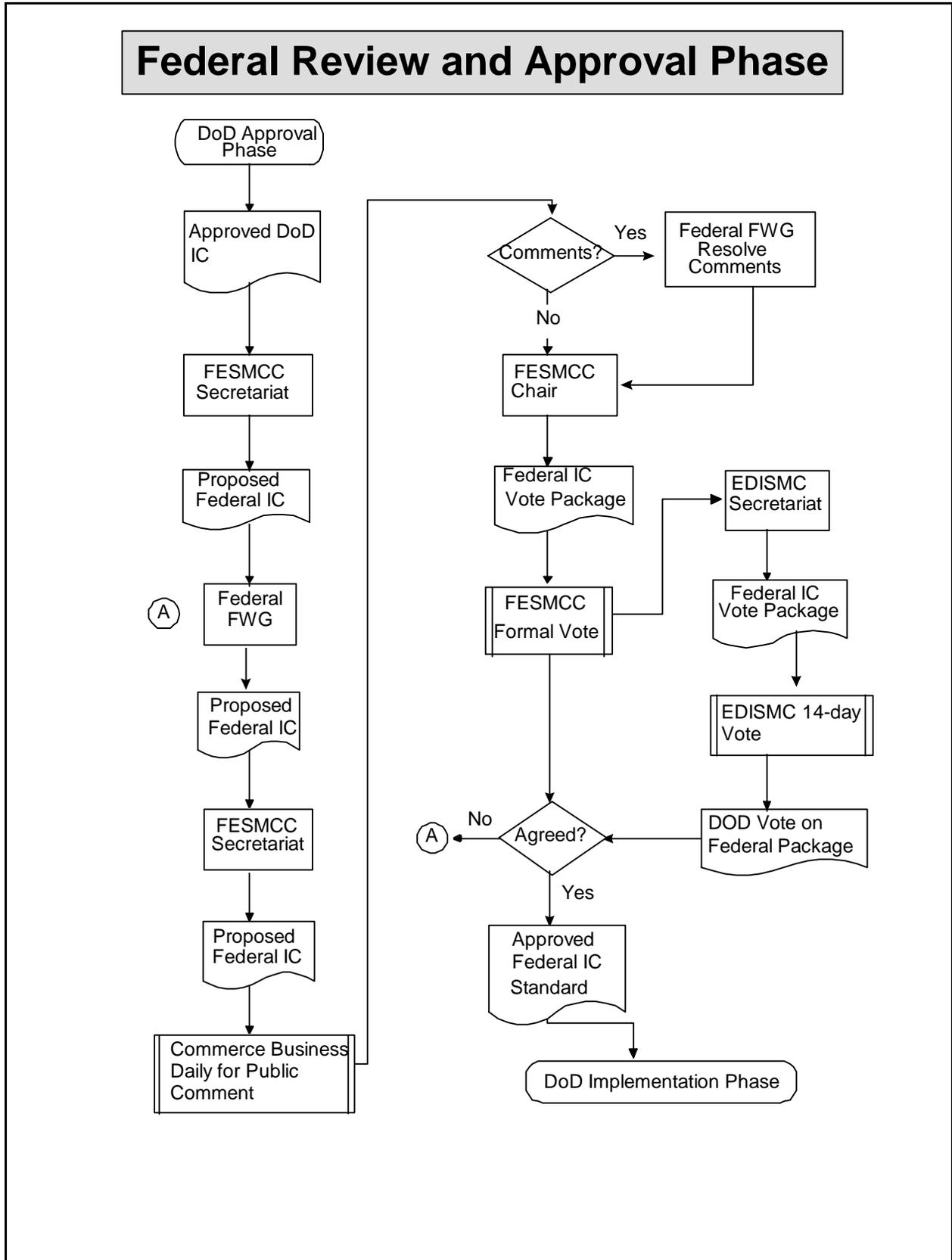


Figure 2-6 Federal Review and Approval Phase

<b>Table 2-5, Federal Review and Approval Procedures</b>		
<b><u>Step</u></b>	<b><u>Responsibility</u></b>	<b><u>Action</u></b>
1	EDISMC Secretariat	Submit the Approved DOD IC to the FESMCC Secretariat. No action is taken on the DOD IC at this time. The Federal Process becomes the main focus.
2	FESMCC Secretariat	Forwards proposal to Federal FWG and distributes the DOD IC (as a Federal Proposed IC) for Public Comment by posting the proposed IC in the Commerce Business Daily. Comments received are forwarded to the Federal FWG for action and resolution.
3	Federal FWG	Coordinates each comment with affected parties. DOD representatives (including the Primary DOD FWG, EDISMC members and the Secretariat, the original proposal submitter, and other interested parties) are encouraged to participate in this process. This ensures that DOD requirements are met and that DOD plays a role in resolution.
4	FESMCC Chair	Ensures all comments have been resolved and once resolved, prepares a voting package for a FESMCC vote.
5	FESMCC Members	Votes to approve or disapprove.
6	EDISMC Secretariat	Upon receipt of the FESMCC Voting package, initiate an EDISMC 14 calendar-day voting period. This vote will inform the EDISMC Chair and the DOD representative to the FESMCC of the recommended DOD position to be voted in the Federal vote.
7	EDISMC Members	Vote to approve or disapprove.
8	EDISMC Secretariat	Tally vote and inform EDISMC Chair and DOD representative to the FESMCC, of the recommended DOD position.
9	DOD representative to the FESMCC	Vote DOD position in Federal Vote.

<b>Table 2-5, Federal Review and Approval Procedures</b>		
<b><u>Step</u></b>	<b><u>Responsibility</u></b>	<b><u>Action</u></b>
10	FESMCC Secretariat	<p>Tallies votes:</p> <ul style="list-style-type: none"> <li>- Upon approval, the draft becomes a Federal IC Standard and the process continues in the next phase: DOD Implementation Phase.</li> <li>- If not approved, the package is forwarded to the Federal FWG who can resolve differences with the dissenting parties and request another vote. In this case, the process reverts to Step 9 above. The Proposed IC can also be referred for more development or withdrawn. In either of these cases, the process continues in the next step.</li> </ul>
11	EDISMC Secretariat	<p>Upon notification that the Proposed ICt has been referred for more development or withdrawn, update records accordingly, and inform EDISMC members of status electronically.</p>
<p><b>Note:</b> The DOD Approved IC has been "frozen" from further development throughout the Federal Review Phase.</p>		

**Table 2-5, Federal Review and Approval Procedures**

**2.3.1.7 DOD IMPLEMENTATION PROCESS:**

During this phase, the DOD Approved IC has been adopted as a Federal IC, either as submitted or with modifications. Changes could have been made based on comments received from the Public Comment Period. At this point, the EDISMC will adopt the Federal IC. The Implementation Process is depicted as a flow diagram in Figure 2-7, and the steps are described in Table 2-6.

(a) The Federal Approved IC becomes the production version, and all records are updated accordingly.

(b) The approved Federal IC is posted in the Federal IC Registry web site when the Compliance Certification Facility (CCF) is prepared to perform testing with the VANs, trading partners, and Government sites.

# DoD IMPLEMENTATION PHASE

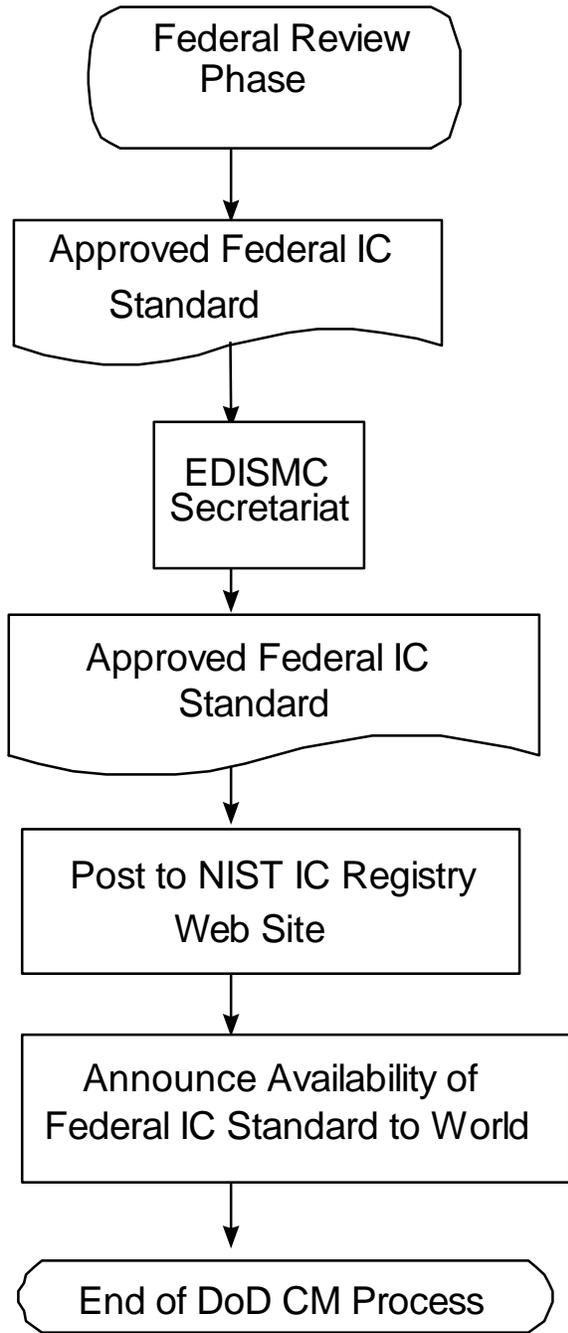


Figure 2-7 Implementation Phase

<b>Table 2-6, Implementation Procedures</b>		
<b>Step</b>	<b>Responsibility</b>	<b>Action</b>
1	FESMCC Secretariat	Post Federal IC Standard to NIST IC Registry.
2	EDISMC Secretariat	Announce availability of Federal IC to all interested parties electronically.

**Table 2-6 Implementation Procedures.**

## 2.3.2 The DOD PARALLEL IC DEVELOPMENT PROCESS

This section outlines the procedures which are followed when a business need originates in either a DOD agency or a Federal agency and is presented to a Functional Working Group which is comprised of both DOD and Federal members. The major phases in the Parallel process are analogous to those in the Serial (DOD) process but because the DOD and Federal processes take place in the same time frame, they reach the final step of posting an approved IC to the Federal Registry much quicker. The DOD IC Parallel Configuration Management Process flow is shown in Figure 2-8 and the procedures are outlined in Table 2-7.

### 2.3.2.1 Registration

. A DOD or a Federal agency may register a business case and requirements with the Chair (or Co-Chair) of a joint DOD/Federal Functional Working Group (DFFWG). In either case, the DOD/Federal Functional Working Group works with the Agency and develops the IC toward a final Approved Federal IC .

After the DOD/Federal Functional Working Group has reviewed the proposal and has analyzed the data requirements, a proposed IC is prepared and assigned a name as “Federal Proposed”.

Since the DOD/Federal Functional Working Group consists of both DOD and Federal members, the Chair(s) will initiate the necessary internal DOD and Federal processes to move the IC to the ultimate Approved Federal IC status.

### 2.3.2.2 Development

During the initial development process the DOD/Federal Functional Working Group works with the submitting agency to define and refine the data requirements and, if required, to prepare and follow the submission of any data maintenance requests (DMs or DMRs).

The “Federal Proposed” IC is then started through the DOD and the Federal processes at the same time. The processes for both the DOD EDISMC and the Federal FESMCC are similar to those in the serial process except that the joint DOD/Fed FWG acts as the FWG.

In the serial process, after the registration phase, a “Draft” IC is processed through a standards compliance analysis. If data maintenance is required, the necessary DM or DMR documents are prepared and forwarded to the standards organization(s). The “Draft” IC is reviewed and *first* commented on by the members of the EDISMC and *afterwards* by the members of FESMCC via a voting process.

In the parallel mode, the initial technical analysis is conducted by the EDISMC Secretariat. The IC is labeled “Federal Proposed” . The EDISMC Secretariat forwards it to the FESMCC Secretariat to announce it in the Commerce Business Daily (CBD) for review and comment for a 45 day period.

**2.3.2.3 Review and Comment**

Since it is now a Federal IC development in-process, the joint DOD/Federal Functional Working Group has the responsibility to address comments which arise from public review of the Proposed IC. Interested parties from DOD usually participate in the Federal Process. The FESMCC Secretariat collects all of the comments.

- a. During the CBD open period, the EDISMC members and DOD agencies are encouraged to review the "Federal Proposed IC" to allow for maximum DOD input and to ensure that DOD requirements are met. The DOD EDISMC Secretariat will call for review and comment actions from DOD interested parties. Response will be due in 30 days. The EDISMC Secretariat will collect all DOD comments and forward them to the FESMCC Secretariat or Federal FWG.
- b. Once all comments received during the Public Review are addressed, the FESMCC Chair prepares a voting package and requests a formal vote on the approval of the Federal Proposed IC.
- c. It is the responsibility of the EDISMC Secretariat to circulate the Federal Voting Package among EDISMC members, and to establish the DOD voting position, by requesting a vote by its members. Routine priority requires a 14 day voting period.
- d. The DOD representative to the FESMCC votes the position of the EDISMC membership in the Federal process.
- e. The FESMCC Chair tallies the votes of FESMCC members and informs members of results. An approval vote establishes the proposed IC as an Approved Federal IC. Non-approved proposed ICs are returned to the Federal FWG to address disagreements expressed during the vote. Approved Federal ICs are posted to the Federal IC Registry for use by all agencies. The EDISMC Secretariat announces its availability to the members electronically using the exploder list.

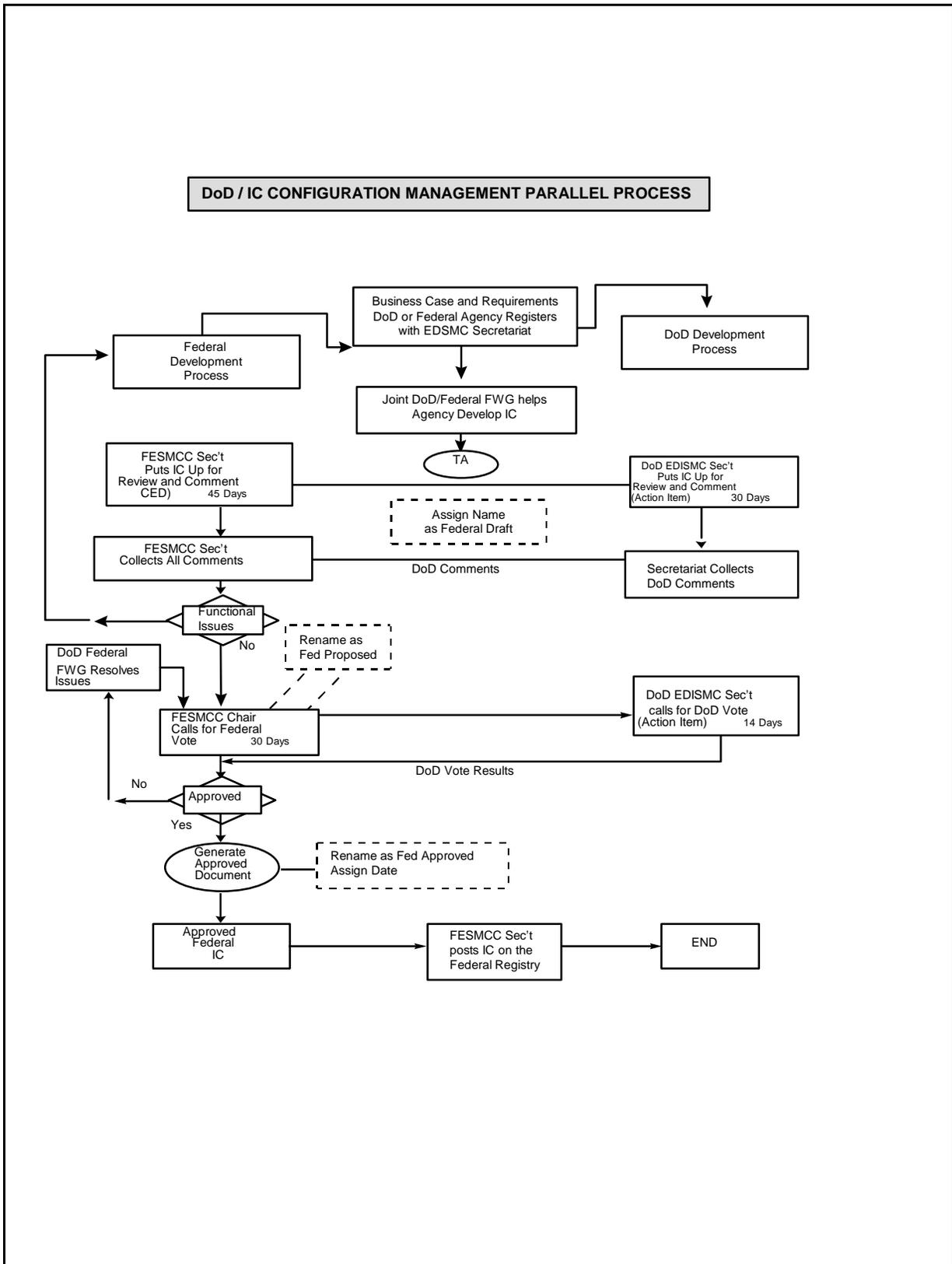


Figure 2-8 DOD/IC Configuration Management Parallel Process

EDISMC IC Configuration Management (PARALLEL Mode)		
Registration and Development		
Step	Responsibility	Action
		<b>Note:</b> The DISA Center For Standards (CFS) provides functional support for EDISMC Secretariat.
1	DOD/FedFWG	DOD/FedFWG works with agency to develop initial IC. First version named as "Federal Proposed"
2	EC/EDI Standards Division JEBCD	CFS provides technical analysis support to DOD/FedFWG
3	FESMCC Secretariat	Puts IC up for public comment in CBD. (45 days)
4	EDISMC Secretariat	Send action item to EDISMC members to review and comment on the Federal Proposed IC . (30 days)
5	EDISMC Secretariat	Collect DOD comments. Forward to FESMCC Secretariat.
6	FESMCC Secretariat	Analyzes responses for functional issues. If there are issues, the FESMCC Secretariat forwards the issues to the Federal FWG.
7	FESMCC Chair	Calls for Federal Vote. (30 days)
8	EDISMC Secretariat	Send out action item for DOD Vote. (14 days)
9	EDISMC Secretariat	Collect DOD vote responses. Forward the DOD position to the DOD Representative in the FESMCC.
10	FESMCC Chair	Collects DOD and Federal vote responses. If not approved, issues will be resolved with DOD/FedFWG.
11	FESMCC Secretariat	If approved, rename IC as Federal Approved IC. FESMCC Secretariat posts IC to the Federal Registry
12	EDISMC Secretariat	Notify EDISMC members of Federal Approved IC via exploder list.

Table 2-7 Registration and Development (Parallel process)

## Chapter 3

*This chapter will need revision to reflect the CEFACT processes.*

### Management of DOD Participation in External Bodies

#### 3.1 Introduction

This chapter presents the DOD procedures associated with interfacing to external EDI standards bodies and the role of the EDISMC. The objectives, scope, and methodology governing these activities are defined below. The Data Interchange Standards Association (DISA, Inc). provides secretariat support to ANSI ASC X12. We use "DISA, Inc." in this chapter to distinguish it from the Defense Information Systems Agency (DISA).

The Centre for Facilitation and Procedures for Administration, Commerce and Transport (CEFACT) was established in March 1997 under the UN/ECE Committee of Development and Trade. When fully operational, CEFACT will be providing the UN/EDIFACT functions currently conducted under the Pan American EDIFACT Board (PAEB). The support provided by DISA, Inc. for the PAEB will continue for CEFACT.

#### 3.2 Objectives

The Configuration Management objectives of DOD participation in the external EC/EDI standards development process are:

- a. Coordinate DOD positions concerning standards related matters
- b. Align DOD positions with overall Federal Government positions in these matters when possible.
- c. Ensure that EDISMC members are kept informed of the progress of standards development activities associated with DOD requirements.
- d. Ensure that EDISMC members are kept informed of matters which require voting a "DOD" position.

#### 3.3 Scope

The DOD procedures presented in this chapter apply to all DOD CINCs, Services, and Agencies that participate in external EDI standards organizations. While the methodology described concentrates on the ASC X12 development cycle, this procedure applies to DOD participation in other organizations such as Health Level Seven (HL7) and CEFACT.

### 3.4 Methodology

The process described provides information about the steps in the ASC X12 and UN/EDIFACT review processes. Additionally, the roles the EDISMC Secretariat and DOD representatives to the ASC X12 Committee play in ensuring that the EDISMC membership is kept abreast of progress and the status of data maintenance is described.

#### 3.4.1 DEFINITIONS

##### 3.4.1.1 ASC X12 Terms

**Work Request (WR)** is a form used to request revisions to an existing Draft Standard for Trial Use (DSTU), new ASC X12 development or supporting data maintenance for a new DSTU.

**Data Maintenance (DM)** is a term used to identify a Work Request once an official tracking number has been assigned by the Data Interchange Standards Association (DISA, Inc.), the ASC X12 Secretariat.

**Project Proposal (PP)** is a form used to describe proposed development for new Transaction Sets (TS), Guidelines or Technical Reports. Only ASC X12 Subcommittees may use these forms to register new development in ASC X12.

##### 3.4.1.2 UN/EDIFACT Terms

**Data Maintenance Request (DMR)** is a term used to identify a request for change to a Status 1 standard, previously referred to as a Change Request (CR).

**New Message Request (NMR)** is a form used to propose a new message. Any individual or organization within a UN/EDIFACT region can submit this form.

#### 3.4.2 WORK REQUEST DURING DOD EDISMC SUBMISSION PHASE

a. An individual or functional component may submit a proposal representing a functional requirement to the EDISMC to fulfill a business need. This may result in a request for a new capability or a change from an existing Transaction Set or Message. Chapters 1 and 2 described the procedures governing registration, submission, and development activities associated with those proposals. This section presents procedures related to the submission of a Work Request (WR) resulting from those processes. The WR may request a code, create a segment, amend a code source, etc.

**Note:** Work Request submissions are **not** restricted to ASC X12 members; anyone can submit a work request.

- b. The EDISMC FWGs will review the request to ensure it:
- (1) describes a legitimate business case and provides a comprehensive description of the proposed change
  - (2) does not violate ASC X12 or UN/EDIFACT Syntax or Design Rules
  - (3) is not a duplicate
  - (4) is based on the latest workbook or directory.
- c. The EDISMC FWGs will submit DMs to ANSI X12 and DMRs to UN/EDIFACT and be responsible for briefing the EDISMC on the status of the DMS & DMRs through completion.
- NOTE:** Submitters are encouraged to have X12 subcommittees review and pre-approve any new Work Requests (WR), either at an ASC X12 trimester meeting or during a subcommittee's interim meeting. Pre-approval ensures a cleaner document and may prevent the DM from being referred to a subcommittee at an interim meeting.
- d. In UN/EDIFACT, new projects are submitted in the form of a NMR, while a change to a Status 1 standard is submitted using a DMR Form. Using official NMR and DMR Forms, anyone can submit a request to their regional Secretariat.

### 3.4.3 REVIEW PHASE

- a. ASC X12 Technical Assessment Subcommittee (TAS) Interim Meetings are held in April, August and December. TAS will either recommend the DM for ASC X12 ballot, refer the DM to a subcommittee(s) for additional work, close or disapprove a DM. Withdrawals are accepted from the submitter only.
- b. ASC X12 Technical Assessment Group (TAG) Interim Meetings are held quarterly in February, June, August and November.

**Note:** Subcommittee access to DM statuses **immediately** after the Technical Assessment Group Interim gives the subcommittee(s) time to begin resolving referred items **before** a presentation to the Technical Assessment Subcommittee is required at the trimester.

- c. Subcommittee Review: Final resolutions/recommendations are determined in subcommittee meetings during the trimester or, if applicable, during a subcommittee's interim meeting. Once a subcommittee reaches a conclusion, this information is presented to the Technical Assessment Subcommittee.

d. The UN/EDIFACT TAG performs an initial review of each DMR and either approves, rejects with reason, refers the DMR to the applicable ASC X12 Sub-Committee (SC) or Task Group (TG) , or it is withdrawn by the submitter. A DMR cannot be modified at the national or regional level, therefore any modifications must be accomplished through a new DMR. A DMR can only be withdrawn by the original submitter.

e. A referred DMR is reviewed by the assigned SC/TG at the next ASC X12 meeting following the referral. If the SC/TG has maintenance responsibility for the standard which the DMR may affect, then that SC/TG can either reject the DMR with reasons or approve it. If the SC/TG does not have maintenance responsibility of the related standard, the SC/TG votes No Interest.

f. At the Trimester meeting, TAS reviews the resolutions proposed by the subcommittees and attempts to reach consensus. In cases where consensus is unattainable, TAS has the final disposition. Data Maintenance is either recommended for ASC X12 ballot, deferred to a subcommittee(s) for further work, closed or disapproved. Withdrawals are accepted from the submitter only.

g. Data Maintenance items recommended for ballot by TAS are placed on the Procedures Review Board's (PRB) agenda for ASC X12 membership ballot. DMs requiring additional work remain deferred in the subcommittee until the next TAS meeting. PRB either approves or disapproves DMs.

(1) Data Maintenance approved by the PRB for ballot appear in the ASC X12 Development Workbook/Voting Package distributed by DISA, Inc. approximately three weeks after a trimester meeting.

(2) If the PRB disapproves a DM, it directs TAS to resolve the objections before returning it to the PRB.

**Note:** UN/EDIFACT DMRs are not reviewed by the PRB, however; NMRs are.

h. The UN/EDIFACT Joint Technical Assessment Group (JTAG) reviews DMRs that have been reviewed by all regions. The group decides to either approve, reject with reason, refer to UN Secretariat, withdraw, or approve. The process allows DMRs to be approved at the current meeting by resolving minor problems. If the DMR is approved the change will appear in the next directory.

j. Prior to the 45 day ballot mailing, DISA, Inc. forwards a Quality Check (QC) report to the subcommittee representatives affording a final opportunity to review and report discrepancies discovered in DISA, Inc.'s database. The information displayed in the QC will be identical to how the workbook/voting package will appear unless changes are reported.

1. EDISMC Secretariat will develop the recommended DOD positions on the DMs for the EDISMC members via an action item. EDISMC Members are encouraged to submit comments to the EDISMC Secretariat by the specified deadline (5 calendar days prior to the ballot closing or one day before the ballot closing).
  2. At the close of a 45 day voting period DISA, Inc. tallies the votes. If no disapprovals are received, the item is placed on the PRB's agenda for approval for publication.
  3. If the TAS determines corrections or clarifications to a DM are needed which do not change the requirements or use of the DSTU being revised, TAS will mark these corrections and proceed to the PRB for approval for publication. If TAS determines revisions to a DM will change the requirements or use, it may decide that a rebalot is required. Reballots invalidate the results of an initial 45-day ballot.
- k. 30-Day Ballot: If disapprovals are received on the DM Voting Package, it constitutes a rebuttal. The ASC X12J, Task Group 4 prepares a Ballot Comment Response Letter addressing disapproval comments. The letter ballot, response letter and supporting documentation are all mailed to ASC X12 voting representatives for a 30-day voting period.
1. EDISMC Secretariat will develop the recommended DOD positions on the DMs via an action item. EDISMC Members are encouraged to respond to the EDISMC Secretariat by the specified deadline (5 calendar days prior to the ballot closing or one day before the ballot closing).
  2. If there are continuing objections after the close of the rebuttal, an Open Forum is scheduled for the next X12 trimester. EDISMC members will coordinate with the continuing objectors **prior** to the forum. If forum results in less than 10% disapprovals and TAS decides that the proposed changes can be made and not require positions by X12 voters, TAS will recommend the item for X12 publication. These DMs are forwarded to the Procedures Review Board for final approval.
  3. Should the forum result in 10% or more disapprovals, TAS will recommend the item(s) be sent out for second rebuttal and the process described under 30-Day Ballot will be repeated.

#### 3.4.4 APPROVAL PHASE

The Procedures Review Board (PRB) approves or disapproves the DM for publication based on information and recommendations developed during preceding phases.

- a. If approved, the DM(s) will appear in the next X12 release or subrelease.
- b. If disapproved, PRB returns the DM(s) to TAS to resolve the objections before returning to PRB.

**Note:** DOD representatives to the ASC X12 Committee and the EDISMC Secretariat will

work together to ensure the most current information regarding DM status is available for dissemination to EDISMC members. The EDISMC Secretariat has the responsibility of disseminating the information to EDISMC members and updating the appropriate records.

1. 45-Day Ballot: DMs approved by the PRB are included in a letter ballot prepared by DISA, Inc. The ballot along with supporting documentation is mailed to X12 voting representatives for a 45-day voting period.

**Note:** Members casting a "No Interest" vote are excluded from further correspondence i.e., rebuttal ballots. Use of this voting category is discouraged by the EDISMC.

### **Transaction Set Development:**

Individuals desiring to create a new Transaction Set within ASC X12 should do so by submitting a proposal to the appropriate ASC X12 Subcommittee (at the trimester meeting or at the subcommittee meeting if applicable).

**Note:** New projects are initiated in ASC X12 only by approval of a Project Proposal (PP) prepared by an ASC X12 subcommittee. Once a PP has received approval by the appropriate X12 subcommittee, it will be forwarded to DISA, Inc. for inclusion on the Procedures Review Board Agenda.

### **New Message Request Development:**

New projects are initiated by the submission of a NMR form to the regional administrator. The administrator forwards the NMR for the next meeting. Within six months of receipt by the administrator, a decision must be made on joint development for notification to the other regions.

### **Progression of Message Status**

To progress a message from NMR to Status 0, or from Status 0 to 1, the ASC X12 representative forwards the request for status. After achieving Status 1 at the UN, the ASC X12 representative begins the process of balloting the message for Status 2 at the following ASC X12 meeting. Regardless of whether ASC X12 participated in joint development, it shall be balloted by ASC X12 to obtain the official position regarding possible Status 2 approval. DISA, Inc. updates the TF to reflect the new status and schedules this item on the PRB agenda.

<u>Work Request, New Message Request and Data Maintenance Request Submission Procedures</u>		
<u>Step</u>	<u>Responsibility</u>	<u>Action</u>
1	Component/ FWG	Express functional requirement or business need.
2	FWG	Validate the submitter's expressed requirement by ensuring 1)WR/DMR is not redundant 2)Does not violate X12 or EDIFACT Syntax or Design Rules 3) Is not a duplicate and 4) User has based his request on the latest workbook or directory.
3	FWG	Submit a proposal in the form of a X12 Work Request (WR) or EDIFACT Data Maintenance Request (DMR) to the EDISMC Secretariat. <b>Note:</b> All Work Request Submissions will be channeled through the EDISMC.
4	EDISMC Secretariat	The EDISMC's and the Federal Review/Comment will conclude within 15 working days of receipt. DMs receiving no comments during this review period will be forwarded directly to DISA, Inc. Incomplete or unclear request received will be returned to the submitter and a completed request returned to the EDISMC within the Review/Comment Period. See the EDISMC Secretariat's responsibility for approved requests and the FWGs responsibility for problem DMs.
5	FWG	Problem DMs will be forwarded to the Functional Working Group(s) for recommendations/resolution. The FWGs should finalized their analysis of the DMs prior to Technical Assessment's New DM Submission cutoff (3 weeks after a trimester). Data Maintenance rejected by the FWG may be modified and resubmitted, however; it must re-enter the WR / NMR / DMR Submission Phase.
6	EDISMC Secretariat	Approved request will be assigned a Local Control Number (LCN). This temporary number along with a brief description will be maintained in an established tracking system.
7	EDISMC Secretariat	Quality Checks (QCs) approved request for editorial changes before forwarding to DISA, Inc. for inclusion in Technical Assessments (X12J) Interim Meeting Agenda.

<b><u>Work Request, New Message Request and Data Maintenance Request Submission Procedures</u></b>		
<u>Step</u>	<u>Responsibility</u>	<u>Action</u>
8	EDISMC Secretariat	Provide paper and electronic copies of approved Work Request (WR) and Data Maintenance Request (DMR) to DOD Representatives.

<b><u>Review Phase</u></b>		
<u>Step</u>	<u>Responsibility</u>	<u>Action</u>
1	TAS / PAEB TAG	Reviews work request for technical merit, business case and ensures the most recent X12 or EDIFACT syntax and design rules have been followed
2	TAS	Upon review, takes one of the following actions: 1) recommends for ballot 2) recommends for ballot with modifications 3) refers the DM to a subcommittee(s) 4) accepts withdrawal from submitter and closes DM 5) accepts closure of DM from subcommittee in the absence of submitter 6) disapproves the DM with reasons and closes the DM
3	FWG	Must provide a report of changes to the EDISMC should they occur after the EDISMCs initial review.
4	EDISMC Secretariat	Informs DOD subcommittee representatives of DM / DMR statuses and TAS / TAG recommendations. .
5	SUBC	Establishes a resolution/recommendation for referred items. Once a conclusion is reached, presents it to TAS.
6	TAS	Accepts recommendation/resolution from the subcommittee and recommends for ballot. If the DM is not recommended for ballot and is not closed, withdrawn or disapproved, it is deferred in the subcommittee until the next TAS meeting.
7	PRB	Endorses TAS's recommendation for ballot or disapproves the DM. Data Maintenance approved for ballot appears in the workbook/voting package forwarded to X12 members approximately three weeks after the trimester. If disapproved, directs TAS to resolve objections prior to returning.

<u>Review Phase</u>		
<u>Step</u>	<u>Responsibility</u>	<u>Action</u>
8	DISA, Inc.	Distributes a QC report to subcommittee representatives prior to the 45-day ballot mailing.
9	EDISMC Secretariat	Reports discrepancies in QC Report to submitter and subcommittee representative. Follow-up copies will be distributed to the EDISMC. <b>Note:</b> Revisions to the QC report must be submitted to DISA, Inc. in one week or less upon receipt.
10	DISA, Inc.	Distributes the 45-day ballot to current X12 voting representatives.
11	EDISMC Secretariat	Request positions on the balloted items from the EDISMC via an action item. EDISMC Members are encouraged to submit comments to the EDISMC Secretariat via e-mail by the specified deadline (5 calendar days prior to ballot closing or one day before the ballot due date).
12	DISA, Inc.	Tallies votes at the close of the 45-day voting period. If no disapprovals are received, places item on PRB's agenda for approval for publication.
13	TAS	If TAS determines corrections or clarifications to a DM are needed yet will not change the requirements or use of the DSTU being revised, marks the corrections and proceeds to the PRB for approval for publication. If TAS determines revisions to a DM will change the requirements or use, it may decide that a rebalot is required. Reballots invalidate the initial 45-day ballot results. <b>Note:</b> Reballots usually apply to new Transaction Set Development, however, Standing Document 2 (SD2) allows for this provision for DM Voting Packages if needed. Disapprovals received during the 45-day constitute a rebuttal ballot so X12J, TG4 is tasked with preparing a Ballot Comment Response Letter addressing voter disapprovals.
14	DISA, Inc.	Distributes the 30-day ballot, response letter and supporting documentation to current X12 voting representatives. Members casting a "No Interest" vote during the 45-day ballot are excluded from this mailing.

<b><u>Review Phase</u></b>		
<u>Step</u>	<u>Responsibility</u>	<u>Action</u>
15	EDISMC Secretariat	Request positions on the balloted items from the EDISMC via an action item. EDISMC Members are encouraged to submit comments to the EDISMC Secretariat via e-mail by the specified deadline (5 calendar days prior to ballot closing or one day before the ballot due date).
16	TAS/SUBC	If there are continuing objections after the close of the rebuttal, an Open Forum is scheduled for the next X12 trimester. EDISMC members will coordinate with continuing objectors <b>prior</b> to the forum.
17	TAS	If forum results in less than 10% disapprovals and TAS decides that the proposed changes can be made and not require positions by X12 members, recommends the item for X12 publication. These DMs are forwarded to the PRB. Should the forum result in 10% or more disapprovals, TAS recommends item(s) be sent out for a second rebuttal.

<b><u>Approval Phase</u></b>		
<u>Step</u>	<u>Responsibility</u>	<u>Action</u>
1	PRB	Accepts or rejects TAS's recommendation to approve for publication. If approved, the DM(s) will appear in the next X12 subrelease or release. If disapproved, directs TAS to resolve objections/discrepancies before returning.
2	EDISMC Secretariat	Notifies EDISMC members of DM statuses.
3	EDISMC	Implements approved Data Maintenance on releases.

## APPENDIX

This Appendix presents two tools for use by the EDISMC Secretariat in tracking the status of an IC as it moves through the processes from initial proposal to final Approved Federal state. DISA's Center For Standards (CFS) Branch provides support services to the Secretariat.

The CFS IC CONFIGURATION MANAGEMENT CHECKLIST (Serial Mode)" is used when an agency submits a business requirements proposal which is assigned to a DOD Functional Work Group for development. In the Serial configuration the FWG is comprised of DOD members only.

The CFS IC CONFIGURATION MANAGEMENT CHECKLIST (Parallel Mode)" is used when an agency's business requirements fit the field of interest of a combined DOD/Federal Functional Working Group. The combined FWG will have both DOD and Federal members and may have Co-Chairs from each.

CFS IC Configuration Management Checklist (Serial Process)			
IC Number:	Version:	CM Control Number:	
Title:	Primary FWG:		
<b>Registration Phase</b>			
Step	CFS Actions	Start date	Completion date
Case 1: Agency Business Case submitted via a FWG. (Most likely)	No CFS action until FWG has coordinated with submitter and completed Project Proposal		
Case 2: Business case submitted to CFS:			
1	Register the request on Proposal Submission Form.		
2	Distribute electronic copies of proposal to FWG Chairs to nominate Primary FWG.		
3	Designate Primary FWG		
4	Update Project record		
5	Notify EDISMC members of project status and Primary FWG.		
<b>Development and Submission Phase</b>			
IC received from Primary FWG.	Review material submitted for completeness. i.e. IC files etc.		
1	Determine if IC is DOD or Federal.		
2	Check responsibility list for single or joint ownership.		
3	Assign filename for Draft IC.		
4	Assign IC for technical analysis		
5	Receive/Review technical analysis		
6	If non-compliant, resolve compliance issues with FWG Chair.		
7	If compliant, generate SEF, RTF and PDF files for the IC.		

<b>Draft Review Phase</b>			
Administrative and Technical review processes	Review IC documentation for completeness, readability and DM request status.		
1	If compliant, initiate 30 day Review and Comment action period using the EDISMC Exploder list.		
2	Review responses as received and incorporate into action item. After action item due date occurs send out Closed Action item		
3	If comments received, forward to FWG for comment resolution.		
4	Confirm that all comment requirements have been addressed with FWG chair..		
5	When FWG submits the updated IC, assign filename with "Proposed" status.		

<b>DOD Approval Phase</b>			
Establishes the official EDISMC members' position on the Draft IC.	The IC is assigned for technical analysis prior to DOD vote. If IC is compliant, CFS conducts a voting procedure with the EDISMC members to ensure that all have participated in the DOD position before submitting the IC to the Federal approval process. (Serial process)		
1	Initiate 14 calendar-day Voting Period using the EDISMC Exploder list.		
2	Tally votes and certify quorum. (Two thirds of voting members must respond to establish quorum.)		
3	If no quorum, send reminder e-mail to all voting members that haven't voted.		
4	If quorum is established, and 75% voted approval, the IC is "Approved".		
5	If less than 75% for approval, the Draft is not approved. Forward the "no" votes and reasons to FWG for further IC development.		
6	If FWG requests another vote, initiate a new 14 day vote cycle.		
7	If all voting approval requirements have been met, Assign new filename "Approved" status.		
8	(Serial process) Forward to FESMCC review process		

<b>Federal Review Phase</b>			
The Federal Review phase mostly involves Federal FWG (FFWG) actions.	CFS actions involve determining the EDISMC position on the Federal IC and voting the formal DOD position.		
1	Submit "Approved DOD Draft" to FESMCC Secretariat.		

<p>2. Approved DOD Draft now becomes "Proposed Federal IC". When FFWG or FESMCC agree that the IC is ready, the FESMCC Secretariat puts the IC out for public comment in the CBD. 45 days</p>	<p>CFS: Alert EDISMC members to review CBD announcement. Send out an action item to the EDISMC members to review and comment on the Federal IC. (30 days)</p>		
<p>3</p>	<p>Collect all comments and send the DOD comments to the DOD primary representative for submission to the FESMCC Secretariat or FFWG.</p>		
<p>4. FFWG coordinates and resolves CBD comments. FESMCC Secretariat prepares voting package for FESMCC vote.</p>	<p>CFS: After comments are resolved by the FFWG on the IC and the FESMCC Chair has put the IC out for FESMCC Ballot, send out action item to the EDISMC voting members to establish the DOD voting position on the IC.</p>		
<p>5</p>	<p>Tally EDISMC vote to establish recommended DOD position. EDISMC Secretariat sends the voting position to the FESMCC Secretariat.</p>		
<p>6 FESMCC Chair announces the results of the ballot.</p>	<p>If the IC is approved, the EDISMC (CFS) generates the approved files for the IC and sends them to the DOD primary representative to the FFWG.</p>		
<p>7. FESMCC completes the voting process</p>	<p>Update status as Federal IC. Inform EDISMC members electronically.</p>		

<p style="text-align: center;"><b>DOD Implementation Phase</b></p>			
<p>1 NIST: FESMCC Secretariat</p>	<p>Post Federal IC Standard to Federal IC Registry Web site (WWW).</p>		
<p>2</p>	<p>Inform EDISMC members electronically using the Exploder list.</p>		

