

Annex C to the Operating Agreement:

Procedure for the development and maintenance of DDEX Standards



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Introduction

By becoming a Member of the Company, each Member agrees to the terms of this Procedure for the development and maintenance of Digital Data Exchange Standards (the “Procedure”). These terms are a binding agreement between the Member and the Company. In the course of Digital Data Exchange Standards development, non-material changes to these terms may be implemented from time to time without reflection in this Procedure.

C.1 Definitions

For the purpose of this Procedure the following capitalized words have the meanings set out below. Other capitalized words that appear in this Procedure whose definitions do not appear here have the same meaning as set out in the Section 1 (Defined Terms) of the Agreement or Section B.3 (Definitions) of Annex A (Intellectual Property Policy) to the Agreement.

“Agreement” means the DDEX Operating Agreement, as amended from time to time;

“Allowed Value Sets” means the list of Allowed Value Sets (AVS) which is the aggregate of all AVSs used across all the Standards, the terms within each AVS and the associated definitions of those terms.

“Change Request” means a category of Input Document by which a Licensee, a Member, a Liaison, an Ad-hoc Group, a Working Group or the DDEX Secretariat notifies the Board that a Standard needs amending in accordance with the processes set out in Section C.4 (Maintaining DDEX Standards);

“Compatible” means that two versions of a Standard are Compatible, when a message created in accordance with the earlier version will also be conformant to the later version of the Standard;

“Consensus” means the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. Consensus need not imply unanimity and is declared, if necessary, by the relevant Chair(s);

“Core Composite(s)” means a list of composites agreed from time to time by the TMG in consultation with the Plenary Meeting to represent a fundamental building block in the development and maintenance of all the Standards;

“Corrigendum” means a Standard that replaces a previous version of a Standard covering the same subject matter. Corrigenda only correct errors in the previous version of the Standard;

“Disposition of Comments” means an Output Document from the Technical Management Group that is issued in conjunction with a Draft Standard in response to comments on the Committee Draft received from Members;

“Draft Standard” means an Output Document from the Technical Management Group following review of a Disposition of Comments relating to a Committee Draft which was an Output Document from a Working Group. A Draft Standard and a Disposition of Comments is circulated prior to the voting phase as set out in Section C.3.3 (Voting Phase);

“Intellectual Property Policy (IP Policy)” means a document (Annex B (Intellectual Property Policy) to the Agreement) that governs the Company’s and the Member’s

activities related to the creation, development, and Contribution of intellectual property during the process of the development of Standards;

“Input Document” means a document created by or on behalf of a Licensee, a Member, a Liaison, an Ad-hoc Group, a Working Group, the Executive Board, the Board or the DDEX Secretariat and delivered for review to an Ad-hoc Group, a Working Group, the Executive Board or the Board as the case may be;

“Output Document” means a document that has been agreed by a Working Group, the Plenary Meeting, the Executive Board or the Board;

“Quorate” means that all Ad-hoc Groups, Working Groups and Plenary Meetings shall be quorate when three Representatives of Charter or Full Members in good standing are present and such Representatives shall collectively be, to the satisfaction of the Working Group Sponsor/Chair¹, representative of all sectors of Members likely to have an interest in the subject matter under discussion at the Ad-hoc Group, Working Group or Plenary Meeting. To achieve the second element may require more than three Representatives of Charter or Full Members to be present, depending on the subject matter;

“Sample(s)” means documentation containing examples of the structures of a Standard with the addition of example data into the fields within those structures to demonstrate how best the Standard should be implemented;

“Superset Composite” means the aggregate of all the sub-elements and attributes that appear in all the different versions of the same composite as it appears in all of the different Standards;

“Technical Management Group (TMG)” means a standing Working Group which meets to ensure that the Standards developed by the various Working Groups are consistent with each other and existing DDEX Standards, particularly with regard to Section C.4.4 (Management of Core Composites) and Section C.4.5 (Management of Allowed Value Sets). The TMG is also responsible for reviewing comments received during the Consultation Phase as set out in Section C.3.2 (Consultation Phase). TMG members are selected Representatives of the Board and the Working Groups the actual constituent members of which shall be agreed by the Board and the individual Working Groups respectively, from time to time; and

“Update” means a Standard that replaces a previous version of a Standard covering the same subject matter. Updates implement additional features that were not present in the previous version of the Standard and may also include the correction of errors.

For the purposes of this Procedure all documents referenced in the Procedure that are sent to the last known email address of the relevant Sponsor and/or Chair and copied to the Secretariat, shall be considered to be properly submitted or, where relevant, “in writing”. Also for the purposes of this Procedure all meetings shall be considered properly constituted, provided proper Notice is given and that the meeting is Quorate, regardless of whether it is a physical meeting, or a telephone or video conference meeting. Similarly, where any vote is required to be taken this may be done by physical or electronic means.

C.2 Initiating development of a new DDEX Standard

Any Representative of a Licensee, a Member, a Liaison, an Ad-hoc, a Working Group, or a Plenary Meeting may propose to the Board a topic for a Standard in the form of an Input

¹ For the purposes of Plenary Meetings, the Chair shall be one or more of the Working Group Chairs present at the meeting, agreeing collectively.

Document appropriate for standardisation by the Company. Input Documents shall be considered at the next meeting of the Board. If the Board decides that the proposal in the Input Document does not warrant development of a new Standard, the Board will inform the proponent(s) accordingly.

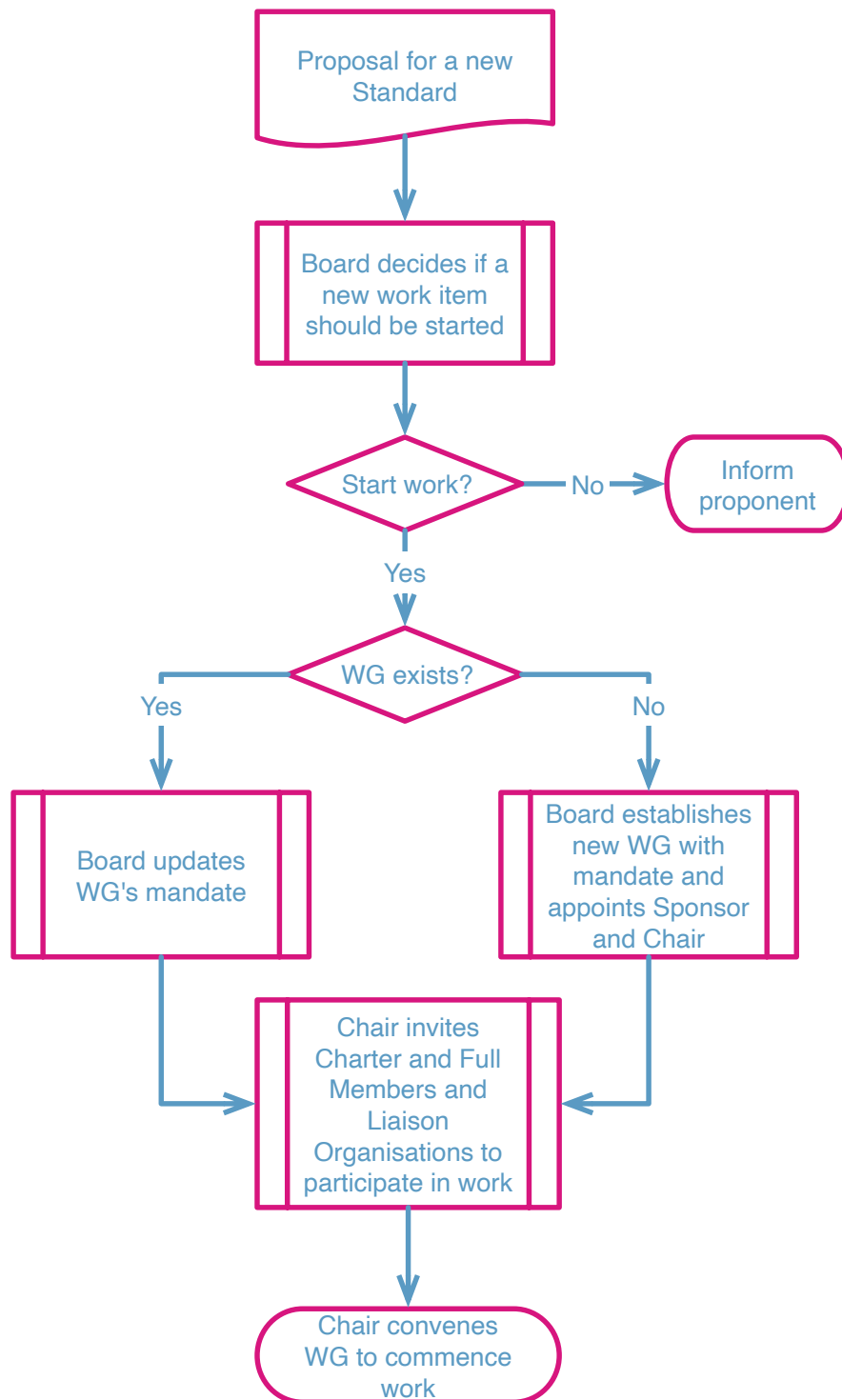


Figure 1 – Initiating Development of a new DDEX Standard

If the Board votes to start work on the development of a new Standard, the Board shall:

- (a) establish a Working Group by providing a specific mandate and time line for the development of the new Standard;

- (b) appoint a Chair² for the Working Group. Representatives of Charter or Full Members or Liaisons (subject to the invitation to participate by the relevant Working Group as permitted in Section 5.10 (Liaisons) of the Agreement) are eligible to serve as Chair;
- (c) appoint a Board Sponsor³ to work with the Chair and the Secretariat to manage the Working Group. A Board Sponsor may also take the role of Chair at the same time; and
- (d) inform Members of the establishment of the new Working Group.

The Chair of the Working Group shall invite interested parties (from Charter or Full Members, and if appropriate Liaisons in accordance with Section 5.10 (Liaisons) of the Agreement) and co-ordinate the development of the new Standard. Charter or Full Members, and Liaisons shall inform the Chair of a Working Group of the Representative(s) from the organization who will serve on the Working Group.

If an appropriate Working Group already exists, the Board may task that Working Group with developing the new Standard. A flow-diagram representing the process described above is set out in Figure 1.

All decisions of Ad-hoc Groups, Working Groups and Plenary Meetings shall be made by unanimity or failing that Consensus. In the absence of unanimity, the relevant Chair may seek to establish whether Consensus exists by a vote. If any Ad-hoc Groups, Working Groups and Plenary Meetings are not Quorate any decisions taken by unanimity or Consensus by such Ad-hoc Group, Working Group or Plenary Meeting shall have no effect unless ratified by a subsequent Quorate Ad-hoc Group, Working Group or Plenary Meeting.

In the event that no Consensus can be reached the matter is referred initially to the Board Sponsor for resolution and failing that to the Board. In the event that a Member considers that a Chair of an Ad-hoc, a Working Group or a Plenary Meeting has declared Consensus incorrectly, any Member of that Ad-hoc, Working Group or Plenary Meeting may enter an appeal as set out in Section C.6 (Appeals).

The Board has the power to disband an Ad-hoc or a Working Group even before the allocated time for the work has ended if it decides that progress in developing the Standard is unsatisfactory or the prospective Standard becomes unnecessary.

C.3 Developing a new DDEX Standard

Once the Working Group developing a Standard has been set-up, a three-phase process is followed. The process described in this section is set out in the flow diagram at Figure 2.

² The Board may appoint Co-Chairs of a Working Group. Therefore, throughout this **Error! Reference source not found.** references to a Chair shall also be a reference Co-Chairs. Ad-hoc Groups have no formal Chair. The function of Chair for Ad-hoc Groups is performed by the Secretariat.

³ The Board may appoint up to two Board Sponsors. Therefore, throughout this **Error! Reference source not found.** references to a Board Sponsor shall also be a reference Board Sponsors.

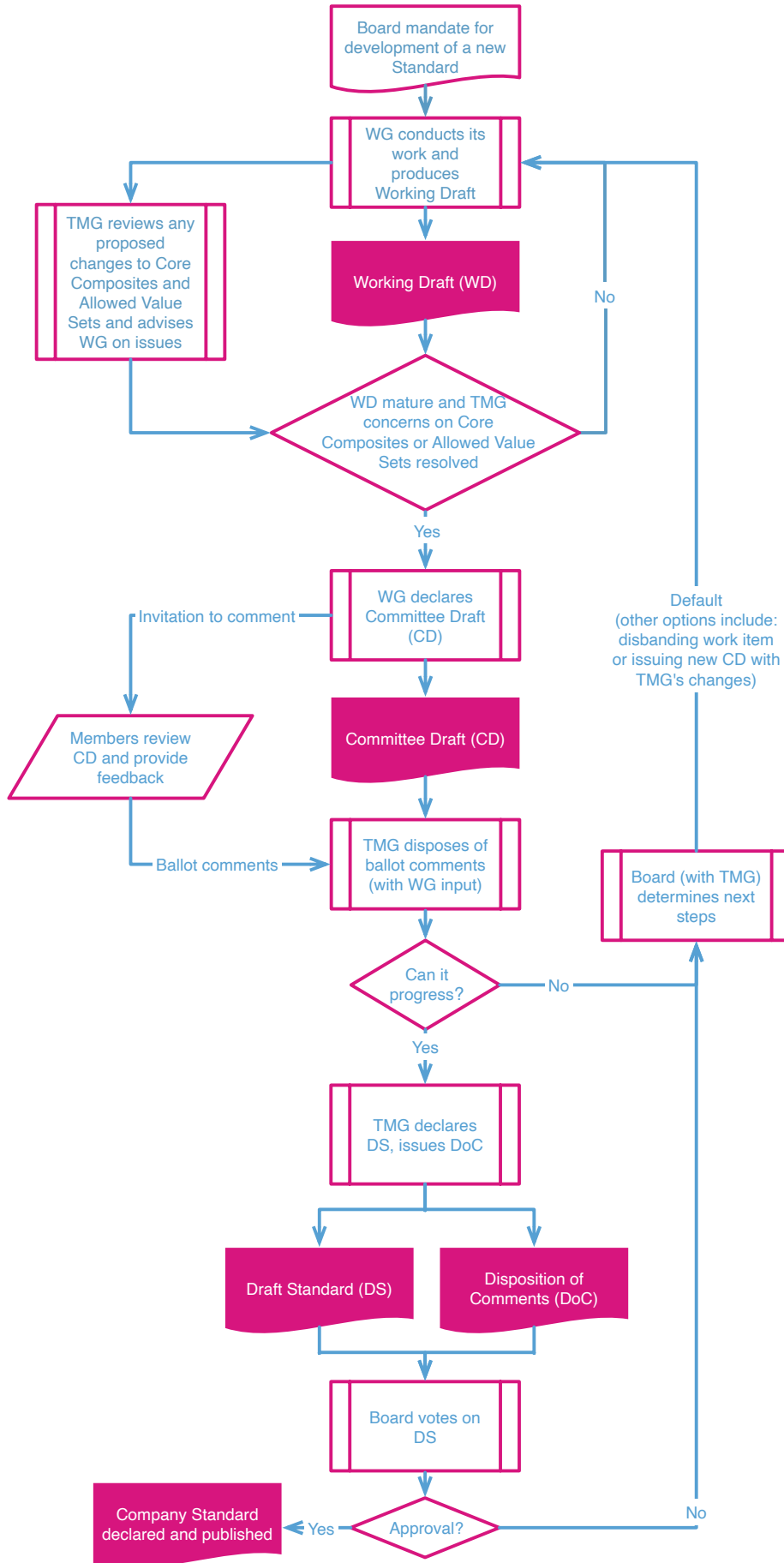


Figure 2 – Developing a new DDEX Standard

C.3.1 Development phase

The Sponsor/Chair of the Working Group convenes meetings in accordance with the mandate provided by the Board. At its meetings, the Working Group shall consider any Input Documents submitted in accordance with Section C.9.1 (Input Documents). The primary focus of the Working Group will be to develop the Standard as mandated, by developing Working Drafts.

Members of the Working Group or the Working Group may instruct the Secretariat, to create additional Output Documents as set out in Section C.9.2 (Output Documents). When the Working Group considers the Working Draft to be sufficiently mature, the Working Group instructs the Secretariat to create and then declare a Committee Draft. Working Drafts are typically promoted to Committee Draft at a Plenary Meeting. A Committee Draft shall not be declared until it is established by the Company that at least two Members, usually a message sender and a message recipient, are in the process of, or are scheduled to, implement the relevant Standard. Without such knowledge, a Committee Draft shall not be declared.

At the same time as the declaration of a Committee Draft, an IP Notice Period is initiated, the definitions and procedures for which are set out in the IP Policy (see Annex B (Intellectual Property Policy)).

If, by the deadline set by the Board in the original mandate, the Working Group has been unable to declare a Committee Draft for any reason, the Sponsor of the Working Group shall inform the Board. The Board shall, entirely at its discretion, decide the course of action to be taken. Possible steps include:

- (a) instructing the existing Working Group to continue work on the development of a Standard potentially with a revised mandate;
- (b) constituting a new Working Group, perhaps under a new Sponsor and/or Chair, to continue the development of a Standard; or
- (c) discontinuing the development of a Standard.

During the development phase, the Working Group may, at its own discretion establish Ad-hoc Groups to conduct a well-defined task in a well-defined time frame. Working Groups are not obliged to accept the findings of any of their Ad-hoc Groups.

The establishment of Ad-hoc Groups may also be undertaken by the Board or a Plenary Meeting or a Working Group, to carry out preliminary investigations and discussions relating to a new subject area. The purpose of such Ad-hoc Groups is, through its investigations and discussions, to make a recommendation to, respectively, the Board, a Plenary Meeting or a Working Group as to how the Company should approach work relating to the new subject area.

C.3.2 Consultation phase

When a Committee Draft has been declared, the Sponsor/Chair of the Working Group shall instruct the Secretariat to invite all Members⁴ to comment on it in the form of Input Documents. This consultation procedure shall last one calendar month. At the end of the consultation, the Technical Management Group shall be convened by the Secretariat to determine whether or not the nature of the comments submitted by Members allows the Committee Draft to progress to Draft Standard status.

The Technical Management Group shall review the comments received from Members during the consultation and determine if the Committee Draft can progress taking into account those comments. If the Technical Management Group, in consultation with the Sponsor and/or Chair, determines that the comments do allow the Committee Draft to progress, it shall instruct the Secretariat to produce:

- (a) a Draft Standard; and
- (b) a Disposition of Comments document that details how each of the comments from Members have been taken into account when issuing the Draft Standard.

A Draft Standard shall, however, not be declared until such time as Samples have been prepared which can be published at the same time as, or close to the publication of, the Standard.

If the comments received from the Members are deemed to be predominantly editorial, the Technical Management Group can also instruct the Secretariat to produce and issue the Draft Standard and Disposition of Comments directly without involving the Sponsor or Chair of the relevant Working Group. If no comments are received, no Disposition of Comments needs to be issued.

If the Technical Management Group determines that the comments received during the consultation do not allow the Committee Draft to progress, the Technical Management Group shall demote it to Working Draft and the Sponsor shall inform the Board of the reasons for this decision. The Board shall, entirely at its discretion, decide the course of action to be taken. Possible steps include:

- (c) instructing the existing Working Group to continue work on the development of a new Standard potentially with a revised mandate (default);
- (d) constituting a new Working Group, perhaps under a new Sponsor and/or Chair, to continue the development of a Standard; or
- (e) discontinuing the development of a Standard.

Upon completion of this task by the Technical Management Group, the Sponsor shall inform the Board.

⁴ Liaisons are also invited to comment on Committee Drafts but the Technical Management Group is not obliged to accept any proposed changes to the Committee Draft contained in such comments.

C.3.3 Voting phase

The production of a Draft Standard triggers the requirement of the Board to vote on whether or not the Draft Standard is promoted to the status of a Standard. Therefore, upon receiving notification that a Draft Standard has been produced, the Chair shall instruct the Secretariat to notify the Board accordingly, requiring each Representative of the Board to vote on the promotion of the Draft Standard to a DDEX Standard. A Draft Standard is promoted to a Standard upon a successful Super Majority Vote of the Board, subject to the provisions of Section 5.3.7 (Decisions by Board), subsections (b)(i) and (ii) of the Agreement. Such a vote should take place within 30 days of the declaration of a Draft Standard.

C.3.3.1 Positive vote

Once the Board has declared a Standard, it instructs the Secretariat to publish the Standard on the public section of the Company knowledge base website (<https://kb.ddex.net>). Only minor editorial changes to the Standard are permissible at this point.

C.3.3.2 Negative vote

Should the Board not vote in favor of promoting the Draft Standard to a Standard, the Board shall determine how the development of the Standard should proceed. Possible steps include:

- (a) instructing the existing Working Group to continue work on the development of a new Standard potentially with a revised mandate (default);
- (b) constituting a new Working Group, perhaps under a new Sponsor and/or Chair, to continue the development of a Standard; or
- (c) discontinuing the development of a Standard.

C.4 Maintaining DDEX Standards

Once a Standard is declared (and thus may be implemented by Members and Licensees), it may be that it is found not to fully meet Members' and Licensees' business requirements and/or to contain errors. The changed requirements might include changes that are outside the scope of a Subset Schema described in Section C.7.1 (Subset Schema of a Standard) or where local or specialized business conditions are not met by the scope of the Standard.

In circumstances where a Standard is found not to meet business requirements and/or to contain errors, a Licensee, a Member, a Liaison, an Ad-hoc Group, a Working Group or a Plenary Meeting may submit a Change Request to the Board. The Board may delegate the receipt and management of Change Requests, as set out in Section C.4.1 (Management of Change Requests), to the Secretariat and the Secretariat will liaise accordingly in that regard with the relevant Working Group Sponsor and/or Chair.

C.4.1 Management of Change Requests

Upon receipt of a sufficient number of Change Requests for the same Standard the Board shall initiate a process of reviewing the validity of the content of the Change Requests by:

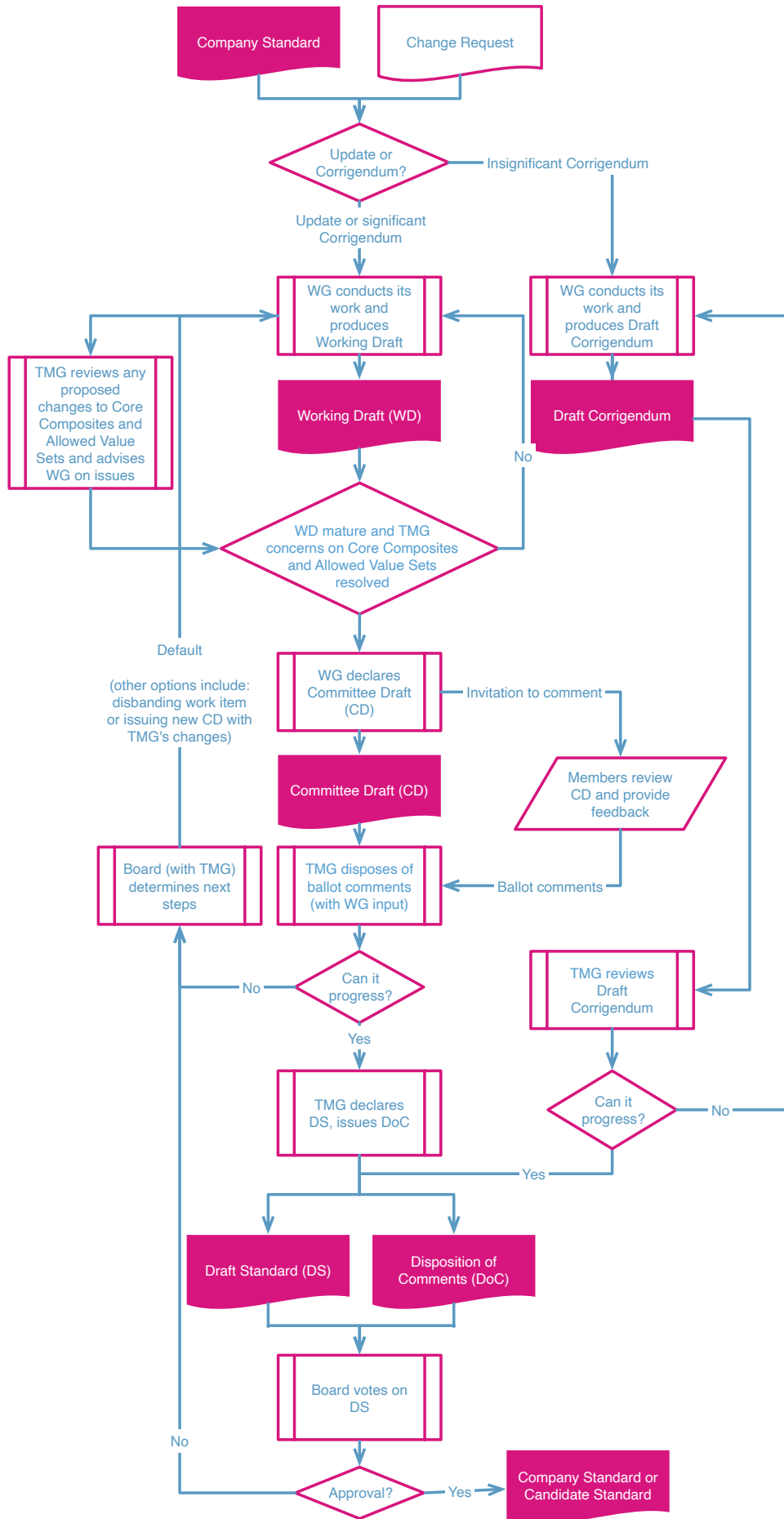


Figure 3 – Maintaining DDEX Standards

- (a) establishing a Working Group (in accordance with Section C.2 (Initiating Development of a new DDEX Standard)) with a specific mandate and time line to work on the relevant Standard; and
- (b) appointing a Sponsor/Chair for the Working Group.

The Chair of the Working Group shall invite interested parties (from Charter or Full Members, and if appropriate Liaisons in accordance with Section 5.10 (Liaisons) of the Agreement) and co-ordinate the review of the Standard. Charter or Full Members and Liaisons shall inform the Chair of a Working Group of the Representative(s) from the organization who will serve on the Working Group.

The Sponsor/Chair of the Working Group will then, in consultation with the Working Group, determine whether the Change Requests submitted describe solely one or more errors (or bugs) that need fixing, or whether the Change Requests submitted describe any additional features or extensions. If the decision is that the Change Requests constitute errors only, then a Corrigendum is created.

The process for the development of a Corrigendum is set out in Section C.4.2 (Corrigenda). If the decision is that the Change Requests constitute additional features or extensions, then an Update is created. The criteria for this decision include the time since publication of the last full version of the Standard and the complexity of the Change Requests. The process for the development of an Update is set out in Section C.4.3 (Updates).

Where an appropriate Working Group already exists, the Board will task that Working Group to carry out the development of the Corrigendum or the Update. Before commencing the work, the Sponsor/Chair shall ensure that the version number of the Corrigendum or Update Standard is advanced in accordance with Section C.8 (Versioning).

The processes explained in these Sections are set out in the flow diagram at Figure 3.

C.4.2 Corrigenda

The Working Group shall consider the Change Requests and agree (by unanimity or Consensus) solutions to those Change Requests. The Working Group shall then instruct the Secretariat to expeditiously create the Corrigendum and declare a Committee Draft. The Sponsor/Chair of the Working Group shall instruct the Secretariat to invite the Members to comment on the Committee Draft. This consultation process shall last one calendar month.

At the end of the consultation, the Technical Management Group shall be convened by the Secretariat to determine whether or not the nature of the comments submitted by Members allow the Committee Draft to progress to Draft Standard status. The Technical Management Group shall consult with the Sponsor and/or Chair and may, in addition consult the Working Group to assist in determining the next steps.

The Technical Management Group shall determine whether or not a Committee Draft shall become a Draft Standard in accordance with the procedures set out in Section C.3.2 (Consultation Phase). Similarly, depending on whether or not the Committee Draft shall

become a Draft Standard, the Technical Management Group shall take the relevant actions as set out in Section C.3.2 (Consultation Phase).

In the event that the Working Group or Technical Management Group does not consider the proposed change(s) to the Standard contained in a Change Request to warrant immediate inclusion in a Corrigendum of the Standard, the Change Request itself will remain logged with the Company.

If a Licensee, or a Member registered the Change Request and still wishes to implement the Change, they may do so, but the messages will no longer be conformant with the Standard.

C.4.3 Updates

In all other respects the process followed for the purposes of creating an Update, as a new version of a Standard is the same as for creating an original Standard as set out in Section C.3 (Developing a New DDEX Standard). Whilst there is no requirement for an Update of a Standard to be Compatible with its predecessor, Working Groups shall attempt, where possible, to provide such compatibility.

In the event that the Working Group or Technical Management Group does not consider the proposed change(s) to the Standard contained in a Change Request to warrant inclusion in an Update of the Standard, the Change Request itself will remain logged with the Company. If a Licensee(s), or Member(s) registered the Change Request and still wishes to implement the Change, they may do so, but the messages will no longer be conformant with the Standard.

C.4.4 Management of Core Composites

To minimise variations in Core Composites between different Standards, when a technical proposal relating to the development (Section C.3 (Development of a new DDEX Standard)) or maintenance (Section C.4 (Maintaining DDEX Standards)) of a Standard requires the use of an existing Core Composite the following procedure shall be followed.

When a Core Composite needs to be used by a Working Group in a technical proposal, the Superset Composite version of that Core Composite shall, as much as possible, be used in the technical proposal. This approach shall initially ensure that all composites that form part of a technical proposal are used with sub-elements and attributes having:

- (a) the same name, ideally, as in all other standards;
- (b) the same structure, ideally, as in all other standards, including data types for all sub-elements and sub-composites;
- (c) the same location within a parent composite, ideally, as in all other standards;
- (d) the same cardinality, ideally, as in all other standards; and
- (e) an equivalent definition as in all other standards, although there may be minor variations to reference, for example, the specific context in which it is being used.

If the relevant Working Group accepts the technical proposal using the Superset Composite, and because the construction of the composite meets the above rules, it can be added to the next version of the Standard under discussion.

If, however, the relevant Working Group determines that it wishes to use the Superset Composite in a form that diverges from the Superset Composite, the Secretariat shall notify the TMG accordingly. The TMG, supported by the Secretariat, shall review the nature of the proposed divergence made by the relevant Working Group and seek to discourage such divergence by proposing alternative mechanisms for achieving the same result. However, the final decision rests with the Working Group, although every effort should be made by the Working Group to address any TMG concerns relating to the proposed divergence.

In such circumstances any change to a Core Composite needs to be communicated to all Working Groups whose Standard(s) make use of that Core Composite. Each such Working Group may then decide to adapt the Core Composite within its Standard(s) and/or the TMG may consider the originally proposed divergence from the Core Composite to be positive across all DDEX Standards and adapt the relevant Core Composite accordingly.

It is recognised that this additional consultation may delay a Standard from being declared. It is therefore recommended that a Working Group resolves such consistency issues with the TMG well in advance of promoting a Working Draft to a Committee Draft.

C.4.5 Management of Allowed Value Sets

The DDEX Standards make extensive use of Allowed Value Sets. The Allowed Value Sets, the terms within each Allowed Value Set and the associated definitions of those terms are “centrally” maintained. Each Working Group may make use of whatever Allowed Value Sets it considers necessary for its Standard(s). The TMG maintains the Allowed Value Sets, unless a particular Allowed Value Set appears only in Standards maintained by a single Working Group, in which case the Allowed Value Set is maintained by the relevant Working Group.

To minimise variations occurring in Allowed Value Sets across the Standards, when a technical proposal relating to the development (Section C.3 (Development of a new DDEX Standard)) or maintenance (Section C.4 (Maintaining DDEX Standards)) of a Standard requires the use of an existing Allowed Value Set the following procedure shall be followed.

When an Allowed Value Set needs to be used by a Working Group in a technical proposal, the term and definitions as set out in the most recent version of the XML Schema Definition file shall be used in the technical proposal. If this is the approach the Working Group takes the use of the Allowed Value Set can be added to the next version of the Standard under discussion.

If a Working Group wishes to add an Allowed Value to an Allowed Value Set whether that Allowed Value Set is unique to a Standard that the Working Group manages or is used across more than one Standard and thus managed by the TMG, the Secretariat shall notify the TMG accordingly. The TMG, supported by the Secretariat, shall review the nature of the proposed addition to ensure that it does not overlap with another Allowed Value in any Allowed Value Set. If there is no objection from the TMG in respect of an Allowed Value Set managed by the Working Group alone, the Secretariat is then instructed to make the appropriate change. However, the final decision rests with the Working Group, although if the TMG expresses concerns about the addition, every effort should be made by the

Working Group to address any TMG concerns relating to the proposed addition. Instead of notifying the TMG, the changes may also be reviewed and approved at a Plenary Meeting.

In cases where the addition a Working Group wishes to make is in respect of an Allowed Value Set utilised across more than one Standard, the TMG shall inform other Working Groups affected and take that Working Group's views into account during its deliberations. If there is no objection from the TMG in respect of an Allowed Value Set it manages, the Secretariat is then instructed to make the appropriate change. However, the final decision still rests with the relevant Working Group, although if the TMG and/or another Working Group expresses concerns about the addition, every effort should be made by the relevant Working Group to address any such concerns relating to the proposed addition. All such changes to the XML Schema Definition file are only made the next time it is updated, to avoid the creation of a new versions simply for, say, the addition of one Allowed Value utilised in only one Standard.

It is recognised that this additional consultation may delay a Standard from being declared. It is therefore recommended that a Working Group resolves such consistency issues with the TMG well in advance of promoting a Working Draft to a Committee Draft.

C.4.6 Audits by the TMG

The TMG, supported by the Secretariat, should carry out an audit once every two years of the Core Composites and Superset Composites and the Allowed Value Sets with a view to keeping them both harmonised. This audit shall compare the use of all Core Composites and Allowed Value Sets being used in all the Standards and identify any differences and make recommendations to the various Working Groups on how they should consider aligning their Standard in respect of the use of Core Composites and Allowed Value Sets to all other Standards.

C.5 Provisions for management of urgent business requirements

A Member or a Licensee may formally register a Change Request and mark it "For Urgent Business Requirements". In that event, the Secretariat shall notify the Chair of the relevant Working Group of the Change Request. The Secretariat shall then attempt to set up a meeting of the relevant Working Group within ten (10) working days. Such urgent business requirements can apply to both Corrigenda and Updates.

Assuming such a Working Group meeting can be set up and provided it is Quorate, the relevant processes as set out in Sections C.3 (Developing a New DDEX Standard), C.4.2 (Corrigenda) (for a Corrigenda) and C.4.3 (Updates) (for an Update) are followed. If the relevant Working Group is able to agree a solution to the relevant Change Request within a timeframe acceptable to the Member or the Licensee that registered the Change Request, but the publication of a Corrigenda or Update to the relevant Standard is not planned in such timeframe, then the Working Group may authorize the Secretariat to publish an article on the Company website setting out the agreement of the Working Group relating to that Change Request.

In such circumstances, any Members or Licensees, may adopt the agreed change in their implementation of the relevant Standard. Such implementation of the change is

not conformant with the then current version of the relevant Standard, and the change shall not represent on its own an upgrade to the then current version of the relevant Standard, but the implementation is compliant to the Working Group's agreed solution to meet the expressed urgent business requirement. The agreed change shall only form part of an Upgrade at such time as DDEX agrees to an Update of the relevant Standard being published. At that stage the implementations of the urgent business requirement, if made in accordance with the documented article, will become conformant once again.

In the event that the Secretariat is unable to arrange a meeting for the relevant Working Group in the above timeframe, or a Working Group conference call is arranged in that timeframe, but is not Quorate, then the Secretariat shall attempt to organize a Quorate Working Group meeting as soon as possible thereafter and the Working Group shall seek to reach resolution on the Change Request as soon as possible thereafter and any such agreement published in accordance with the above.

In the event that the Working Group cannot agree a resolution to the requested Change Request in the necessary time frame or it agrees that any resolution shall not be published until part of an Upgrade of the relevant Standard or the Member or the Licensee that proposed the Change Request does not agree with the solution agreed by the Working Group, then any changes subsequently made by the Member or the Licensee that proposed the Change Request which vary from the then current version of the relevant Standard shall render the implementation non-conformant.

C.6 Appeals

Although the adoption of Consensus seeks to balance the desire to accommodate all participant requirements whilst achieving momentum in completion of work, there may be specific circumstances where a Member feels aggrieved at this approach. This would suggest that a Member considers it has offered sustained opposition on a substantial issue but been "overridden" by the Chair of the Working Group in question or the Chair has not properly allowed Consensus to be reached. It is therefore appropriate in these circumstances that Members have a right of appeal.

Therefore, if a Member believes its position has been ignored by the Chair of a Working Group with regard to a substantial issue, that Member may appeal in the first instance to the Technical Management Group. Such appeal must be made within ten (10) working days of the meeting (not counting the day of the meeting itself) that gave rise to the appeal, in writing to the Chair of the Technical Management Group.

The appeal shall describe the issue under discussion, why the Member considers the issue to have been "substantial" and that sustained opposition to the issue under discussion by an important part of the concerned interests was ignored. The appeal shall also explain the way in which, if this is indeed the case, the Working Group Chair did not conduct the meeting correctly. The appeal may also explain how and in what way retaining the decision that has given rise to the appeal will disadvantage the Member and/or its major business partners. The Technical Management Group may also seek in writing from the relevant Working Group Chair an explanation of the events of the relevant Working Group meeting from the Chair's perspective giving the reasons why the Chair considers that the meeting was conducted correctly.

Following receipt of an appeal, the Technical Management Group shall meet within five (5) working days of receipt (not counting the day of receipt) of the appeal and determine its merits against the explanation of the Chair. The outcome of the Technical Management Group review shall be notified to the Member no later than two (2) working days (not counting the day of the meeting) after the Technical Management Group has met to discuss the appeal. If the Technical Management Group upholds the appeal, then the Sponsor and/or Chair of the relevant Working Group shall be notified at the same time as the Member and is required to call a meeting for that Working Group within ten (10) working days of receipt of the notification to overturn the decision which led to the appeal and seek an alternative way forward.

In the event that the Technical Management Group does not uphold the appeal the Member may appeal in the second instance within a further five (5) working days of receipt (not counting the day of receipt) of the notification from the Technical Management Group to the Board by forwarding the appeal in writing to the Chair of the Board. The Board shall meet within five (5) working days of receipt (not counting the day of receipt) of the appeal and determine its merits against the explanation of the Chair.

The outcome of the Board meeting shall be notified to the Member no later than 2 working days (not counting the day of the meeting) after the Board has met to discuss the appeal. If the Board upholds the appeal, then the Sponsor and/or Chair of the relevant Working Group shall be notified at the same time as the Member and required to call a meeting for that Working Group within ten (10) working days of receipt of the notification to overturn the decision which led to the appeal and seek an alternative way forward. If the Board does not uphold the appeal, there is no further right of appeal and the original decision of the Working Group shall stand.

C.7 Other forms of change to DDEX Standards

C.7.1 Subset Schema of a Standard

It is permissible for any Licensee (usually in agreement with one or more business partners that are also Licensees) to narrow the cardinality of a message element by applying business rules that are more constrained than the XML Schema of the relevant Standard. Valid changes to the cardinalities within a Subset Schema are set out in Table 1. It is not possible to *broaden* cardinalities (for example, from 0-1 to 0-n, or from 1 to 0-1), because the resulting message will not then validate against the XML Schema of the Standard. The same applies to the cardinality for Cells in flat file structures where it is possible for business partners to agree to make an optional cell mandatory or that an optional cell may not be used in a specific set of circumstances.

Cardinality in the Schema of the Standard	Narrowed cardinality in the Subset Schema
From 0-1	to 0 or 1
From 1-n	to 1
From 0-n	to 0, 1, 1-n or 0-1

Table 1 – Valid cardinality changes

The development of such a Subset Schema does not require the processes described in Sections C.4.2 (Corrigenda) and C.4.3 (Updates) to be followed.

If a Licensee creates a Subset Schema the Licensee is responsible for producing the Subset Schema. Subset Schemas shall be considered conformant with the relevant Standard provided the Subset Schema is produced in accordance with the applicable sections of the relevant Standard and provided it is identified in accordance with the numbering convention set out in Section C.10.3 (Namespace Convention for Standard Message Schemas).

If a Licensee wishes to have a Subset Schema validated it may be submitted as an Input Document to the relevant Working Group. This Working Group will review the Subset Schema and either confirm or refute its conformance to the relevant Standard. The Working Group may advise the Licensee how to define the schema correctly so that it is conformant with the relevant Standard.

C.7.2 Confidential revisions

There may be circumstances where two or more Members or Licensees wish to make changes to a Standard in the communications between them to meet requirements that they wish to keep confidential. In such circumstances there is no obligation on the Members or the Licensees to register the change(s) to the Standard. However, the Members or the Licensees will not be compliant with the Standard in such circumstances but they will not be in breach of the original license issued to the Members or the Licensees for the implementation of the Standard in its original form.

C.8 Versioning rules

When a Standard is declared the version number assigned to it shall follow these rules:

- (a) the initial version shall be “1.0”;
- (b) any version of a Standard which is not Compatible with a previous version of the Standard with the same name, shall carry a full version number (e.g. v2.4 goes to v3.0);
- (c) any version of a Standard which is an Update and is Compatible with a previous version of the Standard with the same name, shall carry a sub-version number (e.g. v2.4 goes to v2.5);
- (d) any version of a Standard which is a Corrigendum of a previous version of the Standard with the same name, shall carry a sub-sub-version number (e.g. v2.4 goes to v2.4.1); and
- (e) Any Draft Standard shall be prefixed with “Draft Standard of..”, for example, “Draft Standard of v2.4.....”.

However, at the discretion of the Board the above rules may be varied in the following way:

- (f) a Compatible change of a version of a Standard which leads to a Corrigendum or Update of the Standard with the same name is not precluded from being declared with a full version number;

- (g) a freeze on the declaration of new versions of any Standard may be declared for non-technical reasons except in the case of “bug fixes” unless the bug fix is considered, by the Board, as being significant;
- (h) a new version of a Standard, which results from the correction of an insignificant bug fix, may be declared a Standard without the requirement (set out in Section **Error! Reference source not found.** (Voting Phase)) for a Committee Draft phase or its associated IP Notice Period.

C.9 Document management

This section applies to all documents created within the Company whether or not they are relevant to this Procedure. The Company recognizes three different document types:

- (a) Input Documents;
- (b) Output Documents; and
- (c) Standard Documents (Working Drafts, Committee Drafts, Draft Standards, and Standards).

C.9.1 Input documents

Input Documents are considered to represent the opinion of the individual or organization submitting the document. Input Documents do not represent the unanimous or Consensus opinion of an Ad-hoc Group, a Working Group, a Plenary Meeting, the Executive Board or the Board.

Input Documents shall be considered at the next meeting of the relevant Ad-hoc Group, Working Group, Plenary Meeting, Executive Board or Board to which they have been submitted provided that they are made available to the relevant group members one week before the meeting via a document exchange repository (see Section C.13.5 (Document Exchange Repository)). With the exception of the vote on a Draft Standard as anticipated in Section C.3.3 (Voting Phase), an Ad-hoc Group, a Working Group, a Plenary Meeting, the Executive Board or the Board may make a specific decision to postpone addressing the Input Document. If an Input Document is not considered at the next relevant meeting, it remains an open issue and shall be put on the agenda for the next meeting of the appropriate group.

Document numbers for Input Documents are issued by the Secretariat.

C.9.2 Output documents

Output Documents are approved by a Working Group, a Plenary Meeting, the Executive Board or the Board and represent the opinion of that Ad-hoc Group, Working Group, Plenary Meeting, Executive Board or Board. Typical Output Documents include:

- (a) meeting Notes;
- (b) Dispositions of Comments on Standards;
- (c) all other documentation an Ad-hoc Group, a Working Group, a Plenary Meeting, the Executive Board or the Board has agreed on.

Document numbers for Output Documents are coordinated between the appropriate Sponsor/Chair and the Secretariat.

C.9.3 Standard documents

Standard documents are special Output Documents and come in four versions:

- (a) Working Drafts;
- (b) Committee Drafts;
- (c) Draft Standards; and
- (d) Standards including their Standard XML Schemas.

These documents are approved as described in Sections C.3 (Developing a New DDEX Standard). Specific rules apply to XML Schema Documents that form part of a Standard. These are to be named in accordance with the relevant Namespace Convention provided in Section C.10 (Naming Conventions).

C.10 Naming conventions

The Company uses a number of naming conventions.

C.10.1 Convention for Input and Output Documents

The Company Input and Output Documents are identified in accordance with the following convention:

gggg-nnnn

where:

- gggg Represents a code representing a Working Group, a Plenary Meeting, the Executive Board or the Board.
- nnnn The unique number of the document.

The identifier for a document is used both on the document itself and in the naming of digital files of the document. The file name is typically extended by a human readable string and an extension to indicate the file type (e.g. "Plenary-0000 Document Register.xls"). Input Documents to and Output Document from an Ad-hoc group shall use the naming convention for the body that set up the Ad-hoc Group.

The Secretariat shall maintain a document register, itself numbered Plenary-0000, on the document exchange repository (see Section C.11 (Document Exchange Repository)).

C.10.2 Convention for Standards

Standards use the same naming convention. The title of the document shall however carry the term "DDEX Standard".

C.10.3 Namespace convention for Standard Message Schemas

The XML Schema that form part of the Standards or Candidate Standards are identified by their respective namespaces in the form:

<http://ddex.net/xml/xxxx/vrb>

where:

- xxxx Represents a code representing the Standard.
- v Represents the version of the Standard. The version code ranges from 1 to 9, A to Z.
- r Represents the sub-version of the Standard. The version code ranges from 0 to 9, A to Z.
- b Represents a sub-sub-version of the Standard. The version code ranges from 0 to 9, A to Z. This element is optional.

Each of the XML Schemas that form part of a Standard file usually include a Schema for the allowed values in a namespace:

<http://ddex.net/xml/allowed-value-sets>

C.10.4 Publication of Schema Files

XML Schema files (and any other documentation) may, at the discretion of the Board, be published to the general public.

C.11 Document exchange repository

A central document exchange repository is maintained for all Input, Output and Standards documents by the Secretariat at <http://ddex.basecamphq.com>. Access to the repository shall be limited to Charter and Full Members of the Company. The central document exchange repository may also be used to distribute documents to Liaisons, Licensees and Associate Members if adequate access control mechanisms are employed.

C.12 Language

To reflect the international nature of the Company, Standards and Output Documents shall be written in International English, with the exception of the Agreement, the IP Policy and this Procedure which form part of the company statutes of DDEX for which US English is used. However, in alignment with global conventions, 'code' such as tags in the Schemas of Standards and headwords in the Data Dictionary are written in US English.