**Normative Ballot Project Lifecycle**

This document summarizes the lifecycle of ballot projects and is intended to provide Work Group (WG) Co-Chairs with a high-level view of the major stages and waypoints involved in balloting any document or standard with the goal of publishing that document or standard.

**Note:** **The green print identifies the sub-steps that require action by the WGs. T**he sub-steps in black print are actions taken by other parties included in the process. These instructions provide links to all forms referenced in the steps.

**Decision Point: Going Straight to Normative or Moving from Review to Normative**

* **Step 1 – if the ballot document is:**
	+ - **Going to straight to normative without a prior review ballot, continue to Project Initiative and Approval heading below.**
		- **Going to normative following a prior review ballot, go to Project Insight to get the original PSS (completed when the project was originally approved), and**
			* **Modify Section 1 in the PSS by checking the box next to "TSC Notification Informative/DSTU to Normative" and entering the current date**
			* **Submit it to the TSC Project Manager, who takes it to the TSC for review**
			* **The Project Facilitator attends the TSC Conference Call on which the PSS will be reviewed so as to answer any questions/concerns**
			* **Upon TSC approval, proceed to Ballot Initiation heading below**

**Project Initiation and Approval**

* **Step 1 – Complete a new Project Scope Statement (PSS) for Work Group Approval**
	+ - **Step 1.1 - Complete the** [**HL7 Project Scope Statement**](http://www.hl7.org/permalink/?ProjectScopeStatement) **(Note that this form comes in a zip file containing the form, instructions, and approval processes.)**
		- **Step 1.2 - Submit the completed PSS to your Work Group and any co-sponsoring Work Groups for approval**
		- **Step 1.3 - Submit the completed PSS to any Co-Sponsoring Work Groups for their approval**
* **Step 2 – Submit the Work Group Approved Project Scope Statement to the Steering Division co-chairs and to the Director of the PMO**
	+ - **Step 2.1 – Once approved by the WG, submit the PSS to your WG’s Steering Division**
		- **Step 2.2 – Submit the PSS to the Director of the HL7 Project Management Office via email:** **pmo@hl7.org****. This can be done simultaneously with your submission to the Steering division.**
		- Step 2.3 - The Director of the PMO will assign a new Project ID to the project, enter the project into Project Insight (online resource) and communicate project information to the Director of Technical Publications.
* **Step 3 – Secure Steering Division Approval of PSS**
	+ **Step 3.1 - The WG Project Facilitator attends the SD Conference Call on which the PSS will be reviewed so as to answer any questions/concerns.**
	+ Step 3.2 - The SD reviews and either approves the PSS, or returns it to the WG with direction or considerations. WGs must repeat steps 1-3 if additional direction or edits were submitted by the Steering Division
	+ Step 3.3 - Upon SD approval, the TSC Project Manager forwards the PSS to the TSC for review/approval
* **Step 4 – Secure Technical Steering Committee (TSC) Approval of Form**
	+ **Step 4.1 - The Project Facilitator attends the TSC Conference Call on which the PSS will be reviewed so as to answer any questions/concerns.**
	+ The TSC reviews and either approves the PSS or returns it to the SD and WG with direction or considerations.
	+ The Director of the PMO updates the SD and TSC Approval Dates appropriately in Project Insight as they occur.

**Ballot Initiation**

* **Step 1 – Announcement of Calendar for upcoming Ballot Cycle**
	+ Step 1.1 - The Director of Technical Publication releases an email to the Co-Chairs list providing a calendar of the upcoming ballot cycle and indicates that the Notifications of Intent to Ballot (NIB) form is available.
* **Step 2 – Complete the Notification of Intent to Ballot (NIB) form**
	+ **Step 2.1 – The WG co-chair completes the** [**NIB form**](http://www.hl7.org/special/committees/tsc/ballotmanagement/index.cfm) **for each of the WG-approved ballot project items the WG expects to take to ballot during the upcoming ballot cycle. Please note that several of the fields on this form are used in the completion of the ballot announcement, so a clear description of the ballot item (its intent and the expected contents, as well as any revisions from previous ballots) should be prepared beforehand.**
* **Step 3 – Distribute and Approve the Formation of Ballot Pools Announcement**
	+ Step 3.1 - The Director of Tech Pubs prepares and distributes the formation of ballot pools announcement to the Co-Chairs listserv using information provided in the NIB form
	+ **Step 3.2 –At least one co-chair must review the ballot entries for that WG and reply back with revisions or confirm that the entries for that WG are correct.**
* **Step 4 – Secure TSC Approval of Ballot Items**
	+ Step 4.1 - Many aspects of the ballot process, such as ballot level and item name, are subject to approval by the TSC. At some point between the release of the formation of ballot pools announcement and the opening of the ballot the TSC will approve those items and the names of the items permitted to ballot.
* **Step 5 – Release Ballot Announcement**
* Step 5.1 - At least 30 days prior to the scheduled ballot opening, the Director of Tech Pubs will release the Formation of Ballot Pool Openings.
* **Step 5.2 – Once the ballot announcement has been released, any change in the status of any ballot item should immediately be communicated by the WG to the Director of Tech Pubs.**

**Ballot Process**

* **Step 1 – Prepare Ballot Materials**
* **Step 1.1 - The WG’s publishing facilitator submits all ballot materials requiring HQ preparation (i.e., V3-related materials) to the Director of Tech Pubs according to the deadlines indicated in the V3 Ballot Countdown. For non-V3 submissions, the materials will be prepared according to the WG's schedule and supplied to the Director of Tech Pubs on the agreed upon date before the ballot opening.**
* **Step 1.2 Once ballot material is posted by the Director of Technical Publications, WG co-chair reviews the posted materials for completeness and correctness.**
* **Step 1.3 – The WG co-chair communicates needed changes to Director of Tech Pubs and/or confirms that the posted ballot materials are ready for ballot opening.**
* **Step 2 – Open the Ballot Cycle**
* Step 2.1 - The Director of Tech Pubs releases the Ballot Opening announcement indicating the formal beginning of the ballot period during which members submit their votes.
* **Step 2.2 – If changes to ballot materials are needed after this point, the WG must petition the Publishing WG for corrections to material and a patch release.**
* **Step 3 – Close the Ballot Cycle and Release Ballot Results**
* Step 3.1 - At ballot close, the Director of Tech Pubs will review the ballot results (ensuring, for instance, that quorum has been met) and package and release the ballot results to the Co-Chairs.

**Ballot Reconciliation**

* **Step 1 – Consolidate Ballot Comments**
	+ **Step 1.1 - A WG co-chair consolidates the ballot comments for each WG ballot item in preparation for reconciliation. This is done via the Reconciliation Spreadsheet. See the** [**ballot desktop**](http://www.hl7.org/ctl.cfm?action=ballots.home&ballot_cycle_id=533&ballot_voter_id=0) **and co-chair utilities to export all comments submitted against a particular document to a single** [**Reconciliation Spreadsheet**](http://www.hl7.org/documentcenter/public/utilities/BallotComments_Amalgamation_Macro.zip)
	+ **Step 1.2 – A WG co-chair manually enters any comments in the comment fields on the ballot desktop to the** [**Reconciliation Spreadsheet**](http://www.hl7.org/documentcenter/public/utilities/BallotComments_Amalgamation_Macro.zip)**. Check the comments fields on the** [**ballot desktop**](http://www.hl7.org/ctl.cfm?action=ballots.home&ballot_cycle_id=533&ballot_voter_id=0) **as the co-chair utility open inserts the comments from individual spreadsheets that were uploaded.**
* **Step 2 – Conduct and Complete Ballot Reconciliation**
* **Step 2.1 – Schedule calls or meetings as needed to reconcile all ballot comments. Use the** [**amalgamated comments spreadsheet**](http://www.hl7.org/documentcenter/public/utilities/BallotComments_Amalgamation_Macro.zip) **(which was created above) to track WG decisions regarding the ballot comments.**
* **Step 2.2 – When reconciliation is completed, a WG co-chair posts this final reconciliation spreadsheet to the ballot summary page on the** [**Ballot Desktop**](http://www.hl7.org/ctl.cfm?action=ballots.home&ballot_cycle_id=533&ballot_voter_id=0)**.**
* **Step 3 – Notify all Voters of Availability of Reconciliation Spreadsheet and Negative Balloters of the Disposition of their Negative Vote**
* **Step 3.1 - Once the final reconciliation spreadsheet has been posted to the ballot summary page on the** [**Ballot Desktop**](http://www.hl7.org/ctl.cfm?action=ballots.home&ballot_cycle_id=533&ballot_voter_id=0)**, a WG co-chair sends an email to the ballot group announcing the availability of the reconciliation package**
* **Step 3.2 –A second messages is sent to negative voters using the “Withdrawal Request to Negative voters” functionality on the** [**Ballot Desktop**](http://www.hl7.org/ctl.cfm?action=ballots.home&ballot_cycle_id=533&ballot_voter_id=0)**.**
* Step 3.3 - Negative voters withdraw their votes using the ballot desktop
* **Step 3.4 – Co-chairs should use the** [**Ballot Desktop**](http://www.hl7.org/ctl.cfm?action=ballots.home&ballot_cycle_id=533&ballot_voter_id=0) **function as needed to send multiple messages to negative voters asking them to withdraw their votes. It frequently takes 3-4 messages to achieve the desired approval levels (75% of combined affirmative and negative votes must be affirmative)**
* **Step 4 – Achievement of Ballot Approval Level**
	+ **Step 4.1- If the ballot document has:**
	+ **achieved the required approval level (75% of combined affirmative and negative votes must be affirmative) and there are no outstanding negative votes and no additional substantive changes are to be made to the document, go to the Publish Final Document heading below and continue the steps outlined there**
	+ **achieved the required approval level (75% of combined affirmative and negative votes must be affirmative) and there are outstanding negative votes, go to the Conduct a Recirculation Ballot if Needed heading below and continue the steps outlined there**
	+ **achieved the required approval level (75% of combined affirmative and negative votes must be affirmative)but additional substantive changes need to be made , the document must be re-balloted. To do this, repeat all steps to this point, beginning with those under the Ballot Initiation heading above.**
	+ **not achieved the required approval level (75% of combined affirmative and negative votes must be affirmative), the document must be re- balloted. To do this, repeat all steps to this point, beginning with those under the Ballot Initiation heading above.**
* **Step 5 – Conduct a Recirculation Ballot if Needed**
	+ **Step 5.1 – Complete the** [**Recirculation Request Template**](http://www.hl7.org/documentcenter/public/procedures/HL7_Recirculation_Request_Template.doc) **form and submit it to** **Don@HL7.org** **and** **Karenvan@HL7.org**
	+ Step 5.2 - The Director of Technical Publications will review the request and, assuming all required documentation requested on the Recirculation Request Template has been submitted, open a Recirculation Ballot.
	+ Step 5.3 All members of the consensus pool for the document undergoing a recirculation ballot are given an opportunity to review the outstanding negative votes and change their final vote if they wish.
	+ **Step 5.4 If the document**
		- **achieved the required approval level following the recirculation ballot, move to the Publish Final document heading below and complete the steps there.**
		- **did not achieve the required approval level following recirculation ballot, the document must be re-balloted or withdrawn. Repeat the steps above beginning with those under the Initiate Ballot Process heading to re-ballot or move to Step 6 below to withdraw the ballot document as a viable project.**
* **Step 6 – Withdraw the Ballot Project if Desired**
	+ **WG assesses the document and determines that it will likely not pass a future ballot.**
	+ **WG takes a formal vote to withdraw the ballot project and records the outcome in their meeting minutes.**
	+ **WG co-chair completes the** [**Withdrawal Request Form**](http://www.hl7.org/permalink/?WithdrawANS) **and submits it to the TSC Project Manager, who takes it to the TSC for review**
	+ TSC approves the withdraw request and staff submits the paperwork to withdraw the document as a proposed American National Standards Institute Project

**Publish Final Document**

* **Step 1 – Submission of Publishing Request Form -**
	+ **WGs make any final unsubstantive changes to the document. Note that documents must be finalized and published within 10 months of the close of the ballot cycle.**
	+ **Step 1.1 – A WG co-chair completes the** [**Publication Request Template Form**](http://www.hl7.org/permalink/?PublicationRequestTemplate) **and submits it to the TSC Project Manager (****Lynn@HL7.org****) who will place it on the TSC agenda for approval.**
* **Step 2 – TSC Approval of Publication Request**
	+ The TSC reviews the publication request and either approves the request or returns the request with direction or comments.
	+ **Co-chairs make any requested changes suggested by the TSC and re-submits it to the TSC Project Manager for TSC review. If no changes were requested, move to Step 3 below.**
* **Step 3 – Document Published to the HL7 website**
	+ The TSC project manager submits the form to the HQ staff
	+ The Director of Tech Pubs prepares the item for publishing, working with the Co-Chairs and/or publishing facilitator as needed to confirm the correct content and its preparation.
	+ The Associate Executive Director submits paperwork for ANSI approval
	+ Once ANSI approval is received, the document is posted to the HL7 website.