

ICL Pathway

ICL Pathway / PON Interface Agreement for
Operational Business Change - Product

Ref: CS/PRD/058

COMMERCIAL IN CONFIDENCE

Version: 5.0

Date: 9/1/2001

0.0 Document Control

0.1 Document History

Version No.	Date	Reason for Issue	Associated CCN No.
0.1	09/02/99	First Draft	
0.2	18/02/99	Second Draft – supersedes first draft	
0.3	22/03/99	Third Draft – incorporates comments from Alison Peacock and David Fletcher	
0.4	23/03/99	Fourth Draft – incorporates changes from David Wilcox	
0.5	31/03/99	Fifth draft – correction to section numbering and other comments	
0.6	23/04/99	Sixth draft – following comments from PON as discussed with Geoff Darby.	
0.7	25/05/99	To include changes proposed in the PON/ICL Pathway meeting of the 30/4/99 and the acceptance review meeting of the 25/5/99. To include comments following ICL Pathway commercial review.	
0.8	18/06/99	To include changes proposed in the PON/ICL Pathway acceptance review meeting of 9/6/99.	
1.0	25/06/99	Baseline version	
1.1	07/07/99	Incorporate comments from PON and Pathway	
2.0	08/07/99	Updated baseline	CCN 496a
2.1	29/07/99	Incorporated comments from PON following rejection of CCN 496a	
2.2	23/08/99	Incorporated comments from PON / ICL Pathway review meeting of 5/8/99.	
2.3	27/08/99	Incorporated comments from PON (David Anders) review of 25/8/99. Amended elements in line with proposed method of product removal	
2.4	14/09/99	Identification that the maximum volume of change could be agreed outside of this document.	

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THIS DOCUMENT WAS FORMALLY WITHDRAWN BY ICL PATHWAY

2.5	03/12/99	Re-issued following significant ICL Pathway / PON discussions.	
2.6	22/12/99	Reviewed after PON / ICL Pathway meeting on 20/12/99.	
2.7	05/01/00	Changed to include ICL Pathway commercial comments.	
2.8	11/01/00	Changes following PON /ICL Pathway review on the 10/1/2000	
2.9	13/01/00	Changes following PON.ICL Pathway review on 13/1/2000	
3.0	20/01/00	Updated baseline.	CCN 496b
3.1	09/05/00	Updated for CSR+ All references to POCL replaced by PON. Cross-references to RDCC section numbers deleted.	
3.2	15/06/00	Updated following comments from PON	
3.3	02/07/00	Updated following meeting with PON	
3.4	30/08/00	Updated following meeting with PON	
3.5	28/11/00	Updated following meeting with PON	
4.0	11/12/00	Updated baseline	
5.0	9/1/2001	Updated baseline following comments from PON	

0.2 Approval Authorities

Name	Position	Signature	Date
Stephen Muchow	ICL Pathway Customer Service Director		
Harvey Skipsey	PON Head of Business Service Management		

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0.3 Associated Documents

Please see library for details of latest versions of documents.

	Reference	Vers	Date	Title	Source
1.	CS/PRD/030	3.0	27/10/00	Process for Operational Business Change - Product	ICL Pathway
2.	CS/IFS/001	2.2	27/8/99	Reference Data Change Catalogue	ICL Pathway
3.	AP/PRD/001	1.1	16/08/99	APS Client Take-On process	ICL Pathway
4.	CR/FSP/016	2.1	28/06/00	APS Token Verification Service Description - NR2	ICL Pathway
5.	RDP/AIS/001	3.3	02/02/98	AIS Reference Data to Pathway Type A Data (CSR)	PON
6.	RDP/AIS/001	4.4	21/01/00	AIS Reference Data to Pathway Type A Data (CSR+)	PON
7.	RDP/AIS/008	0.2	23/12/98	AIS Reference Data to Pathway Type B Data (CSR)	PON
8.	RDP/AIS/008	4.3A	01/10/99	AIS Reference Data to Pathway Type B Data (CSR+)	PON
9.	CS/PRD/048	1.0	23/6/99	Changing Reference Data to Tight Timescales	ICL Pathway
10.	CS/IFS/002	1.0	01/10/98	Reference Data Change Class 1 Analysis	ICL Pathway
11.	CS/IFS/003	3.0	19/07/99	ICL Pathway / PON Interface Agreement for Operational Business Change - Outlet	ICL Pathway
12.	RDS/OLA/001	1.0	26/3/99	Reference Data - PON / ICL Pathway Operational Level Agreement	PON
13.	PON/OSG/OLA/001	2.0	6/12/00	PON OSG / ICL Pathway Operational Level Agreement	PON
14.	OSG/OPS/001	1.1	14/01/00	Operational Business Change Product Verification Procedures	PON
15.	RD/TEC/951	1.1	28/07/00	Reference Data Rules and Values	PON+ ICL Pathway
16.	CS/POL/006	0.1		Service Management Framework Part A	ICL Pathway
17.				Counter News Review Process	
18.	CS/PRD/077	2.0	17/11/00	Reference Data Alert Process	ICL

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					Pathway
19.	CS/PRD/028	1.3	6/5/99	Process for Changing Menu Hierarchies and Icons	ICL Pathway

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0.4 Abbreviations/Definitions

The text in the remainder of this document uses the abbreviations and definitions shown below. They are not intended to be definitive in any other contractual context.

Abbreviation	Definition
Advanced Change	Business changes available through the OBC processes that require a notice of change to be delivered to ICL Pathway before implementation. They may or may not be supported by Reference Data files from PON. Advanced Changes can be subdivided into Complex, Standard, Simple or AP. [see sections 3.1 and 4].
Adow	Any day of the week, as opposed to working weekdays.
Advanced Complex Change	Change that requires advance notice to be given to ICL Pathway in order for Type C Reference Data to be created.
Advanced Simple Change	Change that requires advanced notice to be given to ICL Pathway, where the additional activities required can be carried out after the OBC has been released and therefore do not extend the lead-time for that OBC.
Advanced Standard Change	Change that requires advanced notice to be given to ICL Pathway, where the additional activities required do extend the lead-time for that OBC, but the change does not require Type C Reference Data.
After the event changes	Changes which need to be made to complete an OBC, but are not needed before the release of the OBC e.g. documentation updates.
Agreed Date	Where the Start Date or Required Date are invalid or cannot be met an alternative date will be agreed between PON and ICL Pathway.
Amendment file	A file containing records changing previously received Reference Data which is still being processed – must be released with the original file.
AP	Automated Payments
Authorisation Form	<p>A document that is sent from PON to ICL Pathway to say the following for the named OBC.</p> <ul style="list-style-type: none"> • The Verification Report has been checked. • The Verification Counters have been tested and: <ul style="list-style-type: none"> ➤ The Identity and Name of the Business Test performed to verify the changes, ➤ The Date and Time the Business Test was conducted, ➤ The Name of the person who conducted the Business Test, ➤ The Conclusion of the Business Test, whether Pass or Fail, <ul style="list-style-type: none"> • If Fail, the Failure Reason and Mitigating Action

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	<ul style="list-style-type: none"> If Pass, indicate whether the Comparison Report had been checked Yes or No. <p>The form provides the notice of authorisation.</p>
Authorisation	<p>The Authorisation process results in ICL Pathway being directed by PON to implement in the live estate those authorised Reference Data changes that are covered by the notice of authorisation.</p> <p>Authorisation is an assertion by PON that they have diligently and conscientiously performed the specified [ref. 14] Business Tests, and that within the bounds of the specified tests the results indicate that the effects of the authorised Reference Data change is the effect that PON intended.</p> <p>ICL Pathway is responsible for ensuring that all other effects on the system are consistent with the stated requirement.</p> <p>Each party accepts responsibility for those aspects of a change for which it has responsibility to test.</p> <p>The notice of authorisation shall be communicated via an Authorisation Form.</p>
Authorised Change	An OBC which has passed through the Authorisation process and has been authorised.
Basic Change	Changes available through the OBC processes that DO NOT require a notice of change to be delivered to ICL Pathway. Currently Basic Changes always consist of Class 1 Reference Data.
BAU	Business As Usual. Processes within PON that occur regardless of whether the Horizon system is in use.
BCR	Business Change Request (referred to in PON as "Change Control Number"). A unique identification number for an OBC.
BSM	Business Service Management – includes the unit currently known as OSG (Outlet Systems Group).
Business Tests	<p>Tests used by PON to ensure a change seen on the Verification Counter and/or described in the Verification and Comparison reports meets the requirement.</p> <p>Where Business Tests fail to identify problems that were apparent at the time the tests were carried out, the specified tests will be improved by joint review and change control.</p>
CCD	Contract Controlled Document
CCN	Change Control Note as defined in the Codified Agreement.
CCN	Change Control Number (referred to in ICL Pathway as "Business Change Request").
Change Type	For example, Basic Pure, Advanced Simple, Advanced Complex, AP etc.
Class 1	Class 1 Reference Data is the subset of data items which have no impact on any other part of the Horizon system and changes containing only

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	Class 1 Reference Data (Basic Changes) can be implemented by ICL Pathway without advance notice [see ref. 10]. Class 1 data is subsetted into HD, HR and Pure.
Comparison Report	The output from ICL Pathway's software tool which is used for identifying the changes that have occurred on a Horizon counter. It provides information to PON for verification purposes.
CR	Change Request as defined in the Codified Agreement.
CSR	Core System Release
CSR+	Core System Release Plus
CTO	Client Take-On (AP)
Deviation to the service	A single instance of an agreed (by CR) variation to the workload which falls outside of specified levels e.g. to volumes or timescales.
Error	A part of a change that does not meet the requirement or specifications, whether Reference Data definitions, file format, milestones, delivery route or other aspect of the OBC processes. (see also Rework)
Error correction file	A file containing records for the purpose of correcting errors to previously received Reference Data which is still being processed-must be released with the original file.
Exception	A change that falls outside of the agreed levels e.g. to lead-times or volumes and is not a 'Deviation to the service'.
HD (Basic)	Reference Data changes are 'HD' when the change is relevant in ICL Pathway only to the HelpDesk e.g. telephone number.
HFSO	Horizon Field Support Officer
HR (Basic)	Reference Data changes are 'HR – High Risk' when verification is required by PON (but are not subject to advanced notification).
HSH	ICL Pathway Horizon System Helpdesk.
Interface Agreement	This document (except where the Interface Agreement for Outlet is specifically referred to, then see [ref. 11]).
Live Fix	A change to Reference Data to correct a Live Incident
Live Incident	The occurrence of an incident, which relates to the live environment and is recorded on the ICL Pathway HSH and / or the PON NBSC help desks.
Migration Special	See section 4.4.2 for the definition.
MIS	Management Information System
NBSC	PON Network Business Support Centre.
OBC	Operational Business Change. Any change, usually supported by Reference Data changes, that is implemented through the OBC process e.g. Advance and Basic Changes, excluding changes specifically required to implement software

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	changes.
OBC forms	Electronic Forms used to interchange information relating to OBCs between PON and ICL Pathway e.g. OBC 2.
OLA	Operational Level Agreement
PM	Postmaster
POCL	Post Office Counters Limited – the former name of PON.
PON	Post Office Network - name which supersedes POCL.
POUNC	Post Office Users National Council
Pre-authorized change	A pre-authorized change is a Reference Data change that by agreement [see section 4] does not require verification by PON and can be released by ICL Pathway without additional notification from PON over and above the delivery of a conformant file.
Pre-live Incident	The occurrence of an incident, which is observed during Reference Data processing and validation before release to the live environment, and is recorded on an Incident Management System (PinICL) operated by ICL Pathway.
Product Changes	Changes to the products or appearance of products available through the Horizon system implemented wholly or in part, through changes to Reference Data.
Pure (Basic)	When used in reference to a Reference Data Change 'Pure' indicates Reference Data which is considered to be of low risk to business integrity.
Pway	ICL Pathway
RDCC	Reference Data Change Catalogue
RDMC	ICL Pathway Reference Data Management Centre
RDORF	Reference Data Operational Review Forum
RDOT	PON Reference Data Operational Team
RDP	PON Reference Data Project
RDS	PON Reference Data System
RDT	ICL Pathway Reference Data Team
Release Day	The day on which Reference Data is Released to the live system.
Released to the live system	Reference Data released by ICL Pathway into the TMS agent. The end point for the process defined in this document. The SLA [see section 3.3] covers the delivery of Reference Data to the outlets.
REM	Remittance
Required Date	The date on the OBC form (Advanced Changes) that specifies when the change needs to be available at the outlets. Normally this is the same as, or earlier than, the Start Date. (see also, Agreed Date.)
Rework	Activity required to progress a change when an Error Correction File or

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	Amendment File is provided.
RM	ICL Pathway Release Management
Start Date	The earliest date specified within any record within any file of Reference Data for a particular OBC. The Start Date is used by the Horizon counters to determine when the functionality comes into effect. This date should always be a future date when taking into account lead times. (see also Agreed Date & Required Date.)
TMS	Transaction Management Service.
Type A	Data transmitted electronically from RDS to RDMC over an automated interface.
Type B	Data transmitted electronically from RDS to RDMC over a non-automated interface.
Type C	Data prepared by ICL Pathway.
Unauthorised change	An OBC that has been released to the live environment but has not been authorised.
Unit of Release	A combination of files which are intended to be released together. The smallest is a single file. Where Amendment or Error Correction files are applied to a change in progress the unit of release will be all files associated with the original OBC.
Verification (Verify)	Confirming that the observed result of the change implemented is the same as that expected and fulfils the requirements of the business.
Verification Counter	A non-live Horizon counter provided to PON to which OBCs are applied in order for PON to verify the change, before its release to the live estate.
Verification Report	A report produced from the RDMC to show which Reference Data records have changed.
Working weekdays	9am to 5pm, Monday to Friday, excluding English Public Holidays.

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0.5 Changes in this Version

Version	Changes
3.2	<ul style="list-style-type: none"> • Additional explanations added regarding CSR+ and CSR • Minor typographical errors have been corrected • The section on Interfaces has been reworded for clarity • References to 'Business Unit' have been changed to 'Internal Account Team'
3.3	<ul style="list-style-type: none"> • Additional definitions (eg Agreed, Required, & Start Dates, Errors & Rework) • Addition of section on future dating, section 7.3 • Clarification of some specific CSR limitations (eg comment on ITM in Appendix A)
3.4	<ul style="list-style-type: none"> • Section 1: Summary • Section 2.2: Service Management Policy, re pre-live and live incidents • Section 3.4: Process re Counter News and Alert process • Section 4.2.5: Inclusion of Changing Picklist ordering as Advanced Complex change • Section 5: Lead-time tables • Appendix A: table • Appendix B: volumes • Various amendments following review with PON
3.5	<ul style="list-style-type: none"> • Section 2.1 amended to indicate that this agreement is subservient to the contract • Section 2.4 – Service Management Policy – removed as this is now covered in the Service Management Framework documentation • Section 2.5 added – Alerting • The table from section 4.1 has been removed as it was duplicated in the summary in section 1 • Some detail from section 4.2 has been moved to Appendix D • Section 9.3.2 – Errors and Rework – amended
4.0	<ul style="list-style-type: none"> • A number of minor amendments for clarification before release for approval

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5.0	<ul style="list-style-type: none"> A number of minor typographical amendments observed after release of version 4
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0.6 Changes Expected

Changes
<ul style="list-style-type: none"> Removal of References to CSR when all outlets have migrated to CSR+. Introduction of scope and definition of data entry verification by PON. The inclusion of Outlet Reference Data, in particular with regard to errors and rework Section 3.3: SLA comment, when Schedule G10 review completed. Section 3.4: Further amendment to process for the production and communication of Counter News articles that relate to Reference Data changes. Section 9.3: Errors and rework and thresholds. Appendix B: volumes amended to include impact of LFS/SAPADS.

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1 SUMMARY SHEET

This section summarises the content of this agreement as a “quick reference” guide to change types. It does not replace the detail contained in the following chapters (should there be differences, the latter shall prevail).

Note: the Lead-time includes processing within both PON and ICL Pathway, but not distribution to the outlets.

Change Category	Definition (see section 4)	Lead-time (working weekdays)		
		PON	Pway	Total
Standard:				
Basic Change - Pure	Type A Reference Data only (no PON verification required)	4	1	5
Basic Change – High Risk	Type A Reference Data only (PON verification is required)	6	4	10
Advanced Simple Change	Type A Reference Data, plus after-the-event changes	6	4	10
Advanced Standard Change	Type A & Type B Reference Data, MIS change & ICL Pathway testing required	9	5	14
Advanced Complex Change	Change that requires Type C Reference Data from ICL Pathway	14	16	30
AP Change	Change required for AP Client Take-On and Token verification.	[see refs. 3&4]		
Fast-track:				
Basic Express	A subset of Basic HR, for a specific requirement to change specific Reference Data quickly.	1.5	0.5	2
Migration Special	An addition to the non-core product mappings for an outlet, normally where the product is already being sold prior to migration.	0.75	0.25	1
Tight Timescales	A change under contractual requirement 539/3, to make any kind of Reference Data change quickly, in specified circumstances.	Agreed when requested		
Live Fix	A change to correct a live incident. (ref. section 4.4.4 and 9.3).	Defined in OLAs (refs. 12 & 13)		

2 Introduction

This document is a Contract-Controlled Document (CCD).

2.1 Intent of Agreement

The intent of this Interface Agreement is to establish effective co-operation between ICL Pathway and PON for the timely efficient and cost effective delivery of Operational Business Change – Product using Reference Data to Horizon enabled post office counters.

[DN Aspects of this agreement are also relevant to Outlet Reference Data, e.g. those sections which cover errors and rework.]

This Agreement identifies:

- PON's and ICL Pathway's requirement for Product changes introduced via Reference Data,
- the agreed end-to-end service solution for ICL Pathway and PON, both separately and jointly, for implementing such changes and
- the obligations of both parties, both separately and jointly, that must be met in order to deliver the solution.

There are a number of documents (which are not CCDs) that describe the interfaces and agreements made between ICL Pathway and PON for the management of Operational Business Changes. This document provides an "umbrella" agreement for those others and they will comply with the Agreements made within this Interface Agreement.

Whilst this Agreement serves as an umbrella for other documentation it cannot supersede any contractual obligations defined within the Contract schedules. The timescales shown later in this document are those which are agreed by both parties to be operationally viable and as such form the basis of normal business practice when implementing changes to Reference Data.

2.2 Maintenance of this Agreement

This Agreement is applicable to the CSR+ Horizon release with CSR, whilst CSR is still in use in any outlet. It will be reviewed once CSR is no longer in use and for any future major software release and on an on-going basis. It is maintained by ICL Pathway on behalf of both parties.

2.3 Future Developments

PON and ICL Pathway agree to work jointly to improve the quality and effectiveness of the Reference Data interface as follows:

- Review the functionality, scope and effectiveness of the Reference Data test environment and enhance where appropriate.
- Continuously monitor the toolset available in the test environment, in particular the Reference Data comparison tool for identifying impact of planned Reference Data changes with the possibility of enhancement where appropriate.
- Continuously monitor and where necessary improve the Reference Data Change Catalogue (RDCC) relating to Reference Data requirements.
- Review the consolidated set of Business Rules and procedures which have been jointly developed and implemented.
- Continuously improve the scope and effectiveness of Business and System tests.

The programme for delivery of each of the above will be overseen by the RDORF.

2.4 Service Management Policy

Service Management Policy is described in [ref 16]

2.5 Alerting when data is at risk of late delivery

When it is known that Reference Data may be at risk of non delivery by the time it is required at outlets an Alert may be required. The detail of the Alert Process is described in [ref 18].

The principles of the Alert Process with respect to data being delivered overnight to become active at outlets the following day are:

- to provide warning to relevant parties in PON and ICL Pathway, that there is risk of critical reference data not being available at outlets the following day
- to allow appropriate contingency to be invoked against that risk where lack of the data would cause critical problems

The process may similarly be invoked if the final milestone is know to be at risk (see section 9.3)

The process is initially invoked by PON setting the Alert Flag on the Release Authorisation Form. If the Release Day is the day prior to the Start Date, and the Alert Flag is set, RDT will initiate the warning process.

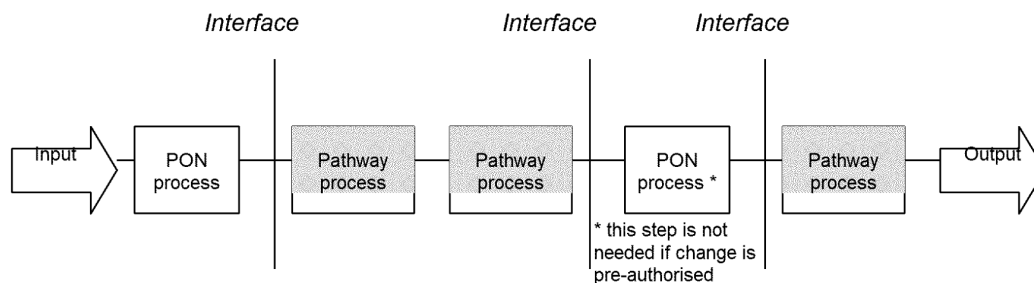
3 Scope

3.1 Interfaces

This Agreement covers all the interfaces between ICL Pathway and PON that support the Operational Business Change process for pre-defined product changes for release CSR+ of the Horizon system and for release CSR, until such time as all outlets have migrated to CSR+.

The majority of detail within this document is applicable from the time when the interface between the PON RDS system and ICL Pathway RDMC is using the Application Interface Specification for CSR+. However, certain CSR+ functionality will not be available at individual outlets until the outlet has migrated to CSR+ .

Whilst Reference Data is sent to all outlets, as appropriate, some of this data will only be usable at an outlet when that outlet has migrated to CSR+ (e.g. Logistics Inventory and Accounting items). There are also other functions which should not be used until ALL Horizon outlets have migrated to CSR+ (e.g. removal of non-core links from outlets causing the graceful termination of a product at the specified outlet).



The start is the point where an OBC form has been completed and issued within PON, and the end point is where the Reference Data has been released within ICL Pathway for delivery to the live counters.

The delivery of the Reference Data to counters, following release authorisation, is covered by the SLA [see section3.3].

It applies to both Advanced and Basic Product Changes where:

- a Basic Change is a change which consists solely of Reference Data which requires no additional ICL Pathway actions and may be submitted to ICL Pathway without notice
- an Advanced Change is a change which requires additional ICL Pathway activity and is subject to advanced notification.

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3.2 Outlet Changes

This Interface Agreement does not cover Reference Data for Outlet Change [see ref. 11].

[DN: Refer to statement in section 2.1]

3.3 SLA

The contractual provisions relating to the distribution of Reference Data are defined in the SLA in Schedule G10 of the contract.

[DN. The wording of G10 is under review between PON and ICL Pathway]

3.4 Operational Business Change processes

The Operational Business Change (OBC) process for product change is defined in [ref. 1] and the types of change that qualify for the OBC process are defined in the Reference Data Change Catalogue (RDCC) [ref. 2]. Changes not found in the RDCC must be requested via the normal Change Control mechanism (CR/CCN).

A summary of the process is given below.

Note:

Not every Change Type follows every step of the process [see section 5].

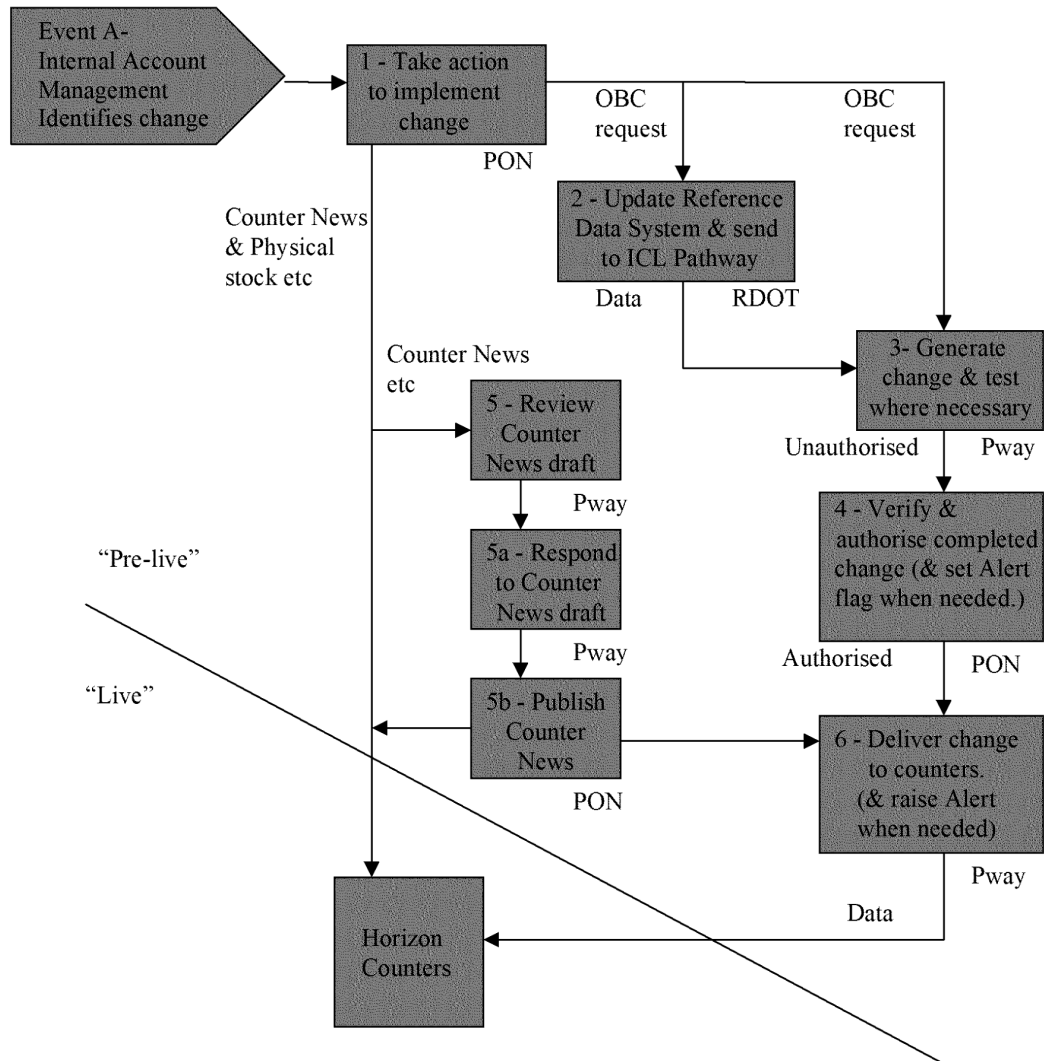
The timescales for each stage of the process are defined in [section 5].

The types of change that the process applies to are defined in [section 4].

The responsibilities of each party are defined in [section 8].

3.4.1 Process Diagram

Note: feedback loops exist at all stages for error correction, but are not shown,



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3.4.2 Process Steps

	Step	Taken by	Description
A	Event A – Identify change	PON Internal Account Management Team	Internal Account Management in PON identify the business need to change details for or to introduce or to withdraw a product.
1	Take actions to implement the changes	PON Internal Account Management Team	<p>Internal Account Management in PON identify if the change is a Basic Reference Data change, or an Advanced OBC change.</p> <p>The relevant Internal Account Management Team raise the required OBC forms to:</p> <ul style="list-style-type: none"> Request PON Reference Data Operations Team (RDOT) to change the Reference Data (for both Basic and Advanced Changes) and to request BSM to request an OBC –Product Change from ICL Pathway (for Advanced Changes). <p>BSM confirm the change requested is an Advanced OBC change and request ICL Pathway to make the change.</p> <p>BSM supply any required additional information to support the Advanced OBC change.</p> <p>PON ensure that all necessary communications and supporting actions for the OBC are complete.</p>
2	Update Ref. Data system & send to Pathway	PON RDOT	PON Reference Data Operations Team changes the Reference Data to meet the OBC requested and send it to ICL Pathway and other users within PON.
3	Generate Change and test where necessary	ICL Pathway	<p>ICL Pathway receives the Reference Data from RDOT (for all changes) and receives the OBC form and necessary additional information from BSM (for Advanced Changes).</p> <p>ICL Pathway initiates any required internal actions e.g. ensure Reference Data is appropriate for the OBC requested as defined in the RDCC [ref. 2], generate Type C Reference Data, test changes. Changes are tested and validated by ICL Pathway where necessary.</p>

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			ICL Pathway generates and delivers the RDMC Verification Report and the Comparison Report to BSM and delivers the actual Reference Data change to the verification counters, as appropriate. Note: ICL Pathway does not send Pure Basic and Migration Special Changes to BSM for authorisation, as they are pre-authorised by PON.
4	Verify & authorise completed change	PON Internal Account Management Team	BSM verifies the OBCs on the counter / reports (as appropriate) and confirms the change as delivered is the change required, and authorises the release of the OBC to the live estate. BSM also sets the Alert flag on the Authorisation Form, when appropriate. (see section 2.5)
5	Review Counter News articles	ICL Pathway	ICL Pathway reviews, and responds to, all relevant Counter News or other Horizon update articles before publication and distribution (when required) to confirm that the contents correctly reflect the system and will not have an unnecessary impact on helpdesk resources. PON shall accept all amendments reasonably requested by ICL Pathway in pursuit of the delivery of contractual services. The process is described in [ref 17] <i>DN: this process is still under discussion</i>
6	Change delivered to counters	ICL Pathway	ICL Pathway releases Reference Data for all authorised OBCs to the live estate. ICL Pathway will raise Delivery Alert on the Release Day, if the Alert Flag is set and the change is to be effective next day. (see section 2.5) Where agreed with PON, the release may be held pending communication to the Outlets e.g. via Counter News. (However if release delay risks the Start Date, there may need to be another change processed).

4 Types of Change

4.1 Introduction

Change types are pre-defined for inclusion into the OBC – product process. This definition can be found in the Reference Data Change Catalogue (RDCC) [ref. 2]. Each pre-defined change type is grouped as shown in the table in section 1.

The RDCC Product Change categories that apply to these changes are listed in [sections 4.2 and 4.4] below. The assumptions listed in the RDCC must be adhered to, in order to apply these categorisations.

4.2 Standard Changes

The order of the change types in this section is significant and is an indication of the level of risk with each type and therefore the amount of checking that is deemed to be necessary. The change types are in order of increasing risk from those which need little or no checking, as the effect of an error would be minimal on the Live estate, to those which need extensive checking, as the effect of an error may be significant on the Live estate. Those changes, which are deemed to require minimal or no checking, are classified as Basic - Pure. Those changes, which are deemed to require most checking, are classified as Advanced - Complex.

A complete list of changes applicable to each type is held within the RDCC. Should PON decide that additional checking is required, a change may be submitted in a type with a higher risk position in this section. However the converse is not true, in that a change can never be requested with a lower risk position than the type shown in the RDCC.

Appendix D shows a representative list of the changes for each type.

4.2.1 Basic - Pure

Basic Changes do not require advanced notification from PON to ICL Pathway (OBC form). The delivery of the Reference Data file using agreed mechanisms [see section 0.3] is the request for change. The file must identify that its contents are Basic Pure changes. The file may contain more than one change of the same type. All Basic files contain only Class 1 Reference Data items. ICL Pathway checks the contents of the file are appropriate for the type of change. Pure changes do not require verification and are pre-authorized for release.

4.2.2 Basic – High Risk

Basic Changes do not require advanced notification from PON to ICL Pathway (OBC form). The delivery of the Reference Data file using agreed mechanisms [see section 0.3] is the request for change. The file must identify that its contents are a Basic High Risk change. The file may contain more than one change of the same type. All Basic files contain only Class 1 Reference Data items. ICL Pathway checks the contents of the file are appropriate for the type of change. High Risk changes require a Verification and a Comparison report and authorisation by PON before release.

4.2.3 Advanced Simple

Advanced Simple changes require advanced notification from PON to ICL Pathway (an OBC form) to request the change. Associated Reference Data files must be identifiable as such through the BCR number. ICL Pathway checks the contents of

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the file are appropriate for this type of change. ICL Pathway has actions to take to implement the change (in addition to processing the Type A Reference Data file from PON) e.g. update documentation, but these actions can occur after the change has been released and therefore do not extend the lead-time for the change. These changes require a Verification and a Comparison report and authorisation by PON before release.

4.2.4 Advanced Standard

Advanced Standard changes require advanced notification from PON to ICL Pathway (an OBC form) to request the change. Associated Reference Data files must be identifiable as such through the BCR number. ICL Pathway checks the contents of the file are appropriate for this type of change. ICL Pathway has actions to take to implement the change (in addition to processing the Type A Reference Data file from PON) e.g. process Type B files, and these actions must occur before the change has been released, therefore the lead-times are longer than for Simple or Basic changes. These changes require a Verification and a Comparison report and authorisation by PON before release.

4.2.5 Advanced Complex

Advanced Complex changes require advanced notification from PON to ICL Pathway (an OBC form) to request the change. Associated Reference Data files must be identifiable as such through the BCR number. ICL Pathway checks the contents of the file are appropriate for this type of change. ICL Pathway must generate Type C Reference Data to implement the change and test that the change works as requested in the OBC form. These changes require a Verification and a Comparison report and authorisation by PON before release.

4.3 AP

AP changes are similar to Advanced Complex changes and require notification from PON to ICL Pathway (an OBC form) to request the change. Associated Reference Data files must be identifiable as such through the BCR number. ICL Pathway checks the contents of the file are appropriate for this type of change. ICL Pathway has actions to take to implement the change e.g. test Tokens and supply test files to HAPS (or the appropriate PON Client) for PON End to End testing of changes. These changes require a Verification and a Comparison report, additional testing and authorisation by PON before release.

(as described in AP CTO & Token Verification documents)

- Introduce new AP client, service or token
- Change client name (new token data)
- Cease AP Client, product or token
- Introduce new Smart Card

Notes on AP change:

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-
- Changing AP product details is treated the same way as changing EPOSS products.
 - Ceasing AP Client, product or token may be implemented as an Advanced Simple change if required, with the client service list being amended after the event.

4.4 Fast-track changes

4.4.1 Basic Express

A Basic Express change is a subset of Basic High Risk changes and must comply with the definitions in [section 4.2.1]. However, the lead-times [see section 5] specified for a Basic Express change can only be achieved where verification can be performed on the basis of the Verification Report and not a Comparison Report. The type of change must be such that there is minimal risk of error occurring elsewhere within the system as a result of applying the change and is therefore limited to:

- Change price of non-value stock
- Change price of revaluable value stock *
- Change min/max quantity/value
- Change Long/ Medium / Short name

The limits for use are:

- ◇ only for the categories of change which conform to the above e.g. 'Ticket and Travel' products or to meet the requirement for Tight Timescales
- ◇ only OBCs that must be active on completion of the change within 48hrs ✕
- ◇ OBCs must be received by BSM/OSG by 10am on a working weekday and
- ◇ only normal volumes of change as defined in [section 6]
- ◇ the Change Number must start with defined prefixes [ref. 15]. If a Change is delivered to ICL Pathway with this prefix but the contents do not meet the specified criteria it will be processed according to the normal lead-times. ICL Pathway will inform PON using the incident process.

- * Note: When a Basic High Risk change is to change the price of revaluable value stock, Horizon counters will prompt counter staff on each of the three days prior to when revaluation will need to be performed, provided that the Reference Data is already at the counter. Should a similar change be put through the Basic Express mechanism, this prompting period may be for less than three days. It is PON's responsibility to provide any additional notification required to users.
- ✕ Where the change is as described above, the requirement for completion within 48hrs may be extended, if required, to allow for this 3 day period.

4.4.2 Migration Special

A Migration Special change is a specific subset of Basic Pure changes and must comply with the definitions in [section 4.2.1]. Migration Specials are pre-authorised for release and no verification is required.

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Migration Special changes are additions only to the Reference Data defining which non-core products a particular outlet can sell, normally where the outlet has been selling the item but the Reference Data does not reflect this. This Reference Data is needed so that the Cash Account can record those sales, when it is migrated to the Horizon system.

The limits for use are:

- ◇ additions to Non-core Product to Outlet mappings only
- ◇ Reference Data must be received by Pathway by 10am for release to be actioned on the day of receipt or a phone call is required requesting a later file to be released
- ◇ Reference Data files must be identifiable as Migration Specials

Migration Specials differ from the standard Basic Pure change for adding non-core associations to an outlet by virtue of:

- ◇ the urgency with which the data needs to be delivered to the outlet, normally identified by the HFSO at the time that the outlet is migrated.
- ◇ Migration Specials refer to one outlet or one product – the normal Basic Pure change may have any combination of products and outlets.

Where possible PON should use the Basic Pure change for addition of non-core association records.

Once ICL Pathway has confirmed that the Reference Data is of the required type it will be released to the 'Live' environment.

4.4.3 Tight Timescales

4.4.3.1 Requirement

Requirement 539/3 states there is a need to “implement changes to Reference Data to tight timescales. As an example of such timescales, it shall be possible to implement Reference Data changes consequent on a [Treasury] Budget by start of business on the following day”.

4.4.3.2 Definition

A Tight Timescale change is caused by either:

- an emergency situation where normal lead-times cannot be adhered to because of legal circumstances outside of PON control, or
- to allow PON to exploit commercial opportunities.

Each instance of such change must be notified in writing by PON to ICL Pathway and agreed between PON Head of Business Service Management and ICL Pathway Customer Service Director or their nominated authorised deputies.

4.4.3.3 Types

Analysis by PON of the business requirements indicates that the types of change that require to be actioned in Tight Timescales are:

- Price changes
- Emergency cessation of a product
- Product introduction or change where the product has been created in advance with interim details.

a) Price Change

The most frequent Tight Timescale changes are price changes. These will be processed via the fast-track Basic Express route.

b) Emergency cessation

Normally, cessation of a product (i.e. ending the ability to transact a product) is an Advanced Simple change with a lead-time of 2 weeks*. By agreement, it will be dealt with as if it were a Basic Express, with a lead-time of 2 working weekdays. The normal processing will occur after the event e.g. generation of Comparison Reports.

* see Appendix A

c) Product introduction or change (with interim details)

A new product (or product change) can be introduced in advance of all details being available e.g. to meet a late-breaking business opportunity. Mandatory details should be provided initially, although some will have interim values e.g.

- product name may be set to "test name" or other identifiably interim name.
- the cash account mapping may be to a line marked as "temporary".
- the button for the product may not be introduced until a later date, with the product only available to be sold by PLU initially.

The "interim" product should be verified using standard processes for product change [see sections 3.4 and 5.6].

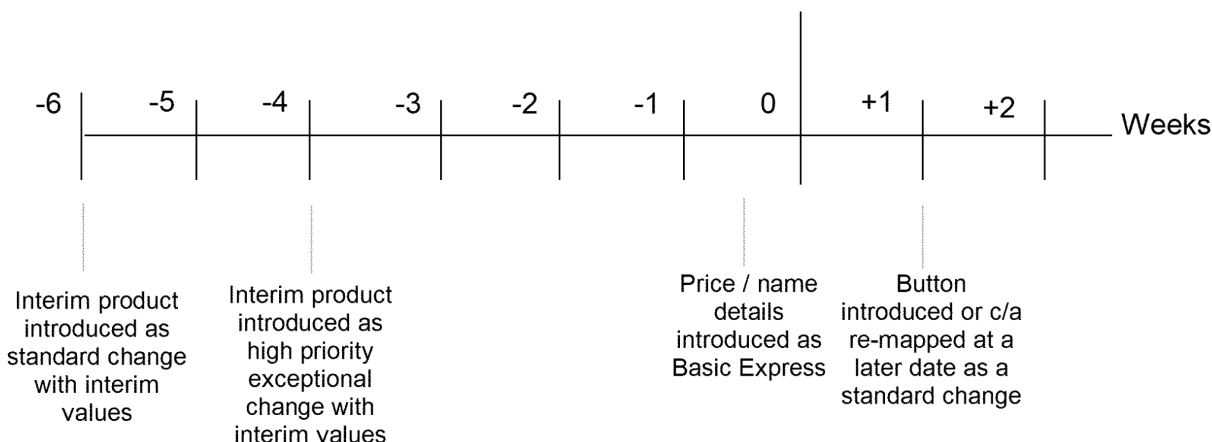
To set up the interim product the normal lead-times should be adhered to (e.g. 30 working weekdays for a new product). When the interim product cannot be set up with the normal lead-times, it will be dealt with as a high priority exception [see section 9.2].

The interim details will be later replaced using:

- a Basic Express change for the final information relating to price and name. This must be identifiable as part of the Tight Timescale change, and will be verified via the Verification Report for Basic Express, before the change is released

- standard changes that occur after the go live of the product e.g. the introduction of the button, or the change of the Cash Account mapping.

An example of the timeline is shown below:



4.4.4 Live Fix

The time scale for incident correction is driven by the impact of the incident, the complexity of the solution and the Start Date (or Agreed Date) for the change to be live at the outlets. (see section 9.3)

5 Lead-time for changes

5.1 Introduction

The lead-times quoted in this section are the end-to-end times covering both PON and ICL Pathway activities. Each party must meet each milestone applicable to it in order that the subsequent milestones and the end-to-end lead-times are achieved. The types of change that relate to each category are defined in [section 4].

These lead-times apply for the volumes given in [section 6].

The lead-time runs from initiating a change until the change is Released to the live system.

For information only, the SLAs to be achieved as set out in the Codified Agreement, Schedule [G10], are shown at the end of each model. The SLA applies to the delivery of the released Reference Data not to the delivery of the OBCs.

Notes:

For simplicity, the models used do not show activities that occur in parallel.

day = working weekday (Mon-Fri, excluding English Public Holidays)

adow = any day of the week, includes non working weekdays (Mon-Sun)

times = latest time action can occur to meet the schedule

Where a time is given next to a milestone, the time is critical to achieving that milestone. Where the time is not given, the default is for the handover between organisations to be complete by 8am. Failure to achieve a milestone by the given (or default) time potentially extends the lead-time of the change.

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5.2 Basic - Pure

Changes that involve changing Type A Reference Data only and do not require verification.

Action	Duration	Result	Milestone	Owner
Business generates change	1 day	Deliver OBC to BSM	Day 1 (6pm)	PON
BSM processes change	1 day	Deliver Reference Data to RDOT	Day 2 (6pm)	PON
RDOT input Reference Data	2 days	Send to Pathway	Day 4 (8pm)	PON
<i>Pathway System processes</i>		<i>Available to Pathway</i>	<i>Day 5 (8am) *</i>	
Pathway process change	1 day	Release change (release day)	Day 5 (8pm)	ICL Pathway
<i>System processes overnight</i>		<i>Data at counters 97%</i>	<i>(release day +1 adow)</i>	
		<i>Data at counters 99%</i>	<i>(release day +2 adow)</i>	
		<i>Data at counters 100%</i>	<i>(release day +3 adow)</i>	

* Note:

Basic – Pure Reference Data files (identifiable as such by virtue of the OBC prefix used) arriving by 10am, on a working weekday, will be released that night by Pathway, for distribution.

Basic – Pure Reference Data files received by Pathway by 4pm and accompanied by a notifying 'phone call', on a working weekday, will be released that night by Pathway, for distribution.

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5.3 Basic – High Risk

Changes that involve changing Type A Reference Data only and required verification.

Action	Duration	Result	Milestone	Owner
Business generates change	1 day	Deliver OBC to BSM	Day 1 (6pm)	PON
BSM processes change	1 day	Deliver Reference Data to RDOT	Day 2 (6pm)	PON
RDOT input Reference Data	2 days	Send to Pathway	Day 4 (8pm)	PON
<i>Pathway System processes</i>		<i>Available to Pathway</i>	<i>Day 5 (8am)</i>	
Pathway process change	2 days	Deliver Reference Data to BSM	Day 6 (6pm)	ICL Pathway
Pathway generate RDMC verification & comparison reports	2 day	Deliver Reports to BSM	Day 8 (6pm)	ICL Pathway
BSM check reports	2 days	Notifies Pathway of authorisation	Day 10 (8pm)	PON
Pathway process authorisation	Immediate	Release change (release day)	Day 10 (8pm)	ICL Pathway
<i>System processes overnight</i>		<i>Data at counters 97%</i>	<i>(release day +1 adow)</i>	
		<i>Data at counters 99%</i>	<i>(release day +2 adow)</i>	
		<i>Data at counters 100%</i>	<i>(release day +3 adow)</i>	

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5.4 Advanced Simple

Changes requiring advanced notification that involve Type A Reference Data changes only before release.

Action	Duration	Result	Milestone	Owner
Business generates change	1 day	Deliver OBC to BSM	Day 1 (6pm)	PON
BSM processes change	1 day	Deliver notification to Pathway	Day 2 (6pm)	PON
BSM processes Reference Data	1 day	Deliver Reference Data to RDOT	Day 2 (6pm)	PON
RDOT input Reference Data	2 days	Send to Pathway	Day 4 (8pm)	PON
<i>Pathway System processes</i>		<i>Available to Pathway</i>	<i>Day 5 (8am)</i>	
Pathway process request for change	2 days	Preparations complete	Day 4 (6pm)	ICL Pathway
Pathway processes Reference Data	2 days	Deliver Reference Data to BSM	Day 6 (6pm)	ICL Pathway
Pathway generate RDMC verification & comparison reports	2 day	Deliver Reports to BSM	Day 8 (6pm)	ICL Pathway
BSM check reports	2 days	Notifies Pathway of authorisation	Day 10 (8 pm)	PON
Pathway process authorisation	Immediate	Release change (release day)	Day 10 (8 pm)	ICL Pathway
Update systems & documentation	Varies		Day 11+	ICL Pathway
<i>System processes overnight</i>		<i>Data at counters 97%</i>	<i>(release day +1 adow)</i>	
		<i>Data at counters 99%</i>	<i>(release day +2 adow)</i>	
		<i>Data at counters 100%</i>	<i>(release day +3 adow)</i>	

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5.5 Advanced Standard

Changes that, in addition to Type A Reference Data, require activities such as loading Type B (scales and discount indicator) Reference Data, managing additional information, MIS updates or testing.

Action	Duration	Result	Milestone	Owner
Business generates change	1 day	Deliver OBC to BSM	Day 1 (6pm)	PON
BSM processes change	1 day	Deliver notification to Pathway	Day 2 (6pm)	PON
BSM processes Reference Data	3 days	Deliver Reference Data to RDOT	Day 4 (6pm)	PON
RDOT input Reference Data	3 days	Send to Pathway	Day 7 (8pm)	PON
<i>Pathway System processes</i>		<i>Available to Pathway</i>	<i>Day 8 (8am)</i>	
Pathway process request for change	2 days	Preparations complete	Day 4 (6pm)	ICL Pathway
Pathway process Reference Data	2 days	Ready for testing	Day 9 (6pm)	ICL Pathway
RDT test change	1 days	Deliver Reference Data to BSM	Day 10 (6pm)	ICL Pathway
Pathway generate RDMC verification & comparison reports	2 day	Deliver Reports to BSM	Day 12 (6pm)	ICL Pathway
BSM check reports	2 days	Notifies Pathway of authorisation	Day 14 (8 pm)	PON
Pathway process authorisation	Immediate	Release change (release day)	Day 14 (8 pm)	ICL Pathway
Amend MIS mapping	1 day		Day 14 (6pm)	ICL Pathway
Update documentation	Varies		Day 12+	ICL Pathway
<i>System processes overnight</i>		<i>Data at counters 97%</i>	<i>(release day +1 adow)</i>	
		<i>Data at counters 99%</i>	<i>(release day +2 adow)</i>	
		<i>Data at counters 100%</i>	<i>(release day +3 adow)</i>	

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5.6 Advanced Complex

Changes that require update Type C Reference Data.

5.6.1 Action	Duration	Result	Milestone	Owner
Business generates change	2 days	Deliver OBC to BSM	Day 2 (6pm)	PON
BSM processes change	2 days	Deliver notification to Pathway	Day 5 (6pm)	PON
BSM processes Reference Data	2 days	Deliver Reference Data to RDOT	Day 6 (6pm)	PON
RDOT input Reference Data	5 days	Send to Pathway	Day 11 (8pm)	PON
<i>Pathway System processes</i>		<i>Available to Pathway</i>	<i>Day 12 (8am)</i>	
Pathway process request for change	2 days	Preparations complete & notify CD	Day 7 (6pm)	ICL Pathway
Pathway processes Reference Data	2 days	RDT handover to CD	Day 13 (6pm)	ICL Pathway
Create Type C Reference Data	10 days	Ready for testing	Day 23 (6pm)	ICL Pathway
RDT Test changes	2 days	Deliver Reference Data to BSM	Day 25 (6pm)	ICL Pathway
Pathway generate RDMC verification & comparison reports	2 day	Deliver Reports to BSM	Day 27 (6pm)	ICL Pathway
BSM check reports	3 days	Notifies Pathway of authorisation	Day 30 (8 pm)	PON
Pathway process authorisation	Immediate	Release change (release day)	Day 30 (8 pm)	
Amend MIS mapping	1 day		Day 30 (6pm)	ICL Pathway
Update documentation	Varies		Day 30+	ICL Pathway
<i>System processes overnight</i>		<i>Data at counters 97%</i>	<i>(release day +1 adow)</i>	
		<i>Data at counters 99%</i>	<i>(release day +2 adow)</i>	
		<i>Data at counters 100%</i>	<i>(release day +3 adow)</i>	

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5.7 AP Client Take-On

As described in AP Client Take-On & Token Verification documents [ref. 3 & 4].

5.8 Basic Express

Changes that involve only Type A Reference Data and are one of the named change types in [section 4.4.1].

5.8.1 Action	Duration	Result	Milestone	Owner
Business generates change	2 hours	Deliver OBC to BSM	Day 1 (10am)	PON
BSM processes change	3 hours	Deliver Reference Data to RDOT	Day 1 (1pm)	PON
RDOT input Reference Data	7 hours	Send to Pathway	Day 1 (8pm)	PON
<i>Pathway System processes</i>		<i>Available to Pathway</i>	<i>Day 2 (8am)</i>	
Pathway process change	1 hour	Deliver Reference Data to BSM	Day 2 (10am)	ICL Pathway
Pathway generate verification reports	2 hours	Deliver Reports to BSM	Day 2 (noon)	ICL Pathway
BSM check reports	4 hours	Notifies Pathway of authorisation	Day 2 (4pm) *	PON
Pathway process authorisation	2 hours	Release change (release day)	Day 2 (6pm)	ICL Pathway
<i>System processes overnight</i>		<i>Data at counters 97%</i>	<i>(release day +1 adow)</i>	
		<i>Data at counters 99%</i>	<i>(release day +2 adow)</i>	
		<i>Data at counters 100%</i>	<i>(release day +3 adow)</i>	

*** Note: As Basic Express is a form of Fast Track change and therefore outside the norm it is a Pathway requirement that authorisation is received by 4 pm.**

5.9 Migration Special

To meet the need to apply a quick change to the Product to Outlet mappings for an outlet

5.9.1 Action	Result	Milestone	Owner
(HFSO) identifies required change	Notify RDOT	*	PON
RDOT input Reference Data	Send to Pathway	*	PON
Pathway process change	Release change (release day)	*	ICL Pathway
<i>System processes overnight</i>	<i>Data at counters 97%</i>	<i>(release day +1 adow)</i>	
	<i>Data at counters 99%</i>	<i>(release day +2 adow)</i>	
	<i>Data at counters 100%</i>	<i>(release day +3 adow)</i>	

* Note:

Migration Special Reference Data files (identifiable as such by virtue of the OBC prefix used) arriving by 10am on a working weekday, will be released that night by Pathway, for distribution.

Migration Special Reference Data files received by Pathway by 4pm and accompanied by a notifying 'phone' call, on a working weekday, will be released that night by Pathway, for distribution.

6 Volume of change

6.1 Introduction

The PON forecast volume of Operational Business Change is shown in Appendix B

On a 3 monthly basis the Operational Service Review Forum will review actual and forecast volumes to estimate the impact on future capacity and lead-times.

6.2 Committed volumes

The parties agree that the PON Dec '99 estimate in [Appendix B] is deemed to be the baseline volume of OBCs for this agreement for the year 2000 and the basis for 2001. The Reference Data Operational Review Forum will review both changes to forecast and actuals against the baseline.

The baseline for Reference Data record changes is given in the AIS [ref. 5].

Data, which is required specifically for the implementation of a new system release (e.g. CSR+), is exceptional to these committed volumes and as such will not be accounted within any measurement against this Agreement.

Where:

- the quarterly forecast figures (or observed actuals) for a rolling 12 month period, show an increase of more than 15% on the baseline for the (aggregated) total of all OBCs or for all Reference Data records or
- Fast-track changes (excepting Migration Specials) exceed 10% of the rolling annual total volume of changes, then

a Change Request (CR) is required for full impacting of the resource needed to deliver the end-to-end process and to establish a new baseline.

Where these limits are exceeded changes will be processed as exceptions [see section 9.2].

N.B. Changes requested directly by ICL Pathway or required to support a major system upgrade or as otherwise agreed (e.g. database tidying activity) may be excluded from change volumes by agreement between PON and ICL Pathway.

6.2.1 Peaks in Business Change activity

- Where the total volume of Business changes raised in any week is no more than 15% above the baseline, the changes will be processed to meet the agreements specified in this document.

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- Where the total volume of Business changes raised in any week is more than 15% above the baseline, this is termed a 'peak'.
 - Where the 'peak' is between 15% and 30% above the baseline, notification must be given at least 1 week in advance, for the changes to be processed to meet the agreements specified in this document.
 - Where the 'peak' is between 30% and 50% above the baseline, notification must be given at least 4 weeks in advance, for the changes to be processed to meet the agreements specified in this document.
 - Where the total volume of Business changes raised in any week is anticipated to be greater than 50% above the baseline, or where the notice period of a peak is not possible, the changes will be treated as an exception [see section 9.2].
 - Where sufficient notice of an increase in volume over 50% above the baseline is available, a CR can be raised to change the baseline.
 - Where the total volume of Business changes is greater than 20% above the baseline, over a 3-month period, a CR is required to change the baseline volumes.

RDORF will ensure that there is careful co-ordination of each component of the change(s) and will prioritise between current work, where necessary.

Examples of peak activity are end of year and tariff changes.

a) End of year

The end of financial year changes will normally represent a peak in change activity. Changes that can be expected at this time of year include:

- Cash Account changes (which are not covered by OBC processes but do need to be co-ordinated with the OBC activity)
- changes caused by Budget decisions
- other product changes, e.g. Tariff Change or the introduction of new Homecare Stamp Changes.

PON and ICL Pathway will plan and manage these changes as separate peak change projects.

b) Tariff changes

A Tariff Change may include new product introduction, revaluation, price changes and/or scales data changes, with multiple changes of each type. It may cause a large overhead on verification, particularly of scales data, and requires careful co-ordination, as well as being open to last minute amendment by POUNC.

7 Deliverables

To ensure milestones are not put at risk all deliverables must be:

- Complete and identifiable e.g. cross referencing change numbers
- Error free [see section 9.3 for managing errors]
- Correctly dated (see section 7.3)
- Delivered by the relevant deadlines set out in the Interface Agreement [see section 5 for required milestones]
- Delivered through the agreed mechanisms.

7.1 PON to ICL Pathway

PON shall deliver to ICL Pathway:

- 1) Reference Data for Advanced and Basic changes
- 2) Operational Business Change forms for Advanced changes
- 3) Supporting items and/or information appropriate for changes e.g. AP tokens, Counter News
- 4) Authorisation for Advanced and High Risk Basic changes
- 5) Volumetric forecasts, including peaks

7.2 ICL Pathway to PON

ICL Pathway shall deliver to PON:

- 1) Reference Data direct to Live Counters, for OBCs that are pre-authorized by PON.
- 2) Reference Data to Verification Counters, for OBCs to be verified, and that:
 - include Type C Reference Data for Advanced changes when necessary
 - has been validated to ensure changes work as requested on the OBC forms.
- 3) Verification and Comparison Reports (as appropriate) that identify exactly what changes to the counter have been implemented
- 4) Reports to RDORF on volumetrics, including observed peaks.

7.3 Future Dating

Reference Data records contain a 'Start Date' which is the date on which the change is to become effective on the Horizon counters. This date should always be in the future when the data is created and remain a 'future date' throughout processing and distribution so that it is still a future date when it arrives at the counters.

There is a risk to PON if the OBC process is not initiated sufficiently in advance of the Start Date to allow for:

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- the IFA lead-time for processing, validation, authorisation and release to the Live system for that particular type of change
 - the distribution time to outlets
 - additional contingency where PON consider the Reference Data to have business critical importance

Where, for whatever reason, PON are unable to initiate the OBC process sufficiently in advance, then PON and ICL Pathway would establish an Agreed Date to supersede the Start Date.

ICL Pathway reserves the right to log as a pre-live incident, the receipt of any Reference Data which is not future dated. This is because data which has an immediate start date (i.e. any date in the past at the time when the data reaches the Horizon counter) may have an adverse effect and may create additional calls to HelpDesks.

The scheduling of non-future dated data by OSG delaying authorisation of the release of Reference Data is not an approved method.

8 Roles & Responsibilities

8.1 PON – General

PON shall, without limitation:

8.1.1 Administration and Control

- a) Appoint and communicate to ICL Pathway the name of an owner for this Interface Agreement. The owner shall maintain and communicate to ICL Pathway the list of change authorisers for Product Reference Data.
- b) Measure & report on the performance of processes carried out by PON under this Interface Agreement.
- c) Participate in the Service Review process, to cover all aspects of the process and its operation, including the provision of regular forecasts of volumes, at least annually.
- d) Review the OBC process and forms to identify improvements.
- e) Maintain details of the PON contacts relevant to these processes within the change contacts list in the OLAs [ref. 12 & 13].
- f) Ensure that all staff involved in the OBC process are aware of their role and responsibilities

8.1.2 Implementation

- a) Ensure Post Office staff and clients are aware of changes in time to make the necessary preparations
- b) Resolve queries from ICL Pathway that are material to an OBC
- c) Communicate issues and exception information to ICL Pathway, as reasonably necessary to assist them, to enable them to manage and control all their relevant change activity on the ICL Pathway side of the change interface.
- d) Provide the Postmaster communication (e.g. Counter News) to ICL Pathway for comment before release and make any amendments reasonably required by ICL Pathway
- e) Identify potential variations to the service as soon as known e.g. peak activity
- f) Process and communicate advanced product changes, in accordance with timescales in [section 5], to ICL Pathway ensuring, where necessary, that changes are submitted separately in units of release.
- g) Verify changes and provide authorisation ready for release [in accordance with section 8.6]
- h) Ensure that the PON copy of reference documents, e.g. copy of the Menu Hierarchy, is available to PON staff who require it
- i) Maintain and ensure the security of the OBC Product and Reference Data verification mailboxes on PON servers

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8.1.3 Files & Reference Data

- a) Ensure the date contained in the Reference Data is in accordance with the required lead-times [see section 5]
- b) Where possible, all Reference Data which should be applied as a unit, as defined by business rules or the OBC, should be supplied in a single file. Where this is not possible, subsequent files must be identifiable as the same unit of release.
- c) Recognise that the file is the unit of release and all changes within one file are constrained by the longest lead-time.
- d) Allocate unique Business Change Request number (Change Control Number).
- e) Ensure all required change information and data is submitted to ICL Pathway e.g. menu hierarchy information [ref. 14] AP CTO packs etc.
- f) Ensure the accuracy and integrity of the change information and Reference Data provided to ICL Pathway

8.2 PON - Reference Data Operational Team

PON RDOT shall, without limitation:

- a) Process and transmit basic Reference Data changes to ICL Pathway over routes & timetables, as specified in the OLA [ref. 12].
- b) Supply Reference Data to support advanced change in accordance with specified standards [see section 0.3].
- c) Allocate unique Business Change Request number (Change Control Number) where necessary.
- d) Ensure that the content of any file is consistent with the change identifier.

8.3 PON Network Business Support Centre (NBSC)

NBSC shall, without limitation:

- a) Provide an interface to log PON Live incidents raised by PON or ICL Pathway.
- b) Monitor, track and provide updates on PON Live incidents, to resolution.

8.4 ICL Pathway responsibilities

ICL Pathway shall, without limitation:

8.4.1 Administration and Control

- a) Appoint and communicate to PON the name of an owner for this Interface Agreement.
- b) Measure & report to RDORF the performance of ICL Pathway processes carried out under this Interface Agreement.
- c) Participate in the Service Review process, to cover all aspects of the process and its operation, including the provision of 3 monthly reports on the volume of change received over the previous year.
- d) Review the OBC process and forms to identify improvements.
- e) Maintain the details of the ICL Pathway contacts relevant to these processes within the OBC Product Change contacts list in the OLAs [ref. 12 and 13].
- f) Ensure that all staff involved in the OBC process are aware of their role and responsibilities

8.4.2 Implementation

- a) Ensure ICL Pathway staff and suppliers are aware of changes in time to make the appropriate preparations, where necessary
- b) Review the Postmaster communication (e.g. Counter News) and notify PON of any amendments reasonably required, before issue.
- c) Communicate issues and exception information to PON, as reasonably necessary to assist PON, to enable them to manage and control all their relevant change activity on the PON side of the change interface.
- d) Receive and progress basic Reference Data change requests through the Reference Data change procedures
- e) Receive and progress advanced Reference Data change requests. These may be sent electronically by PON to the OBC Product Change Mailbox or via fallback routes (e.g. fax)
- f) Assess advanced changes and identify and deliver the change services needed to satisfy specific changes
- g) Ensure that supporting ICL Pathway processes are implemented to manage the delivery of change services
- h) Ensure that appropriate updates to Menu Hierarchy are forwarded to PON librarian for onward distribution within PON
- i) Provide invoices for the completion of work, when appropriate [see section 9.5]
- j) Release correctly authorised changes to meet the Agreed Date [see section 9.3]

8.4.3 Files & Reference Data

- a) Provide changed Reference Data, Verification and Comparison Reports in accordance with agreed procedures [see section 0.3]

8.5 Horizon Service Helpdesk (HSH)

HSH shall, without limitation:

- a) Provide an interface to log ICL Pathway Live incidents raised by PON or ICL Pathway.
- b) Monitor, track and provide updates on ICL Pathway Live incidents, to resolution.

8.6 Verification, authorisation & release

Note: for details of the process [see section 3.4].

- 1) PON shall
 - Verify the OBC form before keying the Reference Data.
 - Use the RDS system built in validation rules on the Reference Data keyed in.
 - Verify the Reference Data once it has been keyed, before it is sent to ICL Pathway.
- 2) ICL Pathway shall
 - Check that all the Reference Data required for an OBC has been received.
 - Check that the contents of a file are appropriate for that file / change type.
 - Confirm that the Postmaster communication e.g. Counter News is appropriate
 - Raise any queries with PON relevant to the progression of an OBC
 - Produce a Verification and Comparison Report (where necessary) for changes delivered to the verification counters.
 - Confirm that the change works technically, before sending data and reports to PON for verification.
- 3) PON shall
 - Perform Authorisation
 - Gain the agreement of ICL Pathway, where PON wish to release a change that contains a known deviation from the original intention (including an inappropriate communication).
- 4) ICL Pathway shall
 - Explain to PON's reasonable satisfaction any queries which PON have arising from the validations carried out, or, where the change is part of the technical implementation, accept responsibility for that element of the change.
 - Not unreasonably withhold its agreement to release changes which PON approve as acceptable deviations from the original intention.
 - Release the Reference Data for authorised changes to the live system provided PON has complied with its obligations set out in [section 8.6 para 3].

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Each party accepts responsibility for those aspects of a change for which it has responsibility to test.

9 Orders and exceptions

9.1 Orders

- The receipt by the OBC Product Mailbox of the OBC form is the confirmed request from PON to ICL Pathway, for Advanced Changes.
- The receipt of a Reference Data file containing only Basic (Class 1 Reference Data) in the RDMC, is the confirmed request for change from PON to ICL Pathway.
- The receipt of a correctly completed Authorisation Form from PON is the confirmed authorisation to release the change.
- The receipt of pre-authorised change files (e.g. Migration Special or Pure Basic) clearly identified as such and containing that type of change, is the authorisation for release of the changes.
- Requests for non-OBC changes (i.e. those not defined in the RDCC [ref. 2]) will not be accepted and need to be submitted as a Change Request. However, the change request may also initiate an update to the RDCC so that new changes are introduced to the OBC process, where agreed. In many cases once a CR has been approved the delivery mechanisms will be the same as, or similar to, those used for OBC.

9.2 Exceptions

Exceptions, e.g. to volumes or lead-times, will be processed using available resources without any guarantee of service delivery. Both PON and ICL Pathway shall notify the other party when a request is recognised to be an exception.

Note: An agreed Deviation to the Service (e.g. Reference Data necessary for the implementation of a new system release such as CSR+) is not an exception.

PON may wish to change the priority of an exceptional change so that it is given preference over normal changes. In this instance the agreed lead-times may be extended pro rata for displaced activities.

9.3 Errors and Rework

N.B. This section relates to errors or rework for both Product and Outlet Reference Data, where appropriate.

9.3.1 Recording Pre-Live Incidents

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All observed errors will be recorded as pre-live incidents in accordance with the OLAs (refs. 12 & 13). The change will be suspended awaiting corrective action, potentially delaying the achievement of that milestone for all changes affected by the error. For example, a file containing records that are rejected will not be processed until the rejected records are corrected and any other change which is in any way associated with the rejections may also be delayed. Where the achievement of a milestone is at risk, corrective action will be taken by the appropriate party or parties, by agreement, in order to achieve the final milestone, where possible.

A pre-live incident will be raised for late deliverables.

If the Start Date contained within Reference Data record is not future dated or is set to a date prior to the Required Date a pre-live incident will be raised i.e. the Start Date is either prior to the date on the OBC form, or is not consistent with the overall lead-times (see section 7.3).

If it is known that the final milestone will not be achieved, or an alert has been requested and the data is being released and will become active on the following day an Alert may be necessary as described in section 2.5.

9.3.2 Rework categorisation and thresholds

Rework files are files which are, or appear to be, either Amendment files or Error Corrections files to a change that is currently being progressed (e.g. PON Client has requested a name change to a product before it has gone live). They necessitate additional activity by all parties and as such may have an impact on lead-times.

DN: the remainder of this section is still subject to review between PON and ICL Pathway and anticipates the inclusion of Reference Data for Outlet Change.

Rework files are divided into 5 major categories as follows:

- 1) Product Business Imperative – where the PON Client or PON Market Facing Units have requested a change*
- 2) Product Other*
- 3) Outlet Business Imperative – where physical changes at an outlet cannot be completed due to issues with PON suppliers*
- 4) Outlet Other*
- 5) Common – errors originating in RDS (system or process error)*

These major categories Product Other and Outlet Other may be subdivided e.g.

- OBC error – where the OBC details were submitted incorrectly*
- Pathway – where a request for Rework has been made by Pathway (other than for Error or Usability)*
- Rules – where rules do not exist or are unclear or ambiguous (broken rules are Errors)*

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- *TIP – where a request for Rework is made by TIP*

RDORF shall review the number of Rework files transmitted to ICL Pathway by PON with the aim of:

- 1) understanding reasons for Rework*
- 2) reducing instances of Rework in each of the above categories*

Thresholds for the acceptable level of rework in each of the above categories are currently under review by an RDORF sub-group and will be recorded in the CSR+ version of this document.

The measurements will be based on:

- a) the number of rework files received in any quarter as a percentage of the total number of Product Changes in the quarter for the categories:*
 - 1) Product Business Imperative*
 - 2) Product Other*
- b) the number of rework files received in any quarter as a percentage of the total number of Outlet Changes in the quarter for the categories:*
 - 1) Outlet Business Imperative*
 - 2) Outlet Other*
- c) the number of rework files received in any quarter as a percentage of the total number of Changes (Product and Outlet) in the quarter for the category:*
 - 1) Common Entities*

RDORF is responsible for monitoring the urgent progress of this activity.

Appropriate steps shall be taken to establish and eliminate the root cause of Rework.

9.4 Escalation

Disagreements about the service e.g. whether a change is exceptional, will be raised, and wherever possible resolved, at the RDORF. If agreement cannot be reached at the RDORF, either party may invoke formal escalation mechanisms.

9.5 Charging

- AP Client Take-On is charged as specified [see ref. 3].
- Deviations to the service will be charged as per the CCN.
- Invoices will be raised and paid in accordance with Schedule A10.

10 Appendix A: Remove/Cease Product and ITM's

Item Transaction Modes and Horizon

The effect of changes to ITM's on CSR counters is achieved by use of the Menu Hierarchy. This poses a number of limitations due to the way in which the system was designed. For example:

- Items on picklists will appear on Remit In, Remit Out, and Serve Customer picklists and can be used in all three however removal can also only be from all three at the same time
- There is no ability to 'gracefully' remove products from a CSR counter, i.e. because ITM's are not used it is not possible to remove one mode without others unless the item can only be sold, or remitted through a button only
- Because items cannot be 'gracefully' removed it is not possible to provide any functionality to remove non-core items from outlets other than by complete removal

In CSR+ the use of ITM's provides the capability of having different transaction modes available at different times and therefore the 'graceful' termination of items is achievable, however whilst CSR counters are still in use it is necessary to consider the methodology to be used for the CSR counters in preference to the CSR+ capabilities. Once there are no CSR counters in the Live estate full use of ITM's can be made without further consideration (other than any relevant rules)

Whilst CSR counters are still in use on the Horizon system the implementation of Remove/cease a product is summarised as follows.

Action	Type of product	Position on screen	Type of change
Remove permanently	Value & Non-Value products	Button & Pick-list	N/a (data cannot be end dated at CSR)
Cease Sell	Non-Value products	Pick-list	Simple (use Type A Reference Data to end picklist link & Pathway document afterwards)
Cease Sell	Non-Value products	Button	Complex (Type C Reference data)
Cease Sell leave Rem	Value products	Button	Complex
Cease Sell leave Rem	Value products	Pick-list	N/a

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Cease Sell & Cease Rem	Value products	Pick-list	Simple (use Type A Reference Data to end picklist link & Pathway document afterwards)*
Cease Sell & Cease Rem	Value products	Button	Complex (Type C Reference Data)*

* NB Not anticipated to be used at CSR, as it must be confirmed by BSM that offices have no stock remaining, and no transactions in the current period.

Also making a core product non-core whilst CSR counters are still in use can only be implemented by introducing a new product.

When CSR+ is fully implemented in all outlets the above changes will be implemented using Item Transaction Modes

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11 Appendix B: OBC Volumes for Year 2000

The volume of change estimated by PON for the year 2000 is as follows.
The values were provided initially in December 1999, and amended with the
Changing Picklist ordering changes in August 2000.

Change and Category	OBC Volume
Basic Change	
Change price & min/max price/volume	660
Increase non core product availability in outlets	432
Change MOP for product (existing MOPs)	86
Change customer sales rules	27
Change product name	22
Change voidable / reversable	5
Subtotal	1232
Advanced Simple	
Change additional fields	18
Subtotal	18
Advanced Standard	
Change accounting calendar	1
Subtotal	1
Advanced Complex	
Add EPOSS product	516
Permanent cessation of product	363
Change mapping to c/a	24
Change Menus	13
Change picklist ordering:	
1. Cash Declaration/ONCH	1
2. Cash Rem Out - Notes	1
3. Cash Rem Out - Coin Full Bags	1
4. Cash Rem Out - Coin Partial Bags	1
5. Cash Rem Out - Unusable Coin	1
6. Rem Out - Other Postage Stamps	2
Change Royal Mail tariff	3
Change Advice Notes Product Group Ordering (add or remove Group, alter order)	15
Change Parcellforce tariff (limited range)	1
Change Non-Value Stock Product Group Ordering (add or remove Group, alter order)	8
Change Non-Value Stock Item Ordering within Product Group	1
Change Advice Notes Item Ordering within Product Group	1
Subtotal	952
Advanced AP	
Add AP client	251

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Add AP service	111
Remove AP service	41
Change client name	37
Remove AP client	26
Subtotal	466
Change requiring Change Request	
Change printed forms	32
Change stock reconciliation	15
Change VAT	-
New VAT	-
New currency	-
Change currency	-
Subtotal	47
Other (processed via ITMs in CSR+, interim arrangements in CSR)	
Change product start date	77
Temporary cessation of product	32
Change product between core & local	18
Subtotal	127
Grand Total	2843

DN: volumes yet to be amended to include impact of LFS/SAPADS. e.g. increase in "Add EPOSS product". Also Refresh Cash Account details (usually to amend text on Cash Account lines)

12 Appendix C: PON Business Tests

Business tests for the purpose of verifying changes to Reference Data are conducted by PON and are described in [ref. 14]. These tests include, where appropriate, review of Verification and Comparison Reports and the functional testing of Reference Data on test counters supplied by ICL Pathway. Authorisation from PON to ICL Pathway to release Reference Data is made on the basis of these tests.

13 Appendix D: Standard Changes - Details

Section 4.2 gives details of the hierarchy of changes which are Standard Changes. The complete list of changes applicable to each type can be found in the RDCC [ref 2]. Below is a representative sample of the changes for each type.

13.1.1 Basic - Pure

- Increase product availability (non-core)
- Change clerk instructions

13.1.2 Basic – High Risk

- Change product price
- Revaluation
- Change min/max quantity/value
- Change whether voidable or reversible
- Change between existing methods of payment
- Change product names

13.1.3 Advanced Simple

- Cease non-value product*
- Cease Sell and Remit In/Out of value product (at same time)* †
- Non core product becomes core
- Change use of additional fields

* These changes cannot be fully implemented through Reference Data alone until all outlets are operating at CSR+. See appendix A for more detail regarding implementation whilst outlets are still operating at CSR

† Although, within the CSR release of the Horizon system, the facility exists to perform this combined action, it is not normally used due to the complexity of the necessary procedural management. In CSR+ the 'cease sell' and 'remit' functions become separate by the use of Item Transaction Modes.

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13.1.4 Advanced Standard

Change discount indicator
 Change ability to print receipt
 Change value to non-value stock
 Change client name – non AP
 Change calendar
 Remove AP client
 Change pick-list for existing product

13.1.5 Advanced Complex

Add new product - non value stock
 Add new product - make value stock available to rem-in
 (up to 6 weeks prior to it being made available for sale)
 Remove product permanently*
 Cease value product and leave on Rem Out screen*
 Change scales matrix/tariff change (no Type C required but BSM need extra
 time to verify the OBCs).
 Change screen layout
 Change accounting node
 Change product categorisation i.e. making a non-core product core*
 Change Best Fit screens
 Temporary withdrawal of a product
 Add/Change/Remove Item Transaction Mode/Item Transaction Mode Code*
 Add/Change/Remove Logistics Inventory/Accounting Items
 Change Picklist ordering: †
 Add/Change/Remove non-value stock product group ordering †
 Change non-value stock item ordering within product group †
 Add/Change/Remove advice notes product group ordering †
 Change advice notes item ordering within product group †

* These changes cannot be fully implemented through Reference Data alone until all outlets are operating at CSR+. See Appendix A for more detail regarding implementation whilst outlets are still operating at CSR

† These items are to be included in the next version of the RDCC.