

**Report of the
Ontario EBT Standards Work Group**

Recommended Process for Changing EBT Standards

Wednesday, May 31, 2000

Standards Change and Version Control Process

Introduction

The process outlined herein establishes a **Change Control** process that addresses changes to the Ontario EBT Standards as set forth by the Ontario EBT Standards Work Group.

It is anticipated that these EBT standards will be expanded and modified to accommodate market or regulatory requirements on an ongoing basis. It is understood that **Change Control** is vital in order to allow the market to function successfully moving forward to implement changes in an efficient, effective, timely, and well-coordinated manner. This change control document provides the process by which changes to the standards may be requested, discussed, reviewed, ruled upon and implemented if approved.

In order to facilitate the Change Control Process, the Ontario EBT Standards Work Group in conjunction with the OEB will maintain, publish, and post the standards and the ongoing modifications/enhancements to these standards on the OEB web site. The OEB Staff will notify the designated contacts of each licensed retailer, distributor, and all Ontario EBT participants of anticipated modifications or enhancements to the standards and of the timing thereof.

A consolidated new release of the standards will be published as required. The consolidated new release publication will encompass all changes implemented since the last issue and will be forwarded to the OEB Staff for electronic posting.

Roles and Responsibilities

Advisory Committee

The Advisory Committee is the Standards body. The Advisory Committee meets once a month as a rule. These meetings are open to the public. Participation in these meetings is encouraged. Once the Ontario EBT Standards Work Group has formed a recommendation for a change control issue, then this group will take it to the Advisory for final approval.

EBT Standards Work Group

These EBT standards have been developed by consensus, maintaining the objective of practical and operational results. Recognizing that the processes outlined in these standards are new to many stakeholders, the EBT Standards Work Group will work with the OEB and all parties to resolve issues that are certain to arise during the implementation stage of these standards.

Membership in the EBT Standards Work Group

It is the recommendation of the Ontario EBT Standards Work Group that the initial members of this group be appointed by the Advisory Committee. The Ontario EBT Standards Work Group will meet as often as necessary to address the implementation schedule.

The Ontario EBT Standards Work Group Chairperson's responsibilities are as follows:

1. Provide notice of meetings, change control requests and agendas to the membership via email.
2. May designate a Change Control Manager from the membership.

3. Determine consensus among members.
4. Ensure fair handling of the change control process.
5. Set meeting dates and agendas.
6. File changes and transaction IGs with the OEB.
7. Notify the OEB of IG changes which require policy or business process changes.

The Ontario EBT Standards Work Group Chairperson will function as a neutral arbitrator and may delay or expedite consideration of a change request as necessary to ensure proper evaluation of changes. The Chairperson will resolve the priority classification of a change request if a dispute on classification arises. The EBT Standards Work Group Chairperson may delegate duties to members as necessary.

EBT Standard Change Approval

Requests for changes will be submitted to the Chairperson via email, using the Change Control Request Form. Incomplete requests will be returned to the Requestor for completion. The Chairperson will schedule the Change Request for a forthcoming EBT Standards Work Group meeting agenda according to its priority and provide email notice of the request to the EBT Standards Work Group mailing list.

The EBT Standards Work Group will consider standards changes at meetings and/or teleconferences. Requests for standards changes must be approved by a consensus. Members proposing changes are advised to develop a consensus among other members prior to the meeting where that proposal will be considered. Changes that are rejected may be reconsidered in 30 days or at the discretion of the EBT Standards Work Group Chairperson. The OEB will have final authority to approve or reject change requests. Requests approved will be filed for informational purposes with the OEB. Members whose requests are rejected may petition the OEB for consideration outside of the EBT Standards Work Group process.

Business Process Changes

Changes that affect the business processes associated with the Retail Settlements Code will be addressed by the Ontario EBT Standards Work Group and forwarded on to the OEB. The EBT Standards Work Group's authority to make changes will be limited to the IGs and other XML documents. Ontario EBT Standards Work Group will defer policy and business process decisions to the OEB.

Priority Classifications

All modifications and enhancements should be classified in one of the following three categories:

Emergency Priority

Changes must be implemented within 10 days after approval or as otherwise directed by the Ontario EBT Work Group.

High Priority

Changes/Enhancements implemented within 30 days after approval, the Next Release, or as otherwise directed by the Ontario EBT Work Group.

Low Priority

Changes/Enhancements implemented no earlier than 90 days after approval, Future Release, or as otherwise directed by the Ontario EBT Work Group.

Emergency Priority

For a change to be classified as *Emergency Priority*, the initiating party must demonstrate in writing to the Ontario EBT Work Group that:

- ◆ The current standards cannot accommodate Market Place for deregulation
- ◆ If the problem is left unattended, it could have a detrimental affect to an Ontario Market Participant, or deregulation in general
- ◆ Bilateral agreements between Retailer's and Distributor's cannot solve the problem efficiently
- ◆ An urgent modification of the standards is required
- ◆ All Ontario Market Participants affected by the problem will accommodate said modification

In addition the initiating party must:

- ◆ Document in advance the scope of the modification and the affected standards
- ◆ Document why the modification should not be classified as Next Release or a Low Priority change
- ◆ Provide cost justification if appropriate
- ◆ Document the proposed amendments and provide a test plan, test cases, and standards. This documentation shall be presented to the Ontario EBT Work Group.

High Priority

For a change to be classified as *High Priority*, the initiating party must demonstrate in writing to the Ontario EBT Work Group that the suggested modifications/enhancements:

- ◆ Will better the industry as a whole
- ◆ Bilateral agreements between Retailer's and Distributor's cannot solve the problem efficiently
- ◆ Addresses immediate regulatory and competitive market issues and mandates
- ◆ Affects all participants.

In addition the initiating party must:

- ◆ Document in advance the scope of the modification/enhancements and the affected standards
- ◆ Document why the modification should not be classified as Low Priority
- ◆ Provide cost justification if appropriate
- ◆ Document the proposed amendments and provide a test plan, test cases and standards. This documentation shall be presented to the Ontario EBT Work Group.

Low Priority

For a change to be classified as future release *Low Priority*, the initiating party must demonstrate in writing to the Ontario EBT Work Group that the suggested modifications/enhancements:

- ◆ Bilateral agreements between Retailer's and Distributor's cannot solve the problem, or
- ◆ Will address regulatory and competitive market issues and mandates, which affects all participants.

In addition the initiating party must:

- ◆ Document in advance, the scope of the modification/enhancements and the affected standards
- ◆ Document the proposed amendments and provide a test plan, test cases, and standards. This documentation shall be presented to the Ontario EBT Work Group.

Notification Requirements

Emergency Priority

The party proposing the change/modification shall notify the Ontario EBT Change Control Manager and the OEB who will verify that the change/modification is an Emergency Priority in accordance with the Change Control Process. The OEB will notify by phone and/or email, both Retailer's and Distributor's, in as expeditious a manner as feasible.

High and Low Priority

The initiating party will notify by phone or email the Ontario EBT Change Control Manager and the OEB. The OEB will notify both Retailer's and Distributor's for the topic to be discussed at an upcoming meeting. The Change Control shall be added to the meeting agenda.

Ontario EBT Change Control Log

| Change Control Number | Requestor | Company | Date Requested | Trans Set(s) | Description | Status |
|------------------------------|------------------|----------------|-----------------------|----------------------------|--|---------------|
| 001 | Dave Darnell | Systrends | 5/16/2000 | Payment Advice - Summary | We need to have a control total on the Summary Payment Advice Transaction. | OPEN |
| 002 | Dave Darnell | Systrends | 5/16/2000 | Functional Acknowledgement | Need the rejected item's index so you can locate the error within an object with a series of elements. | OPEN |
| | | | | | | |

Ontario EBT Change Request

This Ontario EBT Change Request can be found on the OEB website at:
XXXXXXXXXXXXXXXXXXXXXXXXXXXX

| | | |
|--|---|--|
| Requester's Name: Dave Darnell | Distributor/Retailer Name: | Phone # : 602-432-3353 |
| Date of Request: 05/16/00 | Affected XML Transaction Set(s): Payment Advice | E-Mail Address: Dave@systrends.com |
| Requested Priority (emergency/high/low): LOW | Requested Implementation Date: Future Release | Status: Open |

Brief Explanation (This will be copied into the description in the Change Control Summary Spreadsheet):

We need to have a control total on the Summary Payment Advice Transaction.

Detail Explanation (Exactly what change is required? To which Ontario EBT Standards? Why?):

Only needed on the Payment Advice Summary transaction.

For Change Control Manager Use Only:

| | | |
|---------------------------------|-------------------------------|--|
| Date of Ontario EBT Discussion: | Expected Implementation Date: | |
|---------------------------------|-------------------------------|--|

Ontario EBT Discussion and Resolution:

Priority Classifications

| | |
|---------------------------|--|
| <i>Emergency Priority</i> | <i>Implemented within 10 days or otherwise directed by Ontario EBT</i> |
| <i>High Priority</i> | <i>Changes / Enhancements implemented with 30 days. The next release, or as otherwise directed by Ontario EBT</i> |
| <i>Low Priority</i> | <i>Changes / Enhancements implemented no earlier than 90 days, Future Release, or as otherwise directed by Ontario EBT</i> |

**Please submit this form via e-mail to both the OEB at XXXXXXXXXXXX and to the
Change Control Manager, XXXXXXXXXXXX atXXXXXXXXXXXXXXXXXXXX**
Your request will be evaluated and prioritized at an upcoming Ontario EBT meeting or conference call.

Ontario EBT Change Request

This Ontario EBT Change Request can be found on the OEB website at:
XXXXXXXXXXXXXXXXXXXXXXXXXXXX

| | | |
|--|---|--|
| Requester's Name: Dave Darnell | Distributor/Retailer Name: | Phone # : 602-432-3353 |
| Date of Request: 05/16/00 | Affected XML Transaction Set(s): Functional Acknowledgement | E-Mail Address: Dave@systrends.com |
| Requested Priority (emergency/high/low): LOW | Requested Implementation Date: Future Release | Status: OPEN |

Brief Explanation (This will be copied into the description in the Change Control Summary Spreadsheet):

Need the rejected item's index so you can locate the error within an object with a series of elements.

Detail Explanation (Exactly what change is required? To which Ontario EBT Standards? Why?):

Functional Acknowledgement transaction

For Change Control Manager Use Only:

| | | |
|---------------------------------|-------------------------------|--|
| Date of Ontario EBT Discussion: | Expected Implementation Date: | |
|---------------------------------|-------------------------------|--|

Ontario EBT Discussion and Resolution:

Priority Classifications

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**Please submit this form via e-mail to both the OEB at XXXXXXXXXXXXX and to the
Change Control Manager, XXXXXXXXXXXXX atXXXXXXXXXXXXXXXXXXXX**
Your request will be evaluated and prioritized at an upcoming Ontario EBT meeting or conference call.