

Dropship Implementation Guide

Abstract

This document explains the operational and technical parameters along with some of the design elements of the external fulfillment drop ship relationship and messaging.

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1 Introduction

1.1 Project Overview

The goal of this project is to develop the functionality to have the vendor fulfill Amazon.com customer shipments. These shipments will be fulfilled out of the vendor's DC network. The experience should be invisible to the Amazon.com customer in that the customer will have the perception that the shipment came from an Amazon.com FC. The vendor will be required to maintain our high standards of customer experience and will ship orders in Amazon.com branded boxes (where orders require over-boxing).

1.2 Purpose and intended audience

This document serves as a reference document, providing definitions and descriptions of business processes and related messages exchanged between the Amazon.com platform and a vendor's processing system.

The intended audience for this document includes:

- Project Managers and business analysts that need to know specifics on how the messages are organized and how they relate to actual business processes.
- Technical analysts and programmers preparing to develop interfaces between vendor's systems and the Amazon.com platform.
- Vendor's technical team

1.3 Key Players

External Fulfillment Alliance Program Manager (APM) – APM's are an integral part of the implementation of any vendor. They will be one of the main points of contact for operational and ongoing vendor management. Amazon.com has strict expectations for quality, productivity and customer experience. The APM will also control the flow of order volumes that will need to be fulfilled and performance metrics. The APM is responsible for monitoring these and many other aspects of the vendor relationship. The APM will also monitor daily productivity and reporting utilizing a suite of tools. External Fulfillment may choose to either maintain an onsite APM or quarterly and random quality audits as necessary to maintain Amazon.com quality standards.

Systems Integration Analyst (Integration Analyst) – The Integration Analyst is responsible for defining and managing technical requirements for the vendor and for Amazon.com's internal development team. The Integration Analyst is also responsible for managing the implementation of electronic messaging, including connectivity as well as message format.

External Integration Operations (EIO team) – The EIO team will be the first point of contact for all technical/messaging contacts made by the vendor. The EIO team is analogous to a 'tech support'. The EIO team will monitor daily messaging using a suite of tools and contact vendor's if messages fall outside the SLA's for each vendor. EIO will also be the first point of contact for any technical/system issues that may arise (outages, server changes, etc).

2 Implementation Phases and Testing/Launch Criteria

2.1 Implementation Phases

A. Investigation (Vendor Assessment)/Screening

Entry: Contacts identified

Exit: Owners identified

All data gathered (formats determined, assessment criteria complete)

Vendor operational and technical survey complete and evaluated

Vendor category assignment made (tech, biz, and parameters)

Vendor system configuration data gathered

Gap Analysis of Amazon Requirements and Vendor Capabilities Complete

B. Contract

Entry: Contracting resource team assembled (legal/APM/Ell/tax)

Tax Nexus requirements agreed upon with vendor

Exit: Contract signed

C. Planning

Entry: Task list/project plan template generated

Exit: Vendor technical specification sign-off.

Project plan developed (development, testing cases, testing dates, launch date)

Resources Assigned

D. Development

Entry: Planned development start date reached

Planning phase complete

Exit: Sku's selected for test cases.

Unit tests passed

Connectivity tests passed

Messages and contexts complete

Code Complete (Vendor and Amazon)

Amazon configuration complete

Product Data Set-up complete (catalog and/or avail feed implemented, etc)

E. Testing

Alpha

Entry: Development phase complete

Testing data gathered (SKU's, etc.)

Connectivity configured

Exit: All test cases certified

Alpha signed-off by vendor

Alpha signed-off by Amazon.com

Beta

Entry: Amazon configuration pushed to production

Vendor production ready

Amazon merchandising production ready

Exit: Beta signed-off by vendor

Beta signed-off by Amazon.com

Exit criteria complete (e.g. X orders processed, % orders in good standing, orders shipped from each new DC)

E. Launch

Entry: Launch web changes into productions (all launch ASIN's turned on)

Launch date reached

Beta phase complete

Exit: EF hand-off to EIO complete

2.2 Testing Phases

Unit Testing: Unit testing is the testing of a message format to ensure that the development of the messages has been done in accordance with the specifications. Amazon.com has a certification process that will entail the vendor accepting and responding to shipment messages.

Alpha Testing: Alpha testing represents a phase of business driven tests that are developed to test specific vendor abilities. The set of test cases usually cover the following: gift orders, multi items, ship partials and any tax nexus scenarios.

Beta Testing: Beta testing represents 'live' orders. These orders are customer orders and need to be fulfilled successfully. Beta is normally a scaled down version of a real launch. We scale down the launch by limiting the number of ASIN's the customers can purchase on the website. Beta specific orders will be determined based on the vendor and their business relationship with Amazon.com.

Launch: This phase is really an extension of Beta. Launch represents full implementation of a vendor.

2.3 Data Flow Models

Decision Matrix – determining between processes

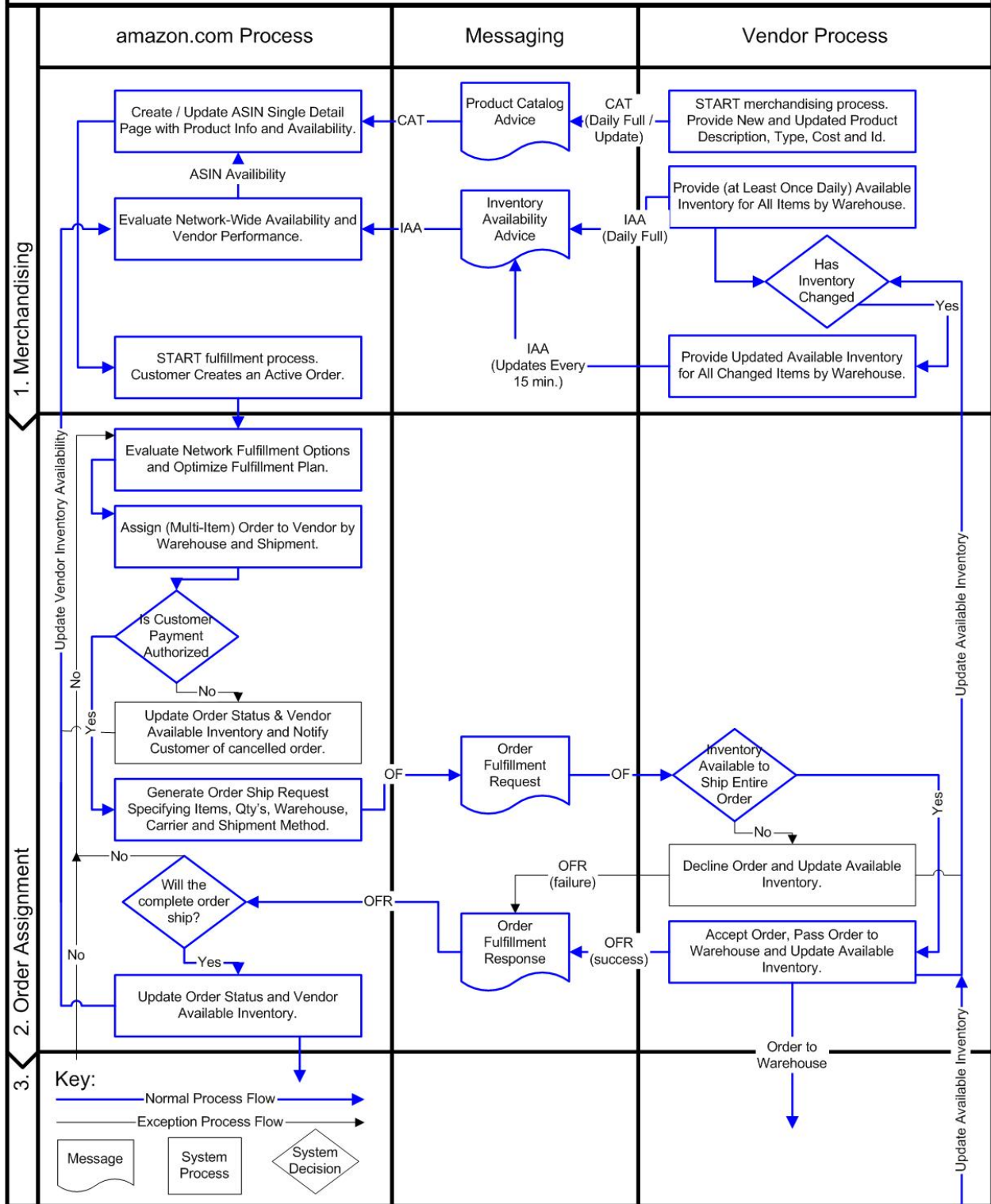
dig Table 3.1.		Process Model Decision Matrix	
		Inventory Commit Process Requirements	Order Fulfillment Process Requirements
1. Merchandising		1) Regular (Daily/as required) Catalog Update.	1) Regular (Daily/as Required) Catalog Update.
		2) Once Daily Complete Inventory Feed per Warehouse.	2) Once Daily Complete Inventory Feed per Warehouse.
		3) Regular Inventory Update (Changed Items - as required for 97% in-stock accuracy) / Warehouse.	3) Inventory Update for All Changed Items every 15 minutes per Warehouse.
		4) Typically Implemented for Integrations where Product Catalog >> 100,000 SKU's.	4) Typically Implemented for Integrations where Product Catalog < 100,000 SKU's.
2. Order Assignment		5) Commit to Fulfill (or Kill) & Reserve Prime Inventory against Real-Time Orders for Multi-Item Shipments by Warehouse without Shipping.	
		6) Accept Order Updates and Fill (or Kill) Entire Order for Multi-Item Shipments by Warehouse using Amazon-specified Carriers and Methods.	6) Accept Order Requests & Fill (or Kill) Entire Order for Multi-Item Shipments by Warehouse using Amazon-Specified Carriers and Methods.
		7) Provide Updated Available Inventory For all Items on Order by Warehouse on Order Responses.	7) Provide Updated Available Inventory For all Items on Order by Warehouse on Order Responses.
		8) Typically Implemented in a very dynamic or poorly visible inventory environment with a high risk of out of stock orders (> 1%).	8) Typically Implemented in a very predictable or highly visible inventory environment with a low risk of out of stock orders (< 1%).

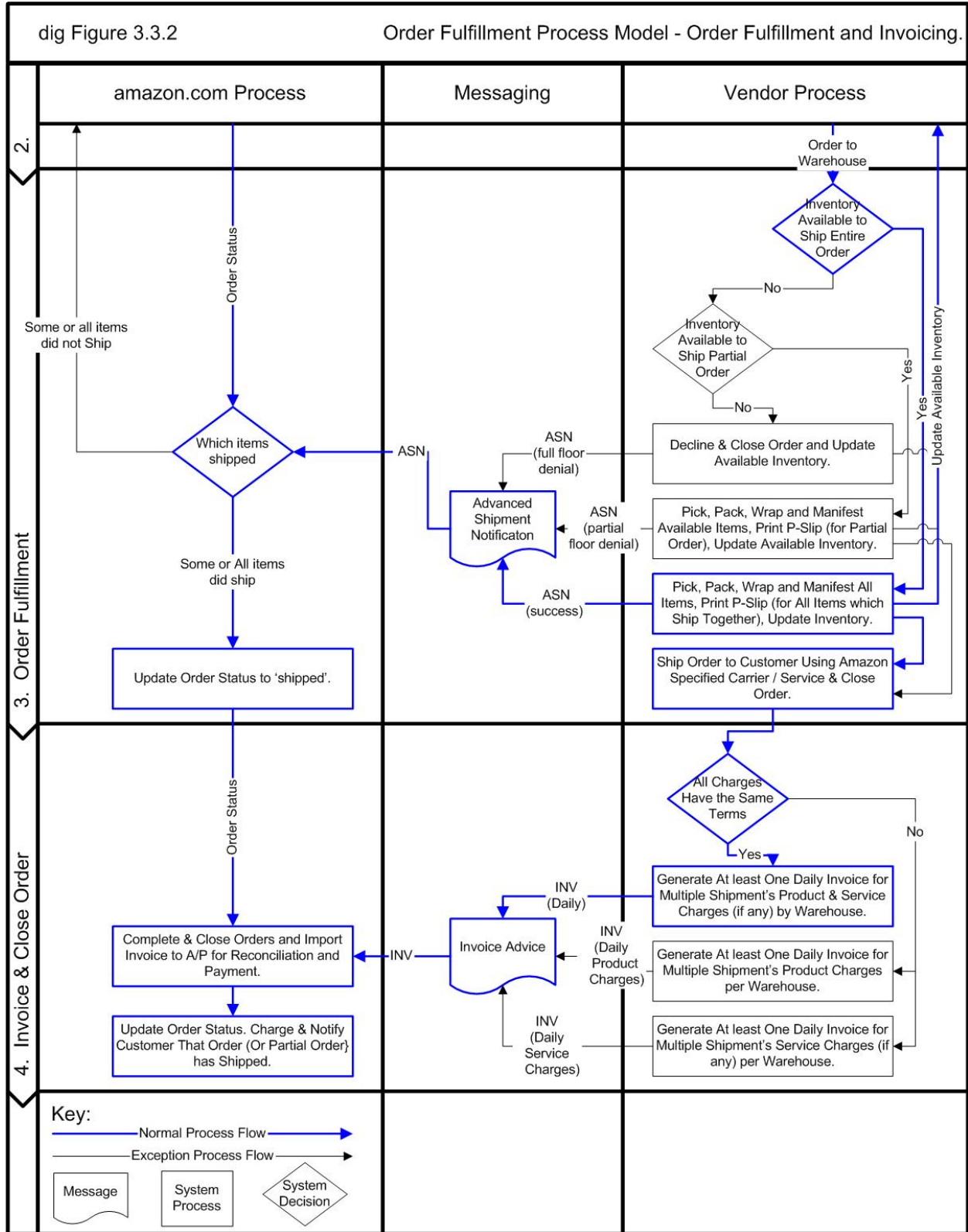
The Order Fulfillment Request Model is used when a vendor has a high probability of having the stock on hand and ready to ship to the customer.

Order Fulfillment Request Model	X12	XML
Order Fulfillment Request	850	OF
Order Fulfillment Response	855	OFR
Advance Shipment Notification	856	ASN
Invoice Notification	810	INV
Inventory Availability Advice	846	IAA
Functional Acknowledgment	997	FA
Catalog Feed	Flat file	n/a

dig Figure 3.3.1

Order Fulfillment Process Model - Merchandising and Order Assignment.

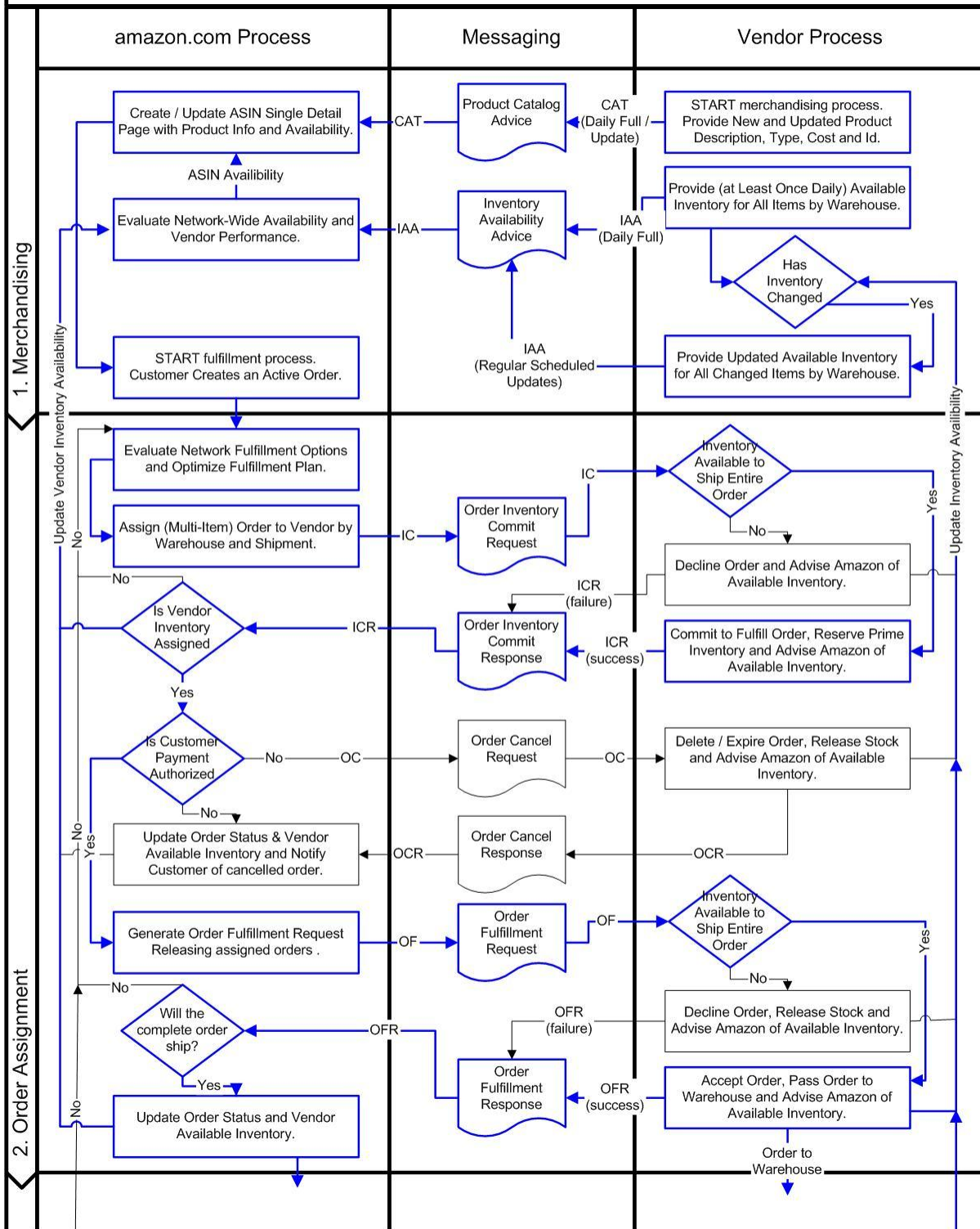


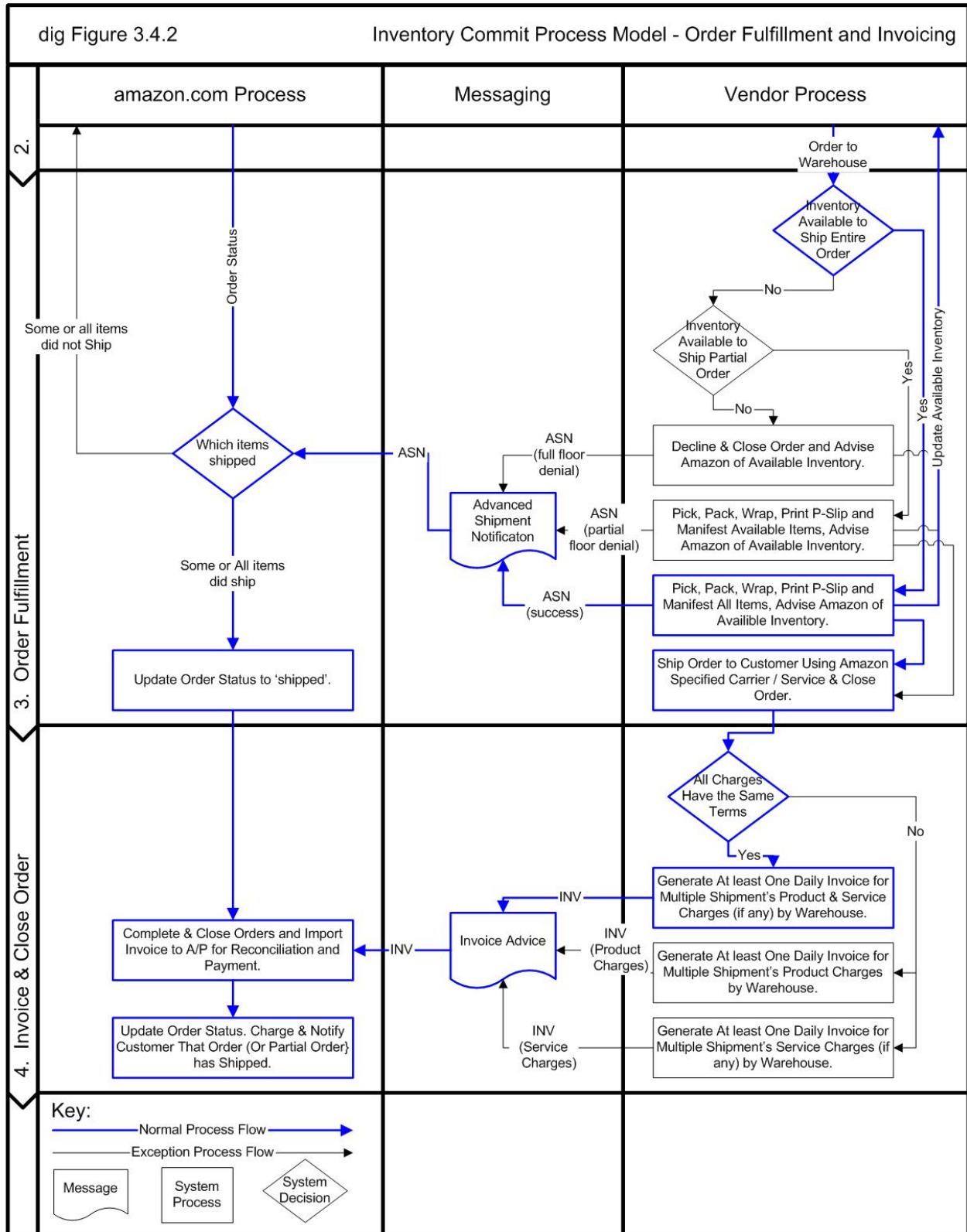


The Order Inventory Commit Request model is used when the vendor's inventory may differ dramatically from the inventory availability advices for a multitude of reasons: high inventory turnover, low in-stock quantities. It provides Amazon with a committed inventory prior to the order fulfillment request being placed with that vendor to assure that the customer's order can be fulfilled in a timely manner. Much of this information is based on the frequency and accuracy of the inventory availability advices.

Order Inventory Commit Request Model	X12	XML
Order Inventory Commit Request	850	IC
Order Inventory Commit Response	855	ICR
Order Fulfillment Request	860 (IC model)	OF
Order Fulfillment Response	865 (IC Model)	OFR
Order Cancel Request	865	OC
Order Cancel Response	865	OCR
Advance Shipment Notification	856	ASN
Invoice Notification	810	INV
Inventory Availability Advice	846	IAA
Functional Acknowledgment	997	FA
Catalog Feed	Flat file	n/a

dig Figure 3.4.1 Inventory Commit Process Model - Merchandising and Order Assignment





3 Operational Overview

3.1 Operational Requirements

The vendor will be required to perform fulfillment services based on standard operating procedures provided by Amazon.com Operations/Alliance Program Manager. The operating procedures will be defined by Amazon.com Ops/Alliance Program Manager and will be documented in the Operations Manual, once the vendor has been implemented and all operational standards have been defined. The manual will contain process SOPs, metrics, technical specifications, and other details of the fulfillment relationship and will be defined by the APM in conjunction with the vendor.

3.2 Business Requirements: Features

Some of the below features will be phased in and some features will become necessary to implement in the future as we explore new use cases (i.e. – back-order, pre-order...).

- **Amazon.com created Warehouse Codes** – Amazon.com will create unique warehouse codes for each of the vendor's DC's that will be fulfilling product for Amazon.com orders. This warehouse code is required for all electronic messaging and written or verbal communications. The vendor will be required to store these codes and utilize them when referencing warehouses.
- **Selection of DC for order to be fulfilled** - Amazon.com will select the vendor distribution center to fulfill the customer order based off of product availability, customer promise, and cost. The vendor will fulfill this order from the distribution center that Amazon.com has indicated. This is a strict rule where there can be no substitutions.
- **Selection of Ship Method** - Amazon.com will select the shipment method to fulfill the customer order based off of product, customer promise, and cost. The vendor will fulfill this order using the ship method that was sent to the vendor in the order message. Amazon.com will provide ship methods to the vendor that will need to be mapped to the vendor's internal ship methods. Amazon.com will expect that the ship methods returned will be in the exact format that has been provided.
- **Fill-or-kill model** - At the point of requesting for the committal of inventory if levels have changed and the vendor cannot commit to the entire order it is to be canceled. This will allow Amazon.com to decide on an alternative fulfillment plan which meets customer promise and cost.
- **Multi item, non-gift wrap shipments** - Ability to handle multi line (more than one ISBN/SKU) customer domestic shipments where each item in the shipment is in stock in the same vendor warehouse. Ability to handle multiple quantity (unit count of more than one, of one or more ISBN/SKU) customer shipments where the total quantity needed is in stock in the same vendor warehouse. The shipments could contain a gift-message for some or all lines. Domestic shipments do not require financial information to be present on the p-slip.
- **Multiple cartons** – Vendor systems must allow for an order to ship in multiple cartons if overall cubic volume dictates. For each carton in a multi shipment the packing slip must reflect the contents of that carton. Thus the vendor must have the ability to dynamically assign items to cartons and reflect contents on each corresponding packing slip.
- **Floor denials** – Vendor system will need to have a process in place operationally and technically to handle shipments that have been committed in full and at some point in fulfilling the order the item/s have been discovered as physically missing and/or destroyed and the order must be cancelled during the picking process. The status of this order must be messaged back to Amazon.com so that a fulfillment plan can be created for this customer shipment.
- **Ship-partial** – The ship-partial is a special case of floor-denial, where only part of the order can be sent and the other portion of the order is unavailable for shipment and needs to be cancelled. The

vendor system will need a process both operationally and technically to handle shipments that have been committed fully and at some point in the fulfillment process some and/or part of the items are missing or damaged and cannot be sent. The available items should be shipped to the customer along with a correct packing slip indicating that part of the shipment has been shipped. The status of this shipment must be messaged back to Amazon.com indicating the status of each item on the order.

- **Gift-wrap orders** - Ability to utilize Amazon.com gift-wrap, gift cards (gift medallions) w/ item level gift messaging, gift ribbon, and gift envelopes for items in single or multiple unit shipments. The ability to print an item level gift messaging on gift card and p-slip . For order that contain a gift-wrapped item, then the p-slip also needs to be stuff inside of an envelope that instructs the person opening the box, “do not open envelope, as it will ruin the gift”.
- **Over wrap** - Ability to over wrap product in order to conceal the identity of such Product (including any product that comes in its own shippable box with graphics and/or wording that identifies the Product in such box) for delivery to the applicable Amazon Customer
- **Invoicing** – Ability to send one invoice daily that contains information for all the items shipped on that day for a specific distribution center.
- **Bill to for All Inventory Purchases**-The correct Bill to address for all inventory purchases is as follows:

Amazon.com

Accounts Payable

P.O. Box 80387

Seattle, WA 98108-0387

3.3 Packing Slip / Invoice (P-slip)

The vendor will generate a packing slip (similar to our internal p-slip) that contains all of the important customer shipment information that we include today. Amazon.com will provide p-slip examples along with logos.

- Product price and extended pricing (extended price being the only calculated field)
- Amazon.com branding (provided)
- Information directing the customer to areas of the site where they can get information about their order (your account returns, etc.).
- Item level gift messaging for non-wrapped gift items and/or gift-wrap items
- Return address (Amazon.com’s Lexington Return Center)
 - Amazon.com Fulfillment Services, Inc
 - Returns Department
 - 1850 Mercer RD STE 100
 - Lexington
 - KY
 - 40598
- Customer billing address (titled)
- Customer shipping address (titled)
- Customer’s date of order

- Customer's order id (123-1234567-1234567)
- Products in shipment (title, author/manufacture, format)
- Seller of record at item level (if not Amazon.com LLC)
- Customer order status message (i.e. – “This shipment completes...”)
- An identifier for shipments which should not contain a Marketing Insert

Any internal requirements for items to be included on the p-slip by vendor will require sign-off by Amazon.com.

3.4 Marketing Inserts

The vendor will have the ability to include in shipments Amazon.com generic marketing inserts, which do not include a sku number or barcode identifier. Vendor will have the ability to notify operations of the need for marketing inserts using a messaging attribute from Amazon.com which indicates marketing inserts be included on a shipment by shipment basis. Amazon.com will 'gift' the insert materials to the vendor and the vendor will be responsible for reimbursing Amazon.com for large scale damages or losses of those materials.

At some point in the future, the vendor should be to fulfill (smart) inserts where each shipment may have a different combination of marketing materials.

3.5 Gift Wrap

The vendor will use Amazon.com gift wrap materials (cut sheets, ribbon, gift envelop and gift medallion) to perform gift-wrap services. The vendor will be responsible for procuring and managing the gift-wrap materials inventory based on shipment forecasts and with cooperation with our External Fulfillment team. Gift-wrap is flagged in the messages as an attribute to a sku, not as a sku, a line item indicator is sent that indicates that this item is to be wrapped or not. Samples and instructional video will be provided by Amazon.com.

Gift medallions (or tags) will meet the following printing standards:

- **Font type:** The official name of the font we use is called CG Triumvirate Bold Condensed; it is zebra font number 0. It's a sans serif font of variable width. This or something similar is required.
- **Font size:** The height is 33 dots. This is a 203 dpi printer, so 33 dots = $33/203$ " = 11.66pt (this can be rounded to 12pt).
- **Print color:** black, 1 bit.
- **Justification:** Center - both vertically and horizontally.
- **Printable area on card:** 1/4" margin on the left and right sides and about a 1/2" margin on the top and bottom. Specific to the Zebra printer it would be 172 dots over and 792 dots down, (.847" x 3.901"), we start a field block 488 dots wide (2.404") and 11 lines high.
- **Zebra Printers:** We use the Zebra 105 Series printers for our gift tags. We are using print ribbon rolls; the card carrier stock is 3.75" x 6.75" and fan folded. If you go with zebras, and use the same stock, you should also issue a ^PF150 command before you start printing anything. This slews the printer 150 dot rows, and prevents the stock from becoming misaligned. The surface friction of the labels is not so good, and if you don't do this, the printer will slip and you will waste a lot of cards. Also be very careful when calibrating the sensors to detect the notches between cards.
- **Labels:** Instead of printing directly onto the gift tag it is acceptable to print to a true white peel and stick label (using the same above requirements with regards to font, size, color,

etc...) and place the label onto the gift tag. There are numerous printers capable of printing little white labels other than the Zebra printers they just need to meet the above requirements and be able to process our gift message string.

3.6 Inventory Model

No Inventory with Revenue Recognition

In the model being used with the vendor, Amazon.com does not own any of the inventories housed by the vendor. Inventory will be committed to Amazon.com upon our request if available (this inventory can be purchased by others outside of Amazon.com prior to request/commitment), but we will not hold title to it until we purchase it for shipment. This will allow Amazon.com to recognize top line revenue.

3.7 Customer Returns

Amazon.com will handle returns on all shipments that originate from any vendor DC.

3.8 Refusals / Undeliverables:

If an Amazon.com shipment is returned to a vendor facility either due to being undeliverable or returned by a customer. The vendor will receive the product, restock the product and notify Amazon.com so that Amazon.com can credit the customer's credit card. If the box has been opened then Amazon.com will need to be contacted immediately.

3.9 Shipping Boxes

Shipping boxes are required to have a minimal ECT (Edge Crush Test) of 32. Any OEM boxes that have an ECT of less than 32 or do not have an ECT indicated on the box must get over boxed into a box of no less than 32 ECT.

4 Technical Overview

Backorder – is out of scope at this time.

Fill or Kill – Both the Order Inventory Commit Request model and the Order Fulfillment Request model fall under the fill or kill classification. This means that upon first contact with the vendor, by either the IC (850) or the OF (850) message if any item does not have inventory available then Amazon expects that the entire order will be killed/cancelled, and this cancellation will be referenced at the header level of each message. This will allow Amazon to re-assign the order to fulfill the customer's order within the promised date or split the shipment between vendors to allow for better fulfillment turnaround.

Order Fulfillment Model - SKU and pricing information will be provided by the vendor in a Catalog Feed and availability will be provided in an Inventory Availability Advice populating the Amazon.com website with necessary information. Customers will order items through that Amazon.com (or Partner) website. Amazon.com will charge the customer's credit card. If the charge is successful, Amazon.com will send an Order Fulfillment Request Message (850/OF). The order should be acknowledged by the vendor's system upon receipt and an Order Fulfillment Response (855/OFR) needs to be returned. The Order Fulfillment Response (855/OFR) will indicate that the vendor can fulfill the order or that something is wrong with the order and they will not fulfill the order. When the order is processed by the vendor and shipped to the customer the vendor will send the Advance Shipment Notification (856/ASN) and Invoice Notification (810/INV). These messages will complete the shipment in Amazon.com's system.

Inventory Commit Request Model – - SKU and pricing information will be provided by the vendor in a Catalog Feed and availability will be provided in an Availability Feed populating the Amazon.com website with necessary information. Customers will order items through the Amazon.com website. Amazon will create the Order Inventory Commit Request (850/IC) to see if the selected vendor has the items requested. The vendor should return a positive or negative Order Inventory Commit Response (855/ICR) based on inventory availability. If a positive response is received then Amazon will charge the customer's credit card. If the charge is successful then Amazon will send the Order Fulfillment Request (860/OF) to the vendor to indicate that the order has been requested. If for some reason the order has been cancelled either by the customer or the charge was denied then Amazon will send an Order Cancel Request (860/OC). The order/cancellation should be responded to by the vendor's system upon receipt with an Order Fulfillment Request (865/OF). If the order is accepted into the vendor's system then processed by the vendor and shipped to the customer the vendor will send the Advance Shipment Notification (856/ASN) and Invoice Notification (810/INV) message. These messages will complete the shipment in Amazon.com's system.

4.1 Relationships

The Amazon Customer Order Number is a 19-character identifier that represents the entire order that a customer has requested, (e.g. 123-1234567-1234567). Because the order may be split into many different order fulfillment requests the Amazon Customer Order ID is not unique. Amazon will be requesting that external fulfillment vendors fulfill customer orders based on the Amazon Shipment ID, which is unique. The Amazon Shipment ID is an alpha-numeric, case sensitive string of characters, formatted using 9 characters (e.g. abcd12345). These numbers are not limited to this size, and may be expanded as needed.

4.2 Messages

Catalog Feed (Flat file)

The catalog feed (flat file) message is used to populate the Amazon.com website with product information. The message contains:

- SKU
- Product Name
- Product Description
- Pricing information

Inventory Availability Advice (846/IAA)

The inventory availability advice (846/IAA) message is used by the vendor to supply Amazon.com with information on warehouse (DC) availability. This information is used in the ordering process to determine which vendor DC's will receive orders for specific merchandise. The message contains:

- Vendor warehouse code
- SKU/ITEM#
- Quantity Available

Order Inventory Commit Request (850/IC)

The order inventory commit request (850/IC) message is used to request that the vendor confirm that inventory is available and will be held for an upcoming Amazon order. This message is used to verify inventory prior to charging the customer's credit card for merchandise. This message contains:

- Amazon Ship ID
- Product SKU
- Quantity

Order Inventory Commit Response (855/ICR)

This message is used to confirm that inventory is available and has been committed to fulfill the Amazon order. The acknowledgment will also have the quantity available. This allows the vendor to update Amazon's inventory information regarding the availability of fast moving items with each ship id.

- Amazon Ship ID
- Acknowledge/Reject Code
- Product SKU
- Quantity Available

Order Fulfillment Request (850/860/OF)

The order fulfillment request (850/860/OF) message is used to either place or release an order in the vendor's system. This message is generated after the customer has placed an order on the Amazon.com web-site and the customer credit-card has been authorized. This message contains information regarding:

- Amazon Ship Id
- Product Information (sku, description, qty)
- Packing Slip information (gift/status messages, gift messages)
- Gift Message and wrapping instructions, if applicable

Order Fulfillment Response (855/865/OFR)

The order fulfillment response is sent in response to the OF message after the vendor has confirmed that the inventory is available and the order is loaded to their system. It is expected that at this point in the process the vendor is initiating the fulfillment process (i.e. pick, pack and ship). It is expected that the vendor will be able to send detailed exception information at the line level if they are unable to fulfill an item. This message contains information regarding:

- Amazon Ship ID
- Accept/Reject
- Reject Codes

Advance Shipment Notification (856/ASN)

The advance shipment notification message is sent immediately after the product is manifested and ready to ship or has been shipped. The message contains information regarding:

- Amazon Ship ID
- Shipping Method
- Package Tracking ID
- Vendor Manifest ID
- Package Weight

Because the advance shipment notification message is the most complex of the messages, it is covered in detail in Section 2.3.

Invoice Notification (810/INV)

The invoice notification message is used to communicate product and fulfillment charges for related Amazon.com orders. The nature of the business relationship will drive what invoicing information needs to be sent. In other cases, this message may contain product charge information, shipping cost information and/or fulfillment service charge information.

It is essential that the invoice be sent for only the packages/shipments that are sent. Amazon will not pay any invoice that does not have an associated Advanced Ship Notice (856).

Functional Acknowledgment Message (997/FA)

The functional acknowledgment (FA) exists to fulfill the requirement for admission of message receipt. It is required for all of the message types, and is used to track their receipt between both parties.

4.3 Message Specifications

Because of the complexity of the Advance Shipment Notification (ASN) message some of the requirements will be clarified in this section. The following requirements are mainly focused on the advance shipment notification, but other messages are mentioned.

Ship Method – Amazon.com requires that all shipping methods passed back and forth in messages be in a specific format. The format will be provided to each vendor based on the ship methods available from each of the vendor's fulfillment centers. It is important that the ship method returned be in one of the provided formats. For example if the OF passes the ship method UPS_NEXT and the package actually shipped using UPS_2ND, Amazon.com should receive the shipping method that accurately describes how the package was shipped and this ship method must be in the Amazon specific format.

Package ID/Tracking Numbers

Each item that is shipped should be associated with a vendor package ID, and a carrier tracking number. The vendor package ID should reflect the vendor's internal tracking number for the carton in which the items have been shipped. For example, if there are four items and two are shipped in one carton and two in another, the tracking ID for each package should be correctly associated with the items in that package. This ensures that customers will be able to track their items that are shipped separately. The associated tracking ID should be the carrier's unique tracking number for the carton, each separate carton having a unique number. For example if three items are shipped in one carton then that one carton would have one vendor package ID and one unique carrier tracking number. If, on the other hand, three items are shipped in three boxes then each item would have a unique vendor package ID and a unique carrier tracking ID.

Floor Denials

Floor denials are orders that appear in the beginning of the order process (850/855 IC/ICR, 860/865 OF/OFR) to have inventory available and shippable. When the vendor attempts to pick, pack and ship the merchandise they find that either some or all of the items are not available because they are out of stock or damaged. At this point in the order process the vendor will need to ship the inventory that is available and report back via the 856/ASN which items/quantities were not shipped. This will require the vendor to be able to flag the header and line item of each advance shipment message with flags indicating that either all or part of the item was shipped and/or the item was cancelled. There are three types of floor denials, including two versions of special floor denials called 'ship partials'.

- Full floor denial – where all the items are cancelled. This message will be flagged at header level as a reject indicating that the entire shipment will not be sent. The item quantity to cancel will need to be reported in this message. For example if three of an item are ordered, the quantity to cancel would need to be reported as three.

Ship Partial

- Partial item denial – where some of the items on the order will not be shipped. This indicates that some items were fully shipped and some items were fully cancelled. This will be flagged at the header level with an 'acceptance' and then each line item will reflect that something was either shipped or cancelled. The item quantity to cancel will need to be reported in this message.
- Partial quantity denial – where some/part of an item on an order will not be sent. This indicates when only part of an item's quantity is being shipped. The header will be flagged with an 'acceptance' and also at the line with the acceptance. The item quantity to cancel will need to be reported in this message.

5 Service Levels

While every vendor will have different service levels, the standard expectations for service levels are defined below. Amazon.com has an Enterprise Implementation Operations team that will monitor the SLA's and contact the vendor if orders slip beyond the SLA. This will ensure that orders are handled in a timely manner. Please refer to the Operations Guide for a detailed analysis of exception and error handling.

Description	X12 Message	XML Message	SLA
Order Inventory Commit Request Order Fulfillment Request	850	IC (IC Model only) OF	Real time
Order Inventory Commit Response Order Fulfillment Response	855	ICR (IC Model only) OFR	Real time
Order Fulfillment Request	860	OF	Real time
Order Fulfillment Response	865	OFR	Real time
Order Cancel Request	860	OC (IC Model)	Real time
Order Cancel Response	865	OCR (IC Model only)	Real time
Advance Shipment Notice	856	ASN	ASAP after package ships, this would be dependent on carrier pickup times.
Invoice Notification	810	INV	24 hours – frequency 1/day
Inventory Availability Advice	846	IAA	Changes every 15 minutes Full feed – at least 1/day
Functional Acknowledgment	997	FA	Real time
Catalog Feed	Flat file	Flat file	Daily

6 Connectivity

Amazon.com currently supports two different methods of connectivity between itself and vendors: FTP with PGP encryption and AS2. FTP is explained in general terms below. AS2 solutions must be certified providers. Please refer to your Integration Analyst for more information on AS2.

6.1 FTP with PGP encryption

General FTP Information.

- Amazon.com's FTP address is ftp-1.amazon.com
- Amazon.com's FTP site is used by all vendors free of charge.
- Amazon.com sends and receives data from the FTP site every 15 minutes, 24 hours a day and 7 days a week.
- Each vendor gets a proprietary mailbox, insuring their security. A single connection with no intermediaries means fewer lost files. We keep logs of all files that we send and receive.

What You Will Need:

- Script or Software that connects your EDI system with our FTP site.

Steps to Setting up FTP:

- It will take 3-4 days for the mailbox to be set up. We will get back to you with a login (generally this is your vendor code with us) and a password.
- Security will contact you and exchange PGP keys and test the connection.

Directory Structure

When you login into the Amazon ftp site you will be located in the incoming directory. From there you will need to change directories (cd) to other directories. There will be three directories setup: incoming, outgoing and catalog.

File Protocols for the Outbound Directory:

Note that the files are outbound for Amazon.com and inbound for our trading partners. Files in outbound include inventory commits, shipment requests, inventory releases, and outbound functional acknowledgments both Ansi X12 and XML Standards.

- The default naming convention for outbound order files is:
<vendorcode><datetime><uniqueID>amz.x<msg_type>.pgp
Example: abc200212161037048825amz.xof.pgp
- We prefer that vendors delete files as they pick them up. Please note that a copy of a missing file can easily be resent by contacting us.
- Following is the message type for the 850 document : <msg_type>="of"

File Protocols for the Incoming Directory:

Note that the files are incoming for Amazon.com and outbound for our trading partners. Files for incoming include availability feeds, inventory commit acknowledgments, purchase order acknowledgments, inbound functional acknowledgments, invoices, and advance shipment for both Ansi X12 and XML Standards.

- The default naming convention for incoming files is:
<vendorcode><datetime><uniqueID>.x<msg_type>.pgp

Example: abct20021216172733004908.xofr.pgp

<msg_type> is as follows:

846="daf"

855="ofr"

856="asn"

810="inv"

997="fa"

- We ask that trading partners keep a copy of their incoming data. We do not archive data on our FTP site because of space and access restrictions. A 90-day archiving period is suggested for the purposes of resending and researching data.

Specific Issues with Amazon.com FTP:

- We request that documents are not wrapped to any particular character length (this occurs with mainframes). Wrapped documents should be sent to us as one continuous stream of data. If you use a carriage return as a terminator (such as PUBNET's format), wrapping is not an issue.
- AMAZON.com's FTP server is set in a LINUX environment and if you are sending data over a mainframe, element separators and segment terminators may not be compatible with our system. Please consult with your EDI coordinator if you are working in a mainframe environment.
- Client Requirements. You may find that if you are using Window NT as a client there may be problems with the transfer. Any other client should do fine but if you are having problems transferring data on our server you may consider using, a client known to be one of the best for transferring information to our server. http://www.ipswitch.com/Products/WS_FTP/index.html

FTP Quick Hints:

- Enter our ftp site at ftp-1.amazon.com, you will be in the 'incoming' directory.
- The incoming directory is where your 855, 810, and 856 or any other inbound documents would be dropped off.
- The outbound directory is where we will deposit the 850 or any other outbound document for you to pick up.
- Trading partners always arrive in the incoming directory.
- If there is any confusion, type 'pwd' to find out what directory you are in.
- To get outbound files from Amazon.com, go to the outbound directory using the following command:
cd ../outbound
- Once you leave a document on our site in the incoming directory, it will not be visible to you. This is part of our security system. However, files are visible in the outbound directory.
- If you type "?" at the ftp prompt it will bring up a list of commands.

7 Security

7.1 Security Policy

The vendor will have a written security policy that will be communicated to all employees who handle Amazon.com customer data. The guidelines outlined in this document are not intended to replace the security survey but rather prepare the vendor for security requirements.

7.2 Required Security Practices

The vendor will implement the applicable security practices described in the VISA Cardholder Information Security Program (<http://www.visabrc.com/documents/cisp55.pdf>). The basic requirements of this program are:

1. Install and maintain a working network firewall to protect data accessible via the Internet.
2. Keep security patches up-to-date.
3. Encrypt stored data.
4. Encrypt data sent across open networks.
5. Use and regularly update anti-virus software.
6. Restrict access to data by business need-to-know.
7. Assign a unique ID to each person with computer access to data.
8. Don't use vendor-supplied defaults for system passwords and other security parameters.
9. Track access to data by unique ID.
10. Regularly test security systems and processes.
11. Maintain a policy that addresses information security for employees and contractors.
12. Restrict physical access to systems containing customer information.

7.3 Security Audits

1. The vendor will undergo an initial Security Audit, including the completion of a Risk Assessment Questionnaire.
2. Amazon.com reserves the right to periodically audit the systems that the vendor uses to store customer data.

7.4 Data transmission

1. The vendor agrees to abide by the Amazon.com's standards for protecting the confidentiality and integrity of data transmissions.
2. Approved mechanisms for data transmission may include
 1. HTTP over SSL, with certificate-based authentication utilizing a 1024-bit (or larger) RSA public key, and 128-bit (or stronger) symmetric encryption.
 2. Digitally signed and encrypted PGP messages over a variety of transports, with 1024-bit (or larger) RSA or DH/DSS public keys, and 128-bit (or stronger) symmetric encryption.
3. For all message-based encryption schemes employing digital signatures (PGP), the vendor shall be responsible for verifying the digital signature of the message and rejecting messages with invalid signatures.
4. For all encryption schemes employing public key cryptography, the vendor shall be responsible for ensuring the confidentiality of the private component of their public-private key pair, and shall notify Amazon.com promptly in the event that the private key is compromised.
5. In general, the mechanism choice will depend on a number of factors such a technical capability, transaction volume, latency requirements, availability requirements, and will be chosen by mutual consent.

7.5 Data Retention

1. Amazon.com will transmit to the vendor only those attributes required to fulfill a transaction.
2. The vendor will retain full transaction data only for as long as is necessary to fulfill the transaction. Certain data (financial but not Personally Identifiable Information) may be retained longer in order for vendor to comply with reporting and auditing requirements.
3. The vendor will delete the Personally Identifiable Information (PII) associated with an order 30 days of completing fulfillment of that order.
4. Specifically, the following fields will be deleted:
 - shipping_address:name
 - shipping_address:address1
 - shipping_address:address2
 - shipping_address:address3
 - shipping_address:email
 - shipping_address:voice_digits

8 Modifications and Changes to Document

Document Control and Approval

8.1 Document Control

This section shows the version, date, author, and change description for this document.

Version	Date	Author	Description of Changes
1.0	11/15/02	Cheri Moy	Initial Version
1.1	01/14/03	Cheri Moy	Added Operational information to the Initial Guide
1.2	02/12/03	Cheri Moy	Changed message names
1.3	3/17/03	Cheri Moy	Added Model Diagrams
1.4	6/20/03	Cheri Moy	Updated with Lex Address for returns.