

Case No. 12-M-0476 et. al.
EDI Business/Technical Working Groups
Testing
April 10, 2015

The 3/2/2015 EDI Order contains the following requirement:

"...the EDI Working Group should consider ways to streamline the EDI development, implementation and testing process. The Working Group should submit a report of its findings within two months of the date of this order."

Phase I EDI Testing Proposal:

General: DPS Staff will no longer be involved in Phase I testing but will still require that Phase I testing have been completed as part of the new ESCO Application process or in cases when an existing ESCO switches to a new EDI services provider. The following options will be available to complete required Phase I testing.:

- *The utility may test the new ESCO for a fee specified in its Utility Maintained EDI Guide.*
- *If the ESCO contracts for EDI Services with an Established EDI Service Provider and the utility is satisfied, based upon certification from the EDI Service Provider, that the new ESCO is Phase I capable, no utility Phase I test will be required.*
 - *A list of Established EDI Service Providers will be compiled from those currently serving ESCOs in New York and posted to the NY EDI website.*
 - *When determining if the certification is satisfactory, the utility may take into consideration whether or not the Established EDI Service Provider is providing EDI services to other ESCOs in the utility's service territory.*
- *If the ESCO wishes to transact EDI via an in-house system, it may request to test with the utility or contract for EDI Testing Certification from an Established EDI Service Provider.*
 - *If the utility is satisfied, based upon certification from the EDI Service Provider, that the new ESCO is Phase I capable, no utility Phase I test will be required.*
 - *When determining if the certification is satisfactory, the utility may take into consideration whether or not the Established EDI Service Provider is providing EDI services to other ESCOs in the utility's service territory.*
- *If an EDI Service Provider wishes to be added to the Established EDI Service Provider list, it may request to test with the utility or contract for EDI Testing Certification from an Established EDI Service Provider.*
 - *When determining if the new EDI Service Provider has is satisfactorily established itself, the utility may take into consideration whether or not the new EDI Service Provider is testing with an Established EDI Service Provider is providing EDI services to other ESCOs in the utility's service territory. Ideally, the new EDI Service Provider will be providing services for an ESCO.*

Once an ESCO has successfully completed Phase I testing with one utility, it will have satisfied the Department's Phase I testing requirement.

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The Uniform Business Practices (UBPs) contain several references to EDI Testing:

UBP.2.B.2 - Applicants shall submit to the Department Test Moderator designated EDI transactions required for syntactical verification in the Phase I testing program. The Department shall maintain a list of ESCOs that successfully complete Phase I test requirements by transaction type.

UBP.2.C. - The Department shall review the application package and conduct EDI Phase I testing as required for each applicant. An ESCO shall notify the Department of any major changes in the information submitted in the Retail Access Eligibility Form and/or application package that occurs during the Department review process. The Department shall advise the applicant, in writing, if the applicant submitted the required information and EDI testing is successfully completed.

UBP.2.C.1 - ESCOs deemed eligible to provide commodity service by the Department must begin serving customers within two-years from the date of the letter notifying the ESCO of their eligibility status (eligibility letter). The ESCO that does not begin serving customers within such two-year period may be required to conduct additional EDI testing before enrollments will be processed.

UBP.2.D.5 - An ESCO may be subject to the consequences listed in UBP Section 2.D.6.b for reasons, including, but not limited to:

- g. failure to comply with EDI transaction set standards and processing protocols and/or use properly functioning EDI systems;*

UBP.2.E.2 - Upon satisfaction of the distribution utility's and, if applicable the NYISO's requirements, and successful completion of EDI testing conducted by the distribution utility, the ESCO may enter into an operating agreement, if any is required, with the distribution utility to commence operations in its service territory.

Other EDI Testing related actions:

- *Rewrite/consolidation of TOPs*