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“This document provides the guidelines and specifications for **Phase I**, Phase II and Phase III testing”.

NY EDI TOP Supplement 1

Case 98-M-0667

## I. PURPOSE

This document provides the guidelines and specifications for **Phase I**, Phase II and III testing for Electronic Data Interchange (EDI) in New York’s retail energy marketplace. The specifications were developed by, and in accordance with, the ongoing work of the New York EDI Collaborative group (the Collaborative), that is developing the standards for EDI in New York as directed by the New York Public Service Commission (PSC or Commission)<sup>1</sup>. Testing scenarios for TS814E, TS814D, TS814HR, TS867HU, and TS867MU EDI transactions are specified within this document. The EDI Phase I testing specifications (and other EDI-related technical topics) are detailed in the most current version ~~1.2~~ of the Technical Operating Profile (TOP) ~~issued October 23, 2014.~~<sup>2</sup> ~~This document is version 1.3 of Supplement 1 to the TOP.~~

## II. OVERVIEW

The New York EDI Collaborative has adopted a three-phased approach to testing. Phased testing is generally completed by each company only once, as described below, except in cases where Utilities or ESCOs utilize third party EDI ~~suppliers~~ Service Providers (EDISPs).<sup>3</sup> In cases where there is a significant change in ~~third party provider~~ EDISPs, e.g. an EDISP that not been active in New York, ESCOs and Utilities ~~will~~ may be required to re-establish Phase I certification ~~with the Department of Public Service~~. Trading partner testing and attestations ~~will~~ may also have to be demonstrated and completed in these cases.

~~The Phase I Testing Rules, the ESCO Phase I Testing Application and a List of Established EDI Service~~

Account Change Business Process page 17 last paragraph

“A utility may reject an EDI change transaction from an ESCO no longer serving a customer because without billable consumption, there would be no 810 invoice issued to the customer on behalf of the ESCO issuing the credit during that billing period. In cases where there is no billable consumption for the ESCO submitting the APP Credit, the Utility may provide alternatives means (EDI or non-EDI) to accept and process the APP Credit to the extent the customer has an active account in its service territory and the customer [r]eceive a utility-issued bill”.

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ACCOUNT CHANGE BUSINESS PROCESS

|                             |  |
|-----------------------------|--|
| PROCESS NUMBER:             | AC 4.0   |
| PROCESS NAME:               | <i>ASSISTANCE PROGRAM PARTICIPANT CREDIT PROVIDED BY ESCO TO UTILITY FOR URR CUSTOMER BILL</i>   |
|                             | <p>Transaction.</p> <p>If not a valid request, Utility provides a negative response to the ESCO. Potential rejection reasons include, but are not limited to;</p> <ul style="list-style-type: none"><li>○ Utility cannot process APP Credit because customer has relocated outside of service territory (account closed)</li><li>○ Under Single Retailer Model, utility does not issue bills to ESCO customers.</li><li>○ Customer no longer served by ESCO; Utility unable to process APP Credit.</li><li>○ ESCO missed billing window.</li><li>○ Other</li></ul>           |
| SUB OR PRECEDING PROCESSES: | <ul style="list-style-type: none"><li>• Utility provides full service billing amounts to ESCO</li><li>• ESCO calculates APP credit</li></ul>   |
| PROCESS RULES:              | In its Utility Maintained EDI Guide, the utility will provide ESCOs with explanations of alternative processes, to the extent alternatives are available, that may be used by the utility to accept and process an APP Credit when EDI cannot be used.   |
| COMMENTS:                   | A utility may reject an EDI change transaction from an ESCO no longer serving a customer because without billable consumption, there would be no 810 invoice issued to the customer on behalf of the ESCO issuing the credit during that billing period. In cases where there is no billable consumption for the ESCO submitting the APP Credit, the Utility may provide alternatives means (EDI or non-EDI) to accept and process the APP Credit to the extent the customer has an active account in its service territory and the customer receives a utility-issued bill. |

Case No. 12-M-0476 et. al.  
EDI Business/Technical Working Groups  
Workpaper - Submitted January 29 Filing Changes  
1/22/2016

In the **814 Drop Request & Response Business Process** document, the word “prnding” should be changed to “pending”

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**DROP BUSINESS PROCESSES**

|                                    |   |
|------------------------------------|---|
| PROCESS NUMBER:                    | <i>DR 1.4</i>   |
| PROCESS NAME:                      | <i>CUSTOMER AUTHORIZES INCUMBENT ESCO TO CANCEL ENROLLMENT WITH PENDING ESCO</i>  |
| PROCESS DEFINITION:                | Process by which a Customer's pending enrollment is withdrawn from a supplier's services by incumbent ESCO after customer authorizes the incumbent ESCO to cancel the enrollment with the pending ESCO.   |
| TRIGGER(S):                        | See DR1.0.  |
| ESTIMATED / PEAK TRANSACTION RATE: | Low to moderate   |
| PROCESS INPUTS:                    | See DR0   |
| PROCESS OUTPUTS:                   | See DR0   |
| SUB OR PRECEDING PROCESSES:        | Customer pending enrollment with another ESCO   |
| PROCESS RULES:                     | Incumbent ESCO, having obtained authorization from its customer to cancel a pending enrollment, transmits to the distribution utility an 814 Drop Request transaction with the drop reason code "CHA" that cancels the <del>prnding</del> pending enrollment. |
| COMMENTS:                          | Incumbent ESCO must obtain written or electronic authorization of the customer  |

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In the **814 Drop Request & Response Business Process** document, 15 calendar days was changed to 10 business days – specify 10 business days for gas and 5 business days for electric?

|                                    |   |
|------------------------------------|---|
| PROCESS NUMBER:                    | <i>DR 2.0</i>   |
| PROCESS NAME:                      | <i>ACCOUNT CLOSED</i>   |
| PROCESS DEFINITION:                | The process by which a customer is withdrawn from a supplier's services as a result of their account being closed.  |
| TRIGGER(S):                        | The customer's account is closed.   |
| ESTIMATED / PEAK TRANSACTION RATE: | Low to moderate.  |
| PROCESS INPUTS:                    | See Parent (DR0)  |
| PROCESS OUTPUTS:                   | See Parent (DR0)  |
| SUB OR PRECEDING PROCESSES:        | <ul style="list-style-type: none"><li>• Customer account is closed.</li><li>• Utility establishes effective date of drop (date account is closed).</li><li>• Utility notifies ESCO of account closing.</li><li>• Utility may send notification letter to customer confirming actions taken.</li></ul>   |
| PROCESS RULES:                     | <p>[CWG] Notice of an account closing may not conform to the <del>15 calendar</del> <u>10 business</u> day notice period generally applicable to Drop Requests.</p> <p>[CWG] A Utility may discontinue an ESCO's sales to an individual retail customer in their service territory, upon transmission of an 814 Drop Request transaction to the ESCO at least 15 calendar days prior to the effective date for the drop. The effective date of the discontinuance will be coincident with the customer's relocation or account closing.</p> <p>[CWG] Neither the ESCO nor Utility can reject a Drop Request on substance. A Drop transaction can be rejected for validation or syntax errors. Reject responses will require manual follow-up.</p> |

BWG Chair's note: the comment should probably retain the 15 day notice requirement because Incumbent ESCO initiated Drops are still at 15 days (thus that's the general rule).

UBP 5.H.4. The following process sets forth the steps for an ESCO's return of a customer to full utility service.

a. An ESCO may discontinue service to a customer and return the customer to full utility service provided that the ESCO notifies the customer and the distribution utility no later than 15 calendar days before the effective date of the drop. The ESCO's right to discontinue service to any customer is subject to any limitations contained in its sales agreement.

Since an account closing is utility initiated, that event is also relevant notice period. An alternative approach is to say something like:

| Notice of an account closing may not conform to the ~~15 calendar day~~ standard notice period generally applicable to Drop Requests