

Technical Operating Profile

For

Electronic Data Interchange In New York

Processing Architecture; Phase I & Connectivity Testing

Ver 1.45

March 31, ~~2017~~2018

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Summary of Changes	
July 23, 2001	Initial Release
February 21, 2003	Version 1.1 Issued
	Phase I test scenarios added for 867 PTD*BK and PTD*PM loops. The test scenario for PTD*BK (Interim Bill Notice) is required for Utilities offering Bill Ready Consolidated billing. Test scenarios for the PTD*PM loop (meter reading data) are required for Single Retailer Utilities and MDSPs, and are optional for other Utilities.
October 23, 2014	Version 1.2 Issued
	<ul style="list-style-type: none"> Replaced references to Marketer and E/M with ESCO. Broadening of GISB EDM Version 1.4 Standard to include utility implementations of GISB EDM Versions 1.5 and 1.6.
January 29, 2016	Version 1.3 Issued
	Replaced references to Staff Phase I testing with Phase I testing through utilities.
March 31, 2017	Version 1.4 Issued
	<ul style="list-style-type: none"> Added references to Phase I testing of utilities with DPS Staff. Eliminations of references to 568 Transaction.
March 31, 2018	Version 1.5 Issued
	<u>Modifications to enable DER suppliers to receive data through EDI on a similar basis as ESCOs.</u>

I. Overview

This document describes and defines the technical operating profile for electronic data interchange (EDI) use in New York's deregulated retail energy marketplace. It was completed by the New York EDI Collaborative group (or the Collaborative),¹ in accordance with policies developed by the New York Public Service Commission (PSC or Commission) in Case 98-M-0667. This document is intended to serve as the primary, comprehensive source of technical information on the EDI environment in New York.

This document encompasses material from documents previously published by the Collaborative. Transaction set data standards for customer enrollments, drops and exchange of historical and current usage information were filed with the Commission on October 10, 2000 and November 21, 2000 (along with other EDI related documents). Test scenarios for these transaction sets are therefore included in this document. As additional transaction set standards and related documents are developed by the Collaborative (and approved as necessary by the Commission), additional test scenarios will be appended to the *Technical Operating Profile* document as supplements.

Within this document, the term EDI Testing Applicant (EDITA) refers to the ESCO, DER Supplier or Direct Customer that is an applicant for Phase I or Phase III certification. Since DER Suppliers are limited to requesting and receiving historical customer required to complete Phase I testing and Phase III testing for applicable transactions. Note that while the Transaction Processing Architecture uses the term ESCO, that term should be interpreted to include DER Suppliers and Direct Customers, as applicable.

Among the topics addressed in this document is the New York Phase I EDI test plan. The test plan describes the requirements that must be met by each market participant in order to achieve Phase I certification and to advance to Phase II and/or Phase III trading partner testing. Phase II & III test specifications are NOT included in this document. See TOP Supplement 1 for details on Phase II and III testing.

Document Scope

This document is organized by the following topics:

- General Assumptions
- Transaction Processing Architecture
- Phase I Testing Program
- Phase I - X12 Syntax Test Specifications
- Phase I - Data Transfer Mechanism Test Specifications
- Attachments

¹ The specifications were reviewed and updated by the Case 12-M-0476 EDI Working Groups.

II. General Technical Assumptions

1. Utilities and ESCOEDITAs (ESCOs) will need to document, preferably in a written agreement, the technical specifics of agreed upon data exchange parameters. A trading partner agreement could be utilized for this purpose.
2. All Utilities and ESCOEDITAs should complete internal tests of their systems, including the requisite tests defined in the NY EDI test plan phases. This will ensure that disruptions to other companies are minimized and that testing progresses in a timely and orderly fashion.
3. All companies are encouraged to resolve technical (EDI and/or Data Transfer Mechanism) problems with their trading partners. A dispute is a problem where the two trading partners cannot agree on who is responsible for the problem and/or how to fix the problem. Any unresolved disputes should be pursued in the manner described in the New York Uniform Business Practices (UBP) for Dispute Resolution.
4. It is each company's responsibility to ensure it receives incoming transactions. If a company's server/systems are temporarily unable to receive data, it is that company's responsibility to request re-transmission when their server/systems return to service.
5. There are two levels of acknowledgement involved in data exchange. The Hyper Text Transport Protocol (HTTP) response acknowledges receipt of a communication (i.e. that some file was received at a specified time). An EDI X12 997 acknowledgement verifies that a file could be decrypted and/or that it is a valid readable EDI X12 file with regard to content and structure. These acknowledgements serve two separate purposes; thus both are required.
6. Department of Public Service (DPS) Staff will intervene, as needed, in any dispute resolution situations.

III. Transaction Processing Architecture

New York's *Transaction Processing Architecture* document (Attachment B), submitted to the Commission as part of the October 10, 2000 filing, defines specific attributes of New York's EDI transaction processing environment. Attributes addressed are:

- processing flow
- response guidelines
- processing rules (e.g. first-in rule)
- enveloping
- tracking transactions (identifiers)
- archiving & auditing

In this document the Collaborative clarifies the enveloping/transport guidelines first presented in the October 10 filing as follows²:

- One data file will be transmitted in an HTTP session.³
- Only one ISA (envelope) may be transmitted in a data file
- Only one functional group (GS) will be used within an envelope (ISA).
- Multiple transactions (ST) of the same type will be allowed within functional group (GS). For example, multiple 814 transactions can be included in one functional group/envelope.

The intent of these recommendations is to facilitate ease of processing, error identification and correction as well as preserve New York's "First In" rule by easily and unequivocally being able to associate the "server post" time stamp with an ISA (envelope).

² These clarifications have been reflected in the updated *Transaction Processing Architecture* document contained in Attachment B.

³ The Gas Industry Standards Board (GISB) recommends that only one file be transmitted per HTTP session. The New York Collaborative adopts this recommendation, however, companies may, by bilateral agreement, agree to send multiple files during a single HTTP session.

IV. Phase I Testing Program

In developing the Phase I test program, the Collaborative was guided by the *New York Electronic Data Interchange Test Plan Overview* (or *Test Plan Overview*), presented to the Commission for approval as part of the October 10, 2000 filing. Accordingly, it is important that the reader review the *Test Plan Overview* (Attachment A) for a general understanding of New York's approach to testing.

A. General Requirements

The four primary requirements for Phase I Testing were developed as part of the *NY EDI Test Plan Overview* (Attachment A). The sub-bullets further define these four primary requirements.

1. All companies are required, as necessary, to create EDI transactions and submit them to the utility-directed testing party for syntactical verification.
 - Consistent with ~~Uniform Business Practice~~UBPs 2. B.2 and 2.C, utilities conduct **ESCOEDITA** Phase I testing as a part of the application process⁴ and report the result to DPS Staff.
 - DPS Staff (or their designee) conducts testing of Utilities that need to satisfy Phase I testing requirements.
 - Section V of this document, *Phase I - X12 Syntax Test Specifications*, lists the Phase I test scenarios that each **ESCOEDITA** and Utility must demonstrate.
2. All companies are required to establish Data Transfer Mechanism (DTM) communications capability.
3. All companies are required to successfully complete all Phase I requirements to progress to Phase II or Phase III testing. Phase II and III test schedules will be based on the order that Phase I certified **ESCOEDITA**s contact and coordinate with each Utility. Each Utility will have responsibility to manage test schedules and queues.
4. DPS Staff will maintain and publish the list of companies that have satisfied Phase I testing requirements for each approved transaction set standard.

B. Phase I Exit Criterion

All participants must satisfy the following exit criterion to fulfill the Phase I general requirements and to progress to Phase II and/or Phase III testing.

- Demonstration to and certification by utilities to DPS Staff that all required EDI transactions are compliant with NY transaction set standards (includes X12 compliance).
- Establish DTM communications capability.

⁴ Order Approving Modifications to the Electronic Data Interchange Standards, Issued and Effective December 7, 2015, replaces the DPS Staff "Test Moderator" role with utility-directed testing of applicant ESCOs. Phase I Testing rules are detailed further in Technical Operating Profile (TOP) – Supplement 1.

C. Phase I Testing Assumptions

- All Utilities and ESCOEDITAs will be required to pass Phase I test requirements.
- ESCOs and DER Suppliers must meet all PSC requirements established in the Uniform Business PracticesUBP regarding ESCO eligibility and UBP-DERS regarding DER Supplier eligibility, respectively, prior to entering Phase I EDI testing.
- Participants will use automated processes when testing (i.e., an EDI translator).

D. Phase I Critical Success Factors

- Apply objective criteria to ensure companies are creating transactions as defined by applicable New York State business practices and technical standards.
- Companies have an EDI translator and associated “maps” in place to create EDI transactions that adhere to New York State standards.
- Companies are prepared to move into Phase II or III EDI testing (trading partner testing) using the New York State approved EDI transactions.
- Companies have the New York Internet Data Transfer Mechanism implemented and working properly.

E. Phase I Testing Scope

- The test scenarios for Phase I reflect all requests and responses associated with both gas and electric commodity services. However, companies will only be required to complete test scenarios for the commodities they currently offer.
- The EDI Phase I test scenarios reflect the variety of meter configurations which currently exist. These meter configurations are of particular interest with regard to the exchange of consumption or meter reading data and include single, multiple (including summarized) and unmetered configurations. Participants are required to test all transactions for the business processes they will be engaged in. The Test Moderator will determine the relevant test scenarios for the participant.
- Volume testing is not be within the scope of Phase I testing.
- The following transaction set standards will be tested (Phase I test scenarios for some standards are contained in this document; scenarios for other standards are contained in various TOP Supplements that have been approved by the Commission):
 - TS 814 Enrollment Request/Response (includes requests for secondary services)
 - TS 814 Consumption History Request & Response (applicable to DER Suppliers)
 - TS 814 Drop Request & Response
 - TS 814 Account Maintenance
 - TS 814 Reinstatement
 - TS 820 Remittance (Utility Bill Billing and Utility Rate Ready Billing)
 - TS 824 Application Advice
 - TS 824 Positive Notification
 - TS 867 Consumption History/Gas Profile
 - TS 867 Monthly Usage
 - TS 810 Invoice (Utility Bill Ready, Utility Rate Ready, and Single Retailer billing)
 - TS 248 Account Assignment

V. Phase I - X12 Syntax Test Specifications

A. Organization of X12 Tests

The New York EDI Phase I tests can be referred to as “base” or “unit” tests. These tests will be used as building blocks in growing levels of integrated or “string” tests during subsequent testing phases. Phase I tests are syntactical tests of the outbound EDI transaction. Thus Phase I tests have been categorized by Utility and ESCOEDITA.

In Phase I testing, each party will create a test data set that represents an EDI transaction source. This data set will then be processed through the company’s translator to create the outbound EDI data file. DPS Staff will then verify and/or certify the outbound file created by the company is a valid New York X12 transaction file.

Tests for incoming transactions and transaction processing will be handled in Phase II and Phase III testing phases.

B. Utility Tests

The Test Moderator will provide request scenarios to the Utility. Utility response tests will be based on these request scenarios. Utilities are required to engage in these tests for the commodities they provide:

TEST ID	UNIT	TEST NAME
<u>Single Meter Tests</u> ⁵		
SM-EA	814	Enrollment Accept
SM-EAHA	814	Enrollment Accept, History Accept
SM-EAHR	814	Enrollment Accept, History Reject
SM-HA	814	History Accept
<u>Multiple Meter Tests</u> ³		
MM-EA	814	Enrollment Accept
MM-EAHA	814	Enrollment Accept, History Accept
MM-EAHR	814	Enrollment Accept, History Reject
<u>Unmetered Tests</u> ³		
UM-EA	814	Enrollment Accept
UM-EAHA	814	Enrollment Accept, History Accept
UM-EAHR	814	Enrollment Accept, History Reject

⁵ Utilities are required to demonstrate the capability to provide an appropriate billing option code in their enrollment accept responses.

TEST ID	UNIT	TEST NAME
<u>Reject Transaction Tests</u>		
ER	814	Enrollment Reject
ER-HR	814	Enrollment Reject, History Reject ⁶
HR	814	History Reject
<u>Utility Drop Tests</u>		
U-DREQ	814	Utility Drop Request
U-DRES-A	814	Utility Drop Response Accept
U-DRES-R	814	Utility Drop Response Reject
<u>Consumption History Test (primary or secondary request responses)</u>		
CH-A-SM	867	Consumption History - Single Meter
CH-A-MM	867	Consumption History - Multiple Meter
CH-A-UM	867	Consumption History - Unmetered
CH-GP	867	Gas Profile History ⁷
<u>Current Consumption/Usage Tests</u>		
CC-SM	867	Current Billed Consumption – Single Meter
CC-MM	867	Current Billed Consumption – Multiple Meter
CC-UM	867	Current Billed Consumption – Unmetered
CU-SM	867	Current Meter Reading Data - Single Meter (required for Single Retailer, optional for other models)
CC-MM	867	Current Meter Reading Data - Multiple Meter (required for Single Retailer, optional for other models)
CC-UM	867	Current Meter Reading Data – Unmetered (required for Single Retailer, optional for other models)
CC-UM	867	Interim Bill Indicator (required for Utility Bill Ready model)
<u>Functional Acknowledgment Test</u>		
FA	997	Functional Acknowledgment

⁶ If the enrollment request (LIN=CE) is rejected, all secondary services requested coincident with that enrollment will also be rejected (from the *New York 814 Enrollment Request & Response Implementation Guide*).

⁷ Utilities, through their Utility Maintained EDI Guides, indicate whether they -support gas profile requests.

C. ESCO Tests

The Test Moderator will provide request scenarios to the ESCO. ESCO tests will be simulated based on these request scenarios. ESCOs are required to engage in these tests for the commodities they provide:

TEST ID	UNIT	TEST NAME
<u>Enrollment & Historical Usage Request Tests</u>		
ER-DB	814	Enrollment Request – Dual Billing Option
ER-UR	814	Enrollment Request – Utility Rate Ready Option
ER-UB	814	Enrollment Request – Utility Bill Ready Option
ER-EE	814	Enrollment Request – ESCO Bill Ready Option
ER-AG	814	Enrollment Request – Agency Billing Option
ER-HR	814	Enrollment Request, History Request ⁸
HR	814	Stand alone History Request
<u>ESCO Drop Tests</u>		
EM-DREQ	814	ESCO Drop Request
EM-DREJ	814	ESCO Drop Reject
<u>Usage - Negative Response Test</u>		
U-NEG	824	Application Advice (negative response to 867 Current or Historical Usage)
<u>Functional Acknowledgment Test</u>		
FA	997	Functional Acknowledgment

⁸ These tests must include an appropriate billing option.

VI. Phase I - Data Transfer Mechanism Test Specifications

A. DTM Protocol Specification

The Internet HTTP mechanism will be used by all parties engaged in EDI commerce in New York. Further, the Internet HTTP mechanism is based on, and aligned with, GISB's Electronic Data Mechanism (EDM), and the Internet Engineering Task Force's (IETF) EDIINT AS2 data exchange specification. The choice of this DTM meets the requirements of the Commission's April 12, 2000 EDI Order, which specified that an interoperable Internet-based protocol be utilized.

The GISB EDM version 1.4 (November 15, 1999)⁹ will provide the baseline detail specification (i.e. 'profile') defining all attributes required for trouble free, interoperable transport of X12 EDI messages between trading partners. New York specific attributes are denoted herein, thus defining the New York specific DTM profile. This profile is designed to achieve interoperability and satisfy the critical success factors defined in the June 30, 1999 Collaborative Report. It provides details of the necessary technical specifications (i.e. encryption standards, security standards), best operational practices (i.e. transmission failure retries, timing) and DTM testing guidelines.

1. Internet EDI data exchanges will follow the rules defined in sections of the GISB EDM Version 1.4 standard (outlined in Attachment C) unless explicitly stated in this document. Some key attributes are:
 - Data exchanges will be timestamp anchored on Eastern Prevailing Time (EST, utilizing Daylight Savings Time). All New York utilities operate in EST and neighboring jurisdictions are using EST, thereby providing compelling justification for this practice (GISB specifies the use of Central Time for its time stamp anchors).
 - Encryption depends on the PGP versions used by each trading partner being compatible. The recommendation is to use the most current PGP version, however both parties do not require the same version, as newer versions provide backward-compatibility. Parties should confer and document PGP versions being used in the trading partner agreement.
 - Use of the RSA algorithm is required
 - Use of 1024-bit public key is recommended
2. Archiving – Rather than comply with the GISB EDM 2 year archival guideline, companies must meet all archival and auditing conditions including financial record keeping requirements, PSC requirements, and any other jurisdictional or internal company requirements. The following points should be considered in a company's archiving plan: archive the data file as received at the GISB server; archive the associated PGP public key used to decrypt the data file; and optionally archive the EDI transaction map used to 'de-map' the data file.

⁹ While GISB EDM Version 1.4 is the standard for New York EDI, use of GISB EDM Versions 1.5 and 1.6, where supported by the utility, are permissible..

3. Utilities ~~and~~, ESCOs, DER Suppliers and Direct Customers are encouraged, although not required, to provide redundant capabilities for the 'last mile' of Internet connectivity to ensure a higher level of operability for their trading partners (i.e. backup web servers, alternate pathway(s) from the servers to the Internet via a second ISP connection, etc.).
4. Each party should maintain one production URL and one test URL, at a minimum, to clearly separate production-destined transactions from test-destined transactions.
5. Public keys should be changed annually. Notice should be given to a trading partner when changing keys. It is recommended that regularly scheduled non-emergency public key changes should include a 30-day notice.
6. Utilities have agreed to communicate web server maintenance schedules to their trading partners. This will be done via posting to the utilities' scheduled web site interruptions section of their retail access web page (this is in accordance with the recommendations of the New York Web Site Design Task Force recommendations filed with the Commission on October 10, 2000). At their option, utilities may additionally email server maintenance schedules to their trading partners. ESCOs may also post on their web page, or email, any scheduled server maintenance schedules to their trading partners.

Summary of Failures and Fail-over Standards

1. A **protocol failure** occurs any time a sending party's web server cannot connect to the receiving party's web server. For example, if a server fails to connect, or tries to post a file and fails, this is a protocol failure.
2. An **exchange failure** is when a sending party's server has had continual protocol failures over a two-hour period. Each party is required to try at least 3 times over the two-hour period before flagging an exchange failure.
3. Email will be used to notify partners of protocol failures. The email should be initiated as close to the time of failure as reasonably possible (i.e. within 5 minutes). This will assist in rectifying and documenting problems.
4. When a protocol failure occurs, it is recommended that the sending party wait 60 minutes, then retry the transfer. If a second protocol failure occurs, the sending party should wait another 60 minutes, then retry the transfer. For example, the first protocol failure happens at 1:00am, the second happens at 2:00am, and the third happens at 3:00am.
5. Email will be used to notify partners of exchange failures. This notification may occur on the next business day should the exchange failure occur during non-business hours. The exchange failure notification alerts partners that repeated attempts to connect to a partner's web server failed. The intended receiving party, upon receipt of an email message notifying it of an exchange failure, is responsible for requesting a retry of the connection.

6. When a trading partner's Internet EDI solution is not functioning for 5 consecutive business days, an alternative secure electronic medium will be utilized. This could be the equivalent of posting unencrypted EDI data to a diskette, tape, or CD-ROM and having that medium overnight delivered to the recipient trading partner. The specifics of the alternate mechanism will be defined in the trading partner agreement. Automatic failover systems are not required by this plan.

Example of failure

For example:

- At 4 PM Trading Partner X's (TP-X) web server tries to post a file to Trading Partner Z's (TP-Z) web server, which is down.
- TP-X notes a Protocol failure at 1AM and sends email to TP-Z.
- TP-X waits 60 minutes and tries again.
- If TP-Z's server is still down, TP-X notes another Protocol failure and sends email to TP-Z.
- TP-X waits another 60 minutes.
- If TP-X still cannot connect (3rd attempt over a consecutive two hour period),
- TP-X notes an Exchange failure and sends email to TP-Z.

As soon as TP-X notes a Protocol failure, TP-X sends a Protocol Failure email to TP-Z's specified DTM technical contact. This gives TP-Z a notification that there is a problem and offers some insight that can be used to troubleshoot and fix the problem prior to an Exchange failure.

As soon as TP-X notes an Exchange failure, TP-X sends an Exchange Failure email to TP-Z's specified DTM technical contact. This gives TP-Z notification that there is a problem, and manual or automated processes required to rectify the problem can be initiated.

B. DTM Testing Guidelines

The purpose and scope of DTM Testing is to test and verify that data is transmitted from point to point via the prescribed data transfer standards. It is a test of the technical infrastructure and not a test of the business processing or the EDI X12 syntactical formatting.

Parties to the test will substantiate that they have received data as intended by the sending party and vice versa. Testing will address:

- typical operational problems
- trading partner's server does not respond
- retries of transmissions via a prescribed time interval (wait) and number of times
- encrypted file cannot be interpreted (parties not using proper PGP public keys)
- varying payload sizes (i.e. large files as well as small)

Testing Assumptions

- All companies are required to establish DTM communications capability prior to entering Phase II or III Testing.
- DTM testing will be performed with several size outbound data files. Data file size is to be measured in characters prior to encryption and compression (by PGP) and should range from 1Mb (small) to 50Mb (large).
- Each Utility will document DTM specifications such as: GISB server URL's, port restrictions, protocol/exchange failure process and contacts, test exceptions on their WEB site or written documentation (i.e. trading partner agreement).

Testing Goals

- Establish DTM connectivity, including HTTP connections and encryption compatibility.
- Validate that a data file can be sent and that the recipient, upon receipt and decryption of the file can authenticate the data file content with the sender.
- Validate that HTTP (GISB) acknowledgements are being delivered.
- Validate that protocol failures are handled properly.
- Validate that exchange failures are handled properly.
- Validate that decryption (PGP) failures are handled properly.

C. Detailed DTM Testing Specification

The test specification described herein is the test plan model for the DTM testing to be conducted during Phase I testing. DTM testing should be targeted for completion within one week.

Internal Testing

Purpose: The parties, prior to any testing with a trading partner, should conduct internal testing. This internal test can be used to identify and rectify problem areas before working with a trading partner. This test is intended as a guideline only and is not meant to replace any internal acceptance testing used by a particular company.

Expected Results: Ensure all functions will operate as required.

Test Script:

1. Functionality of the Internet connections including the firewall. These tests can be performed by attempting to access the GISB server via a workstation attached to a network other than the company's internal private network. Two valid methods of performing these tests are:

- Provide an IP subnet, or set of IP addresses which reside on a network segment defined as a public segment and residing outside the firewall.
 - A workstation that is not connected to the organization's private network could dial an ISP and act as a client workstation.
2. Files should be sent to and retrieved from this public segment. Files can be 'clear text' files at this point.
 3. Automated processes should be tested. These should include, but not necessarily be limited to:
 - Notification of Protocol and Exchange failure(s)
 - Redundant connections
 - Automated parsing of GISB acknowledgment and error messages
 4. These tests should also be used to create an internal notification process and test the monitoring capability of the company. Tests should look to answer the question: what actions are required in the event of a failure and who is responsible for initiating these actions? Failures that should be tested are:
 - Catastrophic failure of the GISB server.
 - Failure of primary Internet connection.
 - Failure of User ID / Password combinations
 - Failure of PGP decryption (invalid or missing key)
 - Mailbox full conditions (If you are limiting mailbox sizes)
 5. Stress testing can be performed at this stage. A large file (i.e. 50Mb) should be transferred to the GISB server.
 6. Encryption/decryption methods, certificates and keys will be tested. An envelope should be created and encrypted from the test user id. The file should then be decrypted, processed, encrypted and returned to the test id.

Attachment A: NY EDI Test Plan Overview

I. SUMMARY

(from Section 7, June 30, 1999 Report of the New York EDI Collaborative)

“Prior to implementation of the EDI standards in New York, testing of both EDI transactions and the data transfer mechanism must occur. Testing ensures that the internal programming necessary for receipt and transmission of EDI transactions, the medium to be used for the electronic exchange, and the EDI transactions themselves are functioning properly. Sending and receiving a variety of test (sample) transactions enables the parties to identify and resolve problems in advance of live operations and ensures that the system interfaces are working properly. To satisfy these objectives it will be necessary for each individual party to engage in testing with all trading partners, to test all EDI transactions and to send and receive a number of EDI files that vary in size.”

II. GOALS

- Ensure companies have internal systems and processes in place to create EDI transactions that adhere to State and industry standards.
- Ensure companies have internal systems and processes that enable high volume levels of EDI activity.
- Ensure companies have the New York Internet Data Transfer Mechanism implemented and working properly.

III. ASSUMPTIONS

- EDI testing in New York will follow a multi-phased approach, designed to facilitate a smooth EDI implementation for all companies.
- Companies must demonstrate they have implemented automated interfaces to support EDI, in accordance with the PSC’s Order and industry standards, prior to beginning testing activities.
- Utilities will conduct ~~ESCO~~ Phase I transaction syntactical certification for EDITAs and report the result to DPS Staff.
- The New York EDI Collaborative will develop detailed testing requirements based on the published, accepted NY EDI transactions. Utilities will individually determine the test bed of data that will be used for testing purposes with ~~ESCO~~EDITAs.

- Utilities will provide supplementary information as necessary to communicate known testing issues to all involved trading partners.
- A list of testing contacts for all companies engaged in testing will be maintained and made available through the PSC's web site.
- Each utility will determine the number of trading partners that it is able to test with simultaneously
- Consistent with the DPS Order, parties that employ VAN solutions (Value Added Networks) do so at their cost and are required to utilize the New York Internet data transfer mechanism at the point of transaction delivery.

IV. DEFINITIONS

- **Experienced, volunteer ESCOs** – For Phase II testing, an ESCO who has been actively involved in EDI activities for more than 1 year in a deregulated energy environment. Further, these ESCOs must have the ability to engage in varying levels of volume testing, depending on each utility's needs. These volumes are expected to range from a minimum of 500 to a maximum of 10,000 transactions per day.

V. TESTING PHASES

Phase I – X12 Syntactical Verification & Demonstration of Internet DTM Capability

Description:

- All companies are required to create EDI transactions and submit them to the Test Moderator for syntactical verification (reference: NY EDI Testing Scenarios spreadsheet, Phase I Test Scenarios). DPS Staff will serve as Test Moderator and will intervene as needed in any dispute resolution situations.
- All companies are required to demonstrate Data Transfer Mechanism (DTM) communications capability.
- All companies are required to successfully complete all Phase I requirements to progress to Phase II or Phase III testing. Phase II and III test schedules will be based on the order that Phase I certified **ESCOEDITAs** contact and coordinate with each utility. Each Utility will have responsibility to manage test schedules and queues.
- DPS Staff will maintain and publish a list of companies that have met Phase I testing requirements.

Phase I Participants:

- All utilities and **ESCOEDITAs**.

Entry Criterion:

- ESCOs **and DER Suppliers** determined to be eligible ~~suppliers~~ by the DPS Staff.

Exit Criterion:

- Demonstration to and certification by Test Moderator that all required EDI transactions are X12 compliant.
- Establishment of New York's Internet DTM.

Phase II – Verification of Utility EDI ReadinessDescription:

- Testing between Phase I certified New York utilities and sufficiently experienced, volunteer ESCOs (also Phase I certified) to ensure utility systems are prepared for EDI production environment.
- Testing of transactions for all required business scenarios
- Volume testing of requisite transactions.
- Volume testing will be done in incremental stages from a low number of transactions to the maximum.
- DPS Staff will coordinate Phase II testing schedules and provide dispute resolution as needed.

Participants:

- All Phase I certified utilities and several experienced, Phase I certified ESCOs.

Entry Criterion:

- Phase I certification for all utilities & ESCOs.

Exit Criterion:

- Demonstration of utility and ESCO readiness through successful fulfillment of Phase II testing scenarios.

Phase III – Verification of **ESCOEDITA- Readiness**Description:

- Testing between Phase I certified New York utilities and **ESCOEDITAs** to ensure each **ESCOEDITA**'s system is prepared for EDI production environment.
- Testing of transactions for all required business scenarios (reference: NY EDI Testing Scenarios spreadsheet, Phase III Test Scenarios).
- Volume testing of requisite transactions.
- Volume testing will be done in incremental stages from a low number of transactions to the maximum.

- Eligible ESCOEDITAs will contact the utility to be assigned to a position in a testing queue.
- Disputes may be escalated to the DPS for resolution.

Participants:

- All utilities and all ESCOEDITAs (successful Phase II ESCO's exempt from any Phase II test scenarios required for Phase III certification).

Entry Criterion:

- Phase I certification.

Exit Criterion:

- Demonstration of ESCOEDITA readiness through successful fulfillment of Phase III testing scenarios with the utility.
- Utility provides written confirmation to ESCOEDITA of successful completion of Phase III testing, including the date testing is completed and ESCOEDITA is ready for production.

VI. TEST PLANS

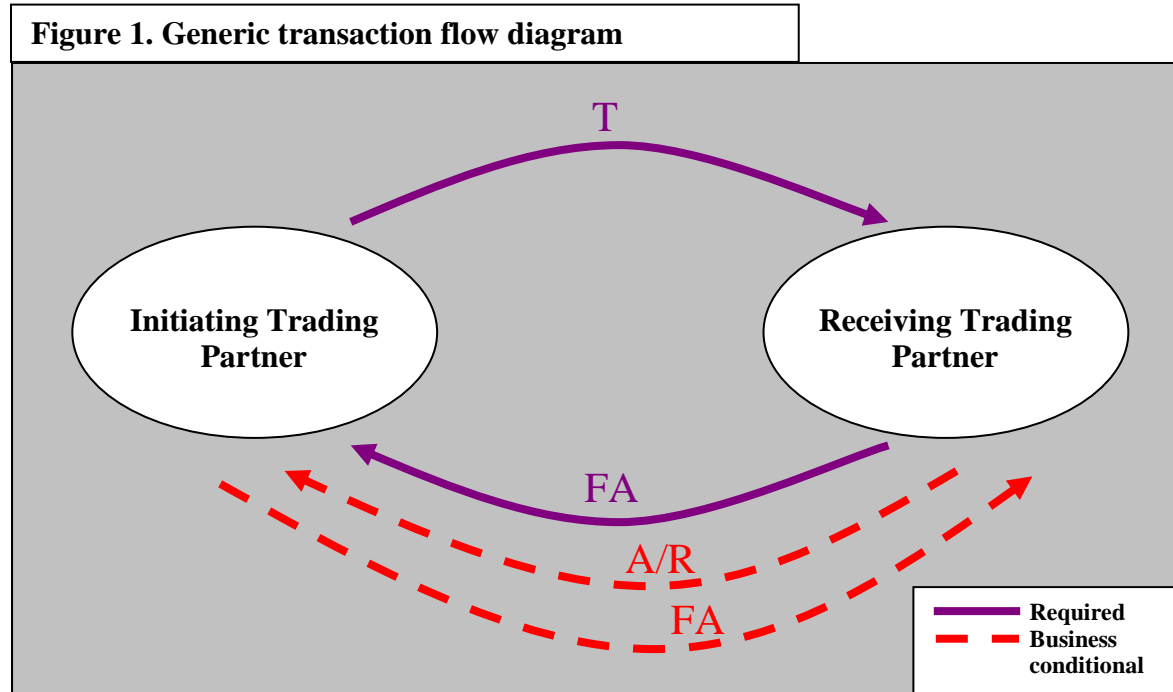
- Phase I tests are included in this document
- See various TOP Supplements for Phase I tests for other standards and for all Phase II and III test plans.

VII. TRADING PARTNER PROFILE INFORMATION

- Companies may voluntarily exchange trading partner profile information in support of EDI testing and implementation.

Attachment B: Transaction Processing Architecture

I. Overview



Event Order

1. **T** – initiating transaction
2. **FA** – Functional Acknowledgment response to the initiating transaction (always a 997)
3. **A/R** – Application Response, if required, to the initiating transaction (see Transaction Response Matrix below for specific A/R requirements)
4. **FA** – Functional Acknowledgment response to the Application Response (always a 997)

Transaction Response Matrix

Indicates transaction identifier, functional and application responses and response time frames. Note, positive responses are not required for some standards and should not be sent.

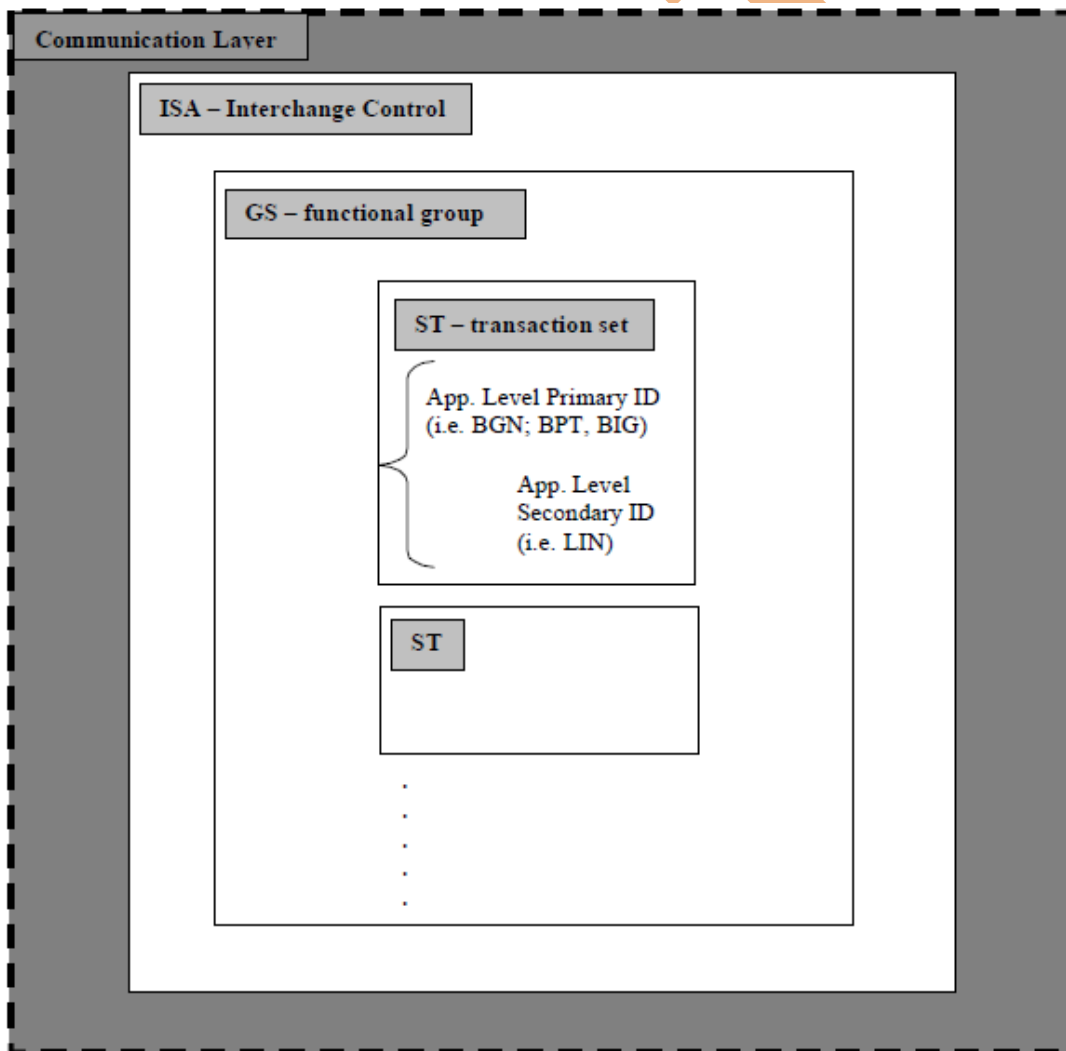
<i>T</i>	<i>ID*</i>	<i>A/R</i>	<i>A/R Response Time</i>	<i>FA (1 business day response)</i>
814 Enrollment	BGN	814e <i>(required on reject or accept)</i>	2 business days	997
814 Drop (Utility to ESCO)	BGN	814d <i>(required on negative response)</i>	2 business days	997
814 Drop (ESCO to Utility)	BGN	814d <i>(required on negative or positive response)</i>	2 business days	997
814 Account Maintenance	BGN	814c <i>(required on negative or positive response)</i>	2 business days	997
814 Reinstatement	BGN	814r <i>(required on negative or positive response)</i>	2 business days	997
814 Historical Usage (ESCO request)	BGN	814 <i>(required on negative or positive response)</i>	2 business days	997
867 Historical Usage	BGN	824AA	2 business days	997
867 Monthly Usage	BGN	824AA	2 business days	997
810 Invoice - Utility Bill Ready (ESCO to Utility)	BIG	824 PN <i>(required on all positive responses)</i> 824 AA <i>(used for all negative responses)</i>	1 business day	997
810 Invoice - Utility Rate Ready (Utility to ESCO)	BIG	824 AA)	1 business day	997
810 Invoice - Single Retailer (Utility to ESCO)	BIG	824 AA	1 business day	997
820 Remittance Advice	BPR	824 AA	1 business day	997
248 Account Assignment	BHT	824 AA	1 business day	997

* Transaction segment containing the unique identifier

II. TRANSACTION PROCESSING RULES

- New York follows a “First-In” approach to transaction processing. “First In” will be the first valid transaction that was processed and accepted by the application system. Transactions must be processed by the recipient in the order they are received. Receipt of a transaction is considered the date and time the server post function is complete.
- The 997 FA is required as a response to every transaction received. The 997 will only be used as a functional response, issued by the EDI translator, to verify receipt of a valid X12 document. No application error conditions will be communicated in the 997. Each 997 FA will be returned within one business day of receipt of the initiating transaction.
- Application Responses will be used on a business conditional basis as specified for each transaction.

III. ENVEOLPING



Enveloping Rules:

All EDI enveloping shall conform to ANSI X12 standards. The following are additional rules endorsed by the New York EDI Collaborative. However, parties may enter into trading partner arrangements in which variations of these rules may be agreed to.

- One data file will be transmitted in an HTTP session.
- Only one ISA (envelope) may be transmitted in a data file
- Only one functional group (GS) will be used within an envelope (ISA).
- Multiple transactions (ST) of the same type will be allowed within functional group (GS). For example, multiple 814 transactions can be included in one functional group/envelope (e.g. enrollments can be grouped together, drops can be grouped together).

IV. TRACKING MECHANISMS AND IDENTIFIERS

- Envelopes/transactions can be fully identified using identifiers from each communications and enveloping layer. This information will be used on a discretionary basis by operational staff for transaction control.
- The following table describes the logical unique identifier string by concatenating the key values of each layer (i.e. TP#||TIMESTAMP||ISA#||GS#||ST#||xxx#||yyy#). The Collaborative recommends maintaining the GS# in the logical identifier string for future use and scalability.

TP#	Trading Partner identifier	Communications layer
TIMESTAMP	Date & Time stamp	Communications layer
ISA#	Interchange control #	ISA
GS#	Group Control #	GS
ST#	Transaction set control #	ST
xxx# (transaction specific)	Application level primary identifier	Ex. 814 – BGN 810 – BIG 867 – BPT
yyy# (transaction specific as required)	Application level secondary identifier	Ex. 814 – LIN

- Application back end systems require only the application level identifiers for transaction identification and control at the applications level.
- The application level primary and secondary identifiers must also guarantee uniqueness at the application level. The transaction initiator has responsibility for assigning unique identifiers.
- Identifier length: UIG X12 specifies only maximum length; lengths can vary up to the maximum.

IV. OTHER

Archiving & Auditing

- Companies must meet all archival and auditing conditions including financial record keeping requirements, PSC requirements, and any other jurisdictional or internal company requirements.

Draft

Attachment C: Relevant Sections of GISB EDM V. 1.4

Based on review of the GISB EDM Version 1.4, the following sections were determined to be relevant and controlling for implementation of New York's DTM:

1. In the Section entitled BUSINESS PROCESS AND PRACTICES, Subsection C. Electronic Delivery Mechanism Related Standards, the Sub-Subsection entitled Standards: Standards 4.3.7 through 4.3.15 inclusive.
2. The Section entitled TECHNICAL IMPLEMENTATION - INTERNET EDI/EDM & BATCH FF/EDM, subject to the following modifications and clarifications:
 - 2.1 - Ignore all references to "BATCH FF/EDM", "FF/EDM", "deadlines", "pipelines", and "nominations".
 - 2.2 - In the *Data Dictionary For Internet EDI*, the Format of the Business Name transaction-set refers to specific 8-character codes which are not relevant for our purposes
 - 2.3 - Under the Subsection entitled SENDING TRANSACTIONS, Sub-Subsection entitled Client Specifications, the reference to Central Time (Central Standard / Central Daylight) should be changed to Eastern Time (Eastern Standard / Eastern Daylight).
 - 2.4 - Under the Subsection entitled RECEIVING TRANSACTIONS, the Sub-Subsection entitled URL/CGI Implementation Guidelines is informational in nature only and has no force and effect. This Sub-Subsection shall not be construed as to impose any requirements on any UTILITY or ESCO.
 - 2.5 - Under the Subsection entitled RECEIVING TRANSACTIONS, Sub-Subsection entitled Server Specifications, the reference to Central Time (Central Standard / Central Daylight) should be changed to Eastern Time (Eastern Standard / Eastern Daylight).
3. Appendix A
4. Appendix B

The GISB EDM Version 1.4 is available at <http://www.naesb.org>.

Technical Operating Profile

For

Electronic Data Interchange In New York

Supplement 1

**Phase II and III Test Procedures – All Transaction Standards
Connectivity Tests**

Test Scenarios Applicable to:

**TS814E, TS814D, ~~TS814HR~~TS814HU, TS867HU, and
TS867MU**

Version 1.67

~~October~~March 31, ~~2017~~2018

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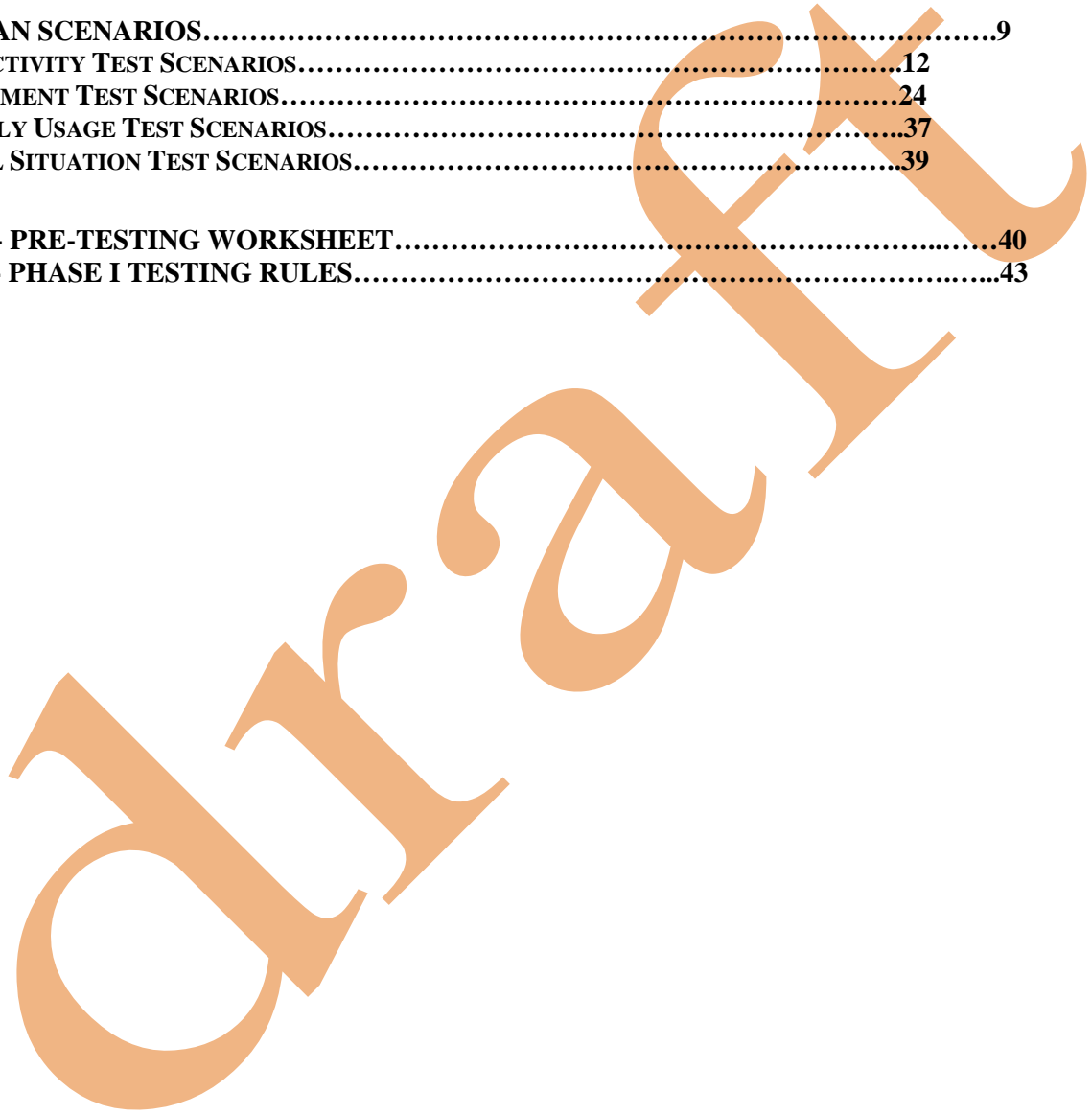
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	Summary of Changes
November 1, 2001	Initial Release
February 21, 2003	Version 1.1 Issued
	Monthly usage test scenarios were modified to include tests for transmitting meter reading data and actual usage factors (required for Single Retailer model; optional for other billing models) and an Interim Bill Indicator (required for Utility Bill Ready model).
August 23, 2006	Version 1.2 Issued
	Section I: Corrected reference to the date of a previous order.
	Section II: Updated to reflect the name of the document containing Phase I test procedures. New text is added to indicate that utilities may establish test schedules on an "as-needed" basis in addition to batch mode.
	Section III & IV: Updated to reflect the complete list of TOP supplements.
	Section IV: The scope of item 5 is expanded to pertain to testing on either an "as needed" or "batch mode" basis. Item 11 is deleted as no longer necessary.
	Section V: Items 1, 2 and 3 are revised to reflect the fact that Phase III testing may be scheduled on an "as-needed basis". Item 4 is revised to (a) require E/Ms to submit requests to utilities for Phase III testing a minimum of 30 days in advance of their desired test date (where testing is scheduled on an as needed basis) or a scheduled date for batch testing; (b) require utilities to begin testing within 45 calendar days of receipt of an E/Ms Phase III testing request; and (c) permit DPS Staff to resolve disputes involving EDI test schedules.
October 23, 2014	Version 1.3 Issued
	Replaced references to Marketer and E/M with ESCO. Elimination of outdated event references.
January 29, 2016	Version 1.4 Issued
	Replaced references to Staff Phase I testing with Phase I testing through utilities.
March 31, 2017	Version 1.5 Issued
	Added references to Phase I testing of utilities with DPS Staff.
October 31, 2017	Version 1.6 Issued
	Alternative definitions added for Phase II and Phase III testing.
<u>March 31, 2018</u>	<u>Version 1.7 Issued</u>
	<u>Modifications to enable DER suppliers to receive data through EDI on a similar basis as ESCOs.</u>

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)¹. Testing scenarios for TS814E, TS814D, ~~TS814HR~~TS814HU, 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 of the Technical Operating Profile (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, DER Suppliers or Direct Customers utilize third party EDI Service Providers (EDISPs).² In cases where there is a significant change in EDISPs, e.g. an EDISP that not been active in New York, ESCOs, DER Suppliers, Direct Customers and Utilities may be required to re-establish Phase I certification. Trading partner testing and attestations may also have to be demonstrated and completed in these cases.

Within this document, the term EDI Testing Applicant (EDITA) refers to the ESCO, DER Supplier or Direct Customer that is an applicant for Phase I or Phase III certification. Since DER Suppliers are limited to requesting and receiving historical customer required to complete Phase I testing and Phase III testing for applicable transactions. Note that while the Test Plan Scenarios use the term ESCO, that term should be interpreted to include DER Suppliers and Direct Customers, as applicable.

The Phase I Testing Rules, the ~~ESCO~~EDITA Phase I Testing Application and a list of Established EDI Service Providers³ are available from the New York EDI website.

- ***Phase I – X12 Syntactical Verification***

In Phase I testing, an ~~applicant~~ ~~ESCO~~EDITA⁴ submits sample EDI transactions to utilities, who will review them for correct X12 syntax or accept/certify an ~~applicant~~ ~~ESCO~~EDITA's Phase I capability. Each party is "Phase I Certified" once syntactical verification is complete or accepted/certified. The Utility will notify Department of Public Service (DPS) Staff when the ~~ESCO~~EDITA is Phase I certified. DPS Staff will maintain and publish the list of companies that have satisfied Phase I testing requirements for each approved transaction set standard. The Phase I test plan is fully documented in the Collaboratives' Technical Operating Profile.

- ***Phase II : Verification of Utility EDI Readiness***

¹ New York Public Service Commission Electronic Data Interchange proceeding, Case 98-M-0667.

² Utilities have discretion to determine that applicant ~~ESCOs~~EDITAs do not need to complete Phase I testing, particularly in cases where Established EDISPs certify to the utility that the applicant ESCO is Phase I capable.

³ Established EDI Service Providers are those EDISPs that currently provide EDI services to Utilities and/or ~~ESCOs~~EDITAs in the New York retail market pursuant to New York's EDI Standards.

⁴ DPS Staff (or their designee) conducts testing of Utilities that need to satisfy Phase I testing requirements.

Prior to 2005, Phase II tests were conducted between each New York Utility and a volunteer ESCOs that had sufficient experience in EDI, and who had obtained Phase I certification in New York.

The primary function of Phase II testing was to ensure that each Utility is ready for full-scale production for those transaction standards that have been approved in New York. DPS Staff will maintain the list of EDI Phase II production-ready Utilities on the New York EDI website. The list also includes some of the transactions available for Phase III testing with interested ESCOsEDITAs who have been Phase I certified and are now ready to begin trading partner testing with that Utility.

Phase II Testing may also refer to utility-based testing of EDI transaction(s) not specified within the TOP Supplements, e.g. non-mandatory transactions, that a utility may elect to test with an individual or subset of ESCOsEDITAs and/EDISPs prior to general Phase III testing of the same transaction with all other ESCOsEDITAs and/or EDISPs.

- ***Phase III: ESCOEDITA Verification Process***

Phase III testing will be conducted between each Utility and all eligible ESCOsEDITAs approved to participate in the particular Utility's gas or electric retail access programs. The purpose of Phase III testing is to ensure that each ESCOEDITA is prepared to exchange production EDI data for the relevant commodities and business transactions. The parties will test the New York DTM (data transfer mechanism) and all applicable business scenarios. The Utility has primary responsibility for specifying the volumes and variations of tests to be completed (Utility-specific testing instructions must be made available to each ESCOEDITA in an easily accessible manner, such as from the Utility's web site). ESCOsEDITAs ready for Phase III testing may be placed by the Utility in queued 'batches' to execute test scenarios and frames, within their assigned batch, until all scenarios and frames are successfully completed. Alternatively, utilities may establish test schedules for individual test applicants on an as needed basis. Upon successful completion of all Phase III test requirements, both the Utility and the ESCOEDITA will notify each other, and DPS Staff, by email, indicating that both parties have satisfied all test requirements and that the ESCOEDITA can move into EDI production. ESCOsEDITAs will generally not be required to repeat successful Phase III testing, except, as noted above, when there has been a change in their third party EDISP or unless directed to do so by Commission order for example when new standard(s) or major changes in one or more existing New York standards are adopted.⁵

Notwithstanding the above, a shortened version of testing is acceptable when a Utility is testing with an experienced ESCOEDITA or third party EDISP. Additionally, utilities may supplement the testing scenarios contained in this or other New York EDI Standards Technical Operating Profile documents in their Utility Maintained EDI Guides. Utilities are encouraged to keep their test plans up-to-date and consistent with their current implementations.

Phase III Testing may also refer to utility-based testing of EDI transaction(s) not specified within the TOP Supplements, e.g. non-mandatory transactions, that a utility may elect to test all ESCOsEDITAs and/or EDISPs, sometimes following Phase II Testing with an individual or subset of ESCOsEDITAs and/EDISPs of the same transaction(s).

⁵ As new EDI transaction standards and related test procedures are adopted by the Commission, all parties will be required to successfully complete testing on these new transactions when appropriate. The Change Control Process, administered through New York's EDI Working Group, will be the process to handle EDI standard revisions on a collective, ongoing basis.

III. PHASE II TESTING PROCEDURES

1. This Supplement, applicable only if a utility needed to recertify its EDI readiness, contains Phase II tests for the following transactions: 814 Enrollment Request & Response, 814 Drop Request & Response, 814 Consumption History Request, 867 Consumption History/Gas Profile, 867 Monthly Usage, 824 Application Advice and the 997 Functional Acknowledgement. Phase II tests for other Transaction Set Standards adopted by the PSC are contained in the following TOP Supplements:
 - o Supplement 2 - TS814 Change (Account Maintenance)
 - o Supplement 3 - TS814 Reinstatement
 - o Supplement 4 - TS810 Invoice - Utility Bill Ready Consolidated Billing or
TS810 Invoice - Utility Rate Ready Consolidated Billing
 - o Supplement 5 - TS248 Account Assignment
 - o Supplement 6 - TS820 Remittance
 - o Supplement 7a - TS810 EURC Cycle Invoice (Single Retailer)
 - o Supplement 7b - TS810 EURC Calendar Month Estimate (Single Retailer)
 - o Supplement 7c - TS810 ESCO Summary Invoice (Single Retailer)
2. Sufficiently experienced ESCOs will be identified by DPS Staff for Phase II Trading Partner Testing. DPS Staff will approve the final pairings of each Utility with an eligible, experienced ESCO.
3. Completed Pre-Test Worksheets (Appendix A) will be exchanged by each trading partner. The worksheets provide necessary information including contact information, relevant URLs and DUNs numbers, and test exceptions.
4. The Utility is responsible for scheduling an initial meeting with the ESCO to agree on a Phase II testing start date and to discuss test coordination, data exchange procedures, and test exceptions.
5. The test transactions must be exchanged in accordance with the protocols established in New York for Data Transfer Mechanisms. The connectivity tests specified in Section VI of this document must be completed in a thorough manner and prior to executing the business test scenarios.
6. The Utility is responsible for providing sufficient sample data to the ESCO in order for the ESCO to construct the relevant EDI test transactions to execute the Phase II test scenarios.
7. The receiver will process the transactions through its translator and respond with required EDI functional acknowledgments. The receiver will then process the EDI test transactions with their business applications and respond with any required application response transactions.
8. When all test scenarios are successfully completed, both parties will notify each other, and the DPS Staff, by email, indicating that both parties have satisfied all test requirements.

IV. PHASE III TESTING PROCEDURES

1. This Supplement contains Phase III tests for the following transactions: 814 Enrollment Request & Response, 814 Drop Request & Response, 814 Consumption History Request, 867 Consumption History/Gas Profile, 867 Monthly Usage, 824 Application Advice and the 997 Functional Acknowledgement. Phase III tests for other Transaction Set Standards adopted by the PSC are contained in the following TOP Supplements:
 - o Supplement 2 - TS814 Change (Account Maintenance)
 - o Supplement 3 - TS814 Reinstatement
 - o Supplement 4 - TS810 Invoice - Utility Bill Ready Consolidated Billing or
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 - o Supplement 5 - TS248 Account Assignment
 - o Supplement 6 - TS820 Remittance
 - o Supplement 7a - TS810 EURC Cycle Invoice (Single Retailer)
 - o Supplement 7b - TS810 EURC Calendar Month Estimate (Single Retailer)
 - o Supplement 7c - TS810 ESCO Summary Invoice (Single Retailer)
2. The ESCOEDITA is responsible for reviewing the Utility's test schedules and contacting the Utility to request testing at least 30 days prior to (a) the date it expects to begin testing (where testing is conducted on an as needed basis) or (b) the published start date for a batch testing queue in which space is available.
3. The Utility is responsible for notifying the ESCOEDITA of the date testing will begin or confirming the batch assigned to the ESCOEDITA.
4. Completed Pre-Test Worksheets (Appendix A) will be provided by trading partners to each other, prior to the scheduling and commencement of Phase III Testing. The worksheets provide necessary information including contact information, relevant URLs and DUNS numbers, and test exceptions.
5. The Utility is responsible for scheduling an initial meeting for each ESCOEDITA test applicant prior to the scheduled start date for testing, to coordinate the test execution.
6. Utility-specific testing instructions will be made available to each ESCOEDITA in an easily accessible manner (such as from the Utility's web site).
7. The test transactions must be exchanged in accordance with the protocols established in New York for Data Transfer Mechanisms. The connectivity tests specified in Section VI of this document must be completed in a thorough manner and prior to executing the business test scenarios.
8. The Utility will provide test data to the ESCOEDITA for use in preparing EDI test transactions to execute the Phase III test scenarios.
9. The receiver will process the transactions through its translator and respond with required EDI functional acknowledgments. The receiver will then process the EDI test transactions with their business applications and respond with any required application response transactions.
10. Upon successful completion of testing, both parties will notify each other, and the DPS Staff, by email, indicating that both parties have satisfied all test requirements and confirming that the ESCOEDITA can move into EDI production.

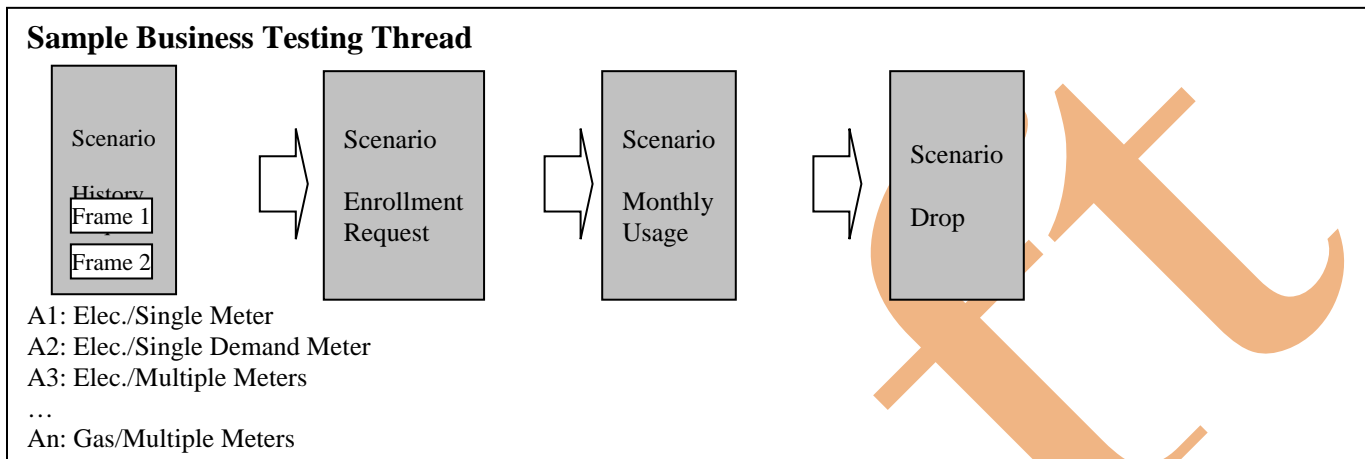
V. TEST SCHEDULING

1. The Utility will set up a schedule for Phase III testing and publish it on their web site. Schedules will provide for testing of more than one ESCOEDITA at a time, by using test batches, if necessary, (with assigned start and end dates) consisting of groups of ESCOsEDITAs testing at the same time.
2. Where ESCOsEDITAs are competing for a place in the same batch, or test schedule, the date of Phase I certification will be the ‘tiebreaker’ in determining ESCO entry into Phase III.
3. The ESCOEDITA will proceed through the test scenarios and frames with their batch, where applicable, unless significant errors that cannot be resolved within 2 business days are encountered. Such condition may result in the ESCOEDITA being withdrawn from their currently assigned batch. When an ESCOEDITA is withdrawn from a batch, the Utility will reassign the ESCOEDITA to a new batch or start date. The ESCOEDITA will proceed through testing with the newly assigned batch group or in accordance with the new test schedule.
4. During Phase III, parties will strive to complete testing in a prompt and orderly manner.
 - Utilities are expected to schedule testing activities in an equitable manner. ESCOEDITAs should review the Utilities published testing schedules and select their preferred testing period from among the available dates. ESCOsEDITAs must request testing at least 30 calendar days prior to (a) the date it expects to begin testing (where testing is conducted on an as needed basis) or (b) the published start date for a batch testing queue in which space is available.
 - Except for the initial implementation period, and periods in which new transactions are being introduced⁶, Utilities must begin testing within 45-calendar days of receipt of an ESCO’sEDITA’s test request.
 - During the initial implementation period, periods in which new transactions are being introduced or instances in which an EDI vendor servicing multiple ESCOsEDITAs withdraws from a service territory, flexibility in scheduling new Phase III testing is needed in order to ensure that testing with each trading partner is completed in a rigorous and planned manner and that no party is unduly burdened.
 - DPS Staff will direct a resolution of any test scheduling disputes between Utilities and ESCOsEDITAs, subject only to an appeal to the Commission. Failure of Utilities to abide by the established time frames or to abide by any resolution of a test scheduling dispute directed by DPS Staff will be reported to the PSC.

⁶ Initial implementation for most utilities occurred prior to 2004, and was considered the period of time when the first group of transactions was implemented (enrollment, drop, historical and current usage). New transactions may also warrant flexible test schedules when initially implemented.

VI. TEST PLAN SCENARIOS

This section describes the Phase II and III test plan scenarios. Testing, in general, should be viewed within the context of the defined New York business transactions. A “business testing thread” is a method of conceptualizing the business transactions by the order in which they may occur in the business life cycle of a customer account. A typical sample business testing thread, based on the current New York business transactions, can be described graphically as follows⁷:



When executing tests, the scenarios will generally be sequenced in accordance with a business testing thread. In the graphic above, A1 through An denote various test accounts characterized by commodity and meter configuration. Using the Sample Business Testing Thread shown above as a guideline, an A1 test account (Elec./Single Meter), for example, would initially be tested with the Consumption History Test scenarios, then follow sequentially with the Enrollment Request scenarios, Monthly Usage scenarios, and lastly, the Drop scenarios. Rejected response scenarios should also be tested as part of the general business testing thread.

The appropriate scenarios, and frames⁸, for each step in the business test thread are selected from the scenario templates that follow. The number of frames included in each test scenario is dependent upon the nature of the underlying transaction. For example, most enrollment test scenarios contain two frames – one for the request and a second for the response transaction. However, the test scenarios for Consumption History contain three frames, one for the request, one for the 814 response and one for the 867 response. When testing with a batch of ESCOsEDITAs each frame in each scenario is stepped through as a group.

Connectivity Testing

Integral to successful testing, but not directly tied to the business testing thread, are the set of connectivity tests that establish each party’s ability to successfully implement and use the New York DTM. The connectivity tests are to be successfully completed by all parties prior to entering any business test thread phases.

Provision of Test Data

Utilities will provide the testing accounts to be used by individual ESCOsEDITAs for each test scenario. Alternatively, Utilities may choose to publish individualized testing plans for each ESCOEDITA in a test batch using the hard copy format illustrated in this document by entering data in the space provided.

⁷ When executing tests, scenarios may be tested in a sequence other than the Sample Business Test Thread illustrated here.

⁸ A frame generally represents activities, within a testing scenario, that must be completed by a trading partner. Each frame typically ends with a set of transactions being sent to the other trading partner.

First-In Testing

In New York a “first-in” rule has been adopted that specifies the **ESCOEDITA** with the first valid enrollment request enrolls the customer for service. It is each Utility’s responsibility to test their systems to ensure that the first-in rule is followed and can be substantiated in cases of dispute.

DTM HTTP Post Response

The DTM HTTP post responses occur real time at the time of transmission and indicates that the transmission was successful and the receiver was able to successfully decrypt the message. The DTM post response will not indicate the validity of the EDI X12 document. The EDI X12 functional acknowledgement (997) response indicates whether the translator successfully processed the EDI X12 document and is generated up to two business days after the initial DTM post response.

Testing Confirmation

Prior to sending email notification (of successful testing), trading partners must ensure their systems can process all transactions correctly. Parties should manually review and verify that all frames and scenarios were completed as intended. In addition, as trading partners move through the testing process, they should confer as needed to confirm that data was processed as intended and that systems have been updated correctly.

Description of Test Scenario Layout

The scenarios are organized by component or business category being tested. The four primary categories are A) Connectivity Tests, B) Enrollment Tests, C) Monthly Usage Tests, and D) Special Situations. For example, the Connectivity Test Scenarios contain all of the required test scenarios associated with demonstrating connectivity between trading partners. Each test scenario is presented on one or more pages using the following format:

C001: Connectivity Test	
Test the	The header contains the name of the individual test scenario, a summary description, and the test objectives.
ability of each party to successfully exchange data over the Internet	
Test Objectives:	

Frame: F1
Responsible Party:
Transaction:
Description:
Expected Results:
Actual Results:

Each test scenario includes one or more testing ‘frames’. For each frame, the responsible party and a specific action to be initiated by that party is described. The test scenario also includes the expected results for each frame.

Where EDI transactions are being tested (non-connectivity tests), the expected results include both the DTM HTTP Post Response and the EDI X12 functional acknowledgements. The Utility will provide sufficient data to support each test scenario. The expectation is that the same test conditions will be used for all

ESCOsEDITAs testing with that Utility, whether testing in Phase II or Phase III. The number of accounts to be employed in each test scenario, and other test variations, will vary based on a number of factors including, but not limited to, the commodities offered, meter configurations and meter measurement values. ESCOsEDITAs, however, are only required to test the scenarios relevant to the commodities they offer or are authored to receive.

Summary of Test Scenario Categories

Category	Code	Description
A. Connectivity	Cnnn	Test scenarios primarily aimed at establishing connectivity.
B. Enrollment	Ennn	Test scenarios primarily aimed at enrollment, drops and history requests.
C. Usage	Unnn	Test scenarios primarily aimed at usage validated for billing.
D. Special Situations	Snnn	Test scenarios primarily aimed at special situations or unique business processes of some Utilities.

nnn = test scenarios are numbered sequentially within each segment

List of Test Scenarios

A: Connectivity Tests
C001: Connectivity Test
C002: Encryption & Certificate Testing
C003: Utility Exception & Error Processing Testing
C004: ESCO Exception & Error Processing Testing
C005: Utility Large File Processing (Stress Test)
C006: ESCO Large File Processing (Stress Test)
C007: Utility Exchange Failure
C008: ESCO Exchange Failure
C009: Utility initiated X12 Translator Reject Test
C010: ESCO initiated X12 Translator Reject Test
B: Enrollment Tests <u>(applicable to DER Suppliers only as noted)</u>
E001: Enrollment - Accept Response
E002: Enrollment - Reject Response
E003: Consumption History Request - Accept Response <u>(applicable to DER Suppliers)</u>
E004: Consumption History Request - Reject Response <u>(applicable to DER Suppliers)</u>
E005: Consumption History Request For Gas Profile – Historic Gas Usage Returned <u>(applicable to DER Suppliers)</u>
E006: Consumption History Request For Gas Profile - Gas Profile Returned <u>(applicable to DER Suppliers)</u>
E007: Utility Initiated Drop Request - Accept Response
E008: Utility Initiated Drop Request - Reject Response
E009: ESCO Initiated Drop Request - Accept Response
E010: ESCO Initiated Drop Request - Reject Response
E011: Enrollment Request with Secondary Request for History - Accept Response
E012: Enrollment Request with Secondary Request for History - Enrollment Rejected
E013: Enrollment Request with Secondary Request for History - History Request Rejected
C: Monthly Usage Tests <u>(not applicable to DER Suppliers)</u>
U001: Monthly Usage
U002: Monthly Usage – Transaction Is Rejected
U003: Monthly Usage – Transaction is Cancelled
D: Special Situations <u>(not applicable to DER Suppliers)</u>
S001: Enrollment with Acknowledgement Response

A. Connectivity Test Scenarios

Test scenarios to confirm that protocols compliant with the New York Data Transfer Mechanism standard are in place and are operational.

C001: Connectivity Test

Test the ability of each party to successfully exchange data over the Internet

Test Objectives:

- The ESCO and Utility successfully exchange data.

Frame: F1

Responsible Party: ESCO

Transaction: N/A

Description: ESCO sends a message/file to the Utility.

Note: This should be a “small” file/message (no larger than 100kb). The file/message can be in “clear-text” or encrypted and compressed as agreed by the parties and in accordance with their capabilities.

Expected Results:

The file is successfully sent to the Utility.

Actual Results:

Frame: F2

Responsible Party: Utility

Transaction: N/A

Description: Utility sends the message received in Frame F1 back to the ESCO.

Expected Results:

The file is successfully sent to the ESCO.

Actual Results:

Actual Overall Results:

Date Completed:

C002: Encryption & Certificate Testing

Validates that both parties can successfully sign, encrypt, transmit, decrypt and translate an EDI message

Note: This testing must be completed in both directions, by the Utility and ESCO

Test Objectives:

- Receiver of the EDI message is able to verify the signature of the document, decrypt the message, translate the EDI message and return a signed and encrypted 997 to the ESCO.
- HTTP Post Response is successfully sent.

Frame: F1

Responsible Party: ESCO or Utility

Transaction: Any

Description: Sender signs and encrypts an EDI message containing an X12 compliant payload, and sends the message to the receiver.

Expected Results:

- The file is successfully sent.
- HTTP Post Response is returned by the receiver.

Actual Results:**Frame:** F2

Responsible Party: Utility or ESCO

Transaction: 997 Functional Acknowledgement

Description: After receiving, decrypting and translating the EDI message, receiver generates an EDI 997 transaction, signs and encrypts it, and send the message to the Frame 1 sender

Expected Results:

- The 997 Functional Acknowledgement is successfully sent.
- HTTP Post Response is returned by the original Frame 1 sender.

Actual Results:**Actual Overall Results:****Date Completed:**

C003: Utility Exception & Error Processing Testing

Validate the Utility's ability to process communication errors

Test Objectives:

- The Utility is able to detect the error and return an appropriate error message back to the ESCO.

Frame: F1**Responsible Party:** ESCO**Transaction:** Any**Description:** ESCO signs and encrypts a message containing an intentional error in the communications layer.**Expected Results:**

- The file is successfully sent to the Utility.

Actual Results:**Frame:** F2**Responsible Party:** Utility**Transaction:** N/A**Description:** Utility detects the error in the package sent in Frame F1 and returns a properly coded error message to the ESCO.**Expected Results:**

- The correct error message is successfully sent to the ESCO.

Actual Results:**Actual Overall Results:****Date Completed:**

C004: ESCO Exception & Error Processing Testing

Validate the ESCO's ability to process communications errors

Test Objectives:

- The ESCO is able to detect the error and return an appropriate error message back to the Utility.

Frame: F1 **Responsible Party:** Utility**Transaction:** Any**Description:** Utility signs and encrypts a message containing an intentional error in the communications layer.**Expected Results:**

- The file is successfully sent to the ESCO.

Actual Results:**Frame:** F2 **Responsible Party:** ESCO**Transaction:** Error message**Description:** ESCO detects the error in the package sent in Frame F1 and returns a properly coded error message to the Utility.**Expected Results:**

- The error message is successfully sent to the Utility.

Actual Results:**Actual Overall Results:****Date Completed:**

C005: Utility Large File Processing (Stress Test)

Validate the capability of the Utility to handle large ($\geq 50\text{Mb}$ uncompressed) files

Test Objectives:

- The Utility is able to verify the signature of the 'large' document, decrypt the message, translate the EDI message and return a signed and encrypted 997 to the ESCO.

Frame: F1 **Responsible Party:** ESCO

Transaction: Any

Description: ESCO signs and encrypts an EDI message containing a valid X12 compliant payload that is equal to or larger than 50Mb (in uncompressed format). The ESCO sends the message to the Utility's server.

Expected Results:

- The file is successfully sent to the Utility.

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 997

Description: After receiving, decrypting, and translating the EDI message, Utility generates an EDI 997 transaction, signs and encrypts it, and sends it to the ESCO's server

Expected Results:

- The file is successfully sent to the ESCO.

Actual Results:**Actual Overall Results:****Date Completed:**

C006: ESCO Large File Processing (Stress Test)

Validate the capability of the ESCO to handle large ($\geq 50\text{Mb}$ uncompressed) files

Test Objectives:

- The ESCO is able to verify the signature of the 'large' document, decrypt the message, translate the EDI message and return a signed and encrypted 997 to the Utility.

Frame: F1 **Responsible Party:** Utility

Transaction: Any

Description: Utility signs and encrypts an EDI message containing a valid X12 compliant payload that is larger than 50Mb (in uncompressed format). The Utility sends the message to the ESCO's server.

Expected Results:

- The file is successfully sent to the ESCO.

Actual Results:

Frame: F2 **Responsible Party:** ESCO

Transaction: 997

Description: After receiving, decrypting, and translating the EDI message, ESCO generates an EDI 997 transaction, signs and encrypts it, and sends it to the Utility's server.

Expected Results:

- The file is successfully sent to the Utility.

Actual Results:**Actual Overall Results:****Date Completed:**

C007: Utility Exchange Failure

Validate that the ESCO can handle a protocol/exchange failure

Test Objectives:

- ESCO is able to notify the Utility's monitoring personnel of the failure.
- Utility is able to notify the ESCO's monitoring personnel that the situation was corrected and the transmission should be retried.
- ESCO is able to retry message.

Frame: F1 **Responsible Party:** Utility

Transaction: N/A

Description: Utility disables DTM server.

Expected Results:

- Utility's DTM server is unable to receive data.

Actual Results:

Frame: F2 **Responsible Party:** ESCO

Transaction: Any

Description: ESCO signs and encrypts an EDI message containing a valid X12 compliant payload and sends the message to the Utility's server.

Expected Results:

- The ESCO detects the inability to transfer the message.
- The ESCO sends a failure e-mail notification to the Utility's monitoring personnel e-mail address.

Actual Results:

Frame: F3 **Responsible Party:** Utility

Transaction: E-mail notification

Description: Utility processes the failure e-mail notification from ESCO.

Expected Results:

- Utility enables DTM server.
- Utility notifies ESCO monitoring personnel that the situation has been corrected and transmission should be retried.

Actual Results:

Frame: F4 **Responsible Party:** ESCO

Transaction: Any

Description: ESCO signs and encrypts an EDI message containing a valid X12 compliant payload and sends the message to the Utility's server.

Expected Results:

- The file is successfully sent to the Utility.

Actual Results:

Frame: F5 **Responsible Party:** Utility

Transaction: 997

Description: Utility generates an EDI 997 transaction, signs and encrypts it with an X12 compliant payload, and sends the message to the ESCO's server.

Expected Results:

- The file is successfully sent to the ESCO.

Actual Results:

Actual Overall Results:

Date Completed:

C008: ESCO Exchange Failure

Validate that the Utility can handle a protocol/exchange failure

Test Objectives:

- Utility is able to notify the ESCO's monitoring personnel of the failure.
- ESCO is able to notify the Utility's monitoring personnel that the situation was corrected and the transmission should be retried.
- Utility is able to retry message.

Frame: F1 **Responsible Party:** ESCO

Transaction: N/A

Description: ESCO disables DTM server.

Expected Results:

- ESCO's DTM server is unable to receive data.

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: Any

Description: Utility signs and encrypts an EDI message containing a valid X12 compliant payload and sends the message to the ESCO's server.

Expected Results:

- The Utility detects the inability to transfer the message.
- The Utility sends failure e-mail notification to the designated ESCO's monitoring personnel e-mail address.

Actual Results:

Frame: F3 **Responsible Party:** ESCO

Transaction: E-mail notification

Description: ESCO processes the failure e-mail notification from Utility.

Expected Results:

- ESCO enables DTM server.
- ESCO notifies Utility monitoring personnel that the situation has been corrected and transmission should be retried.

Actual Results:

Frame: F4 **Responsible Party:** Utility

Transaction: Any

Description: Utility signs and encrypts an EDI message containing a valid X12 compliant payload and sends the message to the ESCO's server.

Expected Results:

- The file is successfully sent to the ESCO.

Actual Results:

Frame: F5 **Responsible Party:** ESCO

Transaction: 997

Description: ESCO generates an EDI 997 transaction, signs and encrypts it with an X12 compliant payload, and sends the message to the Utility's server.

Expected Results:

- The file is successfully sent to the Utility.

Actual Results:

Actual Overall Results:

Date Completed:

Draft

C009: Utility initiated X12 Translator Reject Test

Test to ensure that the ESCO X12 translator rejects non-compliant X12 transaction standards (For example, required segment or element missing, improper ID, etc.)

Test Objectives:

- The ESCO successfully processes invalid X12 transactions.

Frame: F1 **Responsible Party:** Utility

Transaction: Any

Description: Utility creates and sends transactions with an X12 syntax error intentionally introduced.

Expected Results:

- The transactions are successfully sent to the ESCO.

Actual Results:

Frame: F2 **Responsible Party:** ESCO

Transaction: 997

Description: ESCO creates and sends 997 responses indicating rejection of X12 syntax by the translator.

Expected Results:

- The 997 rejections are successfully sent to the Utility.

Actual Results:**Actual Overall Results:****Date Completed:**

C010: ESCO initiated X12 Translator Reject Test.

Test to ensure that the Utility X12 translator rejects non-compliant X12 transaction standards. (For example, required segment or element missing, improper ID, etc.)

Test Objectives:

- The Utility successfully processes invalid X12 transactions.

Frame: F1 **Responsible Party:** ESCO

Transaction: Any

Description: ESCO creates and sends transactions with an X12 syntax error intentionally introduced.

Expected Results:

- The transactions are successfully sent to the Utility.

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 997

Description: Utility creates and sends 997 responses indicating rejection of X12 syntax by the translator.

Expected Results:

- The 997 rejections are successfully sent to the ESCO.

Actual Results:**Actual Overall Results:****Date Completed:**

B. Enrollment Test Scenarios

Test scenarios to confirm that basic transactions are functional

<p>E001: Enrollment - Accept Response</p> <p>Test a successful Enrollment transaction</p> <p><i>Note: Three primary meter configurations (single meter, multiple meter & unmetered) may be tested as part of this scenario.</i></p>	
<p>Test Objectives:</p> <ul style="list-style-type: none"> • The ESCO sends a successful 814 Enrollment Request • The Utility sends a successful 814 Accept Response with valid meter configuration data. 	
<p>Commodity: _____ (Electric / Gas)</p>	
<p>Account #: _____</p>	<p>Account #: _____</p>
<p>Account #: _____</p>	<p>Account #: _____</p>
<p>Frame: F1 Responsible Party: ESCO</p> <p>Transaction: 814 Enrollment Request & Response</p> <p>Description: ESCO creates and sends 814 Enrollment Requests for valid Utility customer accounts.</p> <p>Expected Results:</p> <ul style="list-style-type: none"> • The 814 Enrollment Requests are successfully sent to the Utility. • A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction. <p>Actual Results:</p>	
<p>Frame: F2 Responsible Party: Utility</p> <p>Transaction: 814 Enrollment Request & Response</p> <p>Description: Utility creates and sends an 814 Accept Response transaction for each Enrollment Request.</p> <p>Expected Results:</p> <ul style="list-style-type: none"> • The 814 Accept Responses are successfully sent to ESCO. • A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction. <p>Actual Results:</p>	
<p>Actual Overall Results:</p>	
<p>Date Completed:</p>	

E002: Enrollment – Reject Response

Test the Reject Response to an 814 Enrollment Request

Note: Parties will test one or more error conditions to ensure the business logic works correctly.

Test Objectives:

- The Utility generates the correct 814 Reject Response for an 814 Enrollment Request for the condition specified.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Enrollment Request & Response

Description: ESCO creates and sends 814 Enrollment Requests that contain intentional errors (provided by the Utility).

Expected Results:

- 814 Enrollment Requests are sent to the Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 814 Enrollment Request & Response

Description: Utility creates and sends an 814 Reject Response with the appropriate reject reason(s)

Expected Results:

- The rejected 814 Enrollment responses are sent to ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Actual Overall Results:

Date Completed:

E003: Consumption History Request - Accept Response

Test 814 Consumption History Request and Accept Responses

Note: Three primary meter configurations (single meter, multiple meter & unmetered) may be tested as part of this scenario.

Test Objectives:

- ESCO sends successful 814 Consumption History Request
- For each 814 Consumption History Request, the Utility generates and sends an 814 Accept Response.
- For each 814 Consumption History Request, the Utility generates and sends the 867 Consumption History/Gas Profile transaction with valid usage data.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Consumption History Request & Response

Description: ESCO creates and sends 814 Consumption History Requests using valid Utility customer accounts.

Expected Results:

- The 814 Consumption History Requests are successfully sent to Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 814 Consumption History Request & Response

Description: Utility creates and sends an Accept Response to an 814 Consumption History Request.

Expected Results:

- The 814 Accept Response for an 814 Consumption History Request is successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Frame: F3 **Responsible Party:** Utility

Transaction: 867 Consumption History/Gas Profile

Description: Utility creates and sends an 867 Consumption History/Gas Profile transaction for the account(s) requested in the 814 Consumption History Request.

Expected Results:

- 867 Consumption History/Gas Profile transactions are successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Actual Overall Results:

Date Completed:

E004: Consumption History Request - Reject Response

Test the Reject Response for a Consumption History Request

Test Objectives:

- The Utility returns an 814 Reject Response for a Consumption History Request with the correct reject reason(s) for the condition specified.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Consumption History Request & Response

Description: ESCO creates and sends 814 Consumption History Request that contains an intentional error.

Expected Results:

- The 814 Consumption History Request is successfully sent to Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 814 Consumption History Request & Response

Description: Utility creates and sends a rejected 814 Consumption History Request response.

Expected Results:

- The rejected 814 Consumption History response is successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Actual Overall Results:

Date Completed:

E005: Consumption History Request for Gas Profile – Historic Gas Usage Returned

Test Accept Response for a Consumption History Request for a Gas Profile for Utilities that DO NOT support gas profiles.

Note: This test is not relevant for utilities who do support a gas profile

Test Objectives:

- In response to an 814 Consumption History Request for gas profile data, the Utility generates an 814 Accept Response indicating that gas consumption history will be sent in an 867 transaction.

Commodity: GAS

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Consumption History Request & Response

Description: ESCO creates and sends 814 Consumption History Requests for gas profiles using valid Utility customer accounts.

Expected Results:

- The 814 Consumption History Request is successfully sent to the Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 814 Consumption History Request & Response

Description: Utility creates and sends an 814 Accept Response indicating consumption history will be provided to satisfy the request for gas profile data.

Expected Results:

- The accepted 814 Consumption History responses are successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Frame: F3 **Responsible Party:** Utility

Transaction: 867 Consumption History/Gas Profile

Description: Utility creates and sends an 867 transaction containing historic usage data.

Expected Results:

- The 867 Consumption History transactions are successfully sent to ESCO
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Actual Overall Results:

Date Completed:

E006: Consumption History Request for Gas Profile – Gas Profile Returned

Test Accept Response for a Consumption History Request for a Gas Profile for Utilities that DO support Gas Profiles

Note: This test is limited to utilities that indicate whether they support gas profiles in their Utility Maintained EDI Guides.

Test Objectives:

- For each Consumption History Request, the Utility sends a successful 814 Accept Response.
- For each Consumption History Request, the Utility sends a successful 867 Consumption History/Gas Profile transaction with valid gas profile data.

Commodity: GAS

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Consumption History Request & Response

Description: ESCO creates and sends an 814 Consumption History Request for gas profile data using valid Utility customer accounts.

Expected Results:

- The 814 Consumption History Requests are successfully sent to the Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 814 Consumption History Request & Response

Description: Utility creates and sends an 814 Accept Response.

Expected Results:

- The 814 Accept Response for the 814 Consumption History Requests are successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Frame: F3 **Responsible Party:** Utility

Transaction: 867 Consumption History/Gas Profile

Description: Utility creates and sends back an 867 Consumption History/Gas Profile containing gas profile data.

Expected Results:

- The 867 Consumption History/Gas Profile transaction with gas profile data is successfully sent to ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Actual Overall Results:

Date Completed:

E007: Utility Initiated Drop Request – Accept Response

Test an 814 Drop Request initiated by the Utility

Test Objectives:

- Utilities will generate and successfully transmit 814 Drop Requests reflecting various drop conditions.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** Utility

Transaction: 814 Drop Request & Response

Description: Utility creates and sends Drop Requests for valid accounts.

Expected Results:

- The 814 Drop Requests are successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Actual Overall Results:

Date Completed:

E008: Utility Initiated Drop Request - Reject Response

Test 814 Reject Response to a Utility-initiated Drop Request

Test Objectives:

- The ESCO can generate and successfully transmit an 814 Reject Response, with an appropriate reject reason, for a Drop Request initiated by the Utility.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** Utility

Transaction: 814 Drop Request & Response

Description: Utility creates and sends Drop Requests containing account(s) that will reject for one or more valid reject reasons.

Expected Results:

- The 814 Drop Requests are successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Frame: F2 **Responsible Party:** ESCO

Transaction: 814 Drop Request & Response

Description: ESCO sends 814 Reject Responses with appropriate reject code(s).

Expected Results:

- The 814 Reject Responses for Utility initiated Drop Requests are successfully sent to the Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction

Actual Results:

Actual Overall Results:

Date Completed:

E009: ESCO Initiated Drop Request - Accept Response

Test Accept Response for an 814 Drop Request Initiated by the ESCO

Test Objectives:

- ESCOs will generate and successfully transmit 814 Drop Requests reflecting various drop conditions.
- The Utility will generate and transmit an 814 Accept Response containing the correct effective date for the Drop.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Drop Request & Response

Description: ESCO creates and sends 814 Drop Requests for valid accounts.

Expected Results:

- The 814 Drop Requests are successfully sent to the Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 814 Drop Request & Response

Description: The Utility creates and sends an 814 Accept Response for the 814 Drop Request, which contains the correct effective date for the drop.

Expected Results:

- The 814 Accept Response containing effective date of the drop is successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Actual Overall Results:

Date Completed:

E010: ESCO Initiated Drop Request – Reject Response

Test 814 Reject Response to a Drop Request initiated by the ESCO

Test Objectives:

- The Utility can generate and successfully transmit an 814 Reject Response, with appropriate reject reason(s), for a Drop Request initiated by the ESCO.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Drop Request & Response

Description: ESCO creates and sends Drop Requests containing accounts that will reject for one or more valid reject reasons.

Expected Results:

- The 814 Drop Requests are successfully sent to the Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 814 Drop Request & Response

Description: In response to the ESCO Drop Requests, the Utility creates and sends 814 Reject Responses.

Expected Results:

- The 814 Reject Responses are successfully sent to the ESCO
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction

Actual Results:

Actual Overall Results:

Date Completed:

E011: Enrollment Request with Secondary Request for History - Accept Response

Test 814 Enrollment Request containing a secondary request for history and Accept Responses to both the enrollment request and the history request

Test Objectives:

- ESCO can generate and successfully transmit an 814 Enrollment Request containing a secondary request for history.
- Utility can generate and successfully transmit an 814 Accept Response for each request (enrollment and history) in an 814 Enrollment transaction.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Enrollment Request & Response

Description: ESCO creates 814 Enrollment Request transactions containing multiple requests: a primary request for enrollment with a secondary request for either historic usage or gas profile data.

Expected Results:

- The 814 Enrollment Requests containing multiple requests are successfully sent to the Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 814 Enrollment Request & Response

Description: Utility creates and sends an 814 Accept Response for the requests contained in the 814 Enrollment Request transaction. Utilities may return one 814 Accept Response transaction with multiple LIN loops corresponding to each request contained in the Enrollment transaction. Alternatively, for each 814 Enrollment Request a Utility may return two 814 Accept Response transactions - one for the enrollment request and one for the consumption history request - each containing a single LIN loop.

Expected Results:

- The 814 Accept Responses to the 814 Enrollment Requests are successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Actual Overall Results:

Date Completed:

E012: Enrollment Request With Secondary Request For History - Enrollment Rejected

Test a Reject Response when an 814 Enrollment Request contains a secondary request and the primary request (enrollment) is rejected

Test Objectives:

- Utility can generate and successfully transmit an 814 Reject Response with appropriate reject reason code(s) for each request.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Enrollment Request & Response

Description: ESCO creates 814 Enrollment Request transactions containing multiple requests: a primary request for enrollment (containing an intentional error) with a secondary request for either historic usage or gas profile data.

Expected Results:

- The 814 Enrollment Requests are successfully sent to the Utility.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 814 Enrollment Request & Response

Description: Utility creates and returns 814 Reject Responses, with appropriate reject reason code(s) for each request (Enrollment and History). Utilities may return one 814 Reject Response transaction with multiple LIN loops corresponding to each request contained in the Enrollment transaction. Alternatively, for each 814 Enrollment Request a Utility may return two 814 Reject Response transactions - one for the enrollment request and one for the consumption history request - each containing a single LIN loop.

Expected Results:

- The 814 Reject Response(s) to the Enrollment Request are successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Actual Overall Results:

Date Completed:

E013: Enrollment Request With Secondary Request For History – History Request Rejected

Test Accept and Reject Response when an 814 Enrollment Request contains a secondary request and the secondary request is rejected

Test Objectives:

- Utility can generate and successfully transmit an 814 Accept Response for the primary request contained in an 814 Enrollment Request transaction.
- Utility can generate and successfully transmit an 814 Reject Response with appropriate reject reason code(s) for the secondary request contained in an 814 Enrollment Request transaction.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Enrollment Request & Response

Description: ESCO creates 814 Enrollment Request transactions containing multiple requests: a primary request for enrollment with a secondary request for either historic usage or gas profile data.

Expected Results:

- The 814 Enrollment Requests are successfully sent to the Utility.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 814 Enrollment Request & Response

Description: Utility creates and sends an 814 Accept Response for the primary request (enrollment) and an 814 Reject Response with appropriate reject reason code(s) for the secondary request (consumption history/gas profile) contained in the 814 Enrollment Request transaction. Utilities may return one 814 Response transaction with multiple LIN loops corresponding to each request contained in the Enrollment transaction. Alternatively, for each 814 Enrollment Request a Utility may return one 814 Accept Response transaction (for the enrollment request) and one 814 Reject Response transaction (for the consumption history request) each containing a single LIN loop.

Expected Results:

- The 814 Accept and Reject Responses are successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction

Actual Results:

Actual Overall Results:

Date Completed:

C. Monthly Usage Test Scenarios

Test scenarios for sending monthly consumption, usage or an interim bill indicator.

U001: Monthly Usage	
Test Utility capability to send an 867 Monthly Usage transaction	
Test Objectives:	
<ul style="list-style-type: none"> • The Utility can generate and successfully transmit an 867 Monthly Usage transaction containing consumption and/or usage or an Interim Bill Indicator (if applicable) in the proper structure for the specified meter configurations (where applicable). 	
<i>Notes:</i>	
<ol style="list-style-type: none"> 1) <i>Various meter configurations (single meter, multiple meter and/or unmetered) will be tested as applicable.</i> 2) <i>Meter configurations are not required for an Interim Bill Indicator.</i> 3) <i>Meter Reading data and related factors will be tested for the Single Retailer model and may be tested for other models at the discretion of the Utility or MDSP.</i> 	
Commodity: _____ (Electric / Gas)	
Account #: _____	Account #: _____
Account #: _____	Account #: _____
Frame: F1 Responsible Party: Utility	
Transaction: 867 Monthly Usage	
Description: Utility creates and sends 867 Monthly Usage transactions (for a variety of usage configurations) for valid accounts.	
Expected Results:	
<ul style="list-style-type: none"> • The 867 Monthly Usage transactions are successfully sent to the ESCO. • A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction 	
Actual Results:	
Actual Overall Results:	
Date Completed:	

U002: Monthly Usage - Transaction Is Rejected
 Test ESCO capability to generate and send an 824 Application Advice to reject an 867 Monthly Usage transaction

Test Objectives:

- The ESCO can generate and successfully transmit an 824 Reject Response following receipt of an 867 Monthly Usage transaction.

Commodity: _____ (Electric / Gas)

Account #: _____ **Account #:** _____

Account #: _____ **Account #:** _____

Frame: F1 **Responsible Party:** Utility

Transaction: 867 Monthly Usage

Description: Utility creates and sends 867 Monthly Usage transactions containing intentional errors.

Expected Results:

- The 867 Monthly Usage transactions are successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Frame: F2 **Responsible Party:** ESCO

Transaction: 824 Application Advice

Description: The ESCO creates and sends an 824 Application Advice reject response transaction in response to receipt of 867 Monthly Usage transactions.

Expected Results:

- The 824 Application Advice reject responses are successfully sent to the Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.

Actual Results:

Actual Overall Results:

Date Completed:

U003: Monthly Usage - Transaction Is Cancelled

Test Utility capability to successfully cancel an 867 Monthly Usage transaction

Test Objectives:

- The Utility can generate and successfully transmit an 867 Monthly Usage transaction canceling an original 867 Monthly Usage transaction

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** Utility

Transaction: 867 Monthly Usage

Description: Utility creates and sends 867 Monthly Usage transaction.

Expected Results:

- The 867 Monthly Usage transaction is successfully sent to the ESCO.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Frame: F2 **Responsible Party:** Utility

Transaction: 867 Monthly Usage

Description: Utility creates and sends 867 Monthly Usage cancel transaction, canceling usage sent in Frame F1

Expected Results:

- The 867 Monthly Usage cancel transaction is successfully sent by the Utility.
- A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Actual Overall Results:

Date Completed:

D. Special Situation Test Scenarios

Test scenarios to confirm certain special situations are processed as expected.

S001: Enrollment with Acknowledgement Response Test an enrollment for a Utility account that requires manual processing to enroll a customer with the requesting ESCO	
Test Objectives: <ul style="list-style-type: none"> The Utility can generate and successfully transmit an 814 Accept Response to an 814 Enrollment Request for an account that would require manual processing to enroll the customer. 	
Commodity: _____ (Electric / Gas) Account #: _____ Account #: _____ Account #: _____ Account #: _____	
Frame: F1 Responsible Party: ESCO Transaction: 814 Enrollment Request & Response Description: ESCO creates and sends enrollment Requests for valid utility customer accounts. Expected Results: <ul style="list-style-type: none"> The 814 Requests are successfully sent to the Utility. A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction Actual Results:	
Frame: F2 Responsible Party: Utility Transaction: 814 Enrollment Request & Response Description: Utility creates and sends 814 responses acknowledging receipt of the Requests for enrollment. Expected Results: <ul style="list-style-type: none"> The 814 responses are successfully sent to the ESCO. A 997 transaction is received from the ESCO to acknowledge receipt of the valid X12 transaction. Actual Results:	
Actual Overall Results:	
Date Completed:	

Appendix A – Pre-Testing Worksheet

The purpose of the Pre-Testing Worksheet is for trading partners to demonstrate they have met all necessary requirements to engage in Phase II or III EDI testing in New York. Utilities and **ESCOs****EDITAs** are required to transmit a completed worksheet to their trading partner(s) prior to entering a test queue and beginning testing. Submission of the worksheet indicates that the trading partner has completed internal systems testing and achieved correct and accurate results, including testing with sufficient volumes to assure acceptable throughput to satisfy both trading partners’ performance requirements.

Identification & Contact Information
Company Name: _____
Company ID Number (e.g. DUNS, Tax ID): _____
Contact Name: _____
Contact Email: _____
Contact Phone: _____
Date: _____

Communications Information	
URL/IP Address: _____	Receiver ID (DUNS #): _____
Port Number: _____	PGP Public Keys will be provided via: _____
CGI Program Name: _____	Protocol Failure E-Mail Address: _____
Authentication ID: _____	VAN Phone Number, if used: _____
Authentication Password: _____	

Known Non-Compliance: Document any known non-compliant transactions or business processes your company is operating with and the expected date of compliance. Add rows if necessary.

Description of Non-compliance and Transaction Affected	Expected Date of Compliance

Exceptions to the Test Plan PH2/PH3: Document any exceptions you will make to the test plan. Add rows if necessary

Description of Test Plan Exception	Account/Scenarios

Manual Processes to be Used in Testing and Production: Document any manual processes you will be using to supplement the EDI automated processes.

Description of Manual Processes

Demonstration of Phase I X12 Certification: To gain entry to testing queues, each trading partner is required to provide copies of the following transaction files certified X12 compliant by DPS Staff.

Transaction Required	Comments or Exceptions
<i>TRANSACTION REQUIRED FROM UTILITY</i>	
814 Enrollment Response	
814 Drop	
814 Drop Response	
867 Historical Usage	
867 Monthly Usage	
<i>TRANSACTION REQUIRED FROM ESCO</i>	
814 Enrollment	
814 Drop	
814 Drop Response	
824 Application Advice	

Understanding Responsibilities: Please review the list below and document any exceptions or comments. Submitting this worksheet implies understanding with the item, unless otherwise noted.

Understanding	Comments or Exceptions
<i>ALL PARTIES</i>	
I understand that transactional testing will be conducted with a minimal amount of human intervention.	
I understand that the New York PSC retains dispute resolution responsibilities related to all levels of trading partner testing.	
I understand that I must complete Phase I pre-testing certification of all transactions prior to beginning testing with any trading partners.	
I understand that I must document any areas where I am not compliant with the standards and procedures of the NY EDI Collaborative and provide dates for when I will be compliant.	
I understand that I must provide trading partner EDI information to my trading partners prior to beginning testing with that trading partner.	
I understand that I must send 997/Functional Acknowledgements for all tests, and in production.	
I understand that I must document any scenarios of the test plan that I will NOT test (exceptions).	
<i>UTILITY ONLY</i>	
I understand that I must conduct regular test teleconferences with all <u>ESCOs</u> <u>EDITAs</u> that I am currently testing with.	
<i>ESCOEDITA ONLY</i>	
I understand that I must notify the Utility of the billing scenarios that I am currently offering.	
I understand that I must be an eligible, Phase I-certified <u>ESCOEDITA</u> prior to beginning testing with any Utilities.	
I understand that I must keep up with the established test schedule of the Utility while in testing.	
I understand that I must participate in regular teleconferences conducted by the Utility while in testing.	

Appendix B – Phase I Testing Rules

General: As adopted by the New York State Public Service Commission⁹ DPS Staff, in lieu of ~~ESCO~~ Phase I testing formerly conducted by Department of Public Service (DPS) Staff, utilities may perform ~~ESCO~~ Phase I testing as a prelude to Phase III testing as a part of the ~~ESCO~~ EDITA Application process.⁴⁹ The following options will be available to complete required Phase I testing:

- If the utility does perform a Phase I test, in such instances where, for example, an ~~applicant~~ ESCO EDITA is performing its own in-house EDI services, a fee to cover expenses formerly borne by DPS Staff is reasonable.
 - The utility's fee should be specified in its Utility Maintained EDI Guide.
 - In lieu of conducting Phase I, a utility may direct the ~~applicant~~ ESCO to contract for Phase I EDI Testing Certification from an Established EDI Service Provider.
 - A list of Established EDI Service Providers will be compiled from those currently serving ~~ESCOs~~ EDITAs in New York and posted to the NY EDI website.
- If the ~~applicant~~ ESCO EDITA decides to contract for EDI Services with an Established EDI Service Provider and the utility is satisfied, based upon certification from the EDI Service Provider, that the ~~applicant~~ 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~~ EDITAs in the utility's service territory.
- If an ESCO, DER Supplier or Direct Customer (applicant or active with the utility) 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 EDITA 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~~ EDITAs 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 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 or is providing EDI services to other ~~ESCOs~~ EDITAs in the utility's service territory. Ideally, the new EDI Service Provider will be providing services to an ESCO EDITA.

Whether a Phase I test was performed by the utility or the utility determined the test was unnecessary for the ~~ESCO~~ EDITA, the utility would inform DPS Staff that the ~~ESCO~~ EDITA has met the Phase I testing requirement of UBP 2.B.2. Once an ESCO has successfully completed Phase I testing with one utility, it will have satisfied the Phase I testing requirement for all utilities and will be including in a list of Active Certified ESCOs, DER Suppliers and Direct Customers (with Phase I Certification) posted to the NY EDI website.

⁹ Cases 12-M-0476, 98-M-1343, 06-M-0647 and 98-M-0667, Order Approving Modifications to the Electronic Data Interchange Standards (Issued and Effective December 7, 2015).

⁴⁹ ~~The Phase I Testing Rules also apply to Direct Customers.~~

Technical Operating Profile

For

Electronic Data Interchange In New York

Testing Applications

Ver 1.23

~~October~~March 31, ~~2017~~2018

OVERVIEW

Within this document, the term EDI Testing Applicant (EDITA) refers to the ESCO, DER Supplier or Direct Customer that is an applicant for Phase I certification.

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	Summary of Changes
January 29, 2016	Initial Release
March 31, 2017	Version 1.1 Issued
	Application for Utility Phase I and Phase II testing with DPS Staff added.
October 31, 2017	Version 1.2 Issued
	Updated to Phase I testing form to reflect whether the utility conducts Phase I testing of the applicant ESCO (and thereby certifies the Applicant ESCO’s readiness) or is merely recording the Established EDI Service Provider’s affirmation the Applicant ESCO’s Phase I readiness.
<u>March 31, 2018</u>	<u>Version 1.3 Issued</u>
	<u>Modifications to enable DER suppliers to receive data through EDI on a similar basis as ESCOs.</u>

New York Electronic Data Interchange
ESCOEDITA Phase I Testing Application

ESCOEDITA Information:

Date	
Principal Contact (name & title)	
Company Name	
Company Business Address	
Duns or Tax ID #	

EDI Contact Information:

Provide names and contact information of persons responsible for Phase I testing, including EDI vendors.

	Name/Title	Company/Description of Function(s) Performed	Phone	Email address
(1)				
(2)				
(3)				

Readiness Status:

Phase I X.12 Syntactical testing

Indicate projected readiness date
for required EDI transactions

Indicate requested date to begin
Phase I Testing

New York Electronic Data Interchange
ESCOEDITA Phase I Testing Application

Established EDI Service Provider (EDISP) Certification:

Date	
EDISP Contact (name & title)	
EDISP Name	
EDISP Business Address	

-----[SECTION BELOW COMPLETED BY UTILITY]-----

Utility Acceptance ___ /Certification ___ *(check appropriate blank):¹*

Date	
Utility Contact (name & title)	
Utility Name	
Utility Business Address	

¹ If the utility conducts Phase I testing of the applicant ESCO, it is certifying the Applicant ESCO’s readiness. Otherwise, the utility is merely recording the Established EDI Service Provider’s affirmation the Applicant ESCO’s Phase I readiness.

New York Electronic Data Interchange
ESCOEDITA Phase I Testing Application

BASIC INSTRUCTIONS

1. The **applicant-ESCOEDITA** should complete the first page of the application.
2. If the **applicant-ESCOEDITA** is plans to utilize an EDI Service Provider (EDISP) and the EDISP plans to certify the **ESCOEDITA**'s Phase I capability, the EDISP should fill out the Established EDI Service Provider (EDISP) Certification section on the second page.
3. When the Utility is satisfied that the **applicant-ESCOEDITA** is Phase I capable, either a result of testing or the EDISP's certification, it should complete the Utility Acceptance/Certification section on the second page (the utility should note whether it is certifying the **applicant-ESCOEDITA** or recording the EDISP's certification of the **applicant-ESCOEDITA**) and provide the completed **ESCOEDITA** Phase I Testing Application to DPS Staff.

NOTES

The Phase I Testing Rules and a list of Established EDI Service providers are available from the New York EDI website.

New York Electronic Data Interchange
Utility Phase I and II Testing Application

Utility Information:

Date	
Principal Contact (name & title)	
Company Name	
Company Business Address	
Duns or Tax ID #	

Utility EDI Contact Information:

Provide names and contact information of persons responsible for Phase I testing, including EDI vendors.

	Name/Title	Company/Description of Function(s) Performed	Phone	Email Address
1				
2				
3				

Readiness Status:

Phase I and II X.12 Syntactical testing

Indicate projected readiness date
for required EDI transactions

New York Electronic Data Interchange
Utility Phase I and II Testing Application

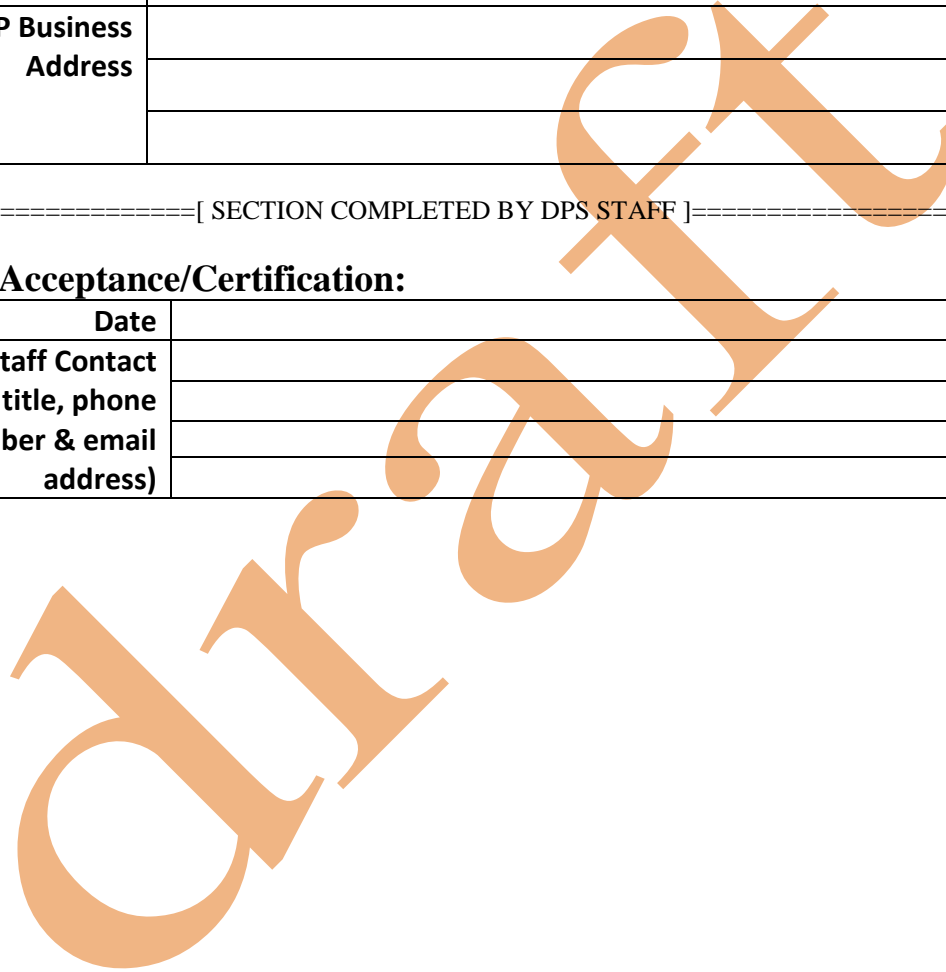
Established EDI Service Provider (EDISP) Certification:

Date	
EDISP Contact (name & title)	
EDISP Name	
EDISP Business Address	

===== [SECTION COMPLETED BY DPS STAFF] =====

DPS Staff Acceptance/Certification:

Date	
DPS Staff Contact (name, title, phone number & email address)	



BASIC INSTRUCTIONS

1. The applicant Utility should complete the first page of the application.
2. If the applicant Utility plans to utilize an EDI Service Provider (EDISP) and the EDISP plans to certify the Utility's Phase I and II capability, the EDISP should fill out the Established EDI Service Provider (EDISP) Certification section on the second page.
3. When the EDISP is satisfied that the applicant Utility is Phase I and II capable, either a result of testing or the EDISP's certification, it should complete the EDISP Certification section on the second page and provide the completed Utility Phase I and II Testing Application to DPS Staff.

NOTES

The Phase I and II Testing Rules and a list of Established EDI Service providers are available from the New York EDI website.