

I PURPOSE

This document provides the guidelines and specifications for 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, TS867HU, and TS867MU EDI transactions are specified within this document. The EDI Phase I testing specifications (and other EDI-related technical topics) are detailed in the most current version 1.2 of the Technical Operating Profile (TOP) issued October 23, 2014.² ~~This document is version 1.3 of Supplement 1 to the TOP.~~

II OVERVIEW

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

The Phase I Testing Rules, the ESCO Phase I Testing Application and a list of Established EDI Service Providers⁴ are available from the New York EDI website.

- *Phase I – X12 Syntactical Verification*

In Phase I testing, an applicant ESCO submits sample EDI transactions ~~are submitted to utilities~~ PSC Staff, who will review them for correct X12 syntax or accept/certify an applicant ESCO'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) PSC Staff when the ESCO 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*

Prior to 2005, Phase II tests ~~will be were~~ conducted between each New York Utility and a volunteer ESCOs ~~(ESCO)~~ that has had sufficient experience in EDI, and who has had obtained Phase I certification in

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

² ~~The specifications were reviewed and updated by the Case 12-M-0476 EDI Working Groups.~~

³ Third party EDI vendors offer an increasingly wide range of EDI services including transaction clearinghouses and outsourcing of EDI systems. Utilities have discretion to determine that applicant ESCOs 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.

⁴ Established EDI Service Providers are those EDISPs that currently provide EDI services to Utilities and/or ESCOs in the New York retail market pursuant to New York's EDI Standards.

Case No. 12-M-0476 et. al.
EDI Business/Technical Working Groups
ESCO Phase I Testing – Proposed Changes to TOP Supplement 1
1/8/2016

NY EDI TOP Supplement 1

Case 98-M-0667

~~certification in New York. Utilities may choose to test with more than one ESCO. For an ESCO to be considered for Phase II testing, it must have current, active EDI experience in excess of 1 year in a deregulated, retail 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 100 to 10,000 transactions per day. PSC Staff will solicit and coordinate the selection of ESCOs and will approve the final Phase II pairings to ensure all interested and qualified ESCOs are treated fairly in the selection process.~~

~~It is expected that Phase II testing will only be necessary for initial implementation of a Transaction Set Standard. For example, Phase II testing for version 1.0 of the TS814 Enrollment Transaction Set Standard adopted in July 2001 was completed by 2003. Unless significant modifications are made in that standard further Phase II testing on that standard is unnecessary.~~

~~The primary function of Phase II testing is is was to ensure that each Utility is ready for full-scale production for those transaction standards that have been approved in New York. In addition, the participating Phase II ESCOs successfully completing the applicable Phase II tests with a specific Utility will not have to repeat those tests for Phase III. During Phase II testing, both trading partners will test the New York Data Transfer Mechanism (DTM) and all relevant and applicable transaction business scenarios, with the Utility having primary responsibility for specifying the number and variations of tests to be completed. Upon successful completion of Phase II testing, both the Utility and the ESCO will notify each other, and PSC Staff, by email, indicating that both parties have satisfied all test requirements. PSCDPS Staff will maintain the list of EDI Phase II production-ready Utilities on the PSC New York EDI web-site. The list also includes some of Once the transactions available for Utility has successfully completed its Phase II tests, they can begin Phase III testing scheduling for those with interested ESCOs who have been Phase I certified and are now ready to begin trading partner testing with that Utility. At this time, the Utility can also begin EDI production with the successful Phase II ESCO.~~

- *Phase III: ESCO Verification Process*

Phase III testing will be conducted between each Utility and all eligible ESCOs 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 ESCO 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 ESCO in an easily accessible manner, such as from the Utility's web site). ESCOs 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 ESCO will notify each other, and PSCDPS Staff, by email, indicating that both parties have satisfied all test requirements and that the ESCO can move into EDI production. ESCOs 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 EDI SP supplier 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 ESCO or third party provider EDISP. Additionally, utilities may supplement the testing scenarios

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, when implemented administered through New York's EDI Working Group, will be the process to handle EDI standard revisions on a collective, ongoing basis.

Case No. 12-M-0476 et. al.
EDI Business/Technical Working Groups
ESCO Phase I Testing – Proposed Changes to TOP Supplement 1
1/8/2016

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 **PSCDPS** Staff for Phase II Trading Partner Testing. **PSCDPS** 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 **PSCDPS** Staff, by email, indicating that both parties have satisfied all test requirements.

Case No. 12-M-0476 et. al.
EDI Business/Technical Working Groups
ESCO Phase I Testing – Proposed Changes to TOP Supplement 1
1/8/2016

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 Application process.¹⁰ 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 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 in New York and posted to the NY EDI website.
- If the applicant ESCO 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 in the utility's service territory.
- If an ESCO (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 is Phase I capable, no utility Phase I test will be required.
 - When determining if the certification is satisfactory, the utility may take into consideration whether or not the Established EDI Service Provider is providing EDI services to other ESCOs in the utility's service territory.
- If an EDI Service Provider wishes to be added to the Established EDI Service Provider list, it may request to test with the utility or contract for EDI Testing Certification from an Established EDI Service Provider.
 - When determining if the new EDI Service Provider has 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 in the utility's service territory. Ideally, the new EDI Service Provider will be providing services to an ESCO.

Whether a Phase I test was performed by the utility or the utility determined the test was unnecessary for the ESCO, the utility would inform DPS Staff that the ESCO 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/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).

¹⁰ The Phase I Testing Rules also apply to Direct Customers.