

Technical Operating Profile

For

Electronic Data Interchange in New York

Supplement 2

**Version 1.2
July 24, 2015**

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	Summary of Changes
May 29, 2002	Initial Release
October 23, 2014	Version 1.1 Issued Replaced references to Marketer and E/M with ESCO.
July 20, 2015	Version 1.2 Issued Explanatory statement concerning streamlined Phase III testing added.

I. PURPOSE

This document, referred to as **Technical Operating Profile (TOP) Supplement 2**, provides the guidelines and specifications for testing of the 814 Change (Account Maintenance) business processes, including Phase I, 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)¹ in developing the EDI data standards for New York as directed by the New York Public Service Commission (PSC or Commission)².

This document is designed to be used in conjunction with orders issued by the State of New York Public Service Commission in Case 98-M-0667, In the Matter of Electronic Data Interchange:

- (A) Opinion No. 01-03, Opinion and Order Approving EDI Data Standards and Data Protocols and Modifying the New York Uniform Business Practices for EDI Implementation, (issued July 23, 2001) and Supplement E to this opinion which contains generic and Phase I testing information; and
- (B) Order Approving EDI Test Plans and Data Standards (issued November 8, 2001) and Supplement A to this order which contains Phase II and Phase III testing information and procedures.
- (C) Subsequent Orders modifying EDI Standards, as applicable.

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.

Given the mature state of EDI in the New York market, Utilities have the discretion to streamline Phase III testing for new entrants into their service territories based upon a variety of factors including, but not limited to, the ESCOs experience in other service territories and the advice of the ESCO's EDI Service Provider. Further, Utilities may streamline Phase III testing by excluding EDI transactions listed in the EDI Standards Technical Operating Profiles Supplements that are not supported in a utility's EDI implementation.

This discretion also applies to changes, major and minor, in the EDI Standards documents resulting from various regulatory initiatives and the ongoing work of New York EDI Working Groups. The scope of the changes to be tested is another factor to be considered. In some cases, adequate testing could be performed by an EDI Service Provider on behalf of groups of ESCOs for whom they provide EDI services. Since circumstances will vary from utility to utility, when EDI changes applicable to all utilities are tested the degree of testing may vary considerably for each utility. Never the less, if an ESCO or its EDI Service Provider requests more detailed testing in a particular instance the Utility should accommodate such requests.

II. ASSUMPTIONS

In developing this document, several assumptions were made and are detailed below:

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

² Based on a Staff recommendation to the Commission, an initial technical conference of interested parties was convened in October 1998 to explore the data exchange necessary to facilitate retail access. At that time Case 98-M-0667 was instituted and the New York EDI Collaborative was organized.

1. **Test Scenarios Reflect Features Required for the Market in October 2014** – The Account Maintenance test scenarios described in this document reflect requirements for the marketplace as of October 2014. Additional Account Maintenance test scenarios may need to be developed in the future to accommodate changing circumstances.
2. **Multiple Accounts/Commodities in A Single Transaction Not Tested** – This document does not address test scenarios for transactions that may contain requests for changes to multiple accounts or more than one commodity in a single transaction. Implementation of the processes for rejecting these types of transactions may be developed, as necessary, at a later date.

III. PHASE I ACCOUNT MAINTENANCE REQUIRED TRANSACTION SAMPLES

The tables below detail the sample transactions that Utilities and ESCOs are required to submit to successfully complete Phase I testing of Account Maintenance.

Utility Tests

TEST ID	UNIT	TEST NAME
<u>814 Change (Account Maintenance) Phase I Tests for Utilities</u>		
AC-UTIL01REQ	814	Request – Change in mailing address.
AC-UTIL02REQ	814	Request – Change in meter cycle code.
AC-UTIL03REQ	814	Request – Changes due to meter exchange, including meter number and all meter information
AC-UTIL04REQ	814	Request – Multiple changes where data is provided in different portions of the 814 transaction structure. Request change to mailing address, meter cycle code, and meter exchange in one 814 for the same account.
AC-UTIL01RES	814	Response – Accept ESCO request for change in mailing address.
AC-UTIL02RES	814	Response – Accept ESCO request for change of billing option to ESCO bill.
AC-UTIL03RES	814	Response – Accept response(s) to multiple changes – Response to ESCO request for change to multiple elements in different parts of the 814 structure. Assume ESCO requested changes to mailing address, billing option, and tax exemption percent.
AC-UTIL01REJ	814	Reject Response – To ESCO request for change in mailing address; rejected because account number was not found.
AC-UTIL02REJ	814	Reject Response – To ESCO request for change in Billing Option; rejected because an incorrect billing option was requested.

ESCO Tests

TEST ID	UNIT	TEST NAME
<u>814 Change (Account Maintenance) Tests for ESCOs</u>		
AC-EM01REQ	814	Request – Change in mailing address
AC-EM02REQ	814	Request with Multiple Changes – Change of both mailing address and billing option in the same 814 Change transaction.
AC-EM03REQ	814	Request – Change in Utility Rate Ready billing options with ESCO commodity charge and ESCO fixed charge at account level. This test is required if ESCO is testing with a Utility that supports consolidated Utility Rate Ready billing using both fixed and ESCO commodity charges.
AC-EM04REQ	814	Request – Change in Utility Rate Ready billing options with ESCO rate code provided at the meter level for one meter. This test is required if ESCO is testing with a Utility that supports consolidated Utility Rate Ready billing and where the ESCO rate code is provided.
AC-EM05REQ	814	Request – Change in ESCO rate or fixed price when the bill option is Utility Rate Ready and the ESCO charges are at the account level. This test is required if ESCO is testing with a Utility that supports consolidated Utility Rate Ready billing.
AC-EM06REQ	814	Request – Change in billing option from Dual Bill to Utility Rate Ready. Only required where applicable.
AC-EM07REQ	814	Request – Change in billing option from ESCO Bill Ready to Dual Bill. Only required where applicable.
AC-EM01RES	814	Response – Accept response to mailing address change request.
AC-EM02RES	814	Response – Accept response to multiple LIN change requests – Response to a Utility request transaction containing changes to mailing address, meter cycle code and meter information.
AC-EM01REJ	814	Reject Response - Utility initiated request for a change in Mailing Address is rejected because the account is not found.

IV. LIST OF PHASE II/III CHANGE / ACCOUNT MAINTENANCE SCENARIOS

The table below summarizes the 814 Change (Account Maintenance) testing scenarios.

M001: Utility Initiated Customer Mailing Address Change Request – Accept Response
M002: Utility Initiated Customer Meter Cycle Code Change Request - Accept Response
M003: Utility Initiated Meter Change Request - Accept Response
M004: Utility Initiated Multiple Changes/LINs Change Request - Accept Response
M005: Utility Initiated Invalid Account Negative Test - Reject Response
M006: ESCO Initiated Customer Mailing Address Change Request - Accept Response
M007: ESCO Initiated Two-Bill to One-Utility-Bill Change Request - Accept Response
M008: ESCO Initiated Two-Bill to One-ESCO-Bill Change Request - Accept Response
M009: ESCO Initiated Multiple Changes/LINs Change Request - Accept Response
M010: ESCO Initiated Invalid Account Negative Test - Reject Response

V. DETAILS OF PHASE II/III CHANGE / ACCOUNT MAINTENANCE SCENARIOS

M001: Utility Initiated Customer Mailing Address Change Request - Accept Response

Test an 814 Change Request to change the customer's MAILING ADDRESS.

Test Objectives:

- Utility will generate and successfully transmit an 814 Change Request reflecting a change of Mailing Address.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** Utility

Transaction: 814 Change (Account Maintenance)

Description: Utility creates and sends 814 Change Request for a valid account to change the customer's mailing address information.

Expected Results:

- The 814 Change 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: F2 **Responsible Party:** ESCO

Transaction: 814 Change (Account Maintenance)

Description: ESCO creates and sends Change Response. Response=ACCEPT

Expected Results:

- The 814 Accept Response for Utility initiated Change 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:

Actual Overall Results:

Date Completed:

M002: Utility Initiated Customer Meter Cycle Code Change Request - Accept Response

Test an 814 Change Request to change the customer's METER CYCLE CODE information.

Test Objectives:

- Utility will generate and successfully transmit an 814 Change Request reflecting a change of Meter Cycle Code.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** Utility

Transaction: 814 Change (Account Maintenance)

Description: Utility creates and sends 814 Change Request for a valid account to changes the customer's Meter Cycle code.

Expected Results:

- The 814 Change 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: F2 **Responsible Party:** ESCO

Transaction: 814 Change (Account Maintenance)

Description: ESCO creates and sends Change Response. Response=ACCEPT

Expected Results:

- The 814 Accept Response for Utility initiated Change 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:

Actual Overall Results:

Date Completed:

M003: Utility Initiated Meter Change Request - Accept Response

Test an 814 Change Request sent when a METER IS REPLACED, including meter number and all relevant meter information.

Test Objectives:

- Utility will generate and successfully transmit an 814 Change Request reflecting a meter replacement.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** Utility

Transaction: 814 Change (Account Maintenance)

Description: Utility creates and sends 814 Change Request for a valid account that changes meter information, reflecting the scenario where a meter is damaged and replaced with a new meter.

Expected Results:

- The 814 Change 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: F2 **Responsible Party:** ESCO

Transaction: 814 Change (Account Maintenance)

Description: ESCO creates and sends Change Response. Response=ACCEPT

Expected Results:

- The 814 Accept Response for Utility initiated Change 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:

Actual Overall Results:

Date Completed:

M004: Utility Initiated Change Request with Multiple LIN Requests - Accept Response

Test an 814 Change Request that has MULTIPLE CHANGES in the same transaction.

Test Objectives:

- Utility will generate and successfully transmit an 814 Change Request reflecting a change that has multiple changes in the same transaction.
- Changes should appear in separate LIN loops.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** Utility

Transaction: 814 Change (Account Maintenance)

Description: Utility creates and sends 814 Change Request for a valid account that changes multiple elements requiring multiple LIN loops. Suggested changes are Mailing Address, Meter Cycle Code and Meter Replacement.

Expected Results:

- The 814 Change Request is successfully sent to the ESCO
- The transaction sent includes multiple LIN loops for the multiple changes
- 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 Change (Account Maintenance)

Description: ESCO creates and sends Change Response. Response=ACCEPT

Expected Results:

- The 814 Accept Response for Utility initiated Change 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:

Actual Overall Results:

Date Completed:

M005: Utility Initiated Invalid Account Negative Test - Reject Response

Test an 814 Change Request that attempts to make changes to an INVALID ACCOUNT.

Test Objectives:

- Utility will generate and transmit an 814 Change Request for an account number not enrolled with the ESCO.
- ESCO will reject the transaction.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** Utility

Transaction: 814 Change (Account Maintenance)

Description: Utility creates and sends 814 Change Request for an account number not enrolled with the ESCO.

Expected Results:

- The 814 Change Request is successfully sent to the ESCO
- The Utility has made the necessary changes to the transaction to cause this scenario to fail
- 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 Change (Account Maintenance)

Description: ESCO creates and sends Change Response. Response=REJECT

Expected Results:

- The 814 Reject Response for Utility initiated Change 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:

Actual Overall Results:

Date Completed:

M006: ESCO Initiated Customer Mailing Address Change Request - Accept Response

Test an 814 Change Request to change the customer's MAILING ADDRESS.

Test Objectives:

- ESCO will generate and successfully transmit an 814 Change Request reflecting a change of Mailing Address.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Change (Account Maintenance)

Description: ESCO creates and sends 814 Change Request for a valid account to change the customer's mailing address information.

Expected Results:

- The 814 Change 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 Change (Account Maintenance)

Description: Utility creates and sends Change Response. Response=ACCEPT

Expected Results:

- The 814 Accept Response for ESCO initiated Change 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:

Actual Overall Results:

Date Completed:

M007: ESCO Initiated Two-Bill to One-Utility-Bill Change Request - Accept Response

Test an 814 Change Request to change the billing from TWO BILLS to a SINGLE CONSOLIDATED UTILITY BILL. Consolidated Utility billing options will vary by Utility.

Test Objectives:

- ESCO will generate and successfully transmit an 814 Change Request reflecting a change of Billing Type

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Change (Account Maintenance)

Description: ESCO creates and sends 814 Change Request for a valid account to change billing presenter and bill calculator, changing from two separate bills to a single consolidated bill provided by the Utility.

Expected Results:

- The 814 Change 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 Change (Account Maintenance)

Description: Utility creates and sends Change Response. Response=ACCEPT

Expected Results:

- The 814 Accept Response for ESCO initiated Change 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:

Actual Overall Results:

Date Completed:

M008: ESCO Initiated Two-Bill to One-ESCO-Bill Change Request - Accept Response

Test an 814 Change Request to change the billing from TWO BILLS to a SINGLE CONSOLIDATED ESCO BILL-READY bill.

Test Objectives:

- ESCO will generate and successfully transmit an 814 Change Request reflecting a change of Billing Type

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Change (Account Maintenance)

Description: ESCO creates and sends 814 Change Request for a valid account that changes bill presenter and bill calculator, changing from two separate bills to a single consolidated bill provided by the ESCO.

Expected Results:

- The 814 Change 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 Change (Account Maintenance)

Description: Utility creates and sends Change Response. Response=ACCEPT

Expected Results:

- The 814 Accept Response for ESCO initiated Change 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:

Actual Overall Results:

Date Completed:

M009: ESCO Initiated Change Request with Multiple LIN Requests - Accept Response

Test an 814 Change Request that has MULTIPLE CHANGES in the same transaction. For testing, changes should appear in separate LIN loops.

Test Objectives:

- ESCO will generate and successfully transmit an 814 Change Request reflecting a change that has multiple changes in the same transaction.
- Changes should appear in separate LIN loops.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Change (Account Maintenance)

Description: ESCO creates and sends 814 Change Request for a valid account that changes multiple elements requiring multiple LIN loops. Suggested changes are Mailing Address and Billing Option.

Expected Results:

- The 814 Change Request is successfully sent to the Utility
- The transaction sent has multiple LIN loops for the multiple changes.
- 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 Change (Account Maintenance)

Description: Utility creates and sends Change Response. Response=ACCEPT

Expected Results:

- The 814 Accept Response for ESCO initiated Change 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:

Actual Overall Results:

Date Completed:

M010: ESCO Initiated Invalid Account Negative Test - Reject Response

Test an 814 Change Request that attempts to make changes to an INVALID ACCOUNT.

Test Objectives:

- ESCO will generate and transmit an 814 Change Request that has an invalid account number for the Utility.
- Utility will reject the transaction.

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO

Transaction: 814 Change (Account Maintenance)

Description: ESCO creates and sends 814 Change Request for an invalid account.

Expected Results:

- The 814 Change Request is successfully sent to the Utility
- The ESCO has made the necessary changes to the transaction to cause this scenario to fail
- 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 Change (Account Maintenance)

Description: Utility creates and sends Change Response. Response=REJECT

Expected Results:

- The 814 Reject Response for ESCO initiated Change 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:

Actual Overall Results:

Date Completed: