

Technical Operating Profile

For

Electronic Data Interchange in New York

Supplement 3

Version 1.1

January 29, 2016

TABLE OF CONTENTS

I. PURPOSE 3

II. TESTING ASSUMPTIONS 3

III. PHASE I TEST SCENARIOS 4

IV. PHASE II/III TEST SCENARIOS..... 5

V. PHASE II/III TEST SCENARIO WORKSHEETS..... 6

Summary of Changes	
August 12, 2002	Initial Release
January 29, 2016	<p>Version 1.1 Issued</p> <p>Replaced references to E/M with ESCO. Added Scalability/Suitability note to Testing Assumptions section.</p>

I. PURPOSE

This document, referred to as **Technical Operating Profile (TOP) Supplement 3**, provides the guidelines and specifications for Electronic Data Interchange (EDI) testing of the 814 Reinstatement transaction. The specifications were developed in accordance with the ongoing work of the New York EDI Collaborative group (the Collaborative), which has primary responsibility for developing the standards for EDI in New York as directed by the New York Public Service Commission (PSC or Commission)¹.

The test plan is designed to be used in conjunction with the opinions and orders issued by the State of New York Public Service Commission for 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 and effective July 23, 2001). Supplement E of this opinion, the **Technical Operating Profile (TOP)**, establishes general testing procedures including Phase I testing requirements.
- B) Order Approving EDI Test Plans and Data Standards (issued and effective November 8, 2001). Supplement A of this order, **Top Supplement 1**, contains Phase II and Phase III testing information and procedures.
- C) Order Approving EDI Test Plans and Data Standards (issued and effective May 29, 2002). Supplement A of this order, **TOP Supplement 2**, contains test procedures for the 814 Change (Account Maintenance) transaction.

II. TESTING ASSUMPTIONS

Scalability/Suitability: 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. The test scenarios provided herein should not be interpreted as creating a testing requirement in cases where the utility does not support a transaction identified in a scenario. The utility and ESCO and/or its EDI Service Provider should review tests completed with other New York utilities to determine if any testing gaps exist and if so, accordingly adjust utility testing as applicable to the ESCO.

End-to-End Testing: End-to-end testing allows market participants to conduct fully integrated tests for each reinstatement scenario. The end-to-end test cycle begins with an enrollment and includes all subsequent transactions that will occur in the normal production process preceding the reinstatement transaction. Test participants may elect to integrate testing of applicable reinstatement test frames into current test plans (presented in TOP Supplements 1 and 2) to eliminate duplication of testing efforts.

Simulated Dates: When moving from one frame to the next in a scenario, test participants may be required to advance their test system dates and/or times. It is recommended that trading partners coordinate the synchronization of their system dates and times as they advance to the next frame in each scenario.

Testing with two ESCOs: The reinstatement test scenarios include frames for both incumbent and new ESCOs. When Utilities are unable to conduct the reinstatement transaction tests with multiple ESCOs, the

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

ESCO testing with the Utility is assumed to be the incumbent ESCO. All transactions associated with the new ESCO may be simulated by the Utility.

Test Scenario Worksheets: Each Test Scenario Worksheet includes a complete set of end-to-end test scripts and includes all frames used for end-to-end testing of each Reinstatement Scenario. Each Frame identifies the initiating party for each transaction. In addition, the Script ID's include "EM" or "UTIL" to further identify the transaction sender.

III. PHASE I TEST SCENARIOS

The table below details the 814 Reinstatement test transactions required to successfully complete Phase I syntactical testing with PSC Staff.

TEST ID	UNIT	TEST NAME
<i>814 Reinstatement Phase I Test for Utilities</i>		
RE-UTIL01REQ	814	Utility reinstatement request
<i>814 Reinstatement Phase I Tests for ESCOs</i>		
RE-EM01ACC	814	ESCO reinstatement response - accepted
RE-EM02REJ	814	ESCO reinstatement response - rejected

IV. PHASE II/III TEST SCENARIOS

The following table summarizes the 814 Reinstatement Phase II and III test scenarios to be completed by all test participants.

R001: Utility Reinstatement Request and Accept Response – Customer contacts new ESCO to rescind Enrollment more than three business days from switch date.
R002: Utility Reinstatement Request and Accept Response– Customer contacts Utility to rescind Enrollment more than three business days from switch date.
R003: Utility Reinstatement Request and Reject Response – Utility transmits erroneous Reinstatement Request. ESCO transmits appropriate reject response transaction.

Test Scenario Scripts

The following table presents the frame breakdowns for each of the three scenarios.

Scenario ID:	Script ID	Frame No.	Transaction Set	Description
A: Reinstatement Requests and Responses				
R001	E-EMI01REQ1 E-UTIL01RES1 E-EMN01REQ1 E-UTIL01RES2 E-UTIL01DREQ1 E-EMN01DREQ1 E-UTIL01DRES1 R-UTIL01RREQ1 R-EMI01RRES1	F1 F2 F3 F4 F5 F6 F7 F8 F9	814 Enrollment 814 Enrollment 814 Enrollment 814 Enrollment 814 Drop 814 Drop 814 Drop 814 Reinstatement 814 Reinstatement	Utility Reinstatement Request and Accept Response – Customer contacts new ESCO to rescind Enrollment more than three business days from switch date.
R002	E-EMI02REQ1 E-UTIL02RES1 E-EMN02REQ1 E-UTIL02RES2 E-UTIL 02DREQ1 E-UTIL 02DREQ2 R-UTIL02RREQ1 R-EMI02RRES1	F1 F2 F3 F4 F5 F6 F7 F8	814 Enrollment 814 Enrollment 814 Enrollment 814 Enrollment 814 Drop 814 Drop 814 Reinstatement 814 Reinstatement	Utility Reinstatement Request and Accept Response – Customer contacts Utility to rescind Enrollment more than three business days from switch date.
R003	E-EMI03REQ1 E-UTIL03RES1 E-EMN03REQ1 E-UTIL03RES2 E-UTIL 03DREQ1 E-UTIL 03DREQ2 R-UTIL03RREQ1 R-EMI03RREJ1	F1 F2 F3 F4 F5 F6 F7 F8	814 Enrollment 814 Enrollment 814 Enrollment 814 Enrollment 814 Drop 814 Drop 814 Reinstatement 814 Reinstatement	Utility Reinstatement Request with error and Reinstatement Reject Response - Customer contacts Utility to rescind Enrollment

V. PHASE II/III TEST SCENARIO WORKSHEETS

Scenario ID: R001– Reinstatement Request and Reinstatement Accept Response; Customer contacts new ESCO to rescind Enrollment more than three business days from switch date

Test an 814 Reinstatement Request initiated by the Utility and 814 Reinstatement Accept Response initiated by the incumbent ESCO

Test Objectives:

- Utility will generate and successfully transmit 814 Reinstatement Request to the incumbent ESCO using pending switch date
- Incumbent ESCO will respond with an 814 Reinstatement Accept Response transaction

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO (Incumbent)

Script ID: E-EMI01REQ1

Transaction: 814 Enrollment Request

Description: ESCO (Incumbent) submits an 814 Enrollment Request to Utility

Expected Results:

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

Actual Results:

Date Completed:

Frame: F2 **Responsible Party:** Utility

Script ID: E-UTIL01RES1

Transaction: 814 Enrollment Response

Description: Utility creates and transmits 814 Enrollment Accept Response to the now incumbent ESCO

Expected Results:

- The Utility successfully transmits the 814 Enrollment Response to the now incumbent ESCO.
- A 997 transaction is received from the incumbent ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F3 **Responsible Party:** ESCO (New)

Script ID: E-EMN01REQ1

Transaction: 814 Enrollment Request

Description: New ESCO submits Enrollment Request to the Utility (Customer contacts new ESCO to switch)

Expected Results:

- The new ESCO successfully transmits the 814 Enrollment Request to the Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F4 **Responsible Party:** Utility

Script ID: E-UTIL01RES2

Transaction: 814 Enrollment Response

Description: Utility creates and transmits 814 Enrollment Accept Response to new ESCO

Expected Results:

- The Utility successfully transmits the 814 Enrollment Response to the new ESCO.
- A 997 transaction is received from the new ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F5 **Responsible Party:** Utility

Script ID: E-UTIL01DREQ1

Transaction: 814 Drop Request

Description: Utility submits Drop Request to the incumbent ESCO

Expected Results:

- The Utility successfully transmits the 814 Drop Request to the incumbent ESCO
- A 997 transaction is received from the incumbent ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F6 **Responsible Party:** ESCO (New)

Script ID: E-EMN01DREQ1

Transaction: 814 Drop Request

Description: New ESCO submits Drop Request to the Utility (Customer rescinds pending switch to new ESCO)

Expected Results:

- The new ESCO successfully transmits the 814 Drop Request to the Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F7 **Responsible Party:** Utility

Script ID: E-UTIL01DRES1

Transaction: 814 Drop Accept Response

Description: Utility creates and transmits 814 Drop Accept Response to new ESCO

Expected Results:

- The Utility successfully transmits the 814 Drop Accept Response to new ESCO.
- A 997 transaction is received from the new ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F8 **Responsible Party:** Utility

Script ID: R-UTIL01RREQ1

Transaction: 814 Reinstatement Request

Description: Utility submits an 814 Reinstatement Request to incumbent ESCO

Expected Results:

- The Utility transmits an 814 Reinstatement Request to the incumbent ESCO
- A 997 transaction is received from the incumbent ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F9 **Responsible Party:** ESCO (Incumbent)

Script ID: R-EMI01RRES1

Transaction: 814 Reinstatement Accept Response

Description: Incumbent ESCO creates and transmits 814 Reinstatement Accept Response to the Utility

Expected Results:

- The incumbent ESCO transmits an 814 Reinstatement Accept Response to the Utility
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction

Actual Results:

Date Completed:

Actual Overall Results:

Scenario ID: R002– Reinstatement Request and Reinstatement Accept Response; Customer contacts Utility to rescind Enrollment with new ESCO more than three business days from switch date

Test an 814 Reinstatement Request initiated by the Utility and 814 Reinstatement Accept Response initiated by the incumbent ESCO

Test Objectives:

- Utility will generate and successfully transmit 814 Reinstatement Request to the incumbent ESCO using pending switch date
- Incumbent ESCO will respond with an 814 Reinstatement Accept Response transaction

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO (Incumbent)

Script ID: E-EMIO2REQ1

Transaction: 814 Enrollment Request

Description: ESCO (Incumbent) submits an 814 Enrollment Request to Utility

Expected Results:

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

Actual Results:

Date Completed:

Frame: F2 **Responsible Party:** Utility

Script ID: E-UTIL02RES1

Transaction: 814 Enrollment Response

Description: Utility creates and transmits 814 Enrollment Accept Response to the now incumbent ESCO

Expected Results:

- The Utility successfully transmits the 814 Enrollment Response to the now incumbent ESCO.
- A 997 transaction is received from the incumbent ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F3 **Responsible Party:** ESCO (New)

Script ID: E-EMN02REQ1

Transaction: 814 Enrollment Request

Description: New ESCO submits Enrollment Request to the Utility (Customer contacts new ESCO to switch)

Expected Results:

- The new ESCO successfully transmits the 814 Enrollment Request to the Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F4 **Responsible Party:** Utility

Script ID: E-UTIL02RES2

Transaction: 814 Enrollment Response

Description: Utility creates and transmits 814 Enrollment Accept Response to new ESCO

Expected Results:

- The Utility successfully transmits the 814 Enrollment Response to the new ESCO.
- A 997 transaction is received from the new ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F5 **Responsible Party:** Utility

Script ID: E-UTIL02DREQ1

Transaction: 814 Drop Request

Description: Utility submits Drop Request to the incumbent ESCO

Expected Results:

- The Utility successfully transmits the 814 Drop Request to the incumbent ESCO.
- A 997 transaction is received from the incumbent ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F6 **Responsible Party:** Utility

Script ID: E-UTIL02DRREQ2

Transaction: 814 Drop Request

Description: Utility creates and transmits 814 Drop Request to new ESCO (Customer rescinds pending switch to new ESCO)

Expected Results:

- The Utility successfully transmits the 814 Drop Request to the new ESCO.
- A 997 transaction is received from the new ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F7 **Responsible Party:** Utility

Script ID: R-UTIL02RREQ1

Transaction: 814 Reinstatement Request

Description: Utility submits an 814 Reinstatement Request to incumbent ESCO

Expected Results:

- The Utility transmits an 814 Reinstatement Request to the incumbent ESCO
- A 997 transaction is received from the incumbent ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F8 **Responsible Party:** ESCO (Incumbent)

Script ID: R-EMI02RRES1

Transaction: 814 Reinstatement Accept Response

Description: Incumbent ESCO creates and transmits 814 Reinstatement Accept Response to the Utility

Expected Results:

- The incumbent ESCO transmits an 814 Reinstatement Accept Response to the Utility
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction

Actual Results:

Date Completed:

Actual Overall Results:

Scenario ID: R003– Reinstatement Request with error and Reinstatement Reject Response; Customer contacts Utility to rescind Enrollment

Test an 814 Reinstatement Request initiated by the Utility and 814 Reject Responses initiated by the incumbent ESCO

Test Objectives:

- Utility will generate and successfully transmit 814 Reinstatement Request to the incumbent ESCO containing (1) an invalid Utility Account Number and (2) an erroneous effective date.
- Incumbent ESCO will validate transaction data and respond with appropriate 814 Reinstatement Reject Response transactions

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** ESCO (Incumbent)

Script ID: E-EMI03REQ1

Transaction: 814 Enrollment Request

Description: ESCO (Incumbent) submits an 814 Enrollment Request to Utility

Expected Results:

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

Actual Results:

Date Completed:

Frame: F2 **Responsible Party:** Utility

Script ID: E-UTIL03RES1

Transaction: 814 Enrollment Response

Description: Utility creates and transmits 814 Enrollment Accept Response to the now incumbent ESCO

Expected Results:

- The Utility successfully transmits the 814 Enrollment Response to the now incumbent ESCO.
- A 997 transaction is received from the incumbent ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F3 **Responsible Party:** ESCO (New)

Script ID: E-EMN03REQ1

Transaction: 814 Enrollment Request

Description: New ESCO submits Enrollment Request to the Utility (Customer contacts new ESCO to switch)

Expected Results:

- The new ESCO successfully transmits the 814 Enrollment Request to the Utility.
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F4 **Responsible Party:** Utility

Script ID: E-UTIL03RES2

Transaction: 814 Enrollment Response

Description: Utility creates and transmits 814 Enrollment Accept Response to new ESCO

Expected Results:

- The Utility successfully transmits the 814 Enrollment Response to the new ESCO.
- A 997 transaction is received from the new ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F5 **Responsible Party:** Utility

Script ID: E-UTIL03DREQ1

Transaction: 814 Drop Request

Description: Utility submits Drop Request to the incumbent ESCO

Expected Results:

- The Utility successfully transmits the 814 Drop Request to the incumbent ESCO.
- A 997 transaction is received from the incumbent ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F6 **Responsible Party:** Utility

Script ID: E-UTIL03DRREQ2

Transaction: 814 Drop Request

Description: Utility creates and transmits 814 Drop Request to new ESCO (Customer rescinds pending switch to new ESCO)

Expected Results:

- The Utility successfully transmits the 814 Drop Request to the new ESCO.
- A 997 transaction is received from the new ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F7 **Responsible Party:** Utility

Script ID: R-UTIL03RREQ1

Transaction: 814 Reinstatement Request

Description: Utility submits erroneous 814 Reinstatement Request to incumbent ESCO

Expected Results:

- The Utility transmits erroneous 814 Reinstatement Request to the incumbent ESCO
- A 997 transaction is received from the incumbent ESCO to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F8 **Responsible Party:** ESCO

Script ID: R-EMI05RREJ1

Transaction: 814 Reinstatement Reject Response

Description: Incumbent ESCO creates and transmits appropriate 814 Reinstatement Reject Response to the Utility

Expected Results:

- The incumbent ESCO transmits the 814 Reject Response to the Utility
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction

Actual Results:

Date Completed:

Actual Overall Results: