

Technical Operating Profile

For

Electronic Data Interchange in New York

Supplement 3

Version 1.0

August 12, 2002

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

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

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 E/M's: The reinstatement test scenarios include frames for both incumbent and new E/Ms. When Utilities are unable to conduct the reinstatement transaction tests with multiple E/Ms, the E/M testing with the Utility is assumed to be the incumbent E/M. All transactions associated with the new E/M 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.

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

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 E/Ms</i>		
RE-EM01ACC	814	E/M reinstatement response - accepted
RE-EM02REJ	814	E/M 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 E/M 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. E/M 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 E/M 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 E/M 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 E/M

Test Objectives:

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

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** E/M (Incumbent)

Script ID: E-EMI01REQ1

Transaction: 814 Enrollment Request

Description: E/M (Incumbent) submits an 814 Enrollment Request to Utility

Expected Results:

- The E/M 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 E/M

Expected Results:

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

Actual Results:

Date Completed:

Frame: F3 **Responsible Party:** E/M (New)

Script ID: E-EMN01REQ1

Transaction: 814 Enrollment Request

Description: New E/M submits Enrollment Request to the Utility (Customer contacts new E/M to switch)

Expected Results:

- The new E/M 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 E/M

Expected Results:

- The Utility successfully transmits the 814 Enrollment Response to the new E/M.
- A 997 transaction is received from the new E/M 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 E/M

Expected Results:

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

Actual Results:

Date Completed:

Frame: F6 **Responsible Party:** E/M (New)

Script ID: E-EMN01DREQ1

Transaction: 814 Drop Request

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

Expected Results:

- The new E/M 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 E/M

Expected Results:

- The Utility successfully transmits the 814 Drop Accept Response to new E/M.
- A 997 transaction is received from the new E/M 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 E/M

Expected Results:

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

Actual Results:

Date Completed:

Frame: F9 **Responsible Party:** E/M (Incumbent)

Script ID: R-EMI01RRES1

Transaction: 814 Reinstatement Accept Response

Description: Incumbent E/M creates and transmits 814 Reinstatement Accept Response to the Utility

Expected Results:

- The incumbent E/M 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 E/M 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 E/M

Test Objectives:

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

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** E/M (Incumbent)

Script ID: E-EMI02REQ1

Transaction: 814 Enrollment Request

Description: E/M (Incumbent) submits an 814 Enrollment Request to Utility

Expected Results:

- The E/M 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 E/M

Expected Results:

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

Actual Results:

Date Completed:

Frame: F3 **Responsible Party:** E/M (New)

Script ID: E-EMN02REQ1

Transaction: 814 Enrollment Request

Description: New E/M submits Enrollment Request to the Utility (Customer contacts new E/M to switch)

Expected Results:

- The new E/M 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 E/M

Expected Results:

- The Utility successfully transmits the 814 Enrollment Response to the new E/M.
- A 997 transaction is received from the new E/M 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 E/M

Expected Results:

- The Utility successfully transmits the 814 Drop Request to the incumbent E/M.
- A 997 transaction is received from the incumbent E/M 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 E/M (Customer rescinds pending switch to new E/M)

Expected Results:

- The Utility successfully transmits the 814 Drop Request to the new E/M.
- A 997 transaction is received from the new E/M 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 E/M

Expected Results:

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

Actual Results:

Date Completed:

Frame: F8 **Responsible Party:** E/M (Incumbent)

Script ID: R-EMIO2RRES1

Transaction: 814 Reinstatement Accept Response

Description: Incumbent E/M creates and transmits 814 Reinstatement Accept Response to the Utility

Expected Results:

- The incumbent E/M 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 E/M

Test Objectives:

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

Commodity: _____ (Electric / Gas)

Account #: _____

Account #: _____

Account #: _____

Account #: _____

Frame: F1 **Responsible Party:** E/M (Incumbent)

Script ID: E-EMI03REQ1

Transaction: 814 Enrollment Request

Description: E/M (Incumbent) submits an 814 Enrollment Request to Utility

Expected Results:

- The E/M 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 E/M

Expected Results:

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

Actual Results:

Date Completed:

Frame: F3 **Responsible Party:** E/M (New)

Script ID: E-EMN03REQ1

Transaction: 814 Enrollment Request

Description: New E/M submits Enrollment Request to the Utility (Customer contacts new E/M to switch)

Expected Results:

- The new E/M 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 E/M

Expected Results:

- The Utility successfully transmits the 814 Enrollment Response to the new E/M.
- A 997 transaction is received from the new E/M 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 E/M

Expected Results:

- The Utility successfully transmits the 814 Drop Request to the incumbent E/M.
- A 997 transaction is received from the incumbent E/M 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 E/M (Customer rescinds pending switch to new E/M)

Expected Results:

- The Utility successfully transmits the 814 Drop Request to the new E/M.
- A 997 transaction is received from the new E/M 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 E/M

Expected Results:

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

Actual Results:

Date Completed:

Frame: F8 **Responsible Party:** E/M

Script ID: R-EMI05RREJ1

Transaction: 814 Reinstatement Reject Response

Description: Incumbent E/M creates and transmits appropriate 814 Reinstatement Reject Response to the Utility

Expected Results:

- The incumbent E/M 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: