Case 98-M-0667

# Technical Operating Profile

**For**

# Electronic Data Interchange In New York

**Supplement 1**

**Ver 1.0**
**November 1, 2001**

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# 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]. The EDI Phase I testing specifications (and other EDI-related technical topics) are detailed in the Collaborative's Technical Operating Profile (TOP), completed on January 30, 2001. This document is 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 E/Ms utilize third party EDI suppliers[2]. In cases where there is a significant change in third party provider, E/Ms and Utilities will be required to re-establish Phase I certification with the Department of Public Service. Trading partner testing and attestations will also have to be demonstrated and completed in these cases.

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

In Phase I testing, sample EDI transactions are submitted to PSC Staff, who will review them for correct X12 syntax. Each party is "Phase I Certified" once syntactical verification is complete. PSC 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 Collaborative's Technical Operating Profile.

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

Phase II tests will be conducted between each New York Utility and a volunteer ESCO/Marketer (E/M) that has sufficient experience in EDI, and who has obtained Phase I certification in New York. Utilities may choose to test with more than one E/M. For an E/M 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 E/Ms 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 E/Ms and will approve the final Phase II pairings to ensure all interested and qualified E/Ms are treated fairly in the selection process.

It is expected that Phase II testing will only be necessary for initial implementation of transaction standards. For example, the initial Enrollment transaction filed in October 2000 will be Phase II tested during year 2001 only, unless those transactions change in the future and the Collaborative determines that Phase II testing is necessary.

The primary function of Phase II testing is 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 E/Ms who have

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

[2] Third party EDI suppliers are companies who offer an increasingly wide range of EDI services including transaction clearinghouses and outsourcing of EDI systems.

successfully completed the applicable Phase II tests with a specific Utility will not have to repeat those tests for Phase III[3]. 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 E/M will notify each other, and PSC Staff, by email, indicating that both parties have satisfied all test requirements. PSC Staff will maintain the list of EDI production-ready Utilities on the PSC web site. Once the Utility has successfully completed its Phase II tests, they can begin Phase III test scheduling for those interested E/Ms 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 E/M.

- ***Phase III: E/M Verification Process***

Phase III testing will be conducted between each Utility and all eligible E/Ms 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 E/M is prepared to exchange production EDI data for the relevant commodities and business transactions. The parties will test the New York DTM and all applicable business scenarios with the Utility having primary responsibility for specifying the volumes and variations of tests to be completed (Utility-specific testing instructions will be made available to each E/M in an easily accessible manner, such as from the Utility's web site). E/Ms 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. Upon successful completion of all Phase III test requirements, both the Utility and the E/M will notify each other, and PSC Staff, by email, indicating that both parties have satisfied all test requirements and that the E/M can move into EDI production. E/Ms will generally not be required to repeat successful Phase III testing, except unless, as noted above, when there has been a change in their third party EDI supplier.

[3] 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. The Change Control Process, when implemented, will be the process to handle EDI standard revisions on a collective, ongoing basis.

# III. PHASE II TESTING PROCEDURES

1. In Phase II the following transactions will be tested: 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.

2. Sufficiently experienced E/Ms will be identified by PSC Staff for Phase II Trading Partner Testing. PSC Staff will approve the final pairings of each Utility with an eligible, experienced E/M.

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 E/M 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 E/M in order for the E/M 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 PSC Staff, by email, indicating that both parties have satisfied all test requirements.

# IV. PHASE III TESTING PROCEDURES

1. In Phase III the following transactions will be tested: 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.

2. The E/M is responsible for reviewing the Utility's test schedules and contacting the Utility at least 30 days prior to the date it expects to begin testing.

3. The Utility is responsible for notifying the E/M of the date testing will begin and identifying the batch assigned to the E/M.

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 E/M involved, prior to the batch execution start date, to coordinate the test execution.

6. Utility-specific testing instructions will be made available to each E/M 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 E/M 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 PSC Staff, by email, indicating that both parties have satisfied all test requirements and confirming that the E/M can move into EDI production.

11. The Utility will proceed with the testing of all remaining batches until all E/Ms operating in their territory have successfully met all Phase III testing requirements.

# 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 E/M at a time by using test batches (with assigned start and end dates) consisting of groups of E/Ms testing at the same time.

2. Where E/Ms are competing for a place in the same batch, the date of Phase I certification will be the 'tiebreaker' in determining E/M entry into Phase III.

3. The E/M will proceed through the test scenarios and frames with their batch unless significant errors that cannot be resolved within 2 business days are encountered. Such condition may result in the E/M being withdrawn from their currently assigned batch. When an E/M is withdrawn from a batch, the Utility will reassign the E/M to a new batch. The E/M will proceed through testing with the newly assigned batch group.

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. E/Ms should review the Utilities published testing schedules and select their preferred testing period from among the available dates. E/Ms are expected to notify Utilities at least 30 calendar days prior to the date they are ready to begin Phase III testing.

   - Except for the initial implementation period, and periods in which new transactions are being introduced[4], Utilities are expected to begin testing within 60 calendar days of an E/M's request.

   - During the initial implementation period and periods in which new transactions are being introduced, some flexibility in scheduling 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.

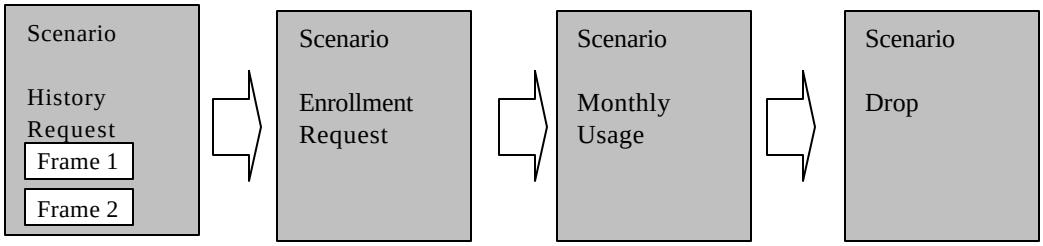
   - PSC Staff will work with the Utilities and E/Ms, as necessary, to resolve any test scheduling issues.

[4] Initial implementation is considered the period of time when the first group of transactions is implemented (enrollment, drop, historical and current usage). New transactions (such as those to support competitive billing) 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 follows[5]:

**Sample Business Testing Thread**




A1: Elec./Single Meter
A2: Elec./Single Demand Meter
A3: Elec./Multiple Meters
…
An: Gas/Multiple Meters

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 frames[6], 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 E/Ms 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

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

[6] 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.

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

**First-In Testing**

In New York a "first-in" rule has been adopted that specifies the E/M 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**

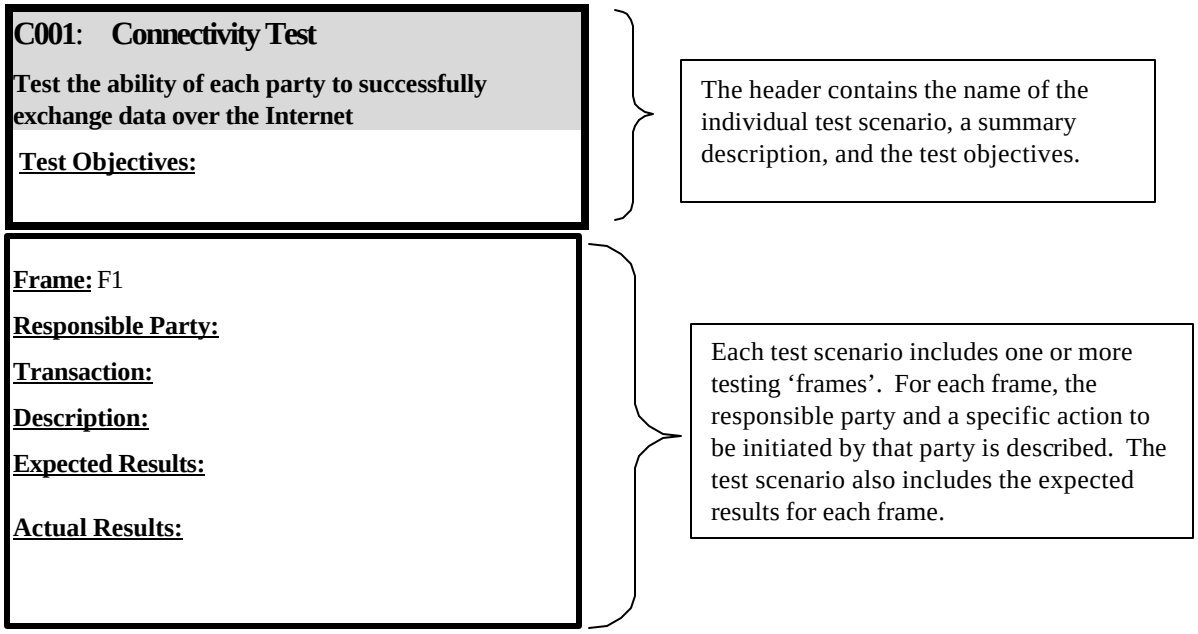
The DTM HTTP post responses occur real time at the time of transmission and indicates that the transmission was successful and the receiver was able to successfully decrypt the message. The DTM post response will not indicate the validity of the EDI X12 document. The EDI X12 functional acknowledgement (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:



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 E/Ms 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. E/Ms, however, are only required to test the scenarios relevant to the commodities they offer.

**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: E/M Exception & Error Processing Testing |
| C005: Utility Large File Processing (Stress Test) |
| C006: E/M Large File Processing (Stress Test) |
| C007: Utility Exchange Failure |
| C008: E/M Exchange Failure |
| C009: Utility initiated X12 Translator Reject Test |
| C010: E/M initiated X12 Translator Reject Test |
| |
| **B: Enrollment Tests** |
| E001: Enrollment - Accept Response |
| E002: Enrollment - Reject Response |
| E003: Consumption History Request - Accept Response |
| E004: Consumption History Request - Reject Response |
| E005: Consumption History Request For Gas Profile – Historic Gas Usage Returned |
| E006: Consumption History Request For Gas Profile - Gas Profile Returned |
| E007: Utility Initiated Drop Request - Accept Response |
| E008: Utility Initiated Drop Request - Reject Response |
| E009: E/M Initiated Drop Request - Accept Response |
| E010: E/M 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** |
| U001: Monthly Usage |
| U002: Monthly Usage – Transaction Is Rejected |
| |
| **D: Special Situations** |
| 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 E/M and Utility successfully exchange data.

**Frame:** F1

**Responsible Party:** E/M

**Transaction:** N/A

**Description:** E/M 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 E/M.

**Expected Results:**

The file is successfully sent to the E/M.

**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 E/M***

**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 E/M.
- HTTP Post Response is successfully sent.

**Frame:** F1

**Responsible Party:** E/M or Utility

**Transaction:** Any
**Description:** Sender signs and encrypts an EDI message containing an X-12 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 E/M

**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 E/M.

**Frame:** F1

**Responsible Party:** E/M

**Transaction:** Any
**Description:** E/M 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 E/M.

**Expected Results:**

- The correct error message is successfully sent to the E/M.

**Actual Results:**

**Actual Overall Results:**

**Date Completed:**

## C004: E/M Exception & Error Processing Testing

Validate the E/M's ability to process communications errors

**Test Objectives:**

- The E/M 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 E/M.

**Actual Results:**

**Frame:** F2 **Responsible Party:** E/M

**Transaction:** Error message
**Description:** E/M 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 (≥ 50Mb 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 E/M.

**Frame:** F1 **Responsible Party:** E/M

**Transaction:** Any
**Description:** E/M signs and encrypts an EDI message containing a valid X-12 compliant payload that is equal to or larger than 50Mb (in uncompressed format). The E/M 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 E/M's server

**Expected Results:**

- The file is successfully sent to the E/M.

**Actual Results:**

**Actual Overall Results:**

**Date Completed:**

## C006: E/M Large File Processing (Stress Test)

Validate the capability of the E/M to handle large (≥50Mb uncompressed) files

**Test Objectives:**

- The E/M 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 X-12 compliant payload that is larger than 50Mb (in uncompressed format). The Utility sends the message to the E/M's server.

**Expected Results:**

- The file is successfully sent to the E/M.

**Actual Results:**

**Frame:** F2 **Responsible Party:** E/M

**Transaction:** 997
**Description:** After receiving, decrypting, and translating the EDI message, E/M 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 E/M can handle a protocol/exchange failure

**Test Objectives:**

- E/M is able to notify the Utility's monitoring personnel of the failure.
- Utility is able to notify the E/M's monitoring personnel that the situation was corrected and the transmission should be retried.
- E/M 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:** E/M

**Transaction:** Any
**Description:** E/M signs and encrypts an EDI message containing a valid X-12 compliant payload and sends the message to the Utility's server.

**Expected Results:**

- The E/M detects the inability to transfer the message.
- The E/M 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 E/M.

**Expected Results:**

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

**Actual Results:**

**Frame:** F4 **Responsible Party:** E/M

**Transaction:** Any
**Description:** E/M signs and encrypts an EDI message containing a valid X-12 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 X-12 compliant payload, and sends the message to the E/M's server.

**Expected Results:**

- The file is successfully sent to the E/M.

**Actual Results:**

**Actual Overall Results:**

**Date Completed:**

## C008: E/M Exchange Failure

Validate that the Utility can handle a protocol/exchange failure

**Test Objectives:**

- Utility is able to notify the E/M's monitoring personnel of the failure.
- E/M 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:** E/M

**Transaction:** N/A
**Description:** E/M disables DTM server.

**Expected Results:**

- E/M'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 X-12 compliant payload and sends the message to the E/M's server.

**Expected Results:**

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

**Actual Results:**

**Frame:** F3 **Responsible Party:** E/M

**Transaction:** E-mail notification
**Description:** E/M processes the failure e-mail notification from Utility.

**Expected Results:**

- E/M enables DTM server.
- E/M 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 X-12 compliant payload and sends the message to the E/M's server.

**Expected Results:**

- The file is successfully sent to the E/M.

**Actual Results:**

**Frame:** F5 **Responsible Party:** E/M

**Transaction:** 997
**Description:** E/M generates an EDI 997 transaction, signs and encrypts it with an X-12 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:**

## C009: Utility initiated X12 Translator Reject Test

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

**Test Objectives:**

- The E/M 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 E/M.

**Actual Results:**

**Frame:** F2 **Responsible Party:** E/M

**Transaction:** 997
**Description:** E/M 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: E/M 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:** E/M

**Transaction:** Any
**Description:** E/M 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 E/M.

**Actual Results:**

**Actual Overall Results:**

**Date Completed:**

# B. Enrollment Test Scenarios

Test scenarios to confirm that basic transactions are functional

## E001: Enrollment - Accept Response

Test a successful Enrollment transaction

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

**Test Objectives:**

- The E/M sends a successful 814 Enrollment Request
- The Utility sends a successful 814 Accept Response with valid meter configuration data.

**Commodity: _____ (Electric / Gas)**

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

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

**Frame:** F1 **Responsible Party:** E/M

**Transaction:** 814 Enrollment Request & Response
**Description:** E/M creates and sends 814 Enrollment Requests for valid Utility customer accounts.

**Expected Results:**

- 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.

**Actual Results:**

**Frame:** F2 **Responsible Party:** Utility

**Transaction:** 814 Enrollment Request & Response
**Description:** Utility creates and sends an 814 Accept Response transaction for each Enrollment Request.

**Expected Results:**

- The 814 Accept Responses are successfully sent to E/M.
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.

**Actual Results:**

**Actual Overall Results:**

**Date Completed:**

## 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:** E/M

**Transaction:** 814 Enrollment Request & Response
**Description:** E/M 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 E/M.
- A 997 transaction is received from the E/M 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:**

- E/M 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:** E/M

**Transaction:** 814 Consumption History Request & Response
**Description:** E/M 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 E/M.
- A 997 transaction is received from the E/M 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 E/M.
- A 997 transaction is received from the E/M 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:** E/M

**Transaction:** 814 Consumption History Request & Response
**Description:** E/M 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 E/M.
- A 997 transaction is received from the E/M 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:** E/M

**Transaction:** 814 Consumption History Request & Response
**Description:** E/M 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 E/M.
- A 997 transaction is received from the E/M 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 E/M
- A 997 transaction is received from the E/M 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 Con Edison and Keyspan***

**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:** E/M

**Transaction:** 814 Consumption History Request & Response
**Description:** E/M 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 E/M.
- A 997 transaction is received from the E/M 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 E/M.
- A 997 transaction is received from the E/M 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 E/M.
- A 997 transaction is received from the E/M 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 E/M 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 E/M.
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.

**Actual Results:**

**Frame:** F2 **Responsible Party:** E/M

**Transaction:** 814 Drop Request & Response
**Description:** E/M 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: E/M Initiated Drop Request - Accept Response

Test Accept Response for an 814 Drop Request Initiated by the E/M

**Test Objectives:**

- E/Ms 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:** E/M

**Transaction:** 814 Drop Request & Response
**Description:** E/M 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 E/M.
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.

**Actual Results:**

**Actual Overall Results:**

**Date Completed:**

## E010: E/M Initiated Drop Request – Reject Response

Test 814 Reject Response to a Drop Request initiated by the E/M

**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 E/M.

**Commodity: _____ (Electric / Gas)**

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

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

**Frame:** F1 **Responsible Party:** E/M

**Transaction:** 814 Drop Request & Response
**Description:** E/M 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 E/M Drop Requests, the Utility creates and sends 814 Reject Responses.

**Expected Results:**

- The 814 Reject Responses are successfully sent to the E/M
- A 997 transaction is received from the E/M 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:**

- E/M 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:** E/M

**Transaction:** 814 Enrollment Request & Response
**Description:** E/M 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 E/M.
- A 997 transaction is received from the E/M 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:** E/M

**Transaction:** 814 Enrollment Request & Response
**Description:** E/M 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 E/M 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 E/M.
- A 997 transaction is received from the E/M 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:** E/M

**Transaction:** 814 Enrollment Request & Response
**Description:** E/M 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 E/M 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 E/M.
- A 997 transaction is received from the E/M 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 usage data.

## U001: Monthly Usage

Test Utility capability to send an 867 Monthly Usage transaction

**Test Objectives:**

- The Utility can generate and successfully transmit an 867 Monthly Usage transaction containing usage data in the proper structure for the specified meter configurations.

***Note: Various meter configurations (single meter, multiple meter and/or unmetered) will be tested as part of this test scenario where they exist.***

**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:**

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

**Actual Results:**

**Actual Overall Results:**

**Date Completed:**

## U002: Monthly Usage - Transaction Is Rejected

Test E/M capability to generate and send an 824 Application Advice to Reject an 867 Monthly Usage transaction

**Test Objectives:**

- The E/M can generate and successfully transmit an 824 Reject Response to an 867 Monthly Usage.

**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 an intentional error.

**Expected Results:**

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

**Actual Results:**

**Frame:** F2 **Responsible Party:** E/M

**Transaction:** 824 Application Advice
**Description:** The E/M creates and sends an 824 Application Advice transaction in response to receipt of 867 Monthly Usage transactions.

**Expected Results:**

- The 824 Application Advice 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:**

# 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 E/M

**Test Objectives:**

- 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:** E/M

**Transaction:** 814 Enrollment Request & Response
**Description:** E/M creates and sends enrollment Requests for valid utility customer accounts.

**Expected Results:**

- 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:**

- The 814 responses are successfully sent to the E/M.
- A 997 transaction is received from the E/M 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 E/Ms 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:** _____ | |
| **Authentication Password:** _____ | **VAN Phone Number, if used:** _____ |

**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 PSC Staff.

| Transaction Required | Comments or Exceptions |
|---|---|
| ***TRANSACTION REQUIRED FROM UTILITY*** | |
| 814 Enrollment Response | |
| 814 Drop | |
| 814 Drop Response | |
| 867 Historical Usage | |
| 867 Monthly Usage | |
| ***TRANSACTION REQUIRED FROM E/M*** | |
| 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 |
|---|---|
| ***ALL PARTIES*** | |
| 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). | |
| ***UTILITY ONLY*** | |
| I understand that I must conduct regular test teleconferences with all E/Ms that I am currently testing with. | |
| ***E/M ONLY*** | |
| 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 E/M 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. | |