

EDI (Phase III) Testing Process – Information and Background

The following information was derived from the “Technical Operating Profile for Electronic Data Interchange in New York – Supplement 1” document as ordered by the New York Public Service Commission, November 8, 2001.

NYSEG provides this information here as a quick convenient informational reference and **advises that any and all formal documentation related to the New York Public Service Commission Case 98-M-0667 be obtained from:** <http://www.dps.state.ny.us/98m0667.htm>

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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.

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PHASE III TESTING PROCEDURES

- 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.
- The Utility is responsible for notifying the E/M of the date testing will begin and identifying the batch assigned to the E/M.
- Completed Pre-Test Worksheets 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.
- 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.
- 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).
- 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.
- The Utility will provide test data to the E/M for use in preparing EDI test transactions to execute the Phase III test scenarios.
- 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.
- 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.
- 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.

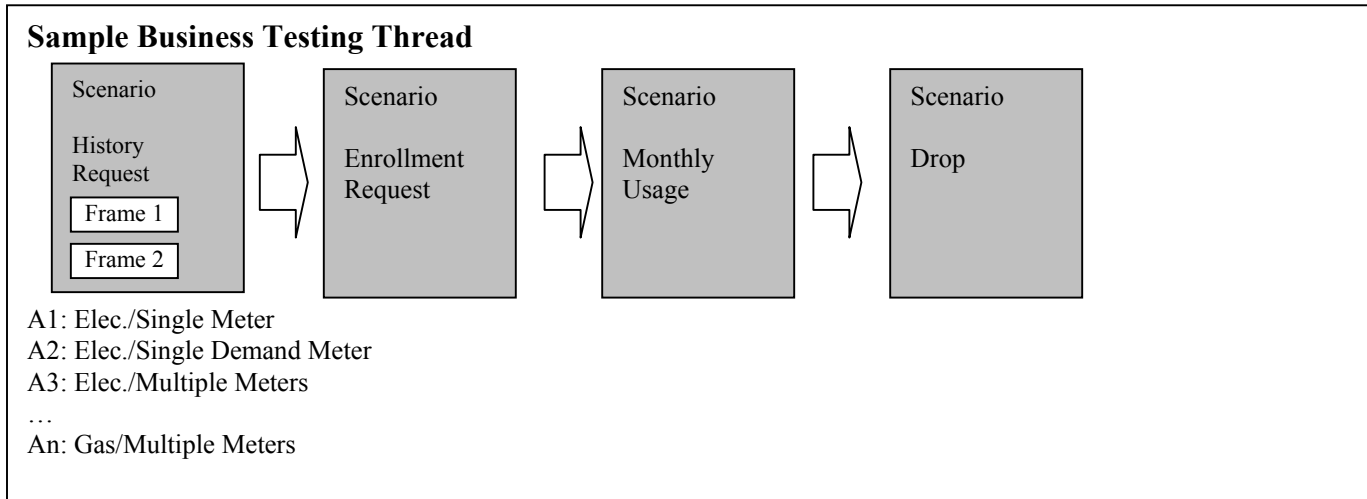
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TEST SCHEDULING

- 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.
- 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.
- 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.
- 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, 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.

TESTING

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 follows¹:



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 frames², for each step in the business test thread are selected from predefined scenario templates. 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

¹ When executing tests, scenarios may be tested in a sequence other than the Sample Business Test Thread illustrated here.

² 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 .

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

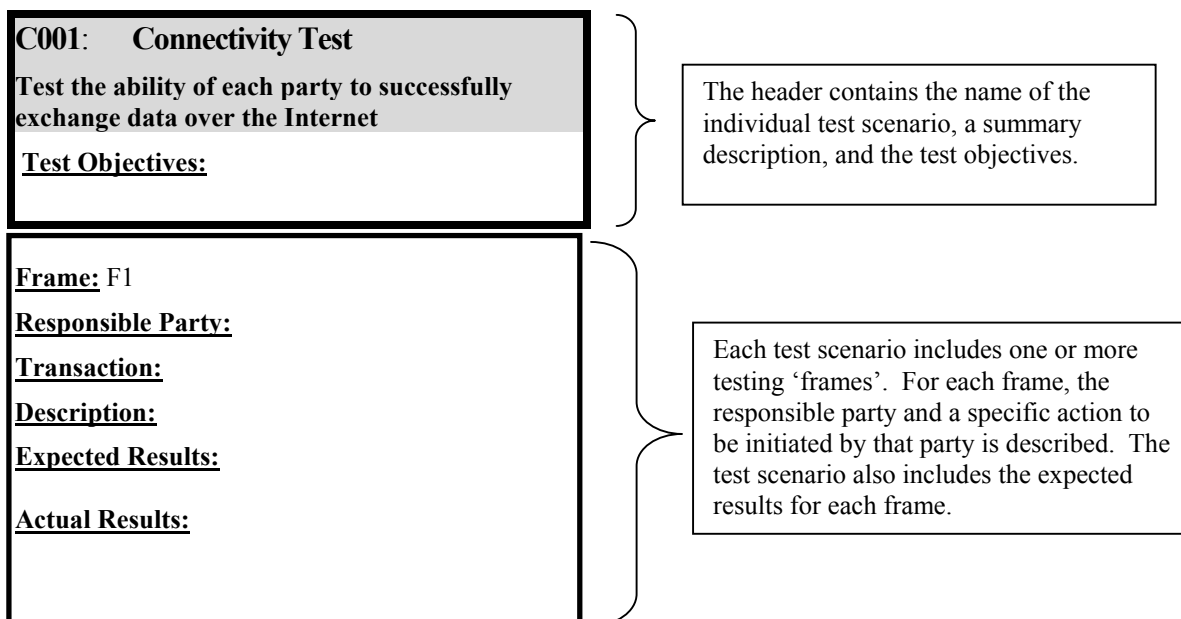
The DTM HTTP post responses occur real time, at the time of transmission, and indicate that the transmission was successful and the receiver was able to successfully decrypt the message. The DTM post response will not indicate the validity of the EDI X12 document. The EDI X12 functional acknowledgement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