Technical Operating Profile

For

Electronic Data Interchange in New York

Supplement 6 – 820 Remittance Advice

Version 1.0
October 31, 2002
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I. PURPOSE

This document, referred to as Technical Operating Profile (TOP) Supplement 6, provides the
guidelines and specifications for testing of the 820 Remittance Advice business processes, including Phase I, II
and III testing for Electronic Data Interchange (EDI) in New York’s retail energy marketplace. The test
specifications were developed as part of the ongoing EDI standards development work in New York, as
directed by the New York Public Service Commission’s (PSC or Commission) EDI proceeding.

This document 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 Effective: July 23,
2001. Supplement E of this opinion, The Technical Operating Profile (TOP), contains general and
Phase I testing information.

B) Order Approving EDI Test Plans and Data Standards (Issued and Effective November 8, 2001).
Supplement A of this order, The Top Supplement 1, contains Phase II and Phase III testing
information and procedures.

II. TESTING ASSUMPTIONS

Remittance Advice Testing Options: In New York, ESCO/Marketers (E/Ms) deemed eligible by the
New York Public Service Commission and also in compliance with Utility specific retail access requirements
may offer their customers a choice of dual or consolidated billing options. For Utility consolidated billing, each
Utility specifies the option(s) they intend to make available to E/Ms participating in their service territory (i.e.
Rate Ready, Bill Ready or both). The billing party, in this case the Utility, determines which payment
processing method (either pay-as-you-get-paid or purchase receivables) they intend to use. The 820
Remittance Advice transaction may further vary depending on billing option and payment processing method.
For each Utility test candidate, Staff will determine which of the Phase I test scenarios are applicable. The test
scenarios applicable to specific Utilities and E/Ms for Phase II or III testing will be determined by the trading
partners and based on the bill and payment processing options in that Utility’s service territory.

End-to-End Testing: An end-to-end test cycle including the 820 Remittance Advice transaction tests all EDI
transactions expected to occur in the normal production process, including the 820 Remittance Advice
transaction. During the transition to EDI in New York, as each EDI data standard is approved, a
 corresponding test plan has been developed and adopted by the Commission. As a result, EDI testing has
been an iterative process, and some market participants have already completed various phases of EDI testing
for transactions that would normally precede transmission of an 820 Remittance Advice transaction (such as
the TS814 Enrollment, Drop, TS867 Monthly Usage transaction, and TS810 UBR and URR transactions).
For current participants, end-to-end testing may be redundant and costly and, as a result, is not strictly
required. For those E/Ms, however, who have not yet begun the transition to EDI, end-to-end testing ensures

1 New York Public Service Commission Electronic Data Interchange proceeding, Case 98-M-0667.
2 Test participants may, however, elect to integrate testing of newly approved test scenarios into current test plans to better
streamline and eliminate duplication of testing efforts.
thorough testing of all required EDI transactions. In the post-EDI transition period, therefore, Utilities will be expected to test new E/Ms using an end-to-end approach, with execution details left to each utility.\(^3\)

**Trace Numbers:** By mutual agreement of the trading partners, the 820 Remittance Advice may be tested with or without the actual transfer of funds between the respective trading partner bank accounts. In the event funds are not moved between bank accounts for a test Scenario, a fictitious Trace Number may be created for the test.

**Pre-Note Funds Transfer:** If the 820 Remittance Advice will be utilized for the transfer of funds, a pre-note or “penny test” is suggested. This test is conducted to assure the transfer of funds will occur between the trading partners’ bank accounts.

**Simulated Dates:** When moving from one Frame to the next in a Scenario, test participants may be required to advance their test system dates 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. For example, the date can be advanced to simulate receipt of a customer payment, on or about the payment due date, in advance of initiating the 820 Remittance Advice.

**Test Scenario Worksheets:** Each Test Scenario Worksheet includes a complete set of end-to-end test Scripts and includes all Frames required for end-to-end testing of Remittance Advice Scenarios. 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.

Scenarios RA002A and RA002B test 820 transactions that include negative amounts. For purposes of testing these scenarios, it is assumed the billing party received a returned check for payment of the E/M and/or Utility portions of the invoice.

Scenario RA003 is the optional pre-note or “penny test”. Because funds are moved from bank to bank for purposes of the test, it is recommended the amount be one cent.

\(^3\) Details including the coordination and scheduling of E/M test batches and the timing and execution of test frames and scenarios are left to the discretion of the Utility.
### III. PHASE I TEST SCENARIOS

<table>
<thead>
<tr>
<th>TEST ID</th>
<th>UNIT</th>
<th>TEST NAME</th>
</tr>
</thead>
<tbody>
<tr>
<td>REMIT-UTIL01</td>
<td>820</td>
<td>Remittance Transaction for Utility Consolidated Billing, Pay-as-you-get-paid model – Positive Payment advice</td>
</tr>
<tr>
<td>REMIT-UTIL02</td>
<td>820</td>
<td>Remittance Transaction for Utility Consolidated Billing, Pay-as-you-get-paid model – Positive and negative adjustment amounts – Total is positive</td>
</tr>
<tr>
<td>REMIT-UTIL03</td>
<td>820</td>
<td>Remittance Transaction for Utility Consolidated Billing, Pay-as-you-get-paid model – Positive and negative adjustment amounts – Total is negative</td>
</tr>
</tbody>
</table>
IV. PHASE II/III TEST SCENARIOS

Remittance Advice – Utility Consolidated Billing Options

<table>
<thead>
<tr>
<th>Scenario ID</th>
<th>Script ID</th>
<th>Frame No.</th>
<th>Transaction Set</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>RA001</td>
<td>E-EM01REQ E-UTIL01RES U-UTIL01MU IN-BREM01 or IN-RRUNT01 RA-UTILRA01</td>
<td>F1 F2 F3 F4-BR F4-RR F5</td>
<td>814 Enrollment 814 Enrollment 867 MU 810 Invoice BR or 810 Invoice RR 820 Remittance Advice</td>
<td>820 Remittance Advice – Positive Payment Amount</td>
</tr>
<tr>
<td>RA002A</td>
<td>E-EM02REQ E-UTIL02RES U-UTIL02MU IN-BREM02 or IN-RRUNT02 RA-UTILRA02</td>
<td>F1 F2 F3 F4-BR F4-RR F5</td>
<td>814 Enrollment 814 Enrollment 867 MU 810 Invoice BR or 810 Invoice RR 820 Remittance Advice</td>
<td>820 Remittance Advice – Positive Payment and Negative Adjustment Amounts (Total of All Payments is Positive)</td>
</tr>
<tr>
<td>RA002B</td>
<td>E-EM02REQ E-UTIL02RES U-UTIL02MU IN-BREM02 or IN-RRUNT02 RA-UTILRA02</td>
<td>F1 F2 F3 F4-BR F4-RR F5</td>
<td>814 Enrollment 814 Enrollment 867 MU 810 Invoice BR or 810 Invoice RR 820 Remittance Advice</td>
<td>820 Remittance Advice – Positive Payment and Negative Adjustment Amounts (Total of All Payments is Negative)</td>
</tr>
<tr>
<td>RA003</td>
<td>UTIL-Pre-Note EM-Validation</td>
<td>F1 F2</td>
<td>Funds Transfer Funds Receipt</td>
<td>Pre-note Test – Optional test of actual transfer of funds</td>
</tr>
<tr>
<td>RA004</td>
<td>E-EM04REQ E-UTIL04RES U-UTIL04MU IN-BREM04 or IN-RRUNT04 RA-UTILRA04 AA-EM04</td>
<td>F1 F2 F3 F4-BR F4-RR F5 F6</td>
<td>814 Enrollment 814 Enrollment 867 MU 810 Invoice BR or 810 Invoice RR 820 Remittance Advice 824 Application Advice</td>
<td>820 Remittance Advice - One Payment With Invalid Account Number. 824 Used to Reject at the Payment Level</td>
</tr>
<tr>
<td>RA005</td>
<td>E-EM05REQ E-UTIL05RES U-UTIL05MU IN-BREM05 or IN-RRUNT05 RA-UTILRA05A RA-UTILRA05B AA-EM05</td>
<td>F1 F2 F3 F4-BR F4-RR F5 F6 F7</td>
<td>814 Enrollment 814 Enrollment 867 MU 810 Invoice BR or 810 Invoice RR 820 Remittance Advice - A 820 Remittance Advice - B 824 Application Advice</td>
<td>820 Remittance Advice – Duplicate Remittance Transaction. 824 Used to Reject at Transaction Level – 820 Remittance Advice “B” duplicates 820 Remittance Advice “A”</td>
</tr>
</tbody>
</table>
V. PHASE II/III TEST SCENARIO WORKSHEETS

<table>
<thead>
<tr>
<th>Scenario ID: RA001– 820 Remittance Advice – Positive Payment Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Test an 820 Remittance Advice Transaction initiated by the Utility</strong></td>
</tr>
<tr>
<td><strong>Test Objectives:</strong></td>
</tr>
<tr>
<td>• Utility will generate and successfully transmit an 820 Remittance Advice</td>
</tr>
<tr>
<td><strong>Commodity:</strong> _____ (Electric / Gas)</td>
</tr>
<tr>
<td><strong>Account #:</strong> ________________________ <strong>Account #:</strong> ________________________</td>
</tr>
<tr>
<td><strong>Account #:</strong> ________________________ <strong>Account #:</strong> ________________________</td>
</tr>
<tr>
<td><strong>Frame:</strong> F1 <strong>Responsible Party:</strong> E/M</td>
</tr>
<tr>
<td><strong>Script ID:</strong> E-EM01REQ</td>
</tr>
<tr>
<td><strong>Transaction:</strong> 814 Enrollment Request</td>
</tr>
<tr>
<td><strong>Description:</strong> E/M submits an 814 Enrollment Request to the Utility</td>
</tr>
<tr>
<td><strong>Expected Results:</strong></td>
</tr>
<tr>
<td>• The E/M successfully transmits the 814 Enrollment Request to the Utility.</td>
</tr>
<tr>
<td>• A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.</td>
</tr>
<tr>
<td><strong>Actual Results:</strong></td>
</tr>
<tr>
<td><strong>Date Completed:</strong></td>
</tr>
</tbody>
</table>

<p>| <strong>Frame:</strong> F2 <strong>Responsible Party:</strong> Utility |
| <strong>Script ID:</strong> E-UTIL01RES |
| <strong>Transaction:</strong> 814 Enrollment Response |
| <strong>Description:</strong> Utility creates and transmits 814 Enrollment Accept Response to the E/M |
| <strong>Expected Results:</strong> |
| • The Utility successfully transmits the 814 Enrollment Accept Response to the E/M. |
| • A 997 transaction is received from the incumbent E/M to acknowledge receipt of the valid X12 transaction. |
| <strong>Actual Results:</strong> |
| <strong>Date Completed:</strong> |</p>
<table>
<thead>
<tr>
<th>Frame: F3</th>
<th><strong>Responsible Party:</strong> Utility</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Script ID:</strong> U-UTIL01MU</td>
<td></td>
</tr>
<tr>
<td><strong>Transaction:</strong> 867 Monthly Usage</td>
<td></td>
</tr>
<tr>
<td><strong>Description:</strong> Utility creates and transmits 867 Monthly Usage transaction to the E/M.</td>
<td></td>
</tr>
<tr>
<td><strong>Expected Results:</strong></td>
<td></td>
</tr>
<tr>
<td>• The Utility successfully transmits the 867 Monthly Usage transaction to the E/M.</td>
<td></td>
</tr>
<tr>
<td>• A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.</td>
<td></td>
</tr>
<tr>
<td><strong>Actual Results:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Date Completed:</strong></td>
<td></td>
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</tbody>
</table>

<table>
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<tr>
<th>OR</th>
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</table>

<table>
<thead>
<tr>
<th>Frame: F4</th>
<th><strong>Responsible Party:</strong> E/M</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Script ID:</strong> IN-BREM01</td>
<td></td>
</tr>
<tr>
<td><strong>Transaction:</strong> 810 Utility Bill Ready Invoice</td>
<td></td>
</tr>
<tr>
<td><strong>Description:</strong> E/M creates and transmits 810 Bill Ready Invoice to the Utility</td>
<td></td>
</tr>
<tr>
<td><strong>Expected Results:</strong></td>
<td></td>
</tr>
<tr>
<td>• The E/M successfully transmits the 810 Bill Ready Invoice to the Utility</td>
<td></td>
</tr>
<tr>
<td>• A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.</td>
<td></td>
</tr>
<tr>
<td><strong>Actual Results:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Date Completed:</strong></td>
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</tbody>
</table>

<table>
<thead>
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<th>OR</th>
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<table>
<thead>
<tr>
<th>Frame: F4</th>
<th><strong>Responsible Party:</strong> Utility</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Script ID:</strong> IN-RRUTIL01</td>
<td></td>
</tr>
<tr>
<td><strong>Transaction:</strong> 810 Utility Rate Ready Invoice</td>
<td></td>
</tr>
<tr>
<td><strong>Description:</strong> Utility creates and transmits 810 Rate Ready Invoice to the E/M</td>
<td></td>
</tr>
<tr>
<td><strong>Expected Results:</strong></td>
<td></td>
</tr>
<tr>
<td>• The Utility successfully transmits the 810 Rate Ready Invoice to the E/M</td>
<td></td>
</tr>
<tr>
<td>• A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.</td>
<td></td>
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<tr>
<td><strong>Actual Results:</strong></td>
<td></td>
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<tr>
<td><strong>Date Completed:</strong></td>
<td></td>
</tr>
</tbody>
</table>
Frame: F5  Responsible Party: Utility  
Script ID: U-UTILRA01  
Transaction: 820 Remittance Advice  
Description: Utility successfully creates and transmits 820 Remittance Advice, with positive payment amount, to the E/M  
Expected Results:  
- Utility successfully transmits the 820 Remittance Advice to the E/M  
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.  
Actual Results:  
Date Completed:  
Actual Overall Results:
Scenario ID: RA002A – 820 Remittance Advice – Positive Payment and Negative Adjustment Amounts
(Total of All Payments is Positive)

Test an 820 Remittance Advice Transaction initiated by the Utility

Test Objectives / Notes:
• Utility will generate and successfully transmit an 820 Remittance Advice
• Adjustment must be for a lesser amount than the invoice created in Frame 4 to result in a positive 820 Transaction total.

Commodity: _____ (Electric / Gas)

Account #: __________________________  Account #: __________________________
Account #: __________________________  Account #: __________________________

Frame: F1  Responsible Party:  E/M

Script ID: E-EM02REQ
Transaction: 814 Enrollment Request
Description: E/M submits an 814 Enrollment Request to the 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-UTIL02RES
Transaction: 814 Enrollment Response
Description: Utility creates and transmits 814 Enrollment Accept Response to the E/M

Expected Results:
• The Utility successfully transmits the 814 Enrollment Accept Response to the 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:  Utility
Script ID: U-UTIL02MU
Transaction:  867 Monthly Usage
Description:  Utility creates and transmits 867 Monthly Usage transaction to the E/M.

Expected Results:
- The Utility successfully transmits the 867 Monthly Usage transaction to the E/M.
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

---

Frame: F4  Responsible Party:  E/M
Script ID: IN-BREM02
Transaction:  810 Utility Bill Ready Invoice
Description:  E/M creates and transmits 810 Bill Ready Invoice to the Utility

Expected Results:
- The E/M successfully transmits the 810 Bill Ready Invoice to the Utility
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

---

OR

Frame: F4  Responsible Party:  Utility
Script ID: IN-RRUTIL02
Transaction:  810 Utility Rate Ready Invoice
Description:  Utility creates and transmits 810 Rate Ready Invoice to the E/M

Expected Results:
- The Utility successfully transmits the 810 Rate Ready Invoice to the E/M
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:
Frame: F5  Responsible Party: Utility
Script ID: U-UTILRA02
Transaction:  820 Remittance Advice
Description: Utility successfully creates and transmits 820 Remittance Advice to the E/M.  820 will include one line item equal to the 810 Invoice total in Frame 4, and one line item for a negative amount to simulate a Returned Check. 820 Total will be positive.

Expected Results:
- Utility successfully transmits the 820 Remittance Advice to the E/M
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Actual Overall Results:
Scenario ID: RA002B – 820 Remittance Advice – Positive Payment and Negative Adjustment Amounts (Total of All Payments is Negative)

Test an 820 Remittance Advice Transaction initiated by the Utility containing negative total amount

Test Objectives / Notes:
- Utility will generate and successfully transmit an 820 Remittance Advice
- Adjustment must be for a greater amount than the invoice created in Frame 4 to result in a negative 820 Transaction total.

Commodity: _____ (Electric / Gas)

Account #: ________________________  Account #: ________________________
Account #: ________________________   Account #: ________________________

Frame: F1  Responsible Party:  E/M
Script ID: E-EM02REQ
Transaction: 814 Enrollment Request
Description: E/M submits an 814 Enrollment Request to the 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-UTIL02RES
Transaction: 814 Enrollment Response
Description: Utility creates and transmits 814 Enrollment Accept Response to the E/M

Expected Results:
- The Utility successfully transmits the 814 Enrollment Accept Response to the 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: Utility
Script ID: U-UTIL02MU
Transaction: 867 Monthly Usage
Description: Utility creates and transmits 867 Monthly Usage transaction to the E/M.

Expected Results:
- The Utility successfully transmits the 867 Monthly Usage transaction to the E/M.
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

OR

Frame: F4  Responsible Party: E/M
Script ID: IN-BREM02
Transaction: 810 Utility Bill Ready Invoice
Description: E/M creates and transmits 810 Bill Ready Invoice to the Utility

Expected Results:
- The E/M successfully transmits the 810 Bill Ready Invoice to the Utility
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

OR

Frame: F4  Responsible Party: Utility
Script ID: IN-RRUTIL02
Transaction: 810 Utility Rate Ready Invoice
Description: Utility creates and transmits 810 Rate Ready Invoice to the E/M

Expected Results:
- The Utility successfully transmits the 810 Rate Ready Invoice to the E/M
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:
Frame: F5  Responsible Party: Utility
Script ID: U-UTILRA02
Transaction: 820 Remittance Advice
Description: Utility successfully creates and transmits 820 Remittance Advice to the E/M in accordance with one of the three processes specified in the 820 Implementation Guide; (1) holding the 820 Remittance for one day or more to allow for payments and reversals included in the 820 Remittance of the following day(s) to offset the negative remittance amount; (2) sending a Remittance Advice where BPR02 is “zero” but the sum of the detail amounts is a negative number; or (3) sending a Remittance Advice where BPR02 is a negative number when the detail amounts is a negative number. The 820 will include one line item equal to the 810 Invoice total in Frame 4 and one line item for a negative amount to simulate a Returned Check. 820 Total will be negative.

Expected Results:

- Utility successfully transmits the 820 Remittance Advice to the E/M
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Actual Overall Results:
### Scenario ID: RA003– Pre-note Test – Optional test of actual transfer of funds

**Test actual transfer of funds from the Utility bank account to the E/M bank account.**

#### Test Objectives:
- Utility will successfully transfer funds to the E/M bank account using a pre-note, penny test or other mutually agreed upon bank to bank funds transfer method

<table>
<thead>
<tr>
<th>Commodity: _____ (Electric / Gas)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account #: ____________________</td>
</tr>
<tr>
<td>Account #: ____________________</td>
</tr>
</tbody>
</table>

**Frame:** F1  
**Responsible Party:** Utility

**Script ID:** UTIL Pre-Note

**Transaction:** Funds Transfer from Utility bank account to E/M bank account

**Description:** Utility initiates transfer of funds to E/M bank account (using mutually agreed upon funds transfer method)

**Expected Results:**
- The Utility successfully completes the funds transfer to the E/M bank account.

**Actual Results:**

**Date Completed:**

---

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

**Script ID:** EM-Validation

**Transaction:** None

**Description:** E/M validates the funds transfer was successful.

**Expected Results:**
- The E/M successfully verifies the funds transfer.

**Actual Results:**

**Date Completed:**

---

**Actual Overall Results:**
Scenario ID: RA004– 820 Remittance Advice – One Payment With Invalid Account Number – 824 Used to Reject at the Payment Level

Test an 820 Remittance Advice Transaction initiated by the Utility

Test Objectives:
- E/M will generate and successfully transmit an 820 Remittance Advice

Commodity: _______ (Electric / Gas)

Account #: ________________________   Account #: ________________________
Account #: ________________________   Account #: ________________________

Frame: F1   Responsible Party: E/M
Script ID: E-EM04REQ
Transaction: 814 Enrollment Request
Description: E/M submits an 814 Enrollment Request to the 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-UTIL04RES
Transaction: 814 Enrollment Response
Description: Utility creates and transmits 814 Enrollment Accept Response to the E/M

Expected Results:
- The Utility successfully transmits the 814 Enrollment Accept Response to the 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: Utility
Script ID: U-UTIL04MU
Transaction: 867 Monthly Usage
Description: Utility creates and transmits 867 Monthly Usage transaction to the E/M.
Expected Results:
- The Utility successfully transmits the 867 Monthly Usage transaction to the E/M.
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

Frame: F4    Responsible Party: E/M
Script ID: IN-BREM04
Transaction: 810 Utility Bill Ready Invoice
Description: E/M creates and transmits 810 Bill Ready Invoice to the Utility
Expected Results:
- The E/M successfully transmits the 810 Bill Ready Invoice to the Utility
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:

OR

Frame: F4    Responsible Party: Utility
Script ID: IN-RRUTIL04
Transaction: 810 Utility Rate Ready Invoice
Description: Utility creates and transmits 810 Rate Ready Invoice to the E/M
Expected Results:
- The Utility successfully transmits the 810 Rate Ready Invoice to the E/M
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.

Actual Results:

Date Completed:
<table>
<thead>
<tr>
<th>Frame: F5</th>
<th><strong>Responsible Party:</strong> Utility</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Script ID:</strong> U-UTILRA04</td>
<td></td>
</tr>
<tr>
<td><strong>Transaction:</strong> 820 Remittance Advice with an invalid account number</td>
<td></td>
</tr>
<tr>
<td><strong>Description:</strong> Utility successfully creates and transmits 820 Remittance Advice with an invalid account number to the E/M</td>
<td></td>
</tr>
<tr>
<td><strong>Expected Results:</strong></td>
<td></td>
</tr>
<tr>
<td>• Utility successfully transmits the 820 Remittance Advice to the E/M</td>
<td></td>
</tr>
<tr>
<td>• A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.</td>
<td></td>
</tr>
<tr>
<td><strong>Actual Results:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Date Completed:</strong></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Frame: F6</th>
<th><strong>Responsible Party:</strong> E/M</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Script ID:</strong> AA-EM04</td>
<td></td>
</tr>
<tr>
<td><strong>Transaction:</strong> 824 Application Advice</td>
<td></td>
</tr>
<tr>
<td><strong>Description:</strong> E/M successfully creates and transmits an 824 Application Advice to the Utility rejecting the 820 Remittance Advice transaction for an invalid account number. 824 Application Advice Rejects at the payment level.</td>
<td></td>
</tr>
<tr>
<td><strong>Expected Results:</strong></td>
<td></td>
</tr>
<tr>
<td>• E/M successfully transmits the 824 Application Advice to the Utility</td>
<td></td>
</tr>
<tr>
<td>• A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.</td>
<td></td>
</tr>
<tr>
<td><strong>Actual Results:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Date Completed:</strong></td>
<td></td>
</tr>
</tbody>
</table>

**Actual Overall Results:**

Test an 820 Remittance Advice Transaction initiated by the Utility

Test Objectives:
- E/M will generate and successfully transmit Duplicate 820 Remittance Advices

Commodity: ______ (Electric / Gas)

<table>
<thead>
<tr>
<th>Account #:</th>
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Frame: F1  Responsible Party:  E/M

Script ID: E-EM05REQ
Transaction: 814 Enrollment Request
Description: E/M submits an 814 Enrollment Request to the 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-UTIL05RES
Transaction: 814 Enrollment Response
Description: Utility creates and transmits 814 Enrollment Accept Response to the E/M

Expected Results:
- The Utility successfully transmits the 814 Enrollment Accept Response to the 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:** Utility  
**Script ID:** U-UTIL05MU  
**Transaction:** 867 Monthly Usage  
**Description:** Utility creates and transmits 867 Monthly Usage transaction to the E/M.  
**Expected Results:**  
- The Utility successfully transmits the 867 Monthly Usage transaction to the E/M.  
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.  
**Actual Results:**  
**Date Completed:**

Frame: F4  **Responsible Party:** E/M  
**Script ID:** IN-BREM05  
**Transaction:** 810 Utility Bill Ready Invoice  
**Description:** E/M creates and transmits 810 Bill Ready Invoice to the Utility  
**Expected Results:**  
- The E/M successfully transmits the 810 Bill Ready Invoice to the Utility  
- A 997 transaction is received from the Utility to acknowledge receipt of the valid X12 transaction.  
**Actual Results:**  
**Date Completed:**  

OR

Frame: F4  **Responsible Party:** Utility  
**Script ID:** IN-RRUTIL05  
**Transaction:** 810 Utility Rate Ready Invoice  
**Description:** Utility creates and transmits 810 Rate Ready Invoice to the E/M  
**Expected Results:**  
- The Utility successfully transmits the 810 Rate Ready Invoice to the E/M  
- A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.  
**Actual Results:**  
**Date Completed:**
Frame: F5  Responsible Party: Utility
Script ID: U-UTILRA05A
Transaction: 820 Remittance Advice
Description: Utility successfully creates and transmits 820 Remittance Advice
Expected Results:
  • Utility successfully transmits the 820 Remittance Advice to the E/M
  • A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.
Actual Results:

Date Completed:

Frame: F6  Responsible Party: Utility
Script ID: U-UTILRA05B
Transaction: 820 Remittance Advice – Duplicate of 820 Remittance Advice in Frame 5 with new Transaction ID
Description: Utility successfully creates and transmits Duplicate 820 Remittance Advice to the E/M
Expected Results:
  • Utility successfully transmits the Duplicate 820 Remittance Advice to the E/M
  • A 997 transaction is received from the E/M to acknowledge receipt of the valid X12 transaction.
Actual Results:

Date Completed:

Frame: F7  Responsible Party: E/M
Script ID: AA-EM05
Transaction: 824 Application Advice
Description: E/M successfully creates and transmits an 824 Application Advice to the Utility rejecting the Duplicate 820 Remittance Advice at the transaction level.
Expected Results:
  • E/M successfully transmits the 824 Application Advice 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: