



Rate EDI Network (REN) Central System Certification/Testing



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1 General Purpose REN and Certification Process

1.1 Eligibility

1.2 Railinc/REN Access

The Rate EDI Network (REN) Central is a process operated by Railinc. There are a number of methods for exchanging REN messages with REN Central using Electronic Data Interchange (EDI). The size of the railroad will likely influence the method selected. Principal methods available are:

- Direct access to FTP or FTP through VPN to Railinc/REN Central
- Connection to Railinc/REN Central via Dedicated Leased line or Frame Network.
- Communication with Railinc/REN Central via a Value Added Network (VAN) which in turn can link to Railinc via either of the first two methods listed above.

Regardless of the access method selected, a participating railroad (or its authorized agent) must obtain a valid Railinc User ID and have sufficient computer hardware and software to properly exchange settlement data electronically between a carrier's system and the REN Central at Railinc.

2 Who Must Certify

All roads participating in REN Central are required to complete preliminary testing and certification prior to becoming an active participant.

The preliminary testing and certification/testing process are required in all of the following situations:

- Any road new to REN Central using their own developed system or using a purchased system whether that system was previously certified or not.
- Any active road that is switching to a new software package or new platform, whether or not the system has been previously certified (not to include internal code changes to existing software).
- Any road operating under a new mark or changed mark whether using a new or existing software package and/or new or existing personnel.
- Any active road switching communication protocols at Railinc which involves REN Central and requires a table update (Carrier ID Table, etc.).
- Any new software vendor or existing software vendor that developed their own system/software or purchased an existing system/software whether using new or existing personnel.

3 Administration and Contacts

3.1 Certification Administration

Railinc will administer all certification/testing processes dealing with participation in industry related systems. The REN product support group within the Railinc organization will have the specific responsibility to work with the applicant road, REN Central and interfacing/partner railroad(s) to accomplish certification. The assigned partner road should have a direct interchange with the applicant road and will act as a mentor to the applicant road. As such, the partner road will be required to provide approval of the applicant road's ability to actively participate in all aspects of the REN Central process. Railinc will provide all active REN participants notice of the road seeking certification, the assigned partner road(s) and the targeted implementation date. Testing must be completed with at least one non-affiliated partner road.

The applicant road is responsible for confirming partner roads for certification. Railinc will assist the applicant road with contact information of partner roads.

3.2 Railinc Contacts

Questions concerning the certification procedures should be directed to Railinc's REN Product Support, but general questions can be directed to Railinc's Customer Success Center at (877) 724-5462, or email: CSC@railinc.com or AAR_PS@railinc.com.

The ISS and REN certification requirements, forms and access to the User's Manuals may be obtained via an email request to AAR_PS@railinc.com. Requests may also be mailed directly to:

ISS Product Support
Railinc
7001 Weston Parkway, Suite 200
Cary, NC 27513

4 Certification Requirements

There are four levels of certification and Railinc will determine which requirement testing will apply for each testing road applying for certification. Railroads must test in the category that fits their railroad revenue class as determined by the AAR.

1. **Class I Testing Requirements**—Applicable to any road (active or new) certifying that falls into the category of a Class I road as determined by AAR guidelines.
2. **Non-Class I Testing Requirements** —Applicable to any existing non-Class I road certifying that falls into a category other than Class I road as determined by AAR guidelines.
3. **Software Change/Communication Change Requirement** —Applicable to any existing or new software vendor that develops or purchases an existing system/software for industry use.

4.1 Software Vendor Requirements

Software Vendors with REN systems must be certified. Testing is required to ensure new or existing system/software adhere to AAR Railway Accounting Rules and REN business rules. This will minimize risk to the industry. Software vendors must complete the guidelines for a software change including preliminary testing. The software vendor must follow the guidelines outlined for applicant road.

If the applicant road receives any 997 rejects during preliminary testing, these items must be corrected and retransmitted for review by Railinc. Railinc is responsible for approving or rejecting preliminary testing. The partner road(s) will approve the road/software on the certification/testing requirements.

5 REN Central Certification Procedures

5.1 Overview of Certification

To initiate the REN Central Certification Process, the certification applicant road submits required forms to Railinc Product Support-REN. Refer to Section [5.3](#) for a list of the forms.

The applicant road(s) representative will review the types of messages and numbers submitted, ensuring that the number of accepted and rejected messages are within the acceptable ranges. They will also ensure that the Certification applicant road transmitted all of the appropriate types of messages.

The partner road's representative(s) will evaluate the validity of the transactions submitted during the testing period. They will be responsible for checking the EDI 460/490/486 information, including but not limited to the rates, groups, and expirations. The primary partner road provides final approval for certification of applicant road's entrance into REN Central process and states that the certification applicant road is in conformance with the REN Central Requirements for Certification, and must complete the appropriate certification forms.

Railinc may need to intercede when the certification applicant road does not agree with the test results given by the partner road(s). Railinc would then review the proceedings and possibly ask for more information as is specified in the Certification Requirements Document.

After the applicant road has met the certification requirements, the partner road(s) are responsible for notifying Railinc. The testing roads should also submit to Railinc the certification forms verifying the completion of the required tasks. Railinc will not be required to review all of the details for each transaction during the testing period, but will review messages submitted.

5.2 Initiate Certification

To initiate the certification process, the applicant road must mail (or email) a request for REN Central certification detailing the dates of preliminary testing, start date of certification, partner road and name of software for REN Central. Railinc will confirm the dates with the applicant road to verify minimum requirements have been met and to schedule preliminary testing.

The request must be on company letterhead.

Mailing Address:

REN Product Support
Railinc
7001 Weston Parkway, Suite 200
Cary, North Carolina 27513

5.3 Required Forms for Certification

These forms must be completed and submitted to Railinc prior to beginning certification with testing roads.

Exhibit 1. Required Certification Forms

<i>Applicant road Forms</i> (to complete prior to starting certification):
Appendix A —Certification Request Form
Appendix B —Certification for Data Center Security
Appendix F —Carrier Contact List Form
<i>Partner road Forms</i> (to be completed at the end of certification):
• Primary partner road forms to complete:
Appendix C —Certification Testing Road Check List
Appendix D —Testing/Partner road Approval
<i>Railinc Forms:</i>
• Appendix E —Industry Notification of Acceptance (After approval by partner roads)

5.4 Staffing

Railinc, pursuant to its role as operator of the REN Central computing and communications facility, shall provide such staff as deemed necessary for support of the certification process outlined here. This will include sufficient qualified staff to do table maintenance to enable access to REN Central by newly certified railroads in a timely manner.

Railroad members of certification teams may need to use their own railroad’s in-house capabilities and staff support for some phases of the certification evaluation. In addition, certain tests of the applicant railroad will require resources of other railroads. It is expected that all REN participant railroads and applicant railroads will cooperate fully in supporting the certification process.

6 REN Central Certification Test Requirements and Scenarios

6.1 REN Central Preliminary Testing

Preliminary testing is required by the applicant road prior to starting certification. This will establish that a railroad is able to send and receive the pertinent EDI transactions that comprise REN. Moreover, test results must demonstrate that a railroad is able to achieve a level of data quality with respect to data values such as rail station name, junction, and other data subject to Industry Reference File edit checks that supports the error-free objective. All railroads are strongly encouraged to use available Industry Reference Files to avoid REN edit rejections.

The REN Central System provides several mechanisms for testing. Such tests include, but are not limited to:

1. Test of communications and account with Railinc.
2. Independent test of communication and/or EDI with Railinc using test system region 'RICR' (mirror image of production edits).
3. Validate IRF data for certification purposes. RICR will validate IRF data against production information.

Railinc's REN Product Support will assist railroads in establishing an account, and in getting permission for use of the RICR carrier test region.

Bypass Preliminary Testing – When recertifying or attempting to certify additional SCACs, Carrier/Sender may bypass sections 6.1 and 6.2 of REN Central Certification/Testing if the Carrier/Sender has been previously certified using full REN Central standards. In this scenario roads must be certified on the same software platform that the carrier/sender last used to complete REN Central certification. If software changes accompany the new carrier's certification or current carrier's recertification, then this bypass may not be used.

6.2 REN Central Preliminary Testing Requirements

Preliminary testing must be completed prior to certification. Carriers must complete the scenarios to meet the requirements as noted below. The requirements are the minimum required for preliminary testing. Railinc will verify the completion of these requirements prior to applicant road starting certification.

Exhibit 2. REN Central Preliminary Testing Requirements

	Preliminary Testing	Success Criteria	Class I Test Volume Required	Non-Class I Test Volume Required	Software Change/Communication Change Only
1	Successfully transmit 460 transactions to RICR. Errors should be corrected and/or discussed with Railinc.	Validate errors with Railinc	5	5	5
2	Successfully transmit 490 transactions (one of each group type) to RICR. Errors should be corrected and/or discussed with Railinc.	Validate errors with Railinc	4	4	4
3	Successfully transmit 486 transactions to RICR. Errors should be corrected and/or discussed with Railinc.	Validate errors with Railinc	5	4	4
4	Validate IRF data during preliminary testing.	Report discrepancies to Railinc for further discussion.	5	3	2
5	Successfully transmit 997 transactions upon receipt of 46D and 463 messages from REN Central	Validate errors with Railinc	All transmissions from REN Central	All transmissions from REN Central	All transmissions from REN Central

6.3 REN Central Certification Requirements

The tables on the following pages provide requirements for REN Central certification. The right columns represent the test requirements for Class I, Non-Class I, and Non-Class I railroads making software/communication changes.

Test plans must be completed by applicant road prior to beginning certification. Contact Railinc for more information and suggested template(s).

6.4 REN Central Certification Test Requirements

Note test cases 1 through 4 must be met for all submitted test cases by the certification applicant road. The minimum requirements are noted for each category. Beginning with test case 4, the certification applicant’s understanding of REN and its various rules is tested by completing the test cases as noted and approved by the partner road(s).

6.4.1 REN Central Certification Requirements

Exhibit 3. REN Central Certification Requirements

	REN Central Requirement Test	Success Criteria	Class I Test Volume Required	Software Change Only	Recertifying Carriers
1	Transmit 490 Transaction Set without syntax rejection (100% accuracy)	100% 997 Acceptance generated by REN Central Partner road(s) will decide if errors warrant restarting or continuing certification	20 Transmit at least five of each type of group: Geography, Patron, Commodity, and Shipment Condition	10 Transmit at least two of each type of group: Geography, Patron, Commodity, and Shipment Condition	4 1 group per type: STCC, Patron, Geography, Shipment Condition
2	Transmit 460 Transaction Set without syntax rejection (100% accuracy) The volume total count will be dispersed among the following test cases. Any remaining volume total count must be transmitted and pass success criteria.	100% 997 Acceptance generated by REN Central Partner road(s) will decide if errors warrant restarting or continuing certification	25	15	4 To include the 4 groups and diversity of per car rates / per ton rates
3	Transmit 486 Transaction Set without syntax rejection (100% accuracy).	100% 997 Acceptance generated by REN Central Partner road(s) will decide if errors warrant restarting or continuing certification	15 Expire 10 rates and 5 groups.	10 Expire 8 rates and 2 groups.	
4	Use RICR for test with connecting or partner railroad(s) that is already certified for REN Central.	(See tests a–f below)			
4A	Send 490 message to RICR, using of each group type: Geography, Patron, Commodity, and Shipment Condition	100% of groups received are reviewed by partner road. Partner and test road must agree that rate data is valid for test purposes.	20 Transmit at least five of each type of group: Geography, Patron, Commodity, and Shipment Condition	8 Transmit at least two of each type of group: Geography, Patron, Commodity, and Shipment Condition	4 1 group per type: STCC, Patron, Geography, Shipment Condition

REN Central Certification/Testing

	REN Central Requirement Test	Success Criteria	Class I Test Volume Required	Software Change Only	Recertifying Carriers
4B	<p>Send 460 messages via RICR to partner railroad including references to 490 groups where appropriate.</p> <p>Send a diversity of 460s including:</p> <ul style="list-style-type: none"> • Carload rates • Per ton rates 	100% of dockets received are reviewed by partner road. Partner and test road must agree that rate data is valid for test purposes.	20	10	4 460 messages sent via RICR – include variety of rates used by road
4C	Revise 460 messages and transmit to partner road.	Revisions for 4b rates sent are received by partner railroad.	At least 5	At least 5	1
4D	Revise 490 messages and transmit to RICR	Revisions for 4a groups sent are receive by partner railroad	At least 5	At least 2	1
4E	Send 486 message to RICR to expire rates	100% of dockets received are reviewed by partner road. Partner and test road must agree that rate data is valid for test purposes.	At least 10	At least 8	1
4F	Send 486 message to RICR to expire groups. This can be acheived by revising the group.	100% of dockets received are reviewed by partner road. Partner and test road must agree that rate data is valid for test purposes.	At least 5	At least 2	1
5	Appropriate response is received for all EDI 463 messages.	100% of rail rate replies receive a 997 acceptance functional acknowledgement			
6	Partner road sends messages to Applicant road in RICR.	(See specific requirements in a–d below)	20	10	
6A	Partner road send 460 messages with groups attached	Applicant road responses with appropriate message	10	4	2 To include groups – Must include all 4 groups to ensure compatability
6B	Partner road sends 486 messages to expire rates	Applicant road responses with appropriate message	5	4	1

REN Central Certification/Testing

	REN Central Requirement Test	Success Criteria	Class I Test Volume Required	Software Change Only	Recertifying Carriers
6C	Partner road sends 486 messages to expire groups. This can be achieved by revising the group.	Applicant road responds with appropriate message	5	2	1

6.5 Activating Participation in REN Central

Upon successful completion of the certification process, the applicant road will be scheduled for an orderly transition into the REN Central process. Roads will become active on the first day of the month. Railinc will issue a formal notification to all REN participating roads, **at least 30 calendar days** prior to the day of implementation, *advising the targeted date of implementation, the applicant road's name and SCAC*. Once the partner roads(s) have approved by the applicant roads admission to REN Central production, Railinc will email notification to the industry *advising date of production implementation, road SCAC, REN Contact Person for road, phone number, email address and full mailing address*.

Railinc's REN Product Support must receive all required REN forms by designated timeline. A copy of the REN Official Forms must be received by the appropriate persons at Railinc before production implementation. Please contact REN Product Support for more details.

Appendix A Certification Request Form

Date: _____

1. Railroad: _____

2. SCAC: _____

3. Location: _____

4. AAR CLASS (Check one): I II III

5. Reason for certifying (Check one):

Class 1 Railroad - new or existing

Non-Class 1 Railroad - A new road name and/or SCAC applying for entrance to REN Central.

Software/Communication Change - Existing road/SCAC in REN Central making changes to software or communication to Railinc.

6. Are you an Agent (Software Vendor)? No Yes, specify: _____

7. Date requesting REN Certification to begin: _____

8. REN Primary Contact:

Name: _____

Address: _____

Phone: _____

Email: _____

Fax: _____

Appendix B Certification for Data Center

Applicant Railroad: _____
Print or Type

****CONFIRMATION BY APPLICANT RAILROAD****

The undersigned avows that they:

1. Are in compliance with industry data center security standards put forth in **any** of the following security frameworks:
 - COBIT (www.isaca.org/COBIT/Pages/default.aspx)
 - NIST SP-800 (<http://csrc.nist.gov/publications/PubsSPs.html>)
 - ISO/IEC 27000 series (<http://www.27000.org/index.htm>)
2. Have in place a recovery and downtime notification process and will follow those processes in case of an outage.
3. Agree to pay a fee of \$1,500 within 30 days of receipt of invoice for the REN Central Setup and Certification.

_____ will abide by those Rules.
(Print name of applicant road)

Signed: _____
Chief Information Officer (CIO) or appropriate authorized officer

Print Name: _____

Print Title: _____
(If there is no CIO in your organization, title must be equivalent to the CIO.)

Date: _____

Appendix C Certification Testing Road Check List

The primary testing/partner road attests that the test and activities listed below have been reviewed and completed for the following:

Railroad: _____

SCAC: _____

Tests:

- a. Transmit 460 transactions OK
- b. Transmit 490 transactions OK
- c. Transmit 486 transactions to expire rates and groups OK
- d. Revise 460 messages OK
- e. Revise 490 messages OK

Signed: _____
Principal Testing/Partner Contact

Print Name: _____

Print Title: _____

Testing Partner _____

Date: _____

Appendix D Testing/Partner Road Approval

Applicant Railroad: _____
Print or Type

Testing/
Partner Railroad: _____
 Primary Secondary

****CONFIRMATION BY TESTING RAILROAD****

The undersigned verifies that the applicant railroad successfully completed bilateral testing of the Rate EDI Network (REN) Central application with the testing/partner railroad as detailed in the REN Central Certification Manual. The above named applicant railroad has been accepted for processing in the production environment or change in software/communication in production REN Central application.

Testing was carried out between the period starting _____ and ending _____.

Signed: _____
Testing/Partner Contact

Print Name: _____

Print Title: _____

Testing/Partner Railroad: _____

Date: _____

Appendix E Industry Notification of Acceptance

Railroad: _____
SCAC: _____
Location: _____

The above named railroad has been certified for processing in the production environment or software/communication change in Rate EDI Network (REN) Central application. They will start transmitting with the REN Central system in a production mode beginning with the first of _____(month), _____(year).

Email notification will be sent to all REN participants after all required forms and information is received by Railinc.

Signed: _____
Railinc REN Certification Contact

Print Name: _____

Print Title: _____

Date: _____

Appendix F Carrier Contact List Form

The following individuals should be contacted for problem resolution:

Railroad: _____ Date: _____

Name: _____

Title: _____

Phone: _____ Fax: _____

Name: _____

Title: _____

Phone: _____ Fax: _____

Name: _____

Title: _____

Phone: _____ Fax: _____

Name: _____

Title: _____

Phone: _____ Fax: _____

**Emergency Contact-Nights, Weekends, Holidays*

Name: _____

Title: _____

Phone: _____ Fax: _____

Carrier Contact List Form—Instructions

This form (sample provided) is used to convey to Railinc who should be contacted concerning Rate EDI Network (REN) Central questions, problems or updates. Railinc requests at least one contact person for each REN Central participant road; please feel free to submit up to six. The first person on the list is considered the primary point of contact.