

**Case No. 12-M-0476 et al.  
 EDI Business/Technical Working Groups  
 Workpaper – Change Control Process  
 814D - Termination Fees at Account Closure – 6/30/2017**

**NY Change Request 1**

<b>Requester's Name:</b> Kim Wall	<b>EDC/EGS Name:</b>	<b>Phone # :</b>
<b>Date of Request:</b> 06/09/17	<b>Affected EDI Transaction Set #(s):</b> 814D	<b>E-Mail Address:</b>
<b>Requested Priority</b> Low	<b>Requested Implementation Date:</b>	<b>Status:</b>

**Brief Explanation:** NY has instituted a ruling that an ESCO is not allowed to charge any early termination fees when the account is closed due to the death of the account holder.

**Detail Explanation:** LDCs are being asked to send a new reason code DESC for a drop in the event that the account closes due to the death of an account holder. The new reason code will be represented in the REF1P segment of the 814D to inform the ESCO of the cancellation of the account and to ensure that no early termination fees are charged by the ESCO.

**For Change Control Manager Use Only:**

<b>Date of Discussion:</b> 6/9/2017	<b>Expected Implementation Date:</b>	
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**NY EDI Working Group Discussion and Resolution:**

6/9/17: During the EDIWG there was a discussion on the legality of a utility informing the ESCO of the death and if this would violate the customer's privacy. It was asked if the parties could get with legal counsel to see if this exchange is permissible under NY law.

**Priority Classifications**

<i>Emergency Priority</i>	<i>Implemented within 10 days or otherwise directed by NY EDI Working Group</i>
<i>High Priority</i>	<i>Changes / Enhancements implemented with 30 days. The next release, or as otherwise directed by NY EDI Working Group</i>
<i>Low Priority</i>	<i>Changes / Enhancements implemented no earlier than 90 days, Future Release, or as otherwise directed by NY EDI Working Group</i>

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**Segment:** **REF** Reference Identification (Drop Reason and Initiating Party)

**Position:** 030

**Loop:** LIN Optional (Must Use)

**Level:** Detail

**Usage:** Optional (Must Use)

**Max Use:** 1

**Purpose:** To specify identifying information

- Syntax Notes:**
- 1 At least one of REF02 or REF03 is required.
  - 2 If either C04003 or C04004 is present, then the other is required.
  - 3 If either C04005 or C04006 is present, then the other is required.

**Semantic Notes:** 1 REF04 contains data relating to the value cited in REF02.

**Notes:**  
 Request: Required  
 Response: Not Used

Utilities should describe their support of CHA and CHU codes in their Utility Maintained EDI Guides. It is recognized that in place of CHA and CHU codes, utilities can rely upon other codes, e.g. A13 with REF03 description, or non-EDI responses when customers contact utilities directly and EDI timing windows expire.

REF~1P~B38  
 REF~1P~020  
 REF~1P~A13~MAIL RETURNED

**Data Element Summary**

<b>Mand.</b>	<b>Ref. Des.</b>	<b>Data Element</b>	<b>Name</b>	<b>Attributes</b>
	<b>REF01</b>	<b>128</b>	<b>Reference Identification Qualifier</b>	<b>M ID 2/3</b>
			1P Accessorial Status Code Warnings associated with an accept status notification	
<b>Must Use</b>	<b>REF02</b>	<b>127</b>	<b>Reference Identification</b>	<b>X AN 1/30</b>
			020 Customer Moved or Account Closed Originates with the Utility.	
			A13 Other See explanation in REF03. May originate either with the ESCO or the Utility.	
			B38 Dropped (ESCO Initiated) Customer was dropped by the ESCO.	
			CHA Customer Changed to Another ESCO Upon Customer request: <ul style="list-style-type: none"> <li>• Sent by Utility to Incumbent ESCO in response to pending switch to another ESCO.</li> </ul> Upon Incumbent ESCO request (if supported by Utility): <ul style="list-style-type: none"> <li>• Sent by the Incumbent ESCO to request cancelation of a pending switch to another ESCO.</li> <li>• Sent by the Utility to the Pending ESCO to request cancelation of a pending switch to that ESCO.</li> </ul>	
			CHU Customer Changed to Full Utility Service If supported by Utility, sent by Utility to Incumbent ESCO in response to customer request to return to full service.	
			DEC Customer Account Closed - <u>Customer Deceased.</u> <u>Originates with the Utility - Account closed due to death of Customer.</u>	

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<b>Cond.</b>	<b>REF03</b>	<b>352</b>	<b>Description</b>	<b>X AN 1/80</b>
			Additional text information to aid in explaining the reason for a drop.	