

STATE OF NEW YORK
PUBLIC SERVICE COMMISSION

Guidelines for Filing Documents with the Secretary

The Department of Public Service is extending the Document and Matter Management (DMM) System to all parties with which it interacts. DMM enables the submission and issuance of electronic documents with and from the Commission. Rather than attempting to capture ever-changing technologies within the Commission's regulations (which would require committing to rewriting the regulations with every technological development), the following current and specific guidelines for submissions are offered below. The Commission's Regulations, contained in 16 NYCRR Parts 1-6, 8 and 17, are under review and revision to incorporate references to electronic filing, distribution and issuance of documents. These draft regulations will be posted on the Commission's website at <http://www.dps.state.ny.us>. The guidelines below will govern submission of documents until the draft regulations are adopted. After adoption of the regulations, these guidelines will supplement and clarify expectations for all parties filing with the Secretary. These particular guidelines are not intended to be permanent; as technological processes and capacities change, so too will the guidelines.

PSC Guidelines for electronic filings:

- Format:
 - Documents must be written with Courier New or Times New Roman fonts.
 - Graphics may be included in a document; however, maps, diagrams, charts, photos, schematics, and drawings must be submitted separately on a CD or DVD.
 - To minimize file size, letterhead must appear on an electronic documents cover page only.

- Filings:
 - Electronic submissions must be no larger than 25 MB, if the file is larger, it should be submitted in sections no larger than 25 MB.
 - Electronic documents must be in an Adobe Acrobat/International Standards Organization (ISO) 32000-1 format file with 'Image+Text' of the original document included. The purpose of this requirement is to assure that the content of the document is accessible, searchable, can be indexed, printed and/or copied, and that the original appearance of the document is retained.

- Documents containing confidential information:
 - The DMM system will automatically preserve the confidentiality and direct the document to the appropriate addressee within the Department.
 - Participants in the e-filing pilot program must follow the instructions for filing confidential documents. A motion for confidentiality must be in a separate file from the document alleged to contain the confidential information. The DMM system will prompt users to file the motion separately. The motion must explain

why the alleged confidential information meets the qualifications (found in 16 NYCRR §6-1.3) for an exception from disclosure.

- For all other parties, the motion for confidentiality and any cover letter should be filed with the Secretary and sent to the Administrative Law Judge (ALJ), where one is assigned, or to the Records Access Officer, when no ALJ is assigned, but the allegedly confidential document itself should be sent only to the ALJ or the Records Access Officer, as applicable. We encourage all submissions to the Records Access Officer to be made electronically to recordsaccessofficer@dps.state.ny.us. The ALJ presiding in a case will likely indicate the preferred form of service on the ALJ.
 - Unless the cover letter or email clearly identifies that the attached document for filing contains confidential information, any filing received by the Secretary will be deemed to be public and will be posted to the Commission's Web site.
- E-signatures:
 - Procedures for implementing electronic signatures for persons filing documents with the Secretary are under development. These procedures, when finalized, will be posted with these guidelines.
 - Verified Documents:
 - Currently, official verified documents may be submitted in paper copy only. Once the procedures for implementing e-signatures are finalized, this guideline will be modified.
 - Further requirements:
 - Both electronic and paper-copy only submissions shall be received no later than 4:30 PM on the due date. This will permit the Office of the Secretary to process and enter the filed document into the DMM system for public access.
 - Requests:
 - Any requests for exceptions from the guidelines should be made to the Secretary.
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