

# Document & Matter Management

## Terminology, Business Rules, and Guidelines

### Basic Terminology

- **Matter:** The term Matter refers to an issue or a set of related issues, the outcome of which is properly influenced or decided by the Department. Any work done, any information submitted or gathered, and any records prepared within the Department related to a matter are part of it, including the Department's response. Matters typically have a start date and an end date. Ongoing regulatory activities of an Office can be included as a matter by breaking the activity into periods, such as months or calendar quarters.

In DMM each Matter has a unique Matter Number, which is in the following format: **YY-XXXXX**  
**YY** are the last two digits of the year the Matter was created.  
**XXXXX is a sequence number.**

All Matters have a Matter Number.

- **Case:** The term Case is a type of Matter which is intended to go before the Commission or which someone wishes to designate as a case. Cases have definite activities, called workflows, and schedules that are associated with actions being taken by the Commission at a public meeting.

In DMM each Case has a Matter Number and a Case Number. Case numbers have the following format: **YY-A-XXXX**  
**YY** are the last two digits of the year the Case was created.

**A** is a single alphabetic character for the Industry Affected. Industries are as follows:

- C – Communications
- S – Steam
- E – Electric
- T – Transmission
- G – Gas
- V – Cable
- M – Multiple Industries
- W - Water

**XXXX** is a **sequence number.**

Matter Numbers and Case Numbers are not necessarily the same. Either may be used to retrieve Matter/Case information. Case Numbers will be used in preference to Matter Numbers by the general public, due to the action by the Commission.

### Business Rules

In making a filing for a new Matter/Case, the Industry Affected, Matter Type and Matter Subtype for a Matter/Case is used as a key to find the correct Business Rule.

For each Business Rule there are determinations that a Matter:

- Requires Commission action, i.e., a Case
- Requires SAPA Notices and Hearings
- Has automatic approval and closure

Business Rules also establish the routing of the Matter to the various Department of Public Service Offices.

## Guidelines

The Secretary of the Commission has established specific guidelines for the filing of documents that will apply 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 guidelines are not intended to be permanent; as technological processes and capacities change, so will the guidelines. The guidelines may be found at <http://www.dps.ny.gov/filingguidelines.html>