Windsor Solutions, Inc.

nFORM

Public User Guide

Revision Date: Thursday, July 16, 2020

WINDSOR SOLUTIONS | Environmental + Health Information Systems

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2 Welcome to New York DEC's nFORM Help Tool

Streamlining and implementing an electronic permitting process is a means of providing benefits for the public, including the agency's environmental programs who review and approve these permits.

This tool provides a central public web access point purposed to consolidate, educate and facilitate permit, approval, and payment of applications across the agency. It is comprised of a guided process to help the website user choose forms and an online submission feature that will create an electronic record and produce an electronic submission file. This system serves a centralized web presence for permits and approvals. It will be geared towards a greater span of customers. This system includes a central data repository and the implementation of standards to ensure greater data integrity and reporting possibilities of the permit application information.

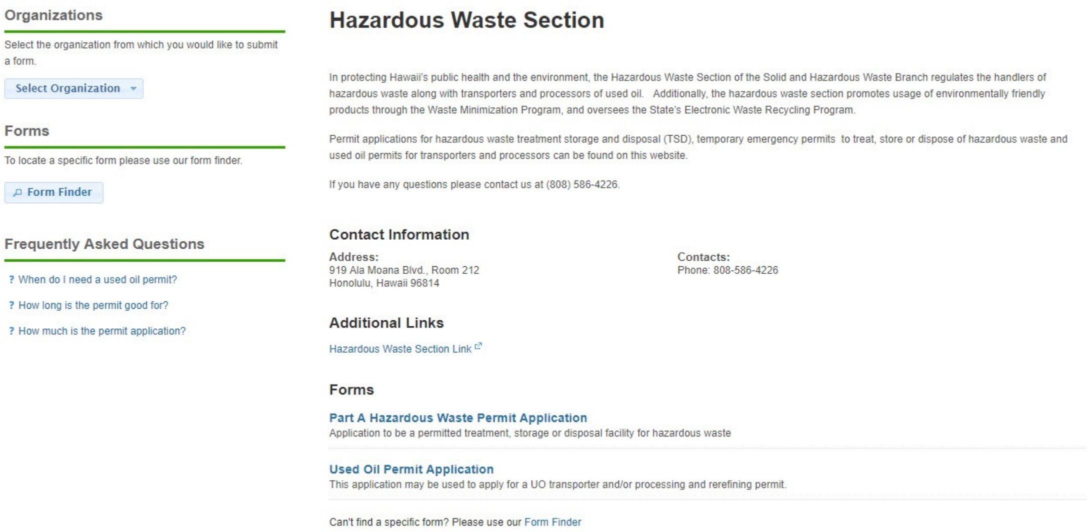
3 Form(s) Identification

The first step in the submission process is to identify which forms will need to be submitted based on the activities you are attempting to be permitted or the type of approval you are requesting. There are two primary options supporting form selection. These two options include:

- **Select an Organization (Section 3.1)**: Select the appropriate forms based on the organization (Air, Water, etc.) who issues the form(s) you require.
- **Searching for a Form (Section 3.2)**: Search for the appropriate forms based on the name (or other properties) of the form you require or by describing the activity you are seeking approval for.

3.1 Select an Organization

This area describes how to select an organization from the organization browser and view the organization information page. From an organization, all the forms will be listed and any organization specific instructions/information will be provided.



Steps:

1. Click on the **Select Organization** button.

2. Mouse over the organization list and highlight the desired organization.

3. Click on the desired organization.

4. After selecting an organization, the details for the organization will be displayed as well as any forms related to the organization.

3.2 Searching for a Form

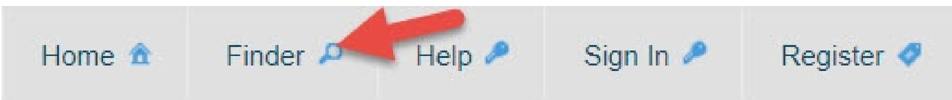
This area describes how a user will search for a form within the system. Forms can be located by searching for a form using the **Form Finder** tool and then selecting the form from the **Recommended Forms** links.

The search tool provided allows you to either search for a specific keyword, or a natural language search in which you type in the activity that you are trying to do and it will attempt to identify the form you are looking for.

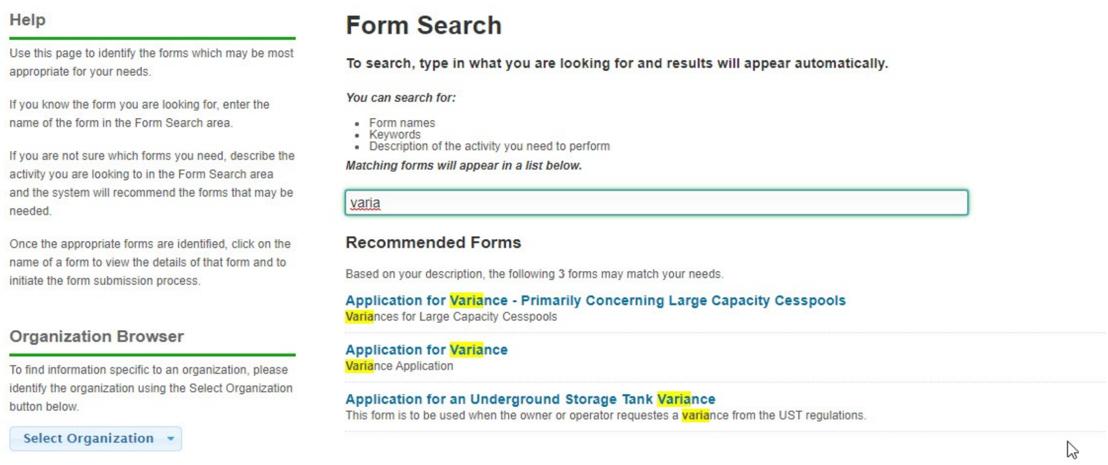
> Example of a natural language search: I need a form for Drinking Water Eligibility

Steps:

1. Click on the **Finder** link in the header.



2. Type in keywords you would like to use to identify the appropriate form(s) (example: wind power, wind, offshore) or describe the activity you would like to perform.



3. Potential matches will begin to appear under the **Recommended Forms** heading. The forms will be ordered based on applicability to your provided keywords or the activity you described.

4. Click on the form name link for the form that best matches your needs. Please review the summary of each returned forms to ensure relevance to your specific needs.

4 Submitting Form(s)

After you have selected the form you want to submit, the next step is to provide the information required, submit the form .

This section will describe the primary options for submitting a form. The topic(s) in this area include:

- **Starting and Submitting a Form:**
  - **Submit a Form (Section 4.1)**: The details of how to submit a form for review.
  - **View Users with Access to Submission (Section 4.2):** The details of how to view users with access to the submission.
  - **Share Submission (Section 4.3):** The details of how to share access to the submission with other users.
  - **Identify Users Currently Viewing/Editing the Submission Section (Section 4.4):** The details of how to identify users who are currently viewing/editting the submission section the user is working within.

See the **Managing Your Submission (Section 5)** topic for information pertaining to managing your submission, once started.

Please note that a submission ***must be officially certified, submitted and in some cases paid for*** by the submitter for it to be available for review by the agency. The agency will ***not*** have visibility or access to draft submissions that are not yet submitted. The agency will ***not*** review form submissions until any associated fees have been paid in full.

4.1 Submit a Form

After selecting the form to submit, the wizard will walk the user through the process of providing the information required by the issuing department or program, submitting the form and printing the payment voucher for any associated fees with the form and to paying any applicable fees for the form. Each step included in this process is detailed below.

The sections present for a given form, will depend on the needs and configuration of the form in question.

Please note that a form ***must be officially certified, submitted*** by the submitter for it to be available for review by agency staff. The agency will ***not*** have visibility or access to draft forms that are not yet submitted. The agency will ***not*** review form submissions until any associated fees have been paid in full.

Form Instructions

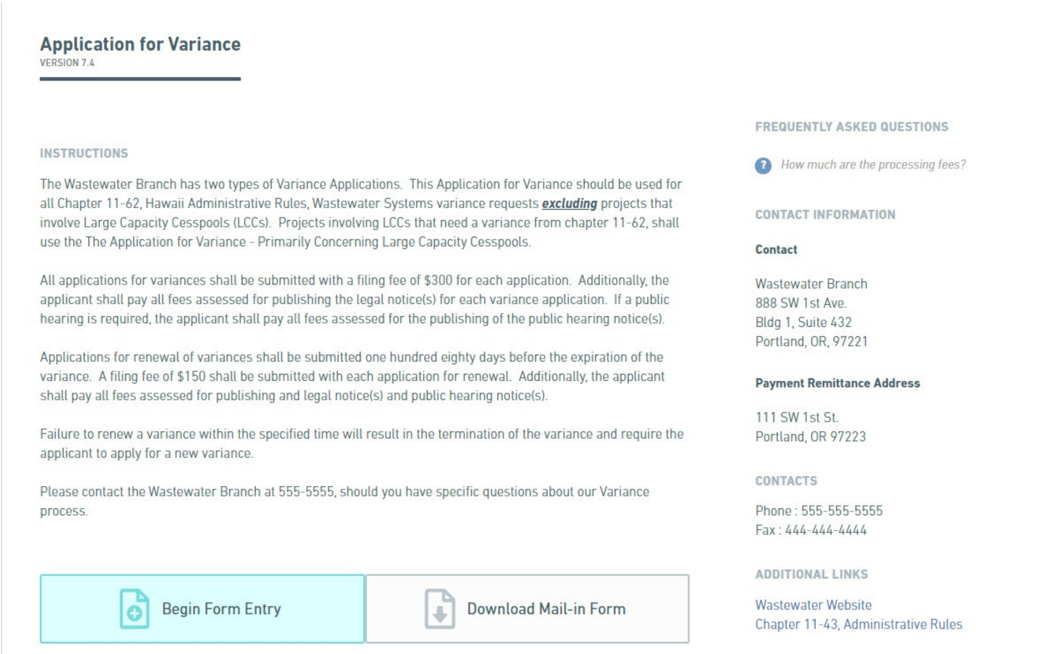
The Form Instructions provides the user with information specific to the selected form and information pertinent to processing submissions of this form type. Click **Begin Form Entry** button to start a new online submission.

When available, the user has the option to download a paper based, mail-in, submission form. This option can be utilized by clicking on the **Download Mail-In Form** button, if visible.

Typically, a user will need to be signed in to the system prior to submitting a form. When enabled, the user will have the option to submit a form as a guest (without signing in to the system). This option can be utilized by clicking on the **submit as a guest** link, if visible, which will be displayed where the **Begin Form Entry** button is normally displayed.

If present, the user can click upon the **Download Mail-In Form** button to download a PDF version of the form for offline entry, population and review. This form will be mailed back to the agency as instructed within the form. Note: processing of these mail-in forms can be slower than when using of the online system.

If present, the user can click upon the **Print Blank Form** button to download a PDF version of the form that can be used for reference and investigatory purposes only. This form is not intended to be used as a mail-in form and may not be accepted by the agency, if received in this format.

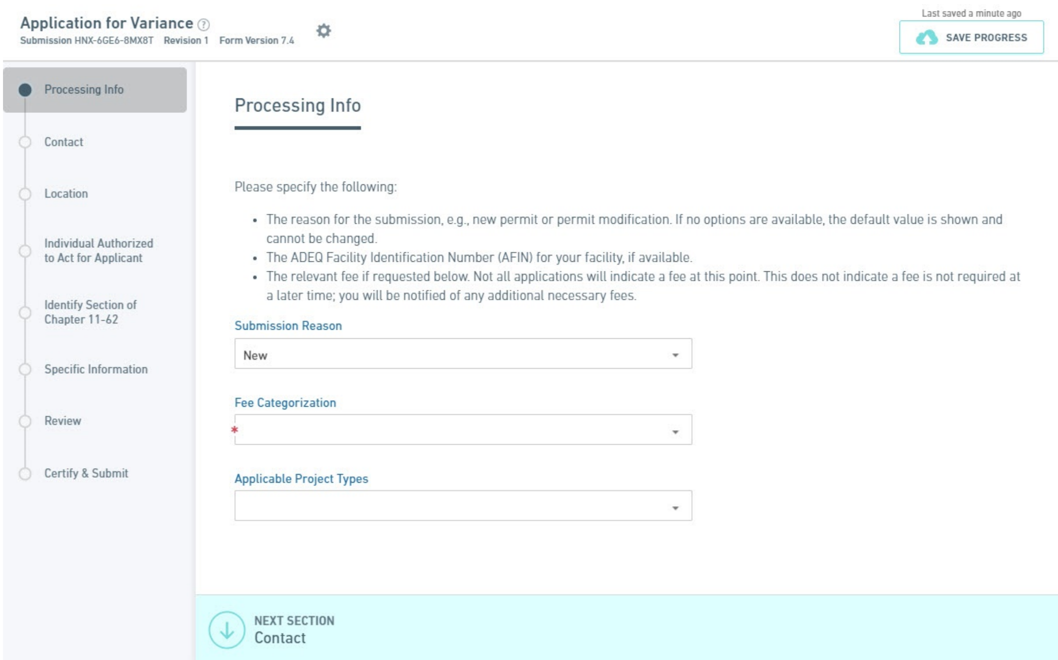


Processing Info Section

If present, the **Processing Info** section allows the user to provide generic processing information about the form submission, as required and select the fee categorization, if applicable. When comfortable with the information provided and displayed, click **Next Section** button to move to the data entry sections in the process.

At any time, the **Save Progress** button can be clicked to save the form submission in its current state and conclude data entry for the time being. The submission wizard can reopened by clicking on the **History** link at the top of the form and selecting the **Edit** button next to the appropriate form submission.

Navigate between sections using the **Next Section** buttons, at the bottom of the wizard or by clicking on a section name in the left panel.



Data Entry Sections

During the **Data Entry Sections** of a form submission, you will be required to provide the information as specifically requested by the form. A form will be divided into one or more data entry sections that are relevant to the form in question. The user is not required to be complete a section to navigate to other sections of the form.

To complete data entry, all questions will need to be reviewed and answered with valid entries. All required fields must be entered. Required fields will be marked with a yellow or red asterisk in the upper left corner of the field.

As an indication of the status for each section (sections are listed on the left), the following visual cues are provided by the system:

Data Entry Sections

During the **Data Entry Sections** of a form submission, you will be required to provide the information as specifically requested by the form. A form will be divided into one or more data entry sections that are relevant to the form in question. The user is not required to be complete a section to navigate to other sections of the form.

To complete data entry, all questions will need to be reviewed and answered with valid entries. All required fields must be entered. Required fields will be marked with a yellow or red asterisk in the upper left corner of the field.

As an indication of the status for each section (sections are listed on the left), the following visual cues are provided by the system:

 A white circle represents a section that has not yet been validated.

 A black circle represents a section that is currently in use.

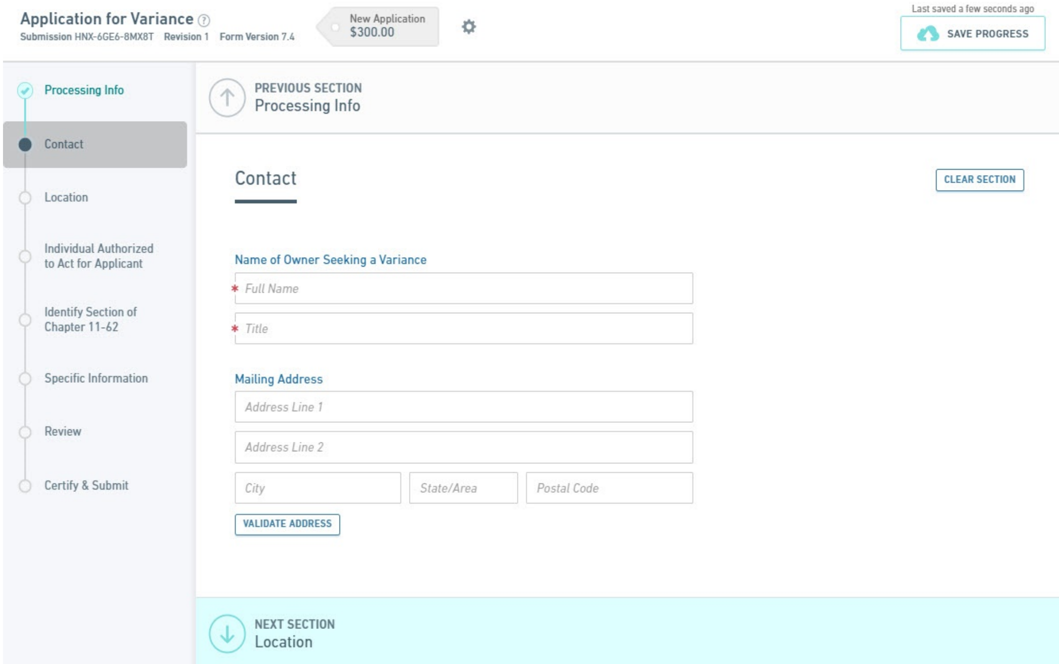
 A red X represents a section with missing or invalid data entered.

 A blue check mark represents a section that has all required information filled out and no invalid entries.

> At any time, the **Save Progress** button can be clicked to save the form submission in its current state and conclude data entry for the time being. The submission wizard can reopened by clicking on the **History** link at the top of the form and selecting the **Edit** button next to the appropriate form submission.

> Navigate between sections using the **Previous Section** and **Next Section** buttons, at the top and bottom of the wizard, respectively, or by clicking on a section name in the left panel.

> The data entry sections may present several different types of questions to capture the data that is required for submitting a particular form.



At any time, the **Save Progress** button can be clicked to save the form submission in its current state and conclude data entry for the time being. The submission wizard can reopened by clicking on the **History** link at the top of the form and selecting the **Edit** button next to the appropriate form submission

Navigate between sections using the **Previous Section** and **Next Section** buttons, at the top and bottom of the wizard, respectively, or by clicking on a section name in the left panel.

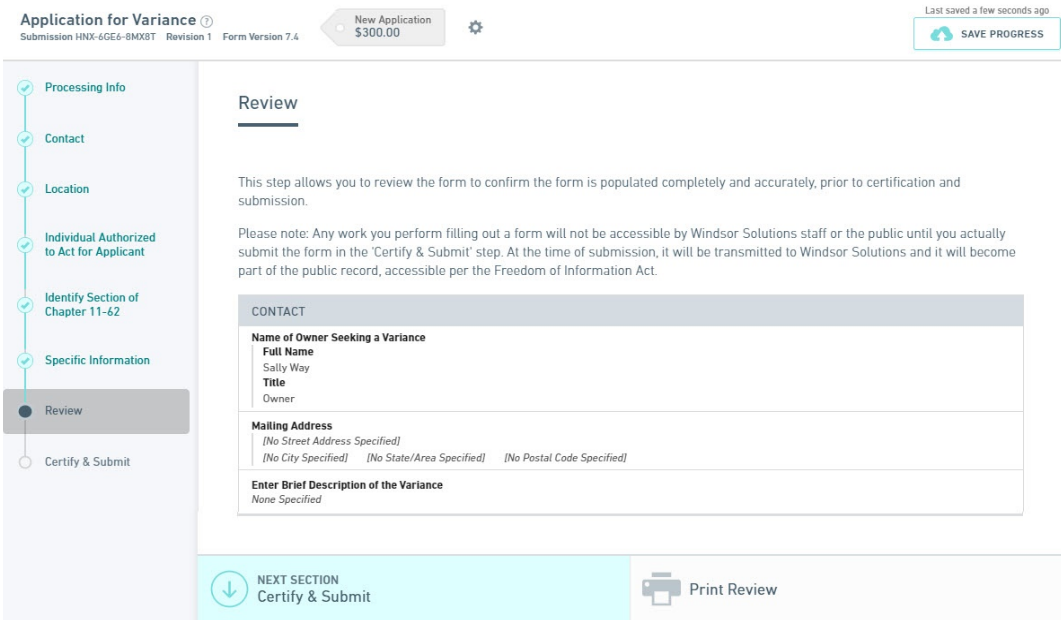
The data entry sections may present several different types of questions to capture the data that is required for submitting a particular form.

Review Section

If present, the **Review** section provides the user with the opportunity to review and inspect the information entered prior to submission. The user has the ability to print the form submission from this location by clicking the **Print Review** button, if a physical copy is desired for reviewing purposes. If the information provided is deemed accurate and complete, click **Certify & Submit**/**Signing** to move to the Certify & Submit/Signing section in the process.

At any time, the **Save Progress** button can be clicked to save the form submission in it's current state and conclude data entry for the time being. The submission wizard can reopened by clicking on the **History** link at the top of the form and selecting the **Edit** button next to the appropriate form submission

Navigate between sections using the **Previous Section** and **Certify & Submit**/**Signing** buttons, at the top and bottom of the wizard, respectively, or by clicking on a section name in the left panel.



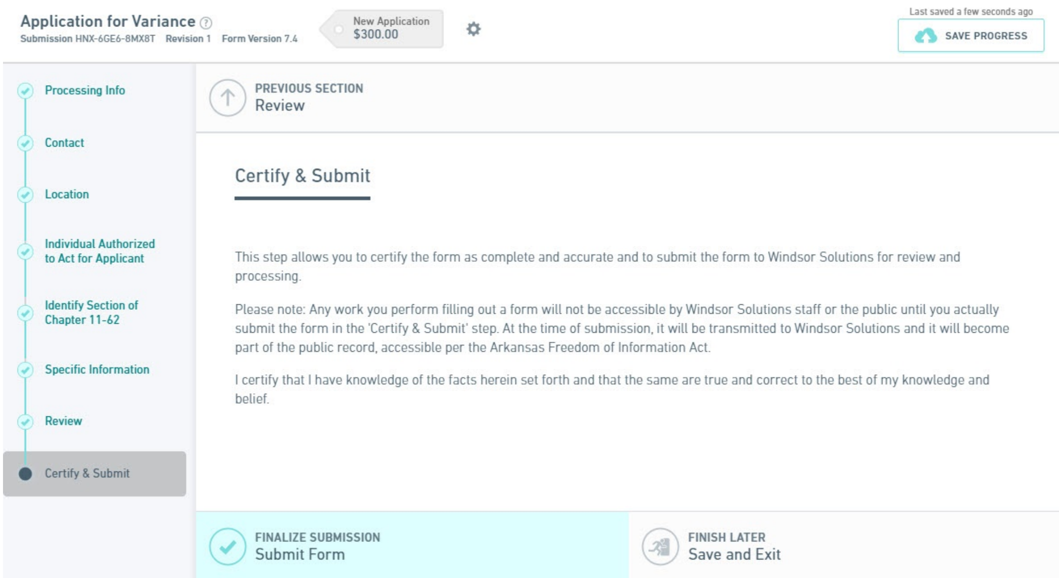
Certify & Submit/Signing Section

Depending on the certification/signing requirements for the form, this section may be presented differently. The two primary presentations include: Certify & Submit or Signing. Certify & Submit includes a standard certification agreement prior to submission. Signing includes a more stringent electronic/digital signature feature. Examples of each are presented below.

Certify & Submit

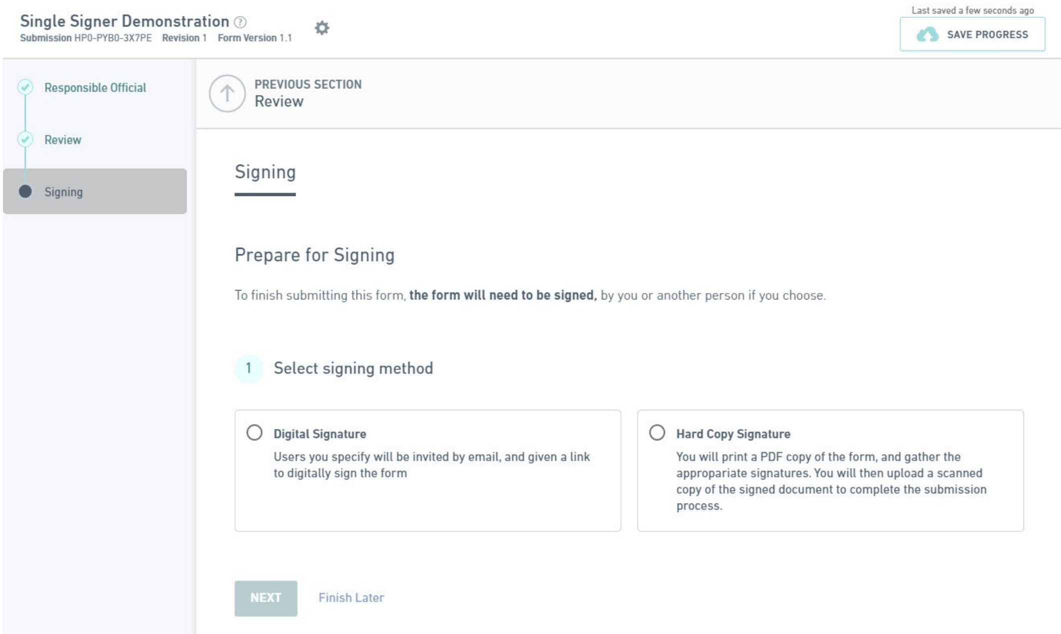
In the **Certify & Submit** section, the user will acknowledge the cerification statement and certify the submission by clicking the **Certify and Submit** button. If the form has a fee and payment is required, the user will proceed to the **Payment** section, otherwise the user will be navigated to the **Submission Confirmation** section.

> The **Finish Later - Save and Exit** button can be clicked to save the form submission in its current state and conclude data entry for the time being. The submission wizard can reopened by clicking on the **History** link at the top of the form and selecting the **Edit** button next to the appropriate form submission.



Signing

In the **Signing** section, the user may be offered the option of providing a digital signature (online) or hard copy signature (physical paper signature).



When **Hard Copy Signature** is selected, the user will be presented with the **Download Certification Form** button where the form can be downloaded, printed, reviewed, signed and returned to the agency.

When **Digital Signature** is selected, the user will be walked through the invitation and signing process. These steps will be followed as a part of this process:

- Click **Next** to navigate to the Choose Signers step.
- When a single signature is required, the user will select who will sign the submission (**Me** or **Someone else**).
    - When **Me** is selected, the user will be required to acknowledge several submission agreement statements and sign the submission by entering their account password, answering a security question and clicking the **Sign** button.

> The **Sign** button will not be disabled until all acknowledgements are acknowledges and the users password/challenge question is provided.

- When **Someone else** is selected, the user will be presented with the roles required for signature (if more than one). Click **Next** button if presented with required roles. The user will be provided with the ability to invite others to sign the submission. The user will provide the signor(s) email address and any special instructions. Upon clicking the **Send Invite** button, signing invitation(s) will be sent to the invitee(s). The invited signers will be required to click on the link on their invitation email (or open the submission and navigate to the signing area) to sign the submission. The invited signers will be presented. This signers user will be required to acknowledge several submission agreement statements and sign the submission by entering their account password, answering a security question and clicking the **Sign** button.

> The **Send Invite** button will not be disabled until signer email(s) are provided.

> Once signings have occurred, if the form is reopened for editting (e.g., user clicks on the **Continue Editting Draft** button), all current signings will be removed from the submission.

Submission Received/Completed Section

This **Submission Received/Completed** section confirms that the form submission was successfully submitted to the agency, displays the unique Submission # assigned to this submission for tracking purposes, any fees charged applied to the submission. In addition, this section provides a means of paying any applicable fees for the form submission, if applicable. The fees due will be displayed in the Fee Details section on the page and means for paying the fees will be presented.

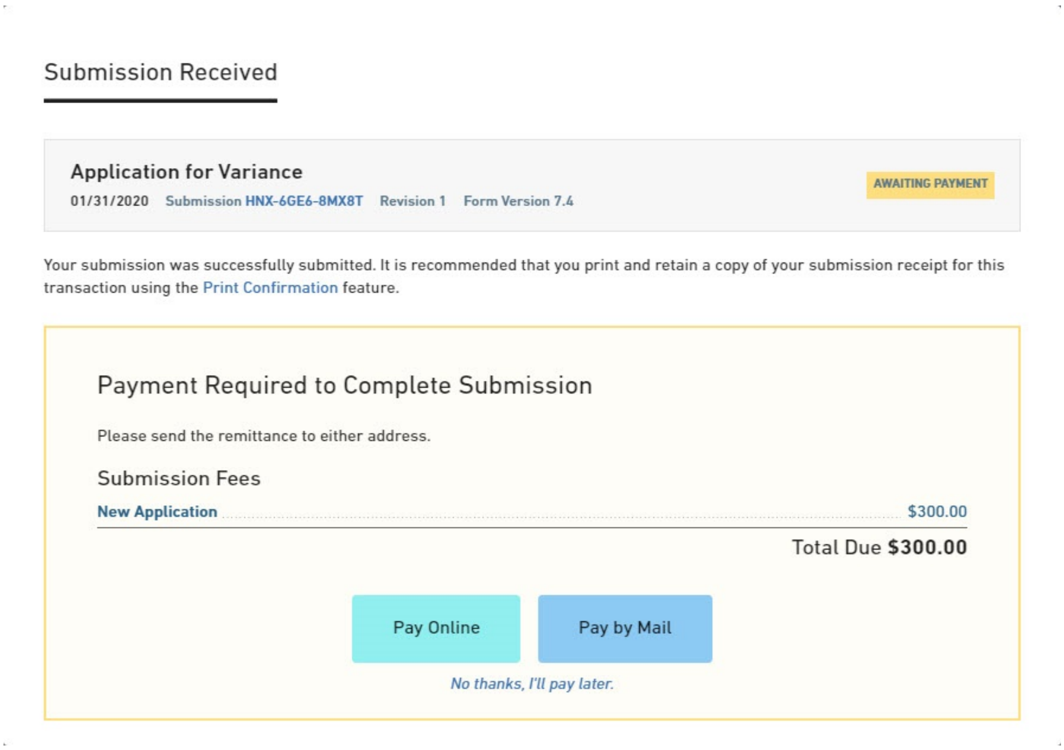
> If the form does not require a fee, this **Submission Received** section will be skipped and the user will be navigated to the **Submission Complete** section.

Pay Online: If the form accepts online payments, a button labeled **Pay Online** will be available and this will allow you to make an online payment through the online payment service.

Pay by Mail: If payments by check are accepted, click the **Pay by Mail** button and a printable form for making such a payment will be displayed. If not prepared to make a payment at this time, click the **No thanks, I'll pay later** option to continue. Please note that your submission will not begin processing until payment in full is received and cleared.

No thanks, I'll pay later: If you are not prepared to make a payment at this time, click the **No thanks, I'll pay later** option to continue. Please note that your submission will not begin processing until payment in full is received and cleared.

> At this point in the process, the form is considered submitted and is visible within the agency. The form submission will ***not*** be reviewed and processed until payment is received for the form submission.



4.2 View Users with Access to Submission

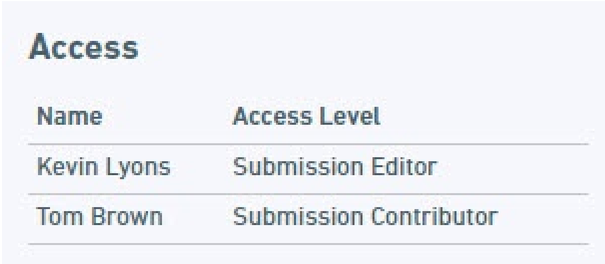
Users can be given access to enter data in the submission. Users can be provided with access to enter data on the submission and elevated user rights can be provided to add/remove users who have access to the submission.

This topic describes how to view the users who have access to work on the submission (excluding the current user) and their level of access.

Steps:

To view users with access to work on the submission (excluding the current user), perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Navigate down the page to the Access area, in the right panel.
3. A list of the users with access to the submission (excluding the current user) is displayed.



4.3 Sharing a Submission

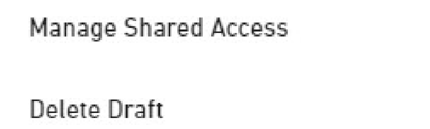
Submissions can be shared with other users to support collaborative data entry and review.

This topic describes how to share a submission with another user.

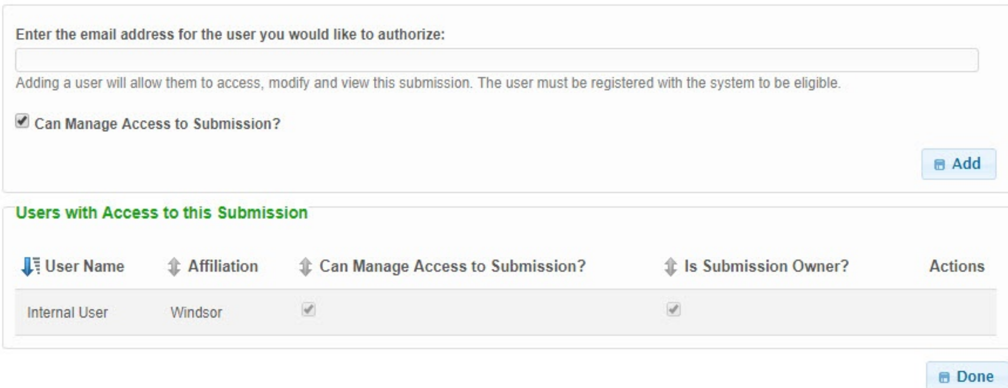
Sharing Submission from Submission Wizard

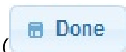
When completing a form submission the user will have the ability to share the submission with another person so they can enter data, review data or invite other users to work on the submission. The following process describes how to share a submission with another user from the Submission Wizard.

To share access to the submission with other users from the Submission Wizard, follow these steps:

1. Open the draft submission in edit mode in the Submission Wizard using the steps described in the **Edit Draft Submission (Section 5.4)** topic, if not already open.
2. Select the **Options** icon ().
3. Select the **Manage Shared Access** button (

) to open the Manage Access to the Submission page.



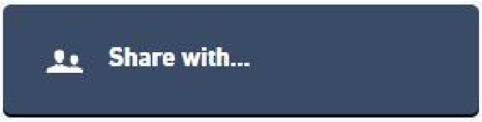
4. To share the submission, type in the email address of the user whom will receive access. Indicate if the user will be allowed to add or remove other users from the submission by selecting the **Can Manage Access to Submission?** checkbox. Select the **Add** button to add the user to the submission.
5. The system will then verify that the user exists in the system and will prompt you to confirm the selection.
6. Click the **Confirm** button to approve the user, after approval, the user will display in the list of authorized users in the grid below. After adding the user, they will be sent an email with instructions on how to access the submission.
7. Click the **Done** (

) button to return to the submission.

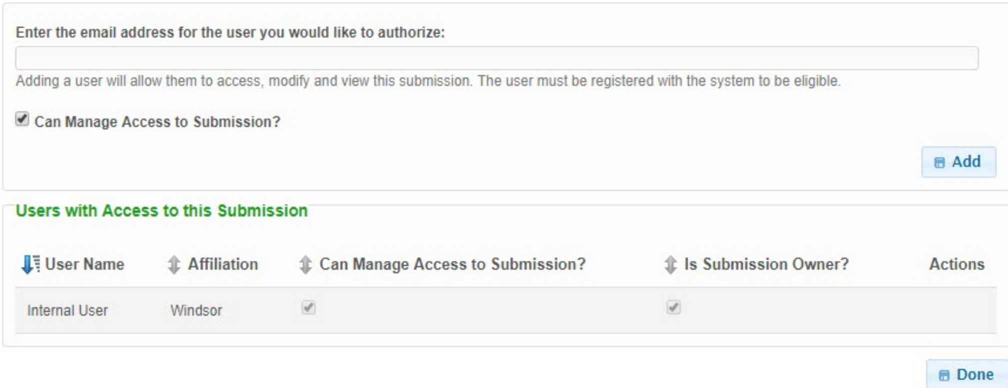
Sharing Submission from Submission Overview

When completing a form submission the user will have the ability to share the submission with another person so they can enter data, review data or invite other users to work on the submission. The following process describes how to share a submission with another user from the Submission Overview area.

To share access to the submission with other users from the Submission Overview area, follow these steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Click the **Share With** button (

) in the Access area down the page in the right panel to open the Manage Access to the Submission page.



3. To share the submission, type in the email address of the user whom will receive access. Indicate if the user will be allowed to add or remove other users from the submission by selecting the **Can Manage Access to Submission?** checkbox. Select the **Add** button to add the user to the submission.
4. The system will then verify that the user exists in the system and will prompt you to confirm the selection.
5. Click the **Confirm** button to approve the user, after approval, the user will display in the list of authorized users in the grid below. After adding the user, they will be sent an email with instructions on how to access the submission.
6. Click the **Done** (

) button to return to the submission.

4.4 Identify Users Editing Submission Section

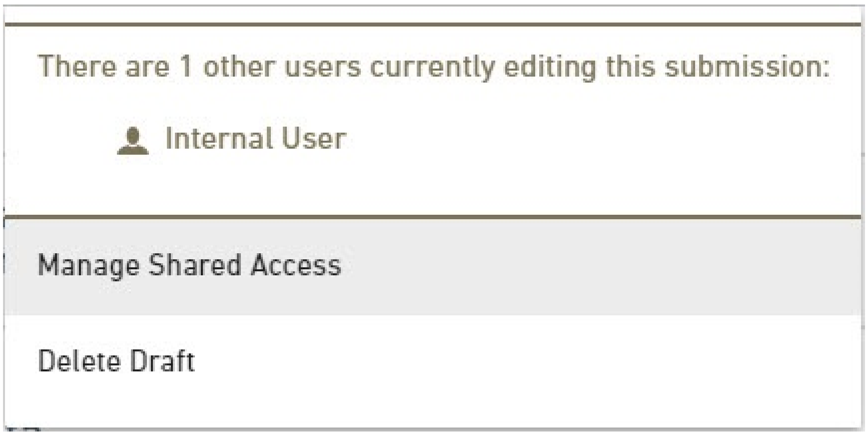
Users have the ability to view other users who are viewing/editing the section the current user is working within.

This topic describes how the user can view the other users who are viewing/editing the same section of a form.

> This feature is only available when multiple users are editing the same form submission section. When multiple users are editing the same section, an alert notification icon will display with the **Options** icon () in the upper left hand corner of the Submission Wizard.

Steps

1. Open the draft submission in edit mode in the Submission Wizard using the steps described in the **Edit Draft Submission (Section 5.4)** topic, if not already open.
2. If the submission is currently being edited by another user, an alert notification icon will display with the **Options** icon () at the top left of the page.
3. To Identify the other user, select the **Options** icon (). A window will open with text identifying the other user.


There are 1 other users currently editing this submission:
Internal User
Manage Shared Access
Delete Draft

5 Manage Your Submission

Once a form is submitted, authorized users will have the ability to view and manage the submission.

A historical list of all form submissions that were created and/or submitted is provided on the History area of the portal. From this area a submitter can view the status of any submission; populate, submit and/or delete draft submissions; and revise and/or view previously submitted forms. The list of the users submissions can also be printed, if needed.

This section describes the primary options for managing a submission. The primary topics in this area include:

- **Open Submission**
  - **View Submissions (Section 5.1)**: The details of how to view the list the submitters submissions.
  - **Viewing a Submission (Section 5.3)**: The details of how to view the information included in a submission as well as to review the current processing status (following certification and submission).
  - **Change Name of Submission (Section 5.2)**: The details of how to customize the name of the submitters submission(s).
  - **Viewing a Submission (Section 5.3)**: The details of how to view the information included in a submission as well as to review the current processing status (following certification and submission).
  - **Edit a Draft Submission (Section 5.4)**: The details of how to edit a draft submission and complete the submission process.
- **Review and Manage Your Submission:** There are many options form managing a submission which are available from the Submission Overview area. Below is a description of the primary options available for a form submission.
  - **View Submission Summary (on-line documentation):** The detail of how to open and view the Submission Summary.
  - **Edit a Draft Submission (Section 5.4):** The details of how to edit a draft submission and complete the submission process.
  - **Revise Submitted Form (Section 5.5):** The details of how to revise and resubmit a form for review.
  - **View and Address Correction Requests (Section 5.6):** Correcting issues noted by the processor of the form.
  - **View Submission Form Questions & Responses (Section 5.7):** The detail of how to open and review the Submission Form Questions & Responses.
  - **View and Compare Submission Revisions (Section 5.8):** The details of how to view different versions of a submission and how to compare two versions of a submission highlighting differences.
  - **View the Processing Workflow (Section 5.9):** The details of how to view the key steps in the processing workflow for the submission.
  - **Print a Submission (Section 5.10):** The details of how to print the submission.
  - **Download a Submission (Section 5.11):** The details of how to download a copy of the submission and any related attachments.
  - **View Attachments (Section 5.12):** The details of how to view the attachments associated with the form submission.
  - **View Active Processing Steps (Section 5.13):** The details of how to view the processing steps that are currently active for the submission.
  - **View Submission Status History (Section 5.14):** The details of how to view the history of processing status assignments for the submission.
  - **Submission Confirmation (Section 5.15): The details of how to navigate to the confirmation of submission**
  - **View Submission Financials (Section 5.16):** The details of any fees assessed, payment(s) made and any outstanding balance.
  - **Make Payment (Section 5.17):** The details of how to make a payment, if an outstanding balance exists.
  - **Download Payment Voucher (Section 5.18)**: The details of how to download a Payment Voucher used for the remittance of payment.
  - **View Contact Info (Section 5.19):** The details of how to view contact information for the form submission.

- **View Users with Access to Submission (Section 4.2):** The details of how to view users with access to the submission.
- **Share Submission (Section 4.3):** The details of how to share access to the submission with other users.
- **Delete Draft Submission (Section 5.22)**: The details of how to delete a draft submission.

> Please note that a submission ***must be officially certified, submitted and in some cases paid for*** by the submitter for it to be available for review by the agency. The agency will ***not*** have visibility or access to draft submissions that are not yet submitted.

5.1 View Submission History

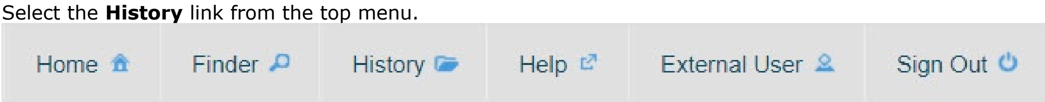
The submission History page allows a user to view, resume (*edit if not submitted*) or delete (*if not submitted*) their form submissions.

This topic describes the capabilities of the History page.

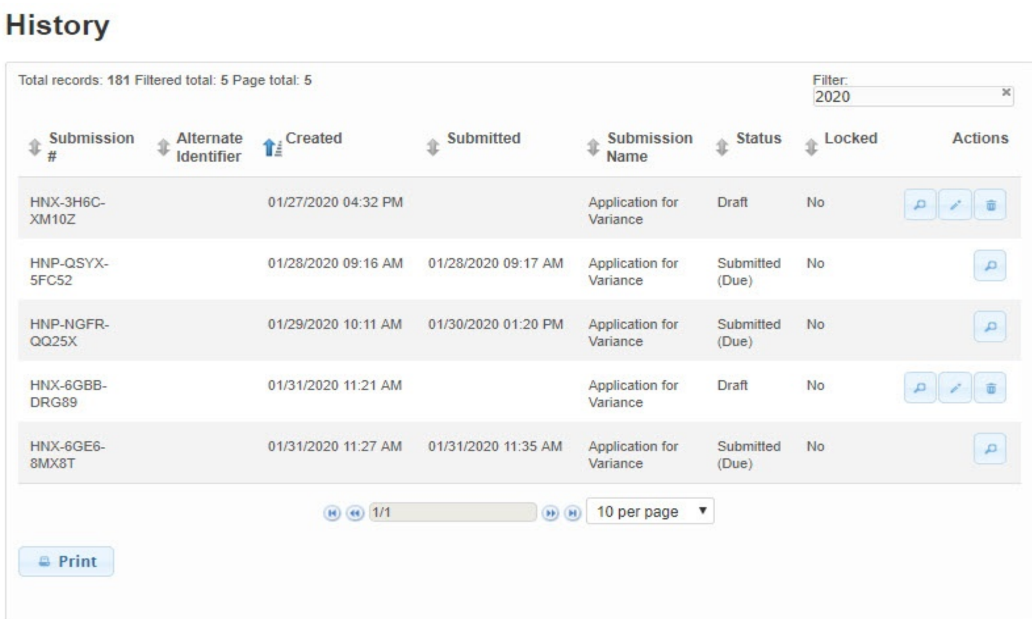
Steps

To open the submission history list, perform the following steps:

1. Sign into the system.
2. Select the **History** link from the top menu.



3. A list of all your form submissions will be displayed.



Submission #	Alternate Identifier	Created	Submitted	Submission Name	Status	Locked	Actions
HNX-3H6C-XM10Z		01/27/2020 04:32 PM		Application for Variance	Draft	No	
HNP-QSYX-5FC52		01/28/2020 09:16 AM	01/28/2020 09:17 AM	Application for Variance	Submitted (Due)	No	
HNP-NGFR-QQ25X		01/29/2020 10:11 AM	01/30/2020 01:20 PM	Application for Variance	Submitted (Due)	No	
HNX-6GBB-DRG89		01/31/2020 11:21 AM		Application for Variance	Draft	No	
HNX-6GE6-8MX8T		01/31/2020 11:27 AM	01/31/2020 11:35 AM	Application for Variance	Submitted (Due)	No	

5.2 Change Name of Submission

A custom submission name can be specified by the submitter, as desired for reference purposes. This can be helpful to distinguish submission when the submitter submits the same form for multiple sites/companies, etc.

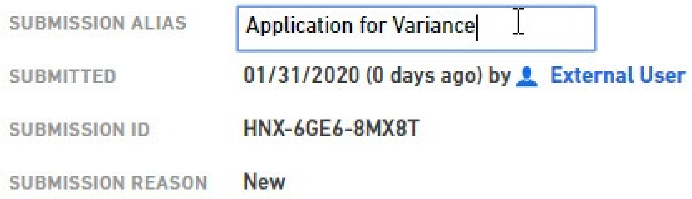
> This custom submission name provided from the submitter is not used by the internal agency staff.

This topic describes how to assign a custom name to a submission.

Steps

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.

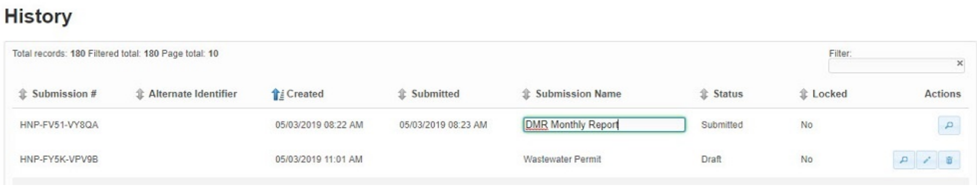
2. Click on the Submission Alias value in the Submission Information section of the Summary section of the Submission Overview page to enter the field in to an edit state.



3. Enter the new name and click out of the Submission Alias fiel

Variations

- Open the History form using the steps described in the **View Submission History (Section 5.1)** topic.
- Click on the **Submission Name** value for the submission in question. This will make the **Submission Name** value into an editable field. Type the desired submission name and click out of this editable field.



- The new submission name will be saved.

5.3 Viewing a Submission

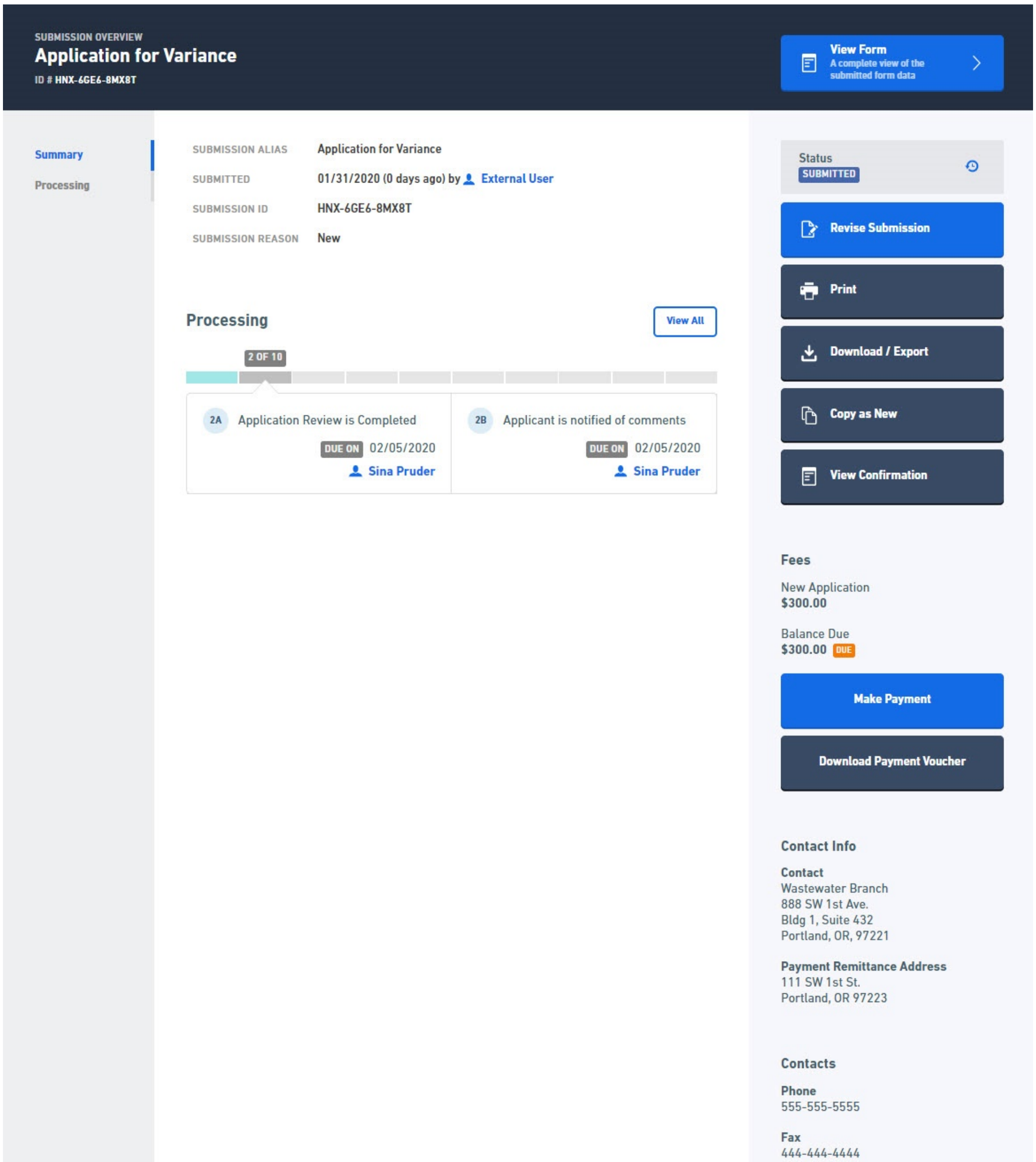
The details of a particular form submission that is associated to the submitter can be opened and viewed from the Submission History list page.

This topics describes how the submitter can view a submission.

Steps

The submitter can open and view a submission using the following steps:

1. Open the History form using the steps described in the **View Submission History (Section 5.1)** topic.
2. Select the **View** icon View () to the right of the submission.
3. The Submission Overview area will be presented to the user.



5.4 Edit a Draft Submission

When a submitter does not complete the form submission process (i.e., the form submission is assigned a Draft status), editing can continue on the form submission, at a future date.

This topics describes the steps required to reopen and continue editing a draft form submission.

> Only submissions with a status of "Draft" are eligible to be edited. To make changes to a submission after it has been submitted, a revision must be established and resubmitted. See the **Revise Submitted Form (Section 5.5)** topic for further details.

> In some instances, if the agency makes adjustments to the form used for a submission, the agency may choose to automatically upgrade the form used for a submission to the latest form definition. In this scenario, when the submitter opens their form submission, they will be notified that the form will be promoted to the latest version and the form may include some adjustments to the layout and questions asked on the form.

Edit Draft Submission from Submission Overview

A submitter can continue editing a form submission from the Submission Overview area using the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Click the **Continue Editing Submission** button (

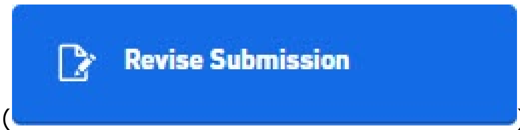
) in the top right.
3. The system will open the form submission in the Submission Wizard allowing the submitter to resume the form submission process. See **Submit a Form (Section 4.1)** for additional details on editing/submitting a form.

5.5 Revise Submitted Form

Once a form has been submitted, it can no longer be edited. To make changes, the form submission must be revised, then edited, and re-submitted.

This topic describes the process of revising a submission.

Steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Click the **Revise Submission** button (

).

> Please note that the Revise button may be presented with an orange color if correction requests exist. Additionally, if a user attempts to correct a correction request prior to starting a revision, the system will direct the user to begin a revision.

3. The system will present a prompt to confirm the intent to revise and edit the submission.
4. Confirm the revision at the prompt. The system will create a revision and redirect to the Submission Wizard, in edit mode.
5. At this point in the process, the user will be able to follow the same steps used in the **Submit a Form (Section 4.1)** topic.

5.6 View and Address Correction Request

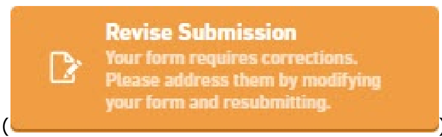
Correction requests are requests for the submitter to correct or address a concern or issue with the submission. Submitters cannot submit a revision without addressing and marking all correction requests as complete, to ensure all correction requests are addressed prior to continued processing.

> All correction requests must be addressed an marked completed. Once all are marked complete, the user will need to re-submit the form to complete the process.

This topic discusses how an submitter will "process" a correction request.

Address Correction Request from Submission Summary

To address a correction request from the Submission Overview page, follow these steps:

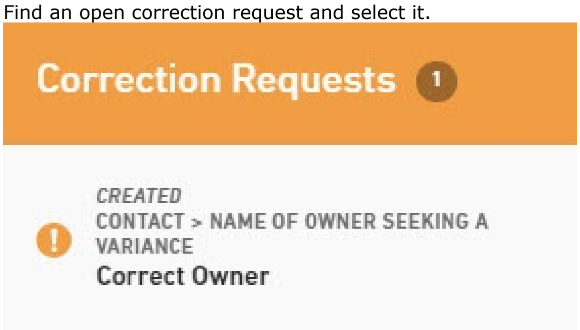
1. Open the Submission Overview form using the steps described in the **Viewing a Submission (Section 5.3)** topic, if not already open.
2. Select the **Revise Submission** button (

) from the header to establish a submission revision for editing.

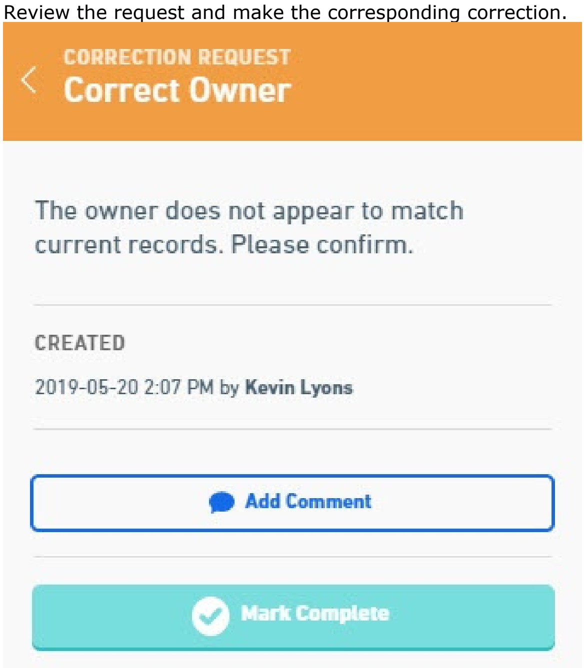
> Please note that the Revise button may be presented with an orange color if correction requests exist. Additionally, if a user attempts to correct a correction request prior to starting a revision, the

system will direct the user to begin a revision.

3. Confirm the request to start a revision, when prompted.
4. The system will establish a new revision and the user will be navigated to the Submission Wizard for the current submission revision.
5. Find an open correction request and select it.



6. The details of the correction request will be presented. The specific section or control for which the correction request relates will be highlighted, if documented at that level.
7. Review the request and make the corresponding correction.

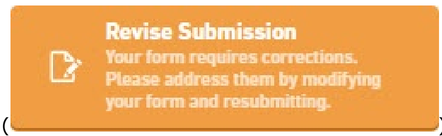


8. Select the **Add Comment** button to enter a comment for the processor. Select **OK** to save the comment.
9. Select the **Mark as Complete** button.

All correction requests must be addressed an marked completed. Once all are marked complete, the user will need to re-submit the form to complete the process.

Address Correction Request from Form Questions and Responses

To process (i.e., approve or re-open) a correction request from the Form Questions and Responses area, follow these steps:

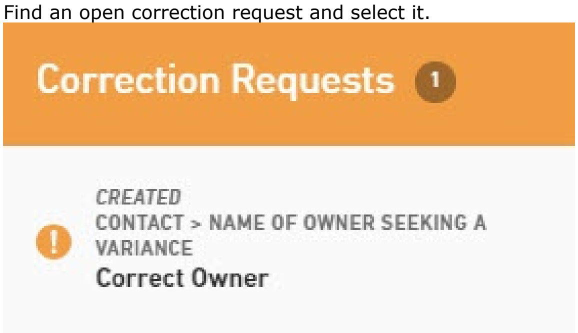
1. Open the Form Questions and Responses form using the steps described in the **View Form Questions and Response ('View Form Questions and Responses' in the on-line documentation)** topic, if not already open.
2. Select the **Revise Submission** button (

) from the header to

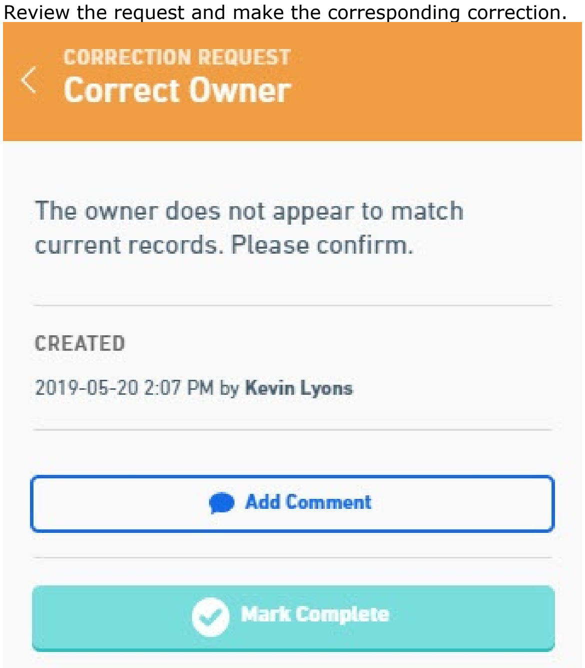
establish a submission revision for editing.

> Please note that the Revise button may be presented with an orange color if correction requests exist. Additionally, if a user attempts to correct a correction request prior to starting a revision, the system will direct the user to begin a revision.

3. Confirm the request to start a revision, when prompted.
4. The system will establish a new revision and the user will be navigated to the Submission Wizard for the current submission revision.
5. Find an open correction request and select it.



6. The details of the correction request will be presented. The specific section or control for which the correction request relates will be highlighted, if documented at that level.
7. Review the request and make the corresponding correction.



8. Select the **Add Comment** button to enter a comment for the processor. Select **OK** to save the comment.
9. Select the **Mark as Complete** button.

> All correction requests must be addressed an marked completed. Once all are marked complete, the user will need to re-submit the form to complete the process.

5.7 View Form Questions and Responses

This topic describes how to open the submitter provided questions and responses.

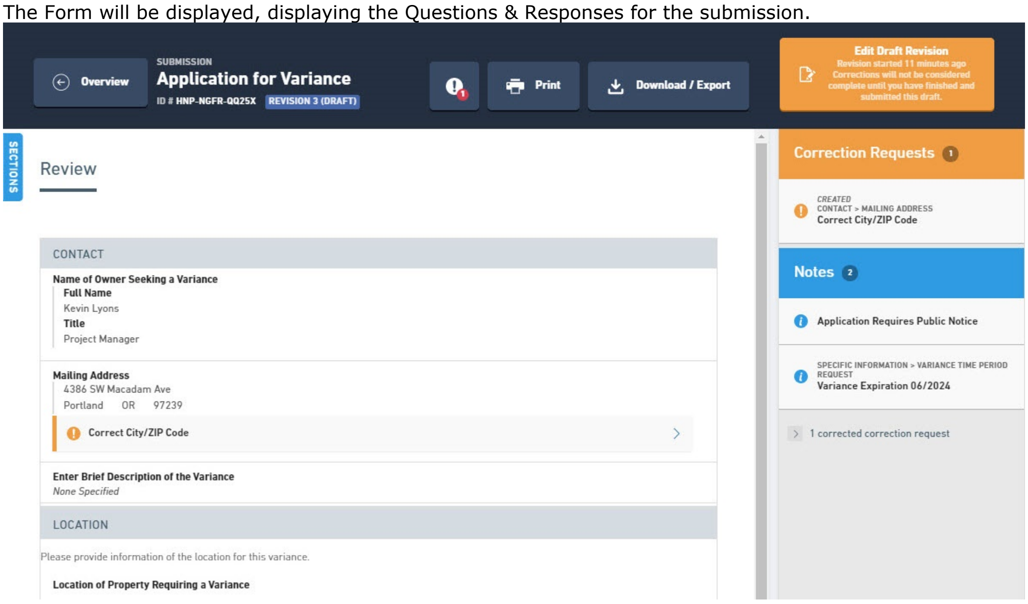
Steps

To open the Submission Form Questions & Responses (i.e.., Form) page, perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Click on the **View Form** button on the left navigation panel.

Please note that the View Form button may be presented with an orange color if correction requests exist.

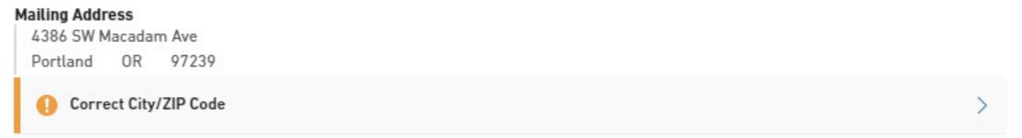
3. The Form will be displayed, displaying the Questions & Responses for the submission.



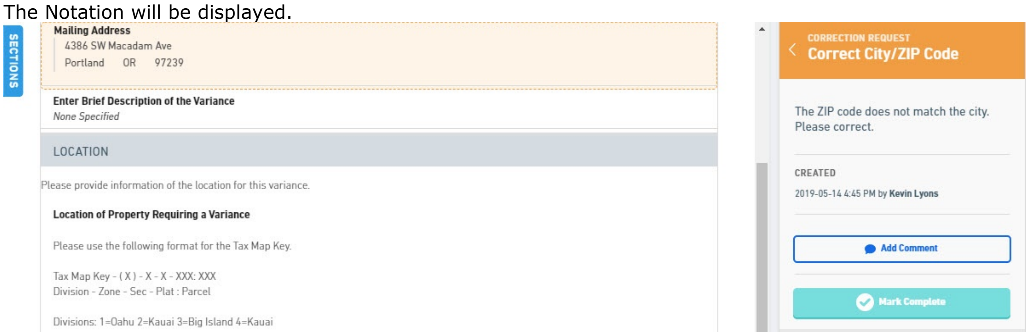
Variations

Navigate to a Section/Control level Notation:

1. Click on the Go To (>) to the right of the Correction Request, Note or Processing Issue in the Notes and Issues list or within a Form.

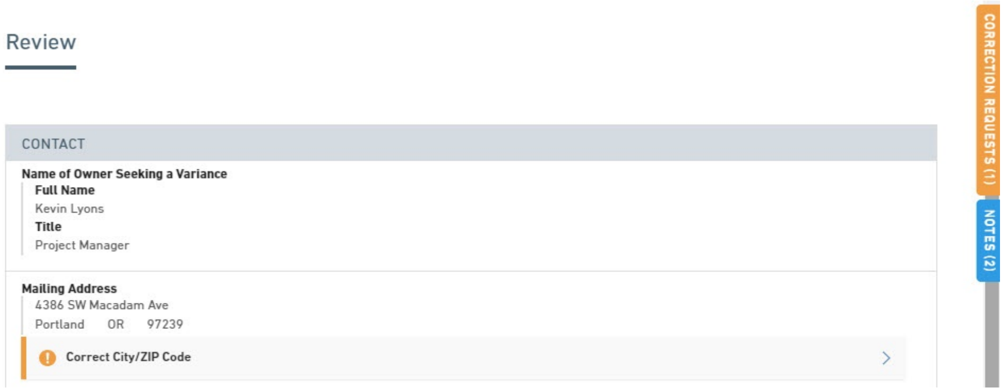


2. The Notation will be displayed.

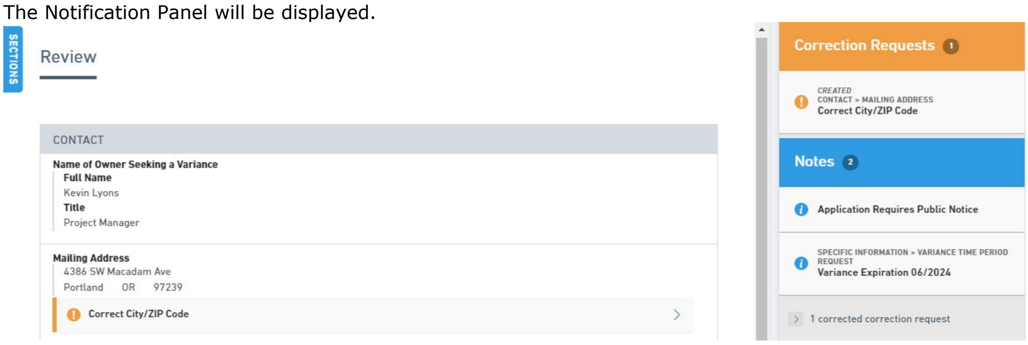


Activate Notation Panel:

1. Click **Correction Requests, Notes or Processing Issues** in the tabs to the right of the page.



2. The Notification Panel will be displayed.



5.8 View And Compare Revisions

Each refined version of the form that is submitted to the agency is contained and packaged as a submission "revision". This approach allows all changes to be reviewed, certified and formally submitted by the submitter in addition to allowing all changes to be tracked over time. Prior versions of the submission can be reviewed, when needed, and versions can be compared, side-by-side.

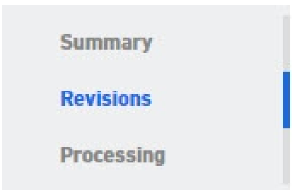
This topic describes how to find and view prior version of a submission and how to compare two different version of a submission.

View Another Revision of the Submission

To view and open another revision for the submission, follow these steps:

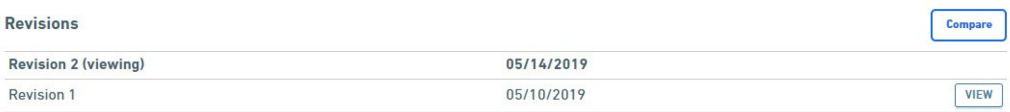
Steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Click on the **Revisions** link on the left navigation panel.



The Revisions list is only displayed if revisions exist.

3. The list of revisions will appear.



4. Select the view button (VIEW) to open another revision.
5. The Submission Summary page will be presented for the selected version of the submission.

Many features will be disabled for prior revisions of a submission.

Compare Submission to Previous Version

This section of the system allows you to view the differences between two versions of the submission. The submission version can be seen in the Submission Version Panel in the bottom left corner of the screen. If two or more versions exist you can use the compare feature to determine what has been added, changed or removed.

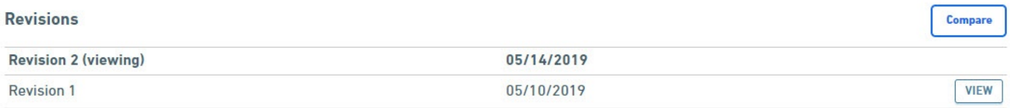
To compare the differences between two revisions for a submission, follow these steps:

Steps

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Click on the **Revisions** link on the left navigation panel.

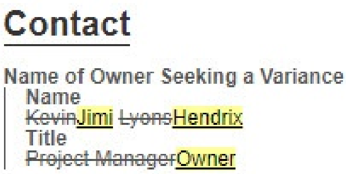
The Revisions list is only displayed if revisions exist.

3. The list of revisions will appear.



4. Click the **Compare** button () at the top of the revision list.
5. Select the two versions you wish to compare in the Version A and Version B drop-down lists.

5. The differences between the two versions will be displayed in the Difference between A and B panel. Information that was added will be highlighted in yellow and underlined. Information that was removed will have strikethrough over removed text.



5.9 View Processing Workflow

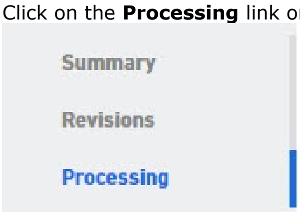
Submitters have the ability to view the key steps in the processing workflow for the submission. This includes the steps in the process and their dependencies to one another.

This topic describes how to open the workflow processing steps area of the submission for viewing.

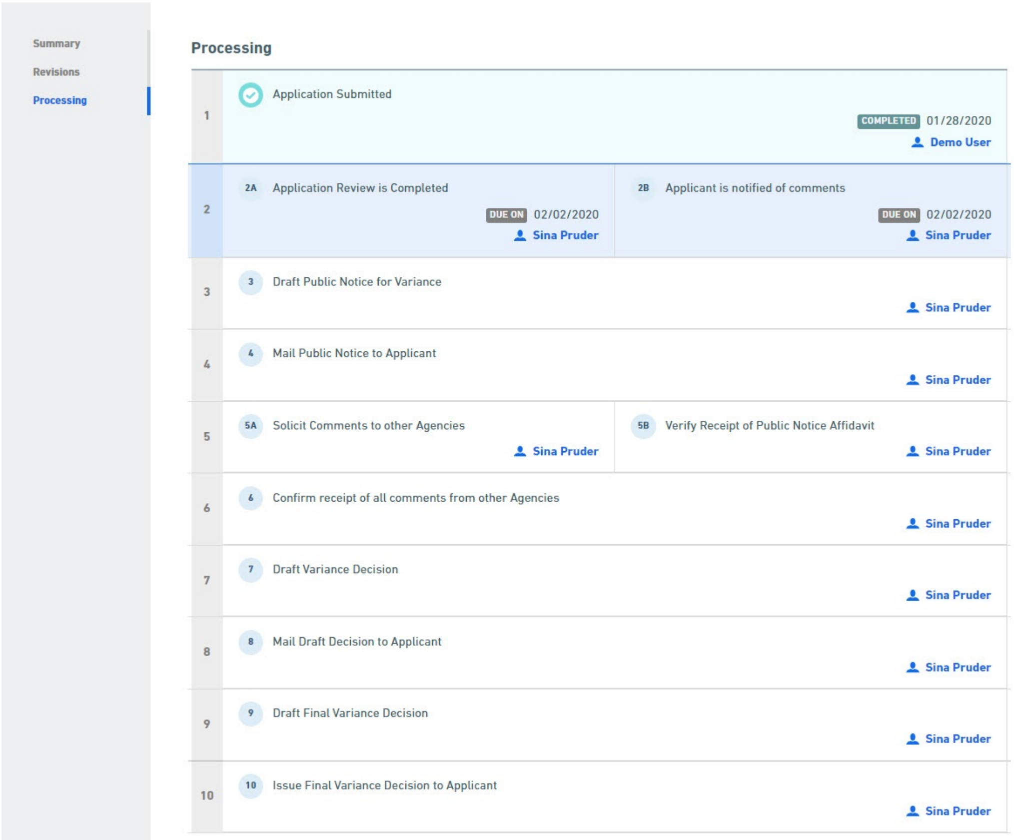
Steps

To open the submission processing workflow page, perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Click on the **Processing** link on the left navigation panel.



3. The processing steps for the submission will be displayed.



5.10 Print Submission

Users have the ability to print a submission on paper. When printing the submission, the user will have the ability to select the contents (e.g., correction requests, notes, history, etc.) that will be included in the submission.

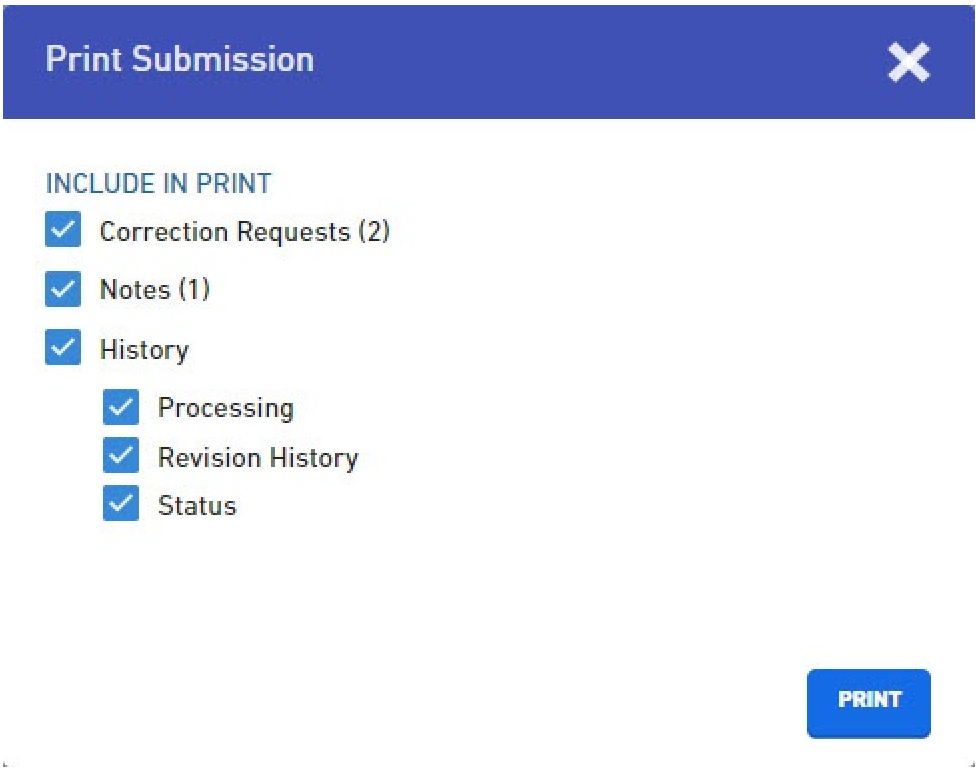
This topic describes how to print the submission.

Steps

To print the submission, perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Select the **Print** button.

3. The Print Submission dialog will be presented. Select the content to be included in the print output and click the **Print** button.



4. The browsers native print dialog will be activated allow the user to establish the print settings and send the job to the printer.

5.11 Download Submission

Users have the ability to download a submission and it's related artifacts. Users have the ability to download the submission contents, as they currently exist, or the Copy of Record which includes the contents in the state they exists when submitted by the submitter. The Copy of Record is a legal document representing the original submission. When downloading the submission, the user will have the ability to select the content that will be included in the downloaded package, including a PDF version of the submission as well as any non-confidential attachments.

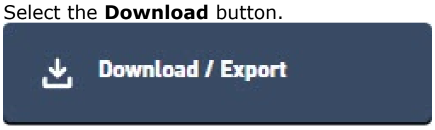
This topic describes how to download the submission and copy of record.

> By default, the submission will be provided in a PDF file format, but if attachments were included with the submission, the file will be provided as a compressed ZIP file including the PDF version of the submission and all provided attachments.

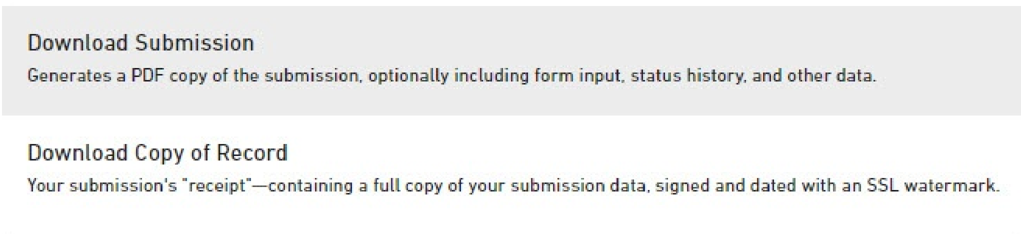
Download Submission

To download the submission and it's associated artifacts, perform the following steps:

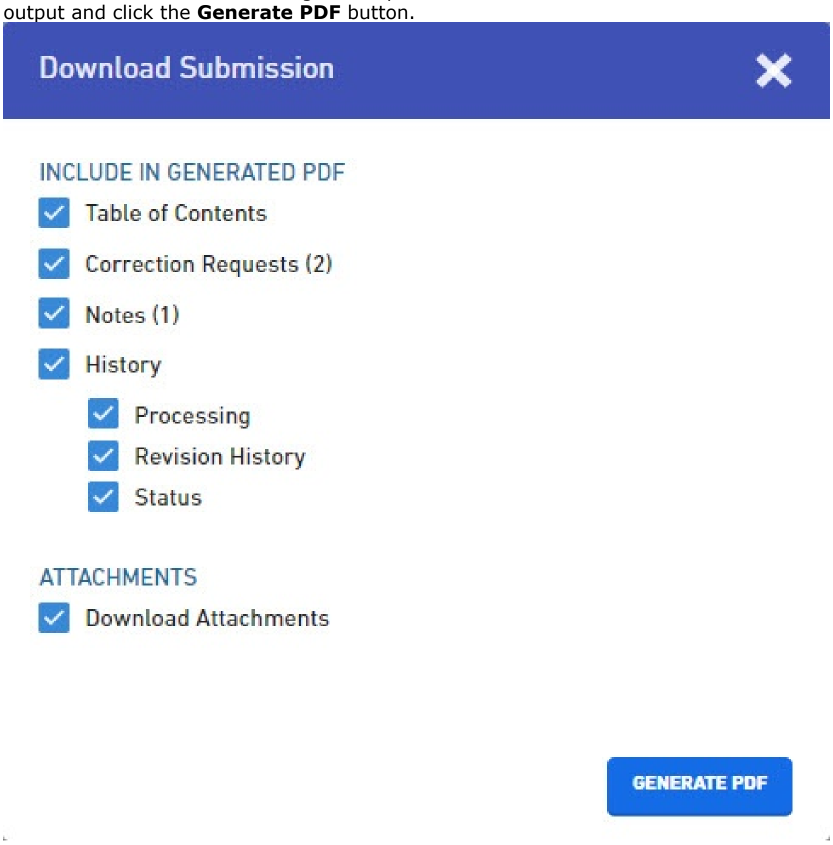
1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Select the **Download** button.



3. Select the **Download Submission** option.



4. The Download Submission dialog will be presented. Select the content to be included in the download output and click the **Generate PDF** button.

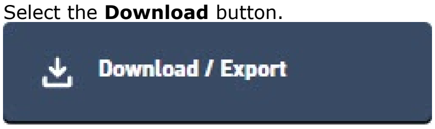


5. The browsers native download dialog will appear and prompt the user to download the submission PDF and any available attachments (as a ZIP file).

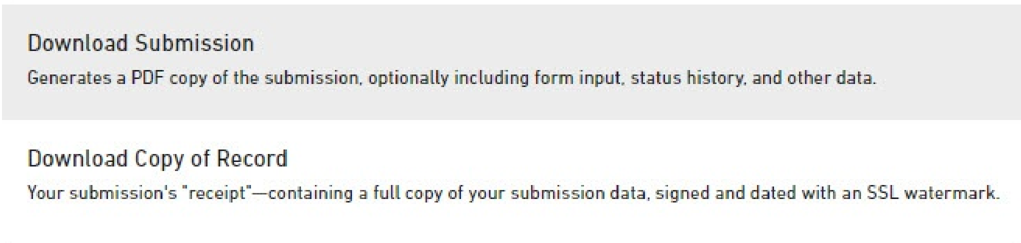
Download Copy of Record

To download the submission copy of record (as it was originally submitted), perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Select the **Download** button.



3. Select the **Download Copy of Record** option.



4. The browsers native download dialog will appear and prompt the user to download the submission PDF and any available attachments (as a ZIP file). A digital signature stamp will show in the upper right-hand corner of the document as a part of the digital signature for the document.

5.12 View Attachments

Documents & Attachments are files that can be associated to a submission, either by the submitter or an internal processor during processing.

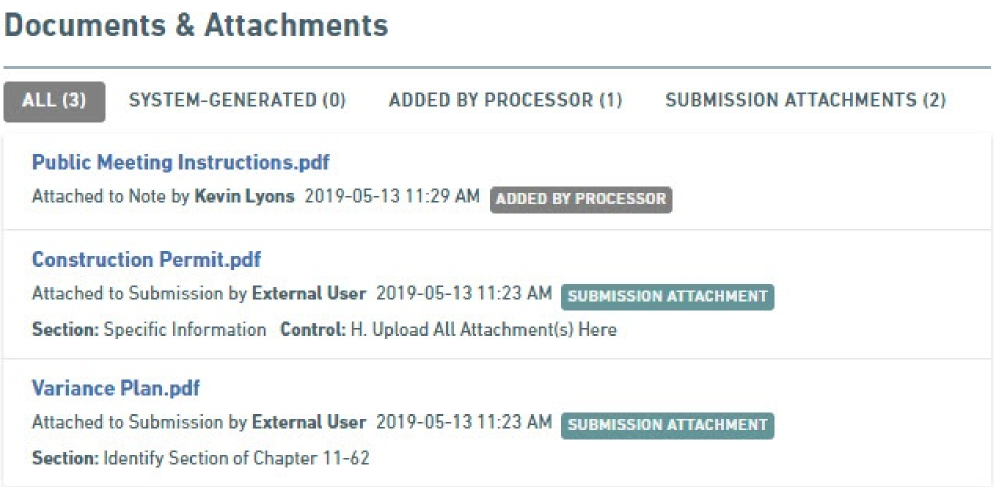
Attachments can be marked as confidential and, if marked as such, will only be viewable by the submitter and internal users with the appropriate authorization.

This topic describes how to view submission attachments.

View All Submission Attachments

To view all attachments provided by the submitter and internal staff for the submission, perform the following steps from the submission summary page:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Navigate down to the **Documents & Attachments** area in the center panel.
3. Associated documents will be displayed.

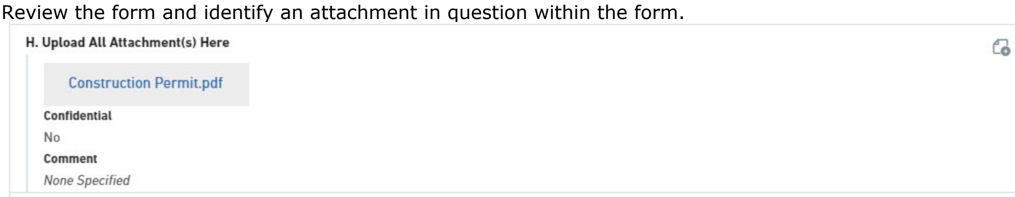


4. Select the All, System Generated, Added by Processor or Submission Attachments, to filter the list of the documents in different ways.

View Form Question and Response Attachments

To view attachments provided by the submitter on the form questions and responses page and in the context of the form question, perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. **View the Form Questions & Responses (Section 5.7)**.
3. Review the form and identify an attachment in question within the form.



4. Click on the document name to download and review the document.

View Notation Attachments

To view attachments associated to notations (e.g., correction requests or notes), perform the following steps:

1. Open a notation (i.e., **correction request (Section 5.6)** or note), if not already open.
2. If an attachment is associated, it will be displayed in the details of the notation on the right.
3. Click on the document name to download and review the document.

5.13 View Active Processing Steps

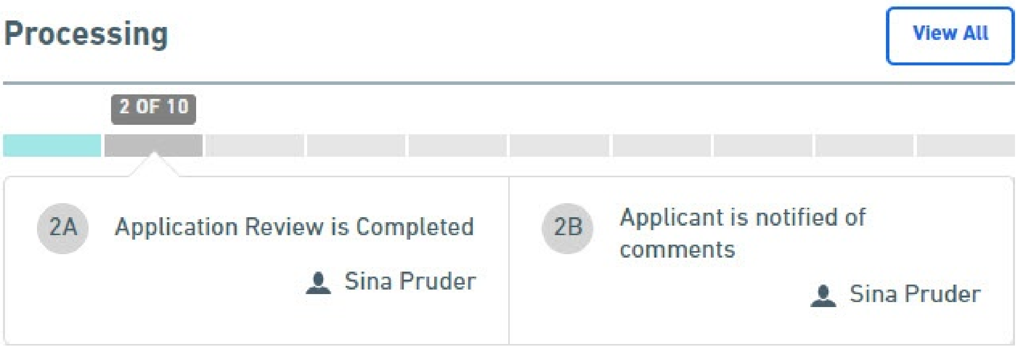
Processing steps allow the agency to view and manage the key tasks/steps that are completed while processing a submission. Each key task is represented as a processing steps. Processing steps can occur in sequence or in parallel of another tasks.

The active (next available) processing steps are display to the processor on the Submission Summary page. These active steps are a part of a **larger workflow (Section 5.9)** that is available for the submission. This topic describes how to navigate to and view the active processing steps.

Steps

To view the active processing steps for the submission, perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Navigate down the page to the Processing section in the center panel.



3. The submission's active processing steps will be displayed.

5.14 View Submission Status History

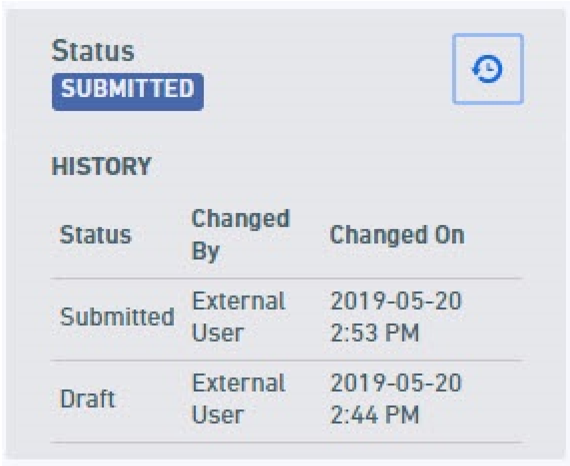
Submission follow a processing lifecycle. The current state of a submission in that lifecycle is tracked via a submission status. For each status change a submission receives, a history record is logged. Status history is used for tracking the lifecycle over time. The status history reflects who, when and what status is assigned to the submission.

This topic discusses how to view the status history log.

Steps:

To open the Submission View Status History, perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Select the **Status History** button () in the status area.
3. The status history will be displayed.



5.15 Submission Confirmation

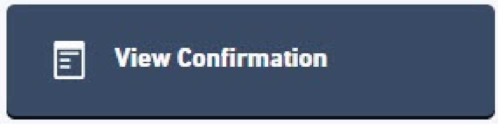
Submitters can open the Submission Confirmation (and Payment) page for the submission to review the confirmation the submitter can see, and the payment balance, if applicable.

This topic describes how to open the confirmation page.

Steps:

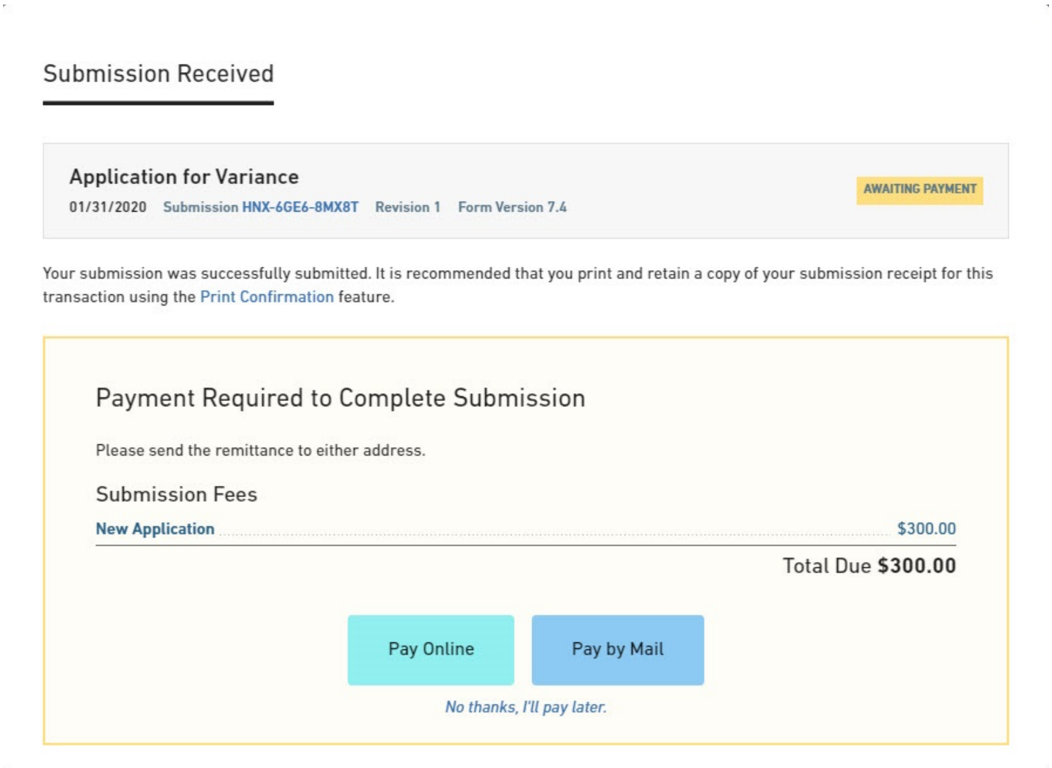
To open the Submission Confirmation page, perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Select the **View Confirmation** button.

   Selecting the Make Payment button will also open the Submission Confirmation (and Payment) page.

3. The submission confirmation will be presented to the user.



4. To return the calling page, click the **No thanks, I'll pay later** link and then the **View Submission** button.

5.16 View Submission Financials

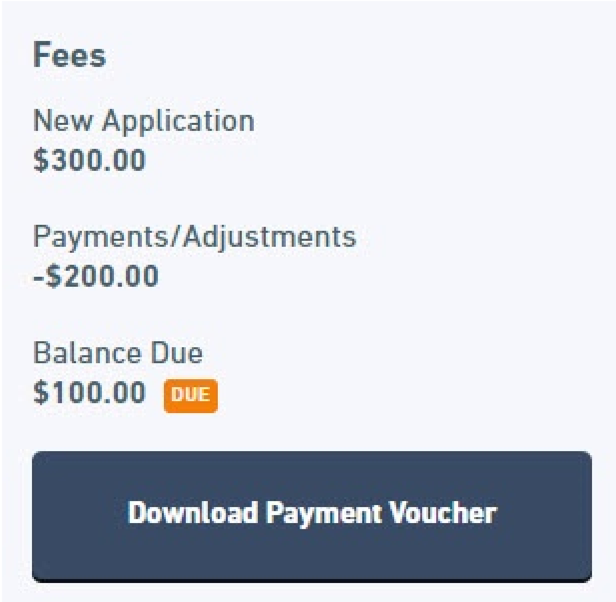
Users have the ability to view the fees assessed, payments received, adjustments applied, fees due and payment status.

This topic discusses how to view the submission financial information.

Steps:

To view fees, perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Navigate down the page to the Fees area, in the right panel.
3. A summary of the fees is displayed.



> See **Download Payment Voucher (Section 5.18)** topic for details on how to download the payment voucher.

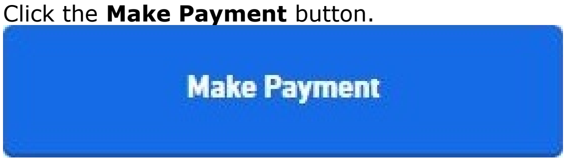
5.17 Make Payment

The submitter can open the Submission Confirmation (and Payment) page for the submission in order to make a payment if a balance is due.

This topic describes how to make a payment for a submission.

Steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Click the **Make Payment** button.

   > The Make Payment button is only enabled if a payment is due.

   > Selecting the View Confirmation button will also open the Submission Confirmation (and Payment) page.

5. The Submission Confirmation (and Payment) page will be opened.
6. To make a payment via check (if option available for form):
   a. Select the **Pay by Mail** button.
   b. Select the **Download Payment Voucher** button.
   c. The native browser functionality will download the document.
   d. Print the payment voucher document.
   e. Submit payment to the agency with the payment voucher.

5.18 Download Payment Voucher

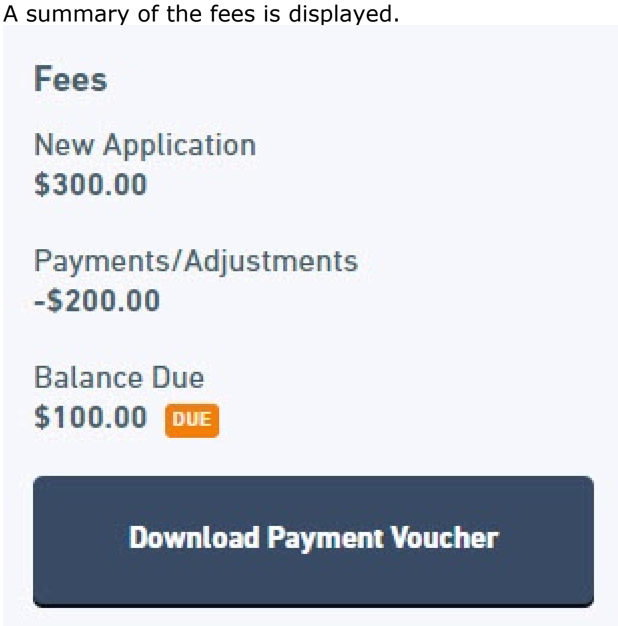
Users have the ability to view the fees assessed, payments received, adjustments applied, fees due and payment status.

This topic discusses how to view the fees.

Steps:

To view fees, perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Navigate down the page to the Fees area, in the right panel.
3. A summary of the fees is displayed.



4. Select the **Download Payment Voucher** button.
5. The native browser download dialog will appear.
6. Select the save file option and (if prompted) choose a location such as "my documents" to save the file and save the file.
7. After the download is complete, navigate to the location where the file was saved and open the document. A payment voucher document will be available for remitting payment.

5.19 View Contact Information

Users have the ability to view the contacts methods (e.g., email addresses, phone numbers, addresses, etc.) for the submission.

This topic describes how to view the contact methods.

Steps:

To view contact information, perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Navigate down the page to the Contact Info area, in the right panel.
3. A summary of the contact information is displayed.

Contact Info

Contact
Wastewater Branch
888 SW 1st Ave.
Bldg 1, Suite 432
Portland, OR, 97221

Payment Remittance Address
111 SW 1st St.
Portland, OR 97223

Contacts

Phone
555-555-5555

Fax
444-444-4444

5.20 View Users with Access to Submission

Users can be given access to enter data in the submission. Users can be provided with access to enter data on the submission and elevated user rights can be provided to add/remove users who have access to the submission.

This topic describes how to view the users who have access to work on the submission (excluding the current user) and their level of access.

Steps:

To view users with access to work on the submission (excluding the current user), perform the following steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.
2. Navigate down the page to the Access area, in the right panel.
3. A list of the users with access to the submission (excluding the current user) is displayed.

Access

Name	Access Level
Kevin Lyons	Submission Editor
Tom Brown	Submission Contributor

5.21 Sharing a Submission

Submissions can be shared with other users to support collaborative data entry and review.

This topic describes how to share a submission with another user.

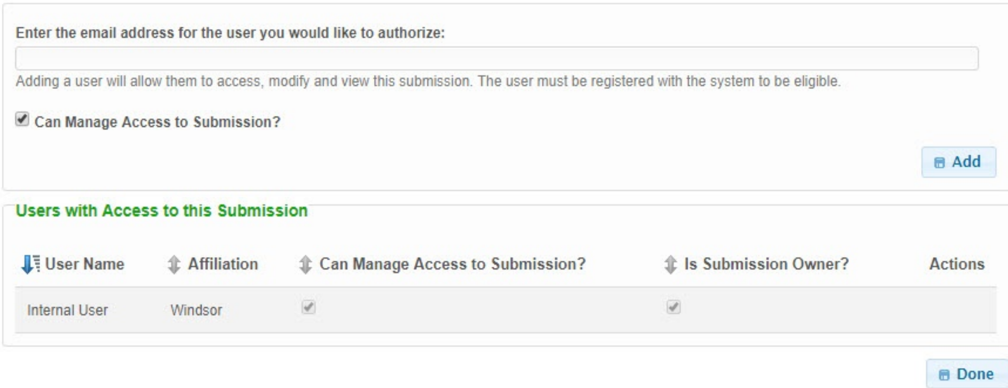
Sharing Submission from Submission Wizard

When completing a form submission the user will have the ability to share the submission with another person so they can enter data, review data or invite other users to work on the submission. The following process describes how to share a submission with another user from the Submission Wizard.

To share access to the submission with other users from the Submission Wizard, follow these steps:

1. Open the draft submission in edit mode in the Submission Wizard using the steps described in the **Edit Draft Submission (Section 5.4)** topic, if not already open.
2. Select the **Options** icon ( ).

3. Select the **Manage Shared Access** button ( ) to open the Manage Access to the Submission page.



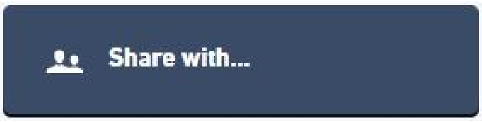
4. To share the submission, type in the email address of the user whom will receive access. Indicate if the user will be allowed to add or remove other users from the submission by selecting the **Can Manage Access to Submission?** checkbox. Select the **Add** button to add the user to the submission.
5. The system will then verify that the user exists in the system and will prompt you to confirm the selection.
6. Click the **Confirm** button to approve the user, after approval, the user will display in the list of authorized users in the grid below. After adding the user, they will be sent an email with instructions on how to access the submission.
7. Click the **Done** (Done) button to return to the submission.

Sharing Submission from Submission Overview

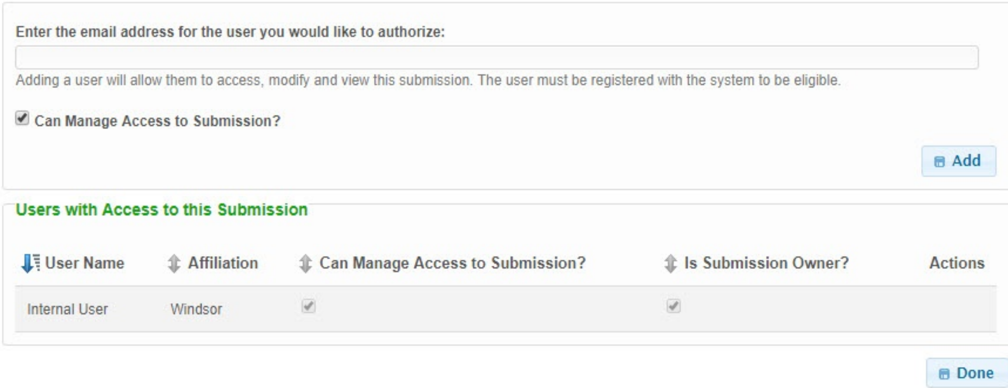
When completing a form submission the user will have the ability to share the submission with another person so they can enter data, review data or invite other users to work on the submission. The following process describes how to share a submission with another user from the Submission Overview area.

To share access to the submission with other users from the Submission Overview area, follow these steps:

1. Open the Submission Overview form using the steps described in the **View a Submission (Section 5.3)** topic, if not already open.



2. Click the **Share With** button ( ) in the Access area down the page in the right panel to open the Manage Access to the Submission page.



3. To share the submission, type in the email address of the user whom will receive access. Indicate if the user will be allowed to add or remove other users from the submission by selecting the **Can Manage Access to Submission?** checkbox. Select the **Add** button to add the user to the submission.
4. The system will then verify that the user exists in the system and will prompt you to confirm the selection.
5. Click the **Confirm** button to approve the user, after approval, the user will display in the list of authorized users in the grid below. After adding the user, they will be sent an email with instructions on how to access the submission.
6. Click the **Done** (Done) button to return to the submission.

5.22 Delete Draft Submission

Draft form submissions can be deleted, if established in error.

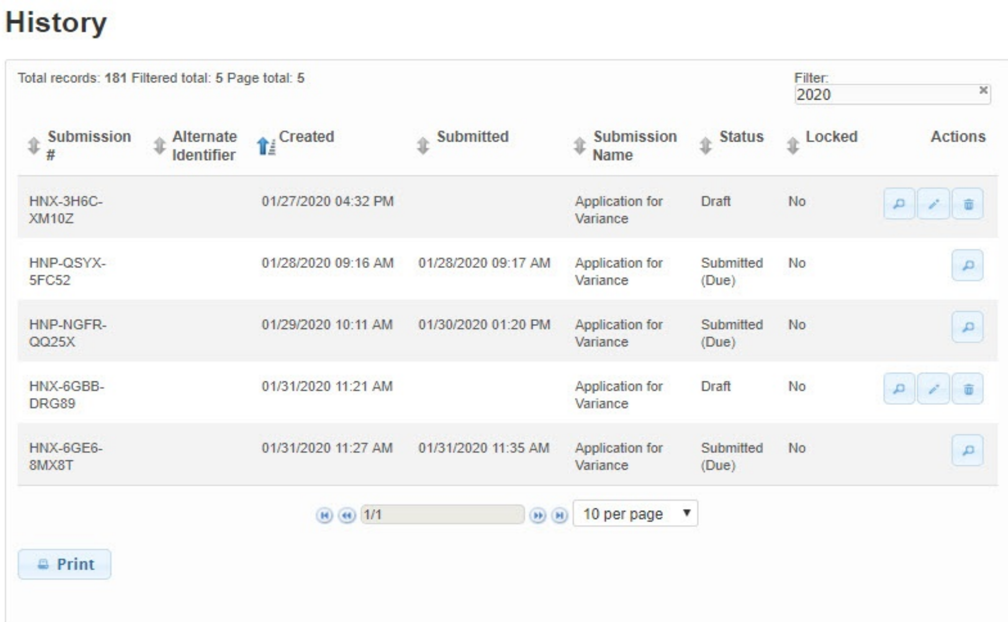
This topic describes the steps required to delete a draft submission.

> Only submissions with a status of "Draft" are eligible to be deleted. Once a draft is deleted it cannot be recovered. For historical purposes, submitted forms can not be deleted.

Delete from Submission History

A submitter can delete draft form submission from the Submission History page using the following steps:

1. **View Submission History (Section 5.1)**, if not already open.



2. Click on the **Delete** icon ( ) next to a draft form submission for deletion. The selected submission will now be deleted.

Delete from Submission Wizard

A submitter can delete draft form submission from the Submission Wizard page using the following steps:

1. Open the draft submission in edit mode in the Submission Wizard using the steps described in the **Edit Draft Submission (Section 5.4)** topic, if not already open.
2. Select the Gear icon ( ) near the form title in the header area and select **Delete Draft.**
3. Confirm the deletion.
4. The draft submission will be deleted.

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