eTrack User Guide – Analyst Portal

March 5, 2025

Version 3.3.9

Prepared by Unisys for:

NEW YORK STATE | Department of Environmental Conservation

eTrack

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REVISION HISTORY

VERSION	AUTHOR	DATE	DESCRIPTION
3.3.9	PIMS	3/5/2025	Added additional instructions for processing invoices.

1. Introduction

This User Guide describes the functionality of the NYS Department of Environmental Conservation's (DEC) eTrack application. Specifically, this document describes the version known as the Analyst Portal, developed in the project phase known as Program Increment 3 (or PI 3) and released in March 2024.

Note: This version of the User Guide was created using screenshots taken from the test environment. Therefore, some test data will appear, particularly on the dashboards/grids.

1.1 eTrack Project Description

The eTrack project is focused on enabling the online submission and management of environmental permit applications and will eventually replace the DEC's DART and DART Permits systems. eTrack is a critical e-business project for the DEC, improving the way DEC will conduct application tracking, application review, permit development, and permit generation, for permits regulated under the Uniform Procedures Act (UPA).

The primary drivers for replacing DART include the need to provide online capabilities to the regulated community; improve performance and data quality; provide electronic document storage and retrieval; and enhance support for spatial analysis. Also vital is retaining and enhancing application tracking and review functions and tools.

eTrack will eventually provide the ability to collect pre-application inquiries, accept permit applications online, process the applications received, and generate the UPA permits needed. The major requirement themes of the project include the need for electronic submissions, GIS capabilities, data/document management, automatic notifications, application tracking and review tools, document generation, and reporting/data inquiry capabilities. The system is being developed in phases.

1.2 Background

A growing number of external stakeholders seek the ability to submit applications online for all permits processed by the DEC's Division of Environmental Permits (DEP).

The eTrack solution provides internal value by providing DEC staff with a means to significantly reduce the data entry workload; improve application quality and accuracy; improve records management; and allow for a more cost-effective use of staff resources.

Currently, applications are received as hard copies via the postal service and entered in the legacy system manually. eTrack will eventually enable applicants to identify the correct permit application, complete that application, submit their applications online, and allow DEC staff to manage the review of applications received while providing real-time feedback to the applicant and other stakeholders. Workload management is enabled as well.

Replacing DEC’s legacy DART and DART Permits systems with a modern system is a critical component of the Department’s e-business strategy. The permitting programs managed by the DEP are vital tools that support DEC in meeting its core mission of environmental protection, and the DART and DART Permits systems play an integral role in those permitting programs. Replacing these central systems will not only support DEC’s e-business objectives but will also allow DEC to meet other drivers such as increasing demands for greater access to data, enhancing regulatory support, and streamlining business workflows.

DEP is the project sponsor and the primary user of the current legacy systems, and NYS Office of Information Technology Services (ITS) maintains those legacy systems. Project materials developed to date and development efforts have been a collaboration between the DEP and ITS.

1.3 Allowed Browsers and Technologies

eTrack is being developed and tested to work with the following commercial web browsers, best viewed at a zoom level of 100%:

- Google Chrome
- Microsoft Edge
- Mozilla Firefox
- Apple Safari

Please note that Microsoft Internet Explorer is not a supported browser.

eTrack is designed to be used with the following technologies:

- PCs and laptops
- Full-sized tablets

eTrack screens will be available, but not optimized, for use on smartphones.

1.4 Environments

Various environments are leveraged during the development and production process for this application. The live (production) environment for the eTrack application resides at: https://etrackanalyst.dec.ny.gov/

Other environments used as part of the eTrack development and release process are:

https://etrackanalyst-dev.dec.ny.gov/ - Development site
https://etrackanalyst-qa.dec.ny.gov/ - Quality Assurance (testing) site
https://etrackanalyst-st.dec.ny.gov/ - Staging site

2. Common Features

eTrack logo – returns the user to the Analyst Dashboard.

Bell icon – displays alerts relevant to the user.

Envelope icon – displays messages relevant to the user and the screen they are viewing.

Sortable column headers – sorts the column alphabetically, or by date, depending on the column contents. Repeated clicks will reverse the sorting order.

Filter icon – filters column data according to the selection(s) made.

Reset Filters icon – clears the filter selections.

Export icon – exports the contents of a table to an Excel file.

Next button – automatically saves data and moves the user to the next screen.

Close button – closes the current screen (a confirmation pop-up will appear if data has been entered or selections have been made).

Information icon – indicates that hover-over text is present with information or instructions about that feature or data field.

Navigation header – arrows and sub-headers help the user navigate forward and backward through the application and provide “breadcrumbs” so the user can easily identify where they are in the process. Browser back buttons are disabled in eTrack and all navigation occurs within the application.

Help icon – opens/downloads this User Guide.

***** - When placed beside a field label on a data entry screen, indicates a mandatory field.

3. Glossary of Terms

Data Entry Mode – Steps 1-5 of the eTrack application (Project Location, Applicant Information, Project Information, Supporting Documents, and Sign and Submit).

Validate – The process of reviewing, editing, and confirming that information entered during the Enter Application phase is accurate.

Validate Mode – The phase that occurs after Data Entry Mode, and includes the assigning of an Analyst. Validate Mode is indicated by a bright yellow banner across the top of the Main Navigation Screen. "Yield" icons will display besides data entry fields when information entered during Data Entry Mode differs from information stored in enterprise systems.

Virtual Workspace – A screen that becomes available only after the Permit Application is uploaded to DART, that contains a full, at-a-glance representation of key data related to the Project.

Approved Polygon – A geometric shape that is drawn to indicate the project location's property boundary, that has previously been confirmed and approved for the project location in eFind.

Unapproved Polygon – A geometric shape that is drawn to indicate the project location's property boundary, that has NOT been previously confirmed in eFind.

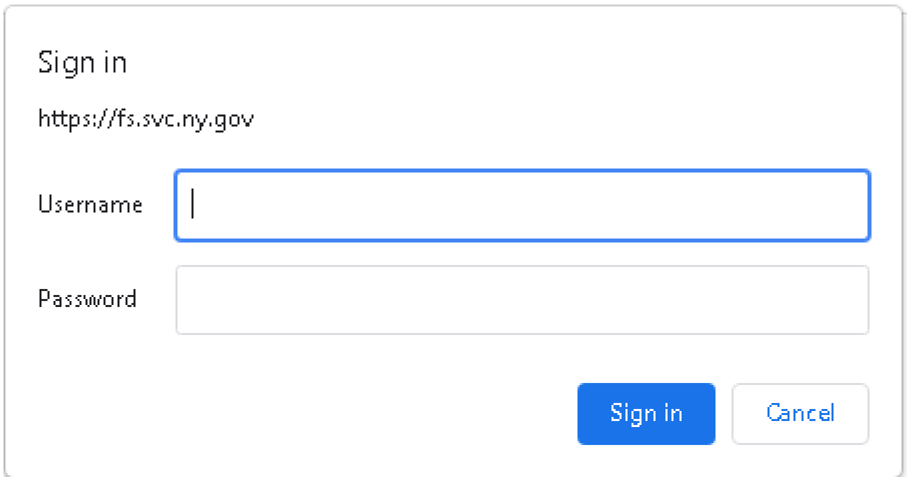
Project ID – A number assigned to a project at the completion of Step 1 in Data Entry Mode, that is used to track the permit application and the information associated with it.

Results Grid – The table(s) used throughout eTrack to display information in columns and rows.

Resume – A button on the Analyst dashboard that displays once a project has been created, enabling the Analyst to continue with the Enter Application process after pausing.

4. Login

The eTrack application facilitates user access by leveraging single sign-on when using the browser in the DEC environment. If the user's browser is not associated with their DEC User ID, they will be prompted to login with their domain name (or DEC email address) and password.



5. Top Banner

On most screens, eTrack displays a top banner which contains an identifier: ‘New York State Department of Environmental Conservation’; the eTrack Version number; the user’s domain/username; a Help icon (question mark); an Alert icon (bell); and a Message icon (envelope).

Clicking on the username produces an option to Logout. Clicking on the question mark in the circle launches a Help function which opens this User Guide in a separate window. Clicking on the bell displays alerts relevant to the Analyst (a red indicator will inform the user of a new alert ), for example, if a Project has been assigned to the Analyst for review (Validation). The alerts vanish after they are read.

A red dot on the envelope  will indicate that messages are waiting, for example, if a document has been assigned for review from the Virtual Workspace. Clicking on the envelope will display Mail Notifications intended for the Analyst, and a Project ID hyperlink will take the Analyst to the Virtual Workspace for that Project. The number in the red dot will reduce only after the emails are read on the Virtual Workspace (it may require a refresh of the Analyst dashboard for the new number to appear).

6. Common Footer

The page footer displays throughout eTrack with descriptive information and links. The footer appears on every independent screen on eTrack (i.e., except pop-ups).

In the lower-right corner, the role of the user is displayed. In the image above, the user is an Analyst.

Links in the footer can be updated using the Maintenance Code Table: System Parameter / URL Configurations.

7. Analyst Dashboard

Upon login, the Analyst is presented with the default screen, the Analyst Dashboard. The Analyst Dashboard provides an overview of the Analyst's activity on eTrack.

Across the top of the Analyst Dashboard screen are the links: My Projects (default); Regional Projects, Document Management; Enter App; DIMSR; Inquiry; Search; Reports; and Maintenance. Sub-categories of each dashboard (if any) are presented in tabs running vertically on the left side of the screen. At any point in the application, clicking on the eTrack logo or the My Projects link will bring the Analyst back to the My Projects/Resume Entry screen.

A Search bar at the top of the My Projects and Regional Projects screens allows the user to enter search criteria to help find projects quickly and easily. The grey example text in the search bar will change according to the screen being viewed.

Information on the dashboards is displayed in columns. All dashboard columns may be sorted by clicking on the header at the top of the column. Most dashboard columns also contain filters, except for those on the "Resume" results grid. The Reset Filter icon will clear the filter selections. The Export icon will export the contents of the results grid being viewed to an Excel file.

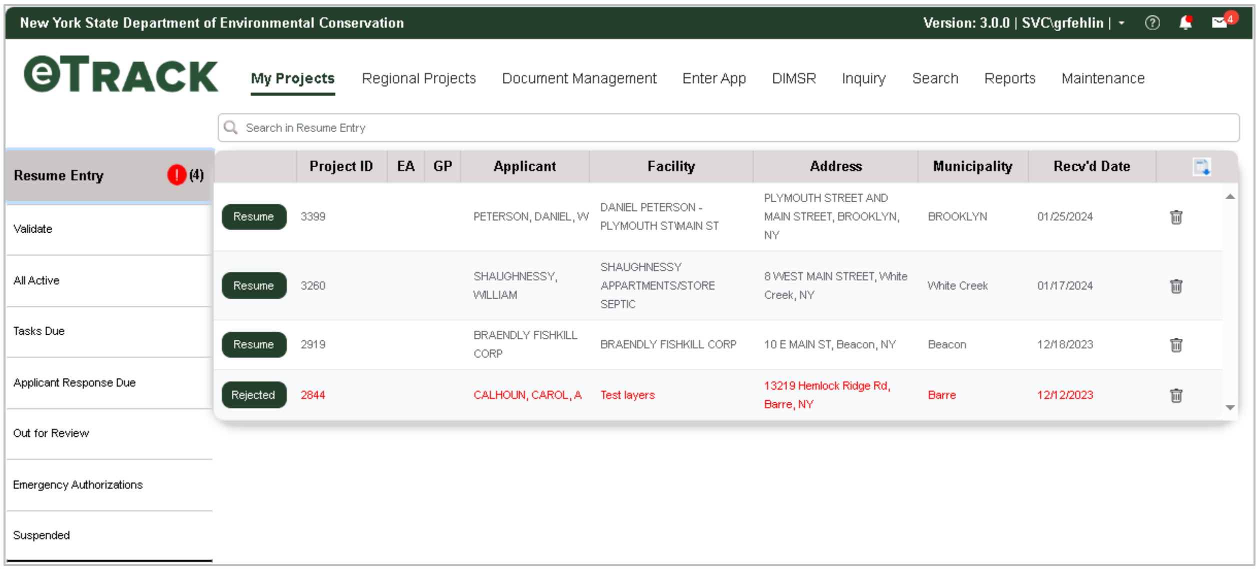
Applicant Names and Facility Names will appear as blue hyperlinks if they already exist in eFind. Clicking on the link will take the user to the existing, related page in eFind. If there is no existing link in eFind, the name will appear in grey text. This feature is common across all dashboard results grids in eTrack.

7.1 My Projects

The My Projects link allows the Analyst to view the status of all projects in eTrack for which they have been assigned responsibility. At the left of the screen are eight tabs related to permit applications, arranged vertically. From the top down, these are: Resume Entry (default); Validate; All Active; Tasks Due; Applicant Response Due; Out for Review; Emergency Authorizations; and Suspended.

Tabs, when selected, will contain an indicator displaying the number of records in the grid (X). The Resume Entry tab features an icon (an exclamation mark within a red circle) to indicate that the Analyst has work that is not complete.

Beneath these eight tabs, separated by a black line, is a section devoted to Geographical Inquiries. These are discussed in Section 9.



The My Projects hyperlink and Resume Entry tab are highlighted when first arriving at the dashboard. If there is no data for a particular dashboard tab in the left-hand navigation, the tab for that dashboard will display with a (0) when clicked, and the statement, 'No Records Available.'.

A vertical scroll bar on the right margin enables the user to view entries that extend below the visible results grid. A horizontal scroll bar is sometimes used as well (e.g., on the All Active results grid).

7.1.1 Resume Entry Results Grid

The Resume Entry results grid (visible in the section directly above) enables an Analyst to pick up where they left off with the entry of a permit application. Results grid columns from left to right are: Resume (a button); Project ID; Emergency Authorization (EA); General Permit (GP); Applicant; Facility; Address; Municipality; Received (Recv'd) Date; and Delete (trashcan icon). The column headers are all active, and will sort the columns when clicked (typically, the default sort for dashboards is for the most recent item to appear at the top). There are no filters in the column headers on the Resume Entry results grid.

An export icon is present in the results grid header that will export the contents of the current results grid to an Excel spreadsheet.

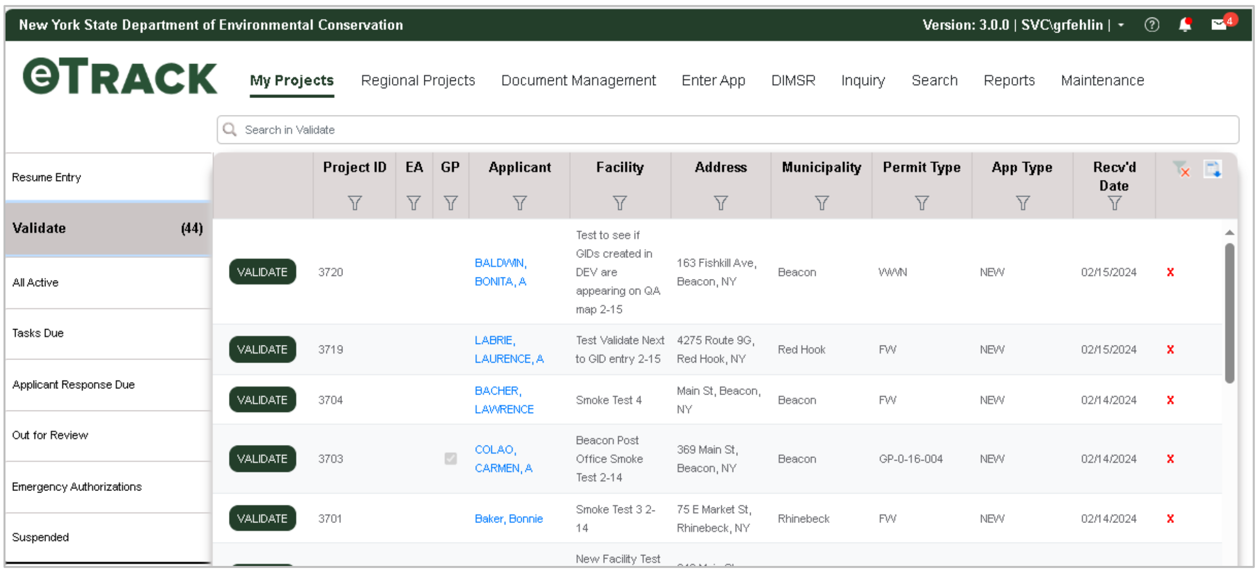
The Resume button is always enabled and will place the Analyst back on the Main Navigation screen for that project to continue where they left off.

Note that there cannot be both an EA and GP indicator present at the same time in eTrack (although older applications in DART do have some).

7.1.2 Validate Results Grid

The Validate results grid displays projects that have been successfully submitted. These projects are now ready for validation and have been assigned to the Analyst for review. Results grid columns from left to right are: Validate (a button); Project ID; Emergency Authorization (EA); General Permit (GP); Applicant; Facility; Address; Municipality; Permit Type; App Type; and Recv'd Date. A red X appears at the far right of the row for Project Rejection (see below).

Projects on the Validate grid are sorted by Project ID, with the highest number at the top by default.



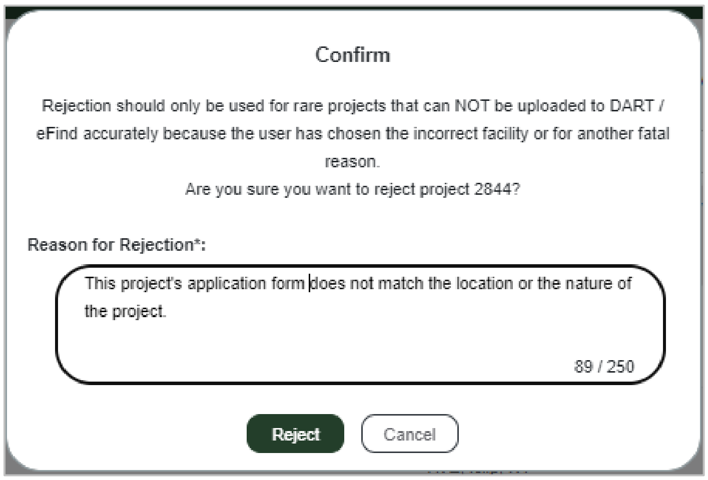
There can be more than one permit type for a project. A hover-over will display the permit type name(s).

After a Project is submitted, assigned, and validated by the Analyst, and uploaded to DART, the Project will migrate to the All Active and Task Due dashboards, and will disappear from the Validate dashboard.

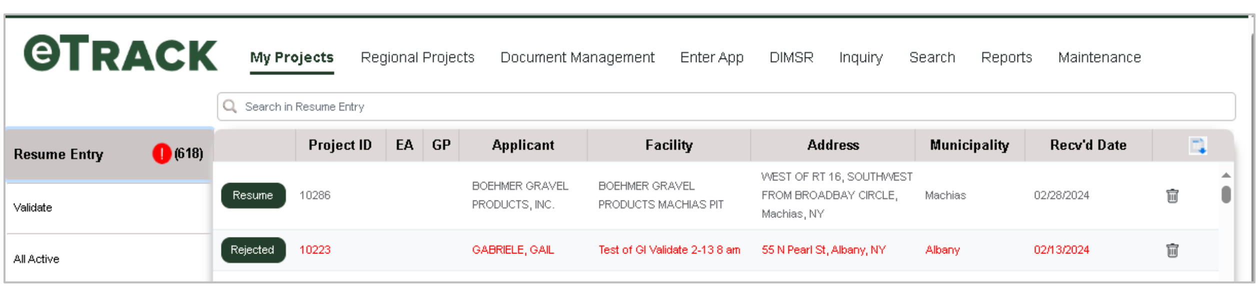
Project Rejection

In rare cases, a Project may be rejected if the application is obviously incorrect or flawed, requiring more than a minor change to the information (e.g., an application for an airport runway in the middle of a city's downtown). The Validate grid provides a method to reject such project, using the red 'X' at the right side of the dashboard.

Clicking the red 'X' will generate a pop-up with a required, 'Reason for Rejection'. Clicking Reject will remove the project from the Validate dashboard.



The project will then return to the My Projects/Resume Entry dashboard for the assigned Analyst, in red text, with a button that reads 'Rejected'. Hovering over any of the red text will display the reason for the rejection. Clicking on the Rejected button will open the Main Navigation screen for that project, so the Analyst can review.

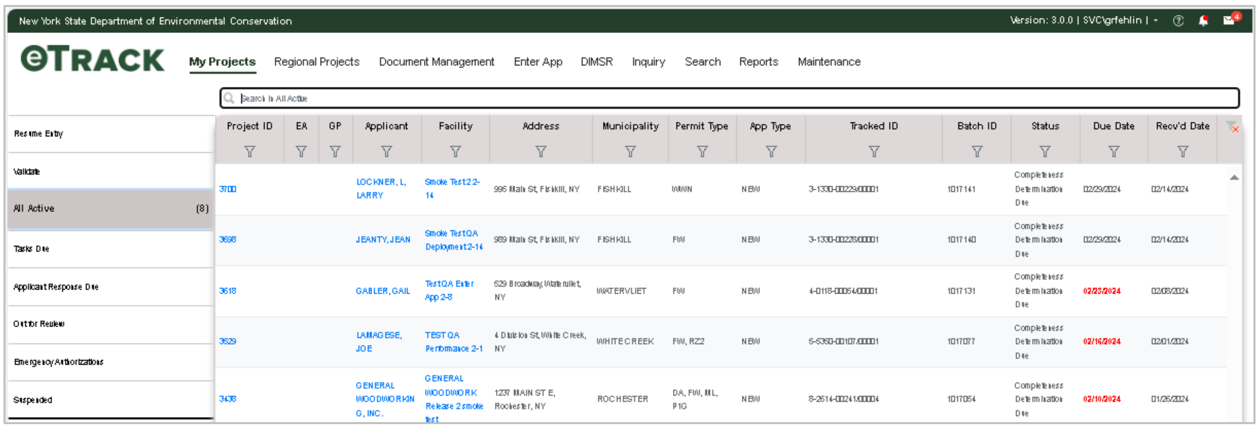


However, any changes made at this point will not be saved, and the project cannot be re-submitted. If the Analyst does click Submit, a popup will appear with the reason for the rejection and instructions directing the Analyst to delete it and create a new project.

7.1.3 All Active Results Grid

The All Active results grid enables an Analyst to see the status of all permits assigned to them that are currently active or pending. The All Active results grid has more columns than the other results grids, so depending on the user's zoom level, a horizontal scroll bar may appear at the bottom of the screen.

Headers from left to right are: Project ID; Emergency Authorization (EA); General Permit (GP); Applicant; Facility; Address; Municipality; Permit Type; App Type; Tracked ID; Batch ID; Status; Due Date; and Recv'd Date.



As with all results grids, the Reset Filter icon will clear the filter selections made, and the Export icon will export the current results grid data to an Excel file.

Application Types appearing in this results grid are DART Transaction Types such as NEW, MOD, MTN, REN, etc. (See Appendix for full list).

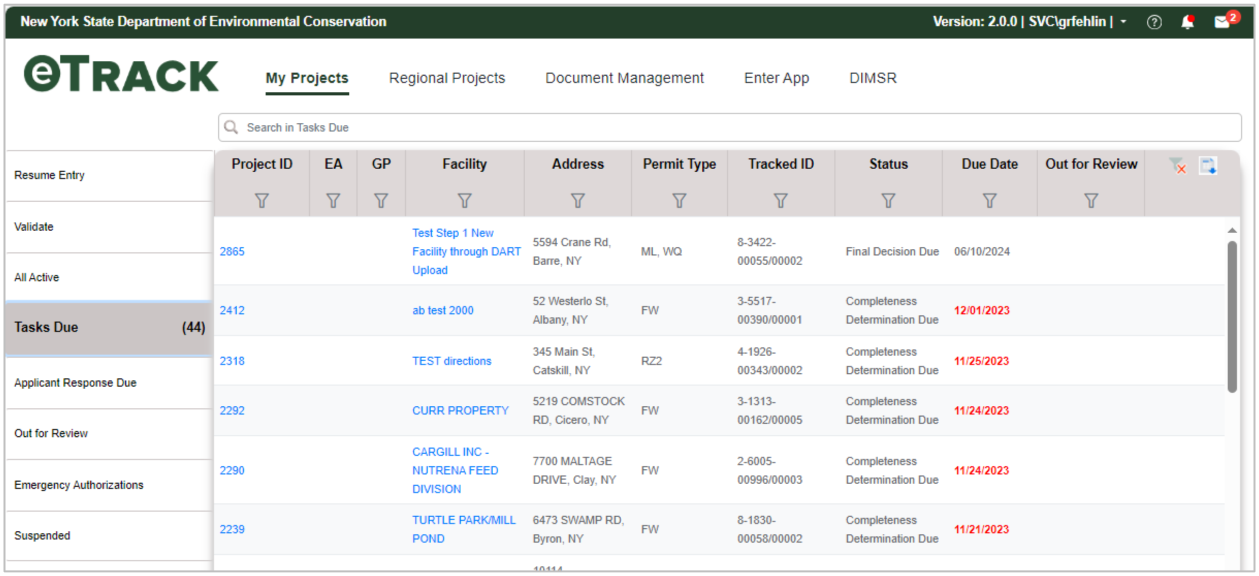
Permits are grouped by batch and are processed together. Since there are batches of permits processed simultaneously, at the time of Upload to DART, one will be chosen to be the Tracked ID. Status could be Completeness Determination Due, Final Decision Due, Permittee Response Due, Suspended Indefinitely, etc.

If the due date is in the past, the date will appear in bold red, with the most recent at the top.

7.1.4 Tasks Due Results Grid

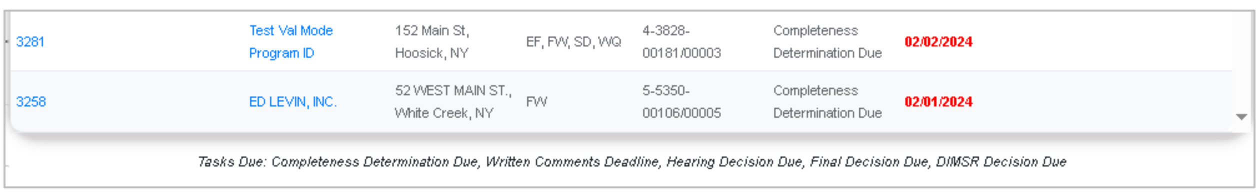
The Tasks Due results grid enables the Analyst to view all tasks that are due and their current status.

Column headers from left to right are: Project ID; Emergency Authorization (EA); General Permit (GP); Facility; Address; Permit Type; Tracked ID; Status; Due Date; and Out for Review (assigned to Program Staff for review).



An Analyst can request the review of the project by Program Staff from the Virtual Workspace, after the Project is Uploaded to DART. In such a case, the Out for Review column will contain an indicator (checkbox).

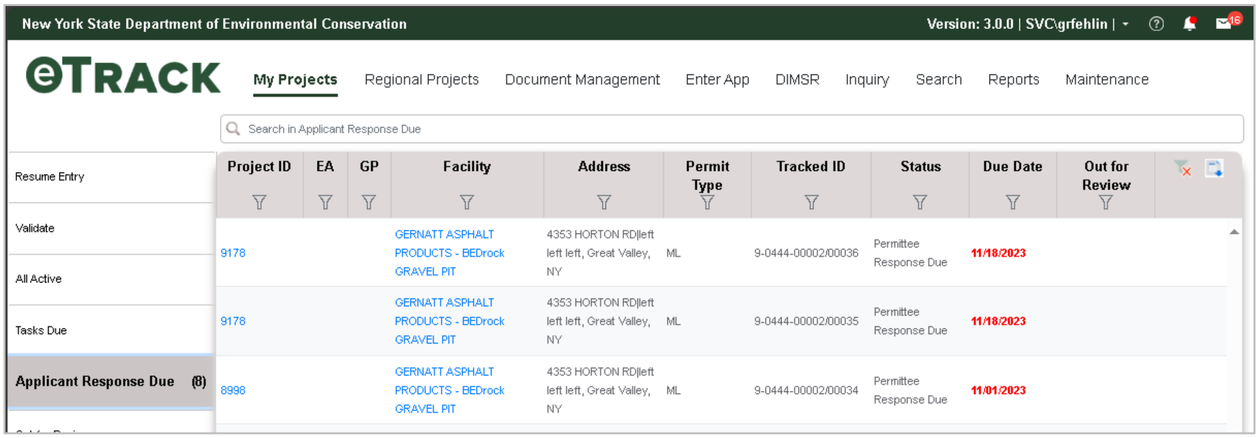
The Tasks Due results grid includes applications with the statuses of Completeness Determination Due, Written Comments Deadline, Hearing Decision Due, Final Decision Due, and DIMSR Decision Due. Instructional text appears just below this results grid with this information.



7.1.5 Applicant Response Due Results Grid

The Applicant Response Due results grid enables the Analyst to view the status of permits that require a response from the applicant and are currently awaiting a response.

Column headers from left to right are: Project ID; Emergency Authorization (EA); General Permit (GP); Facility; Address; Permit Type; Tracked ID; Status; Due Date (related to the Status); and Out for Review.



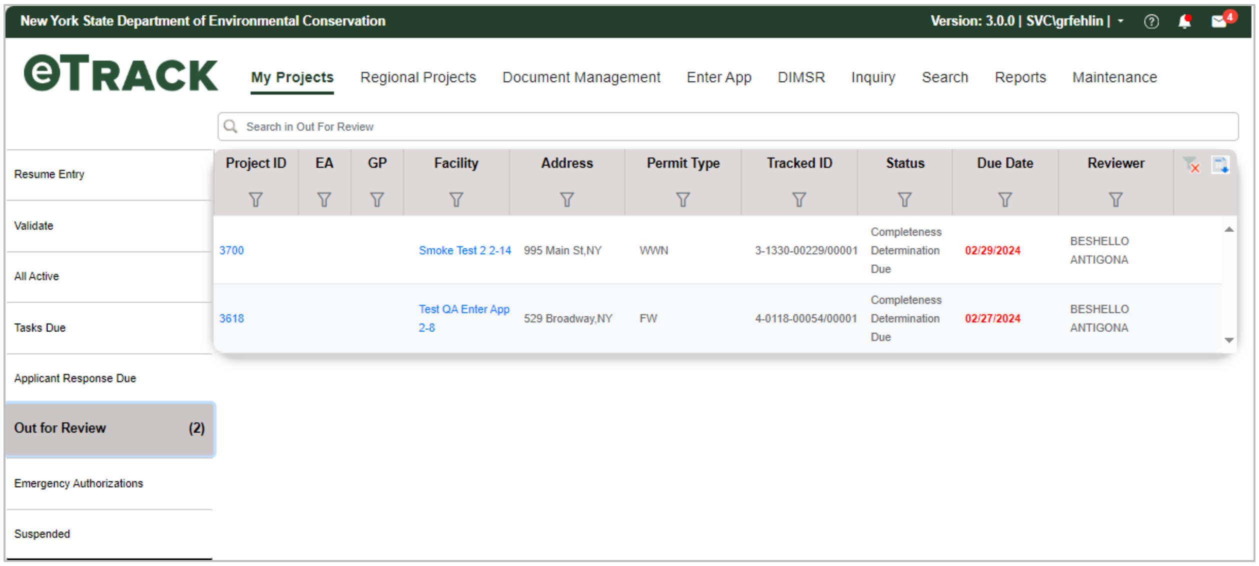
The Applicant Response Due results grid includes applications with the statuses of Incomplete for 1 Year, Incomplete, Chronically Incomplete, Permittee Response Due, Insufficient. Instructional text appears just below this results grid with this information.

Applicant Responses: Incomplete for 1 year, Incomplete, Chronically Incomplete, Permittee Response Due, Insufficient

7.1.6 Out for Review Results Grid

The Out for Review results grid displays projects that are currently assigned to program staff for review. The main task of the Program Reviewer is to review documentation uploaded into DMS for an assigned project. The Analyst can assign the documents when creating the review.

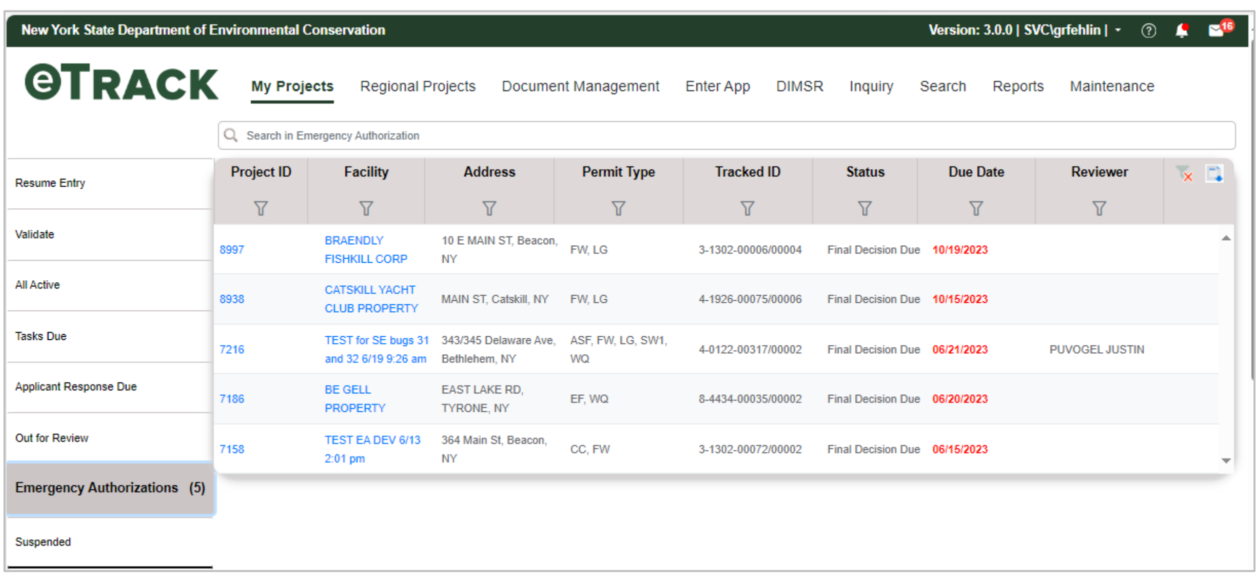
Column headers from left to right are: Project ID; Emergency Authorization (EA); General Permit (GP); Facility; Address; Permit Type; Tracked ID; Status; Due Date; and Reviewer.



7.1.7 Emergency Authorizations Results Grid

Projects selected for an Emergency Authorization during Data Entry (in Step 3) are listed here. Projects are grouped by batch, so there can be multiple, identical, Project IDs. The Tracked ID will indicate the batch (these are the numerals following the DEC ID).

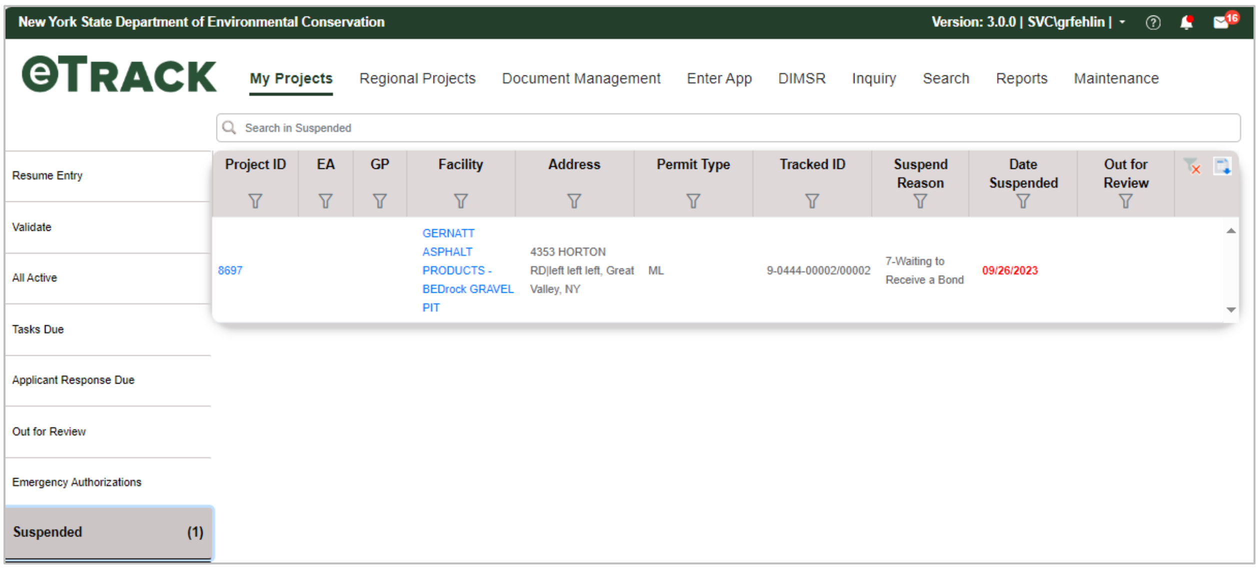
Column headers from left to right are: Project ID; Facility; Address; Permit Type; Tracked ID; Status; Due Date; and Reviewer.



7.1.8 Suspended Results Grid

Projects that are Suspended are listed here.

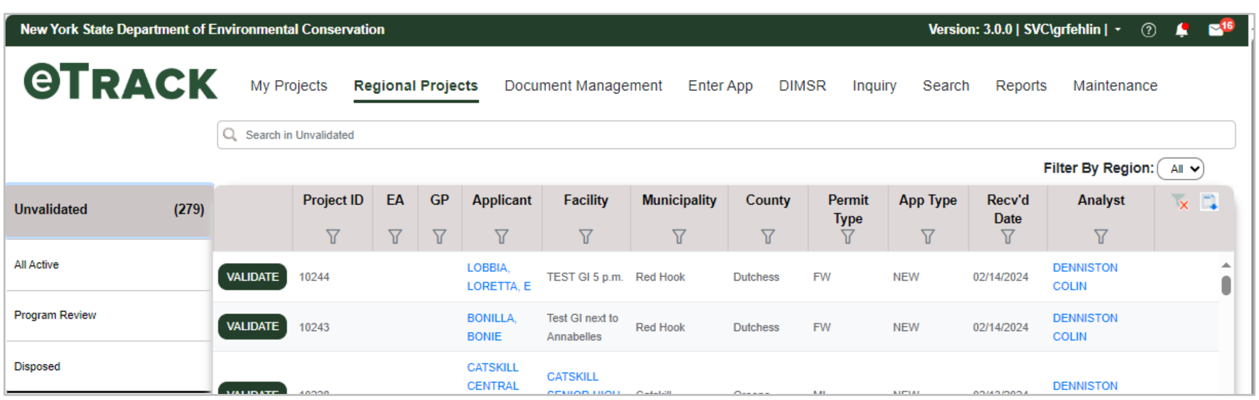
Column headers from left to right are: Project ID; Emergency Authorization (EA); General Permit (GP); Facility; Address; Permit Type; Tracked ID; Suspend Reason; Date Suspended; and Out for Review.



7.2 Regional Projects Dashboard

NOTE: The Regional Projects All Active Dashboard will display the Analyst's region by default. All other dashboards default to 'All', including the GI All Active Inquiry dashboard.

The Regional Projects link displays the Regional Projects dashboard. The Regional Projects dashboard has tabs along the left-hand margin, arranged vertically. From top to bottom, these are: Unvalidated; (default); All Active; Program Review; and Disposed.



Filter By Region Dropdown

When projects are submitted, they display on the Regional dashboard where the facility is located. A Filter by Region feature enables Analysts to view projects according to the respective regions in which they (the Analysts) are located (Regions 0-9). This is not applicable for Program Staff. All Analysts have access to the Regional Dashboard, defaulted to their assigned region, but are allowed to view others.

For Program Reviewers, the default setting for the Filter by Region feature is 'All', which designates the statewide or central office.

7.2.1 Unvalidated Results Grid

The Unvalidated results grid (see above) displays all the projects that have been successfully submitted and are awaiting Analyst review.

This results grid contains the following columns, from left to right: 'Assign' or 'Validate' (a button); Project ID; Emergency Authorization (EA); General Permit (GP); Applicant; Facility; Municipality; County; Permit Type; App Type; Recv'd Date; and Analyst.

The Unvalidated results grid displays eTrack projects that have gone through Steps 1-5 in Data Entry mode and have been successfully submitted by the Analyst. Upon submission, the project appears on this dashboard, sorted by Project ID in descending order (the highest numbers at the top).

The Analyst by default is UNASSIGNED. The project row will contain an 'Assign' button, which will be used to assign an Analyst to the project. When the Assign button is clicked, a pop-up is displayed allowing for the selection of person to assign, with a capability to add an Assignment Note. Once an Analyst has been assigned, the Analyst's name will appear in the designated column, and the button will transform into a Validate button, for that Analyst to begin the Validation process.

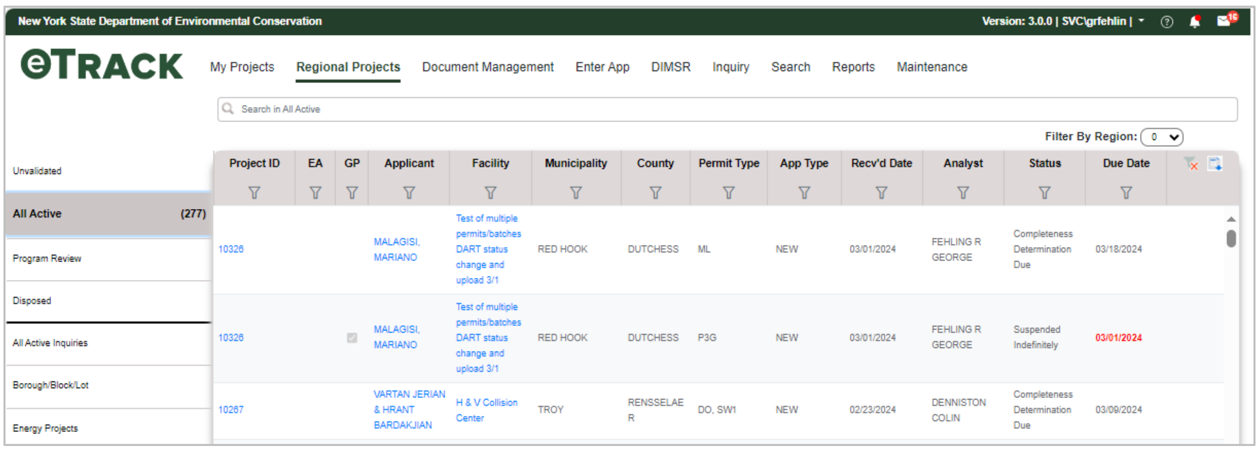
Once assigned, the Analyst name displays here as a hyperlink. Clicking on the name will allow for the project to re-assigned to another Analyst.

When an Analyst is assigned, an Alert notification will appear in the top banner of their screen, in the form of a red dot on the Bell icon. When clicked, it will display the Project ID and any Assignment Note. After viewing the Alert (and the Note, if applicable) the Alert will be removed from the list when the 'New Activity' popup is closed, and the red dot will vanish.

Note: Once a Project is Validated and Uploaded to DART, the Project will migrate and display on the Tasks Due dashboard for the assigned Analyst (status will show as Completeness Determination Due or Final Decision Due) and on the All Active dashboard under Regional Projects.

7.2.2 All Active Results Grid

The All Active results grid displays all the active projects, for all regions. For staff in the central office, the default for the Filter by Region is All, with other regions 0-9 accessible through the dropdown. When the Analyst arrives at this screen, their default region is that for which they are assigned. This results grid contains the following columns from left to right: Project ID; Emergency Authorization (EA); General Permit (GP); Applicant; Facility; Municipality; County; Permit Type; App Type; Recv'd Date; Analyst; Status; and Due Date.

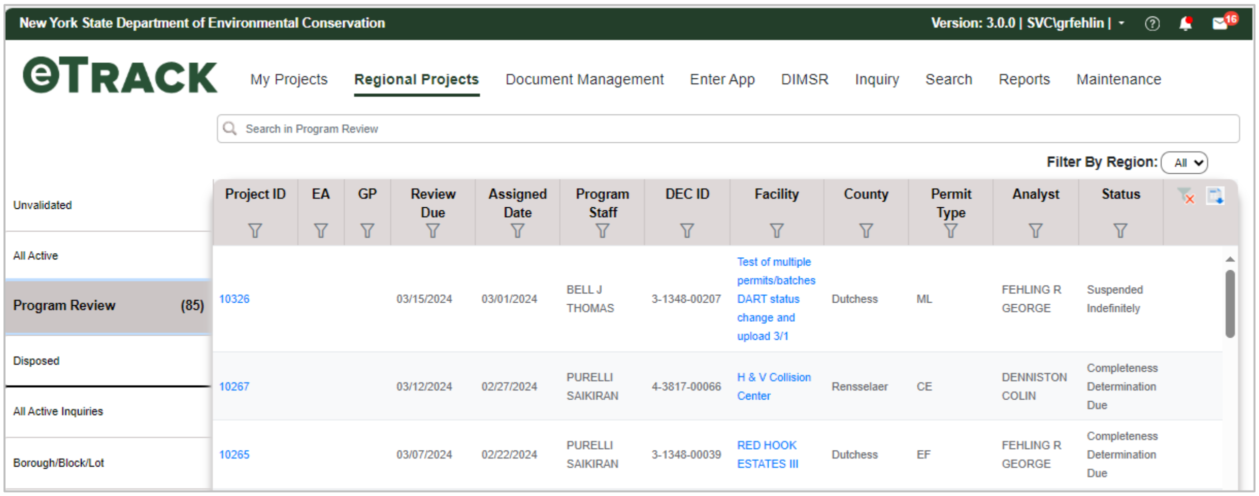


The All Active results grid contains eTrack projects that have been uploaded to DART, as well as active applications that have been created in DART. Applications that were created in DART do not possess a Project ID (or a Virtual Workspace) so none will be displayed.

7.2.3 Program Review Results Grid

The Program Review results grid displays projects that have been assigned to program staff for review via the Virtual Workspace after the project has been uploaded to DART.

This results grid contains the following columns, from left to right: Project ID; Emergency Authorization (EA); General Permit (GP); Review Due; Assigned Date; Program Staff; DEC ID; Facility; County; Permit Type; Analyst; and Status.

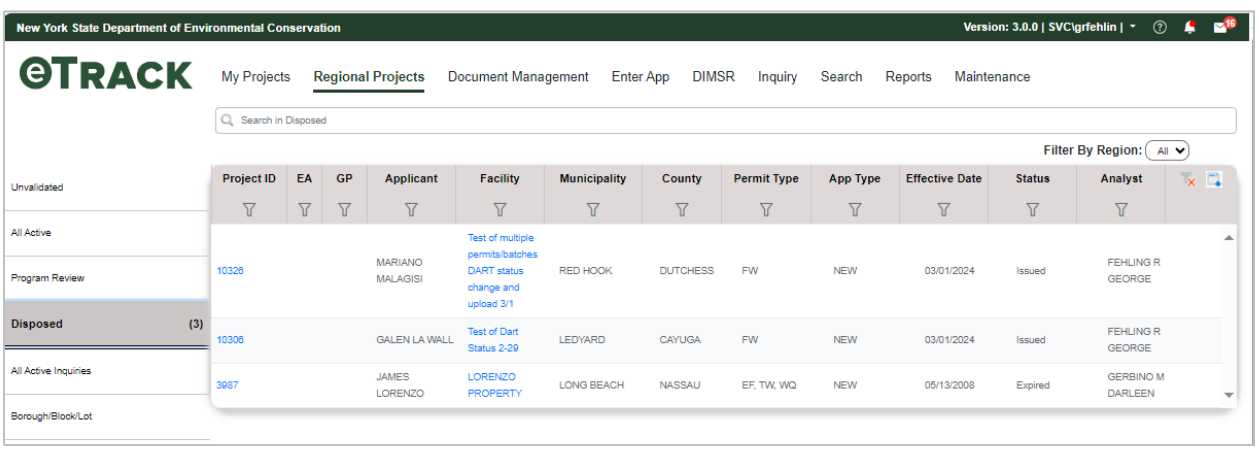


The projects may be filtered by Region.

7.2.4 Disposed Results Grid

This results grid displays the Projects that are Disposed.

Column headers from left to right, are: Project ID; Emergency Authorization (EA); General Permit (GP); Applicant; Facility; Municipality; County; Permit Type; App Type; Effective Date; Status; and Analyst.



The Projects may be filtered by Region.

Note: When accessing the Virtual Workspace from the Disposed results grid, some of the Virtual Workspace grids and features will be hidden or disabled. The Documents, Program Reviewer, Fees & Invoices (if applicable, without links), and Add/Edit Keyword sections will still be present, as will the information in the right sidebar. Project Notes will be combined into a .pdf available on DMS.

7.3 Document Management (Link on Analyst Dashboard)

The next link on the Analyst Dashboard is Document Management, which takes the user to the Document Management Service (DMS). The Document Management Service was the first phase of eTrack to be put into production (Program Increment 2 (PI 2)).

Additional functionality has been added since PI 2, for example, the ability to group documents by Project ID, and also to provide automatic standards for document naming, document type, and document sub-types.

Program Reviewers have limited access to this feature. Many documents/files are uploaded in Step 4 on the Supporting Documents screen during application entry, or on the Virtual Workspace. For an existing DEC ID, these project documents should appear in the Uploaded Documents results grid.

See Section 10 for the full description of the Document Management Service.

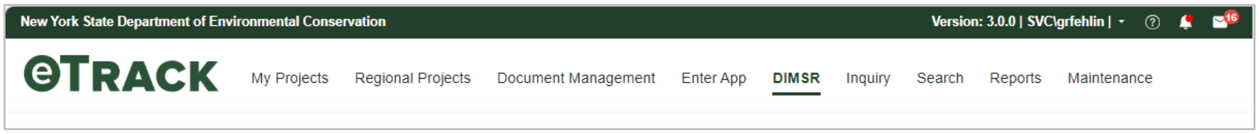
7.4 Enter App (Link on Analyst Dashboard)

The next link on the Analyst Dashboard is Enter App, which takes the Analyst to the beginning of the guided, five-step process of entering a permit application received by email or regular mail. For Analysts, this link reads Enter App (for Online Submitters it will eventually appear as Apply for Permit). The same process will be used by both, whether by email/mail or online submittal.

The full Enter App process is described in Section 11.

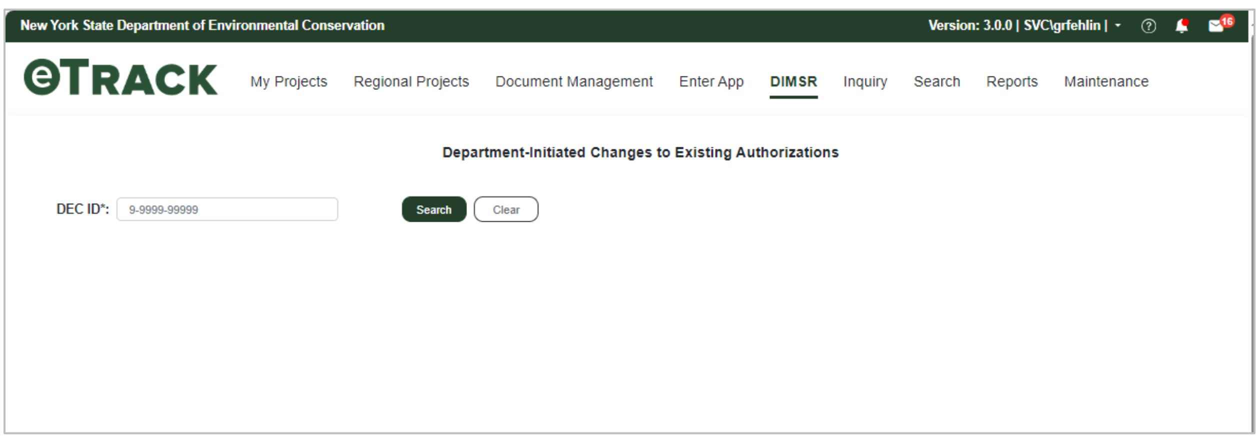
8. DIMSR

To the right of the Enter App link is a link for DIMSR (Department-Initiated Modifications, Suspensions, and Revocations).

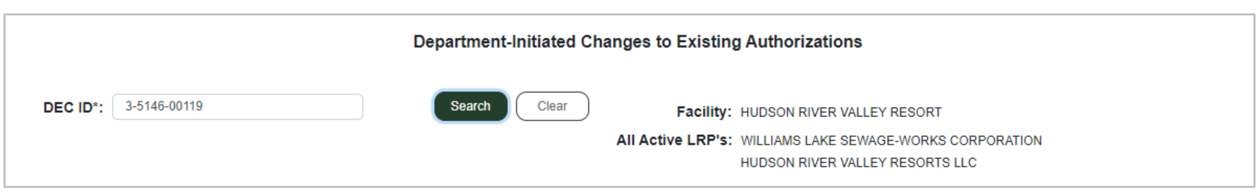


On the DIMSR screen, Analysts, System Admins, and Override Admins can enter department-initiated changes to active authorizations (issued permits). These are recycled from the permit selection process and displayed by batch. After the required information has been entered, the permit can be uploaded as the transaction type selected.

8.1 DIMSR - Search by DEC ID

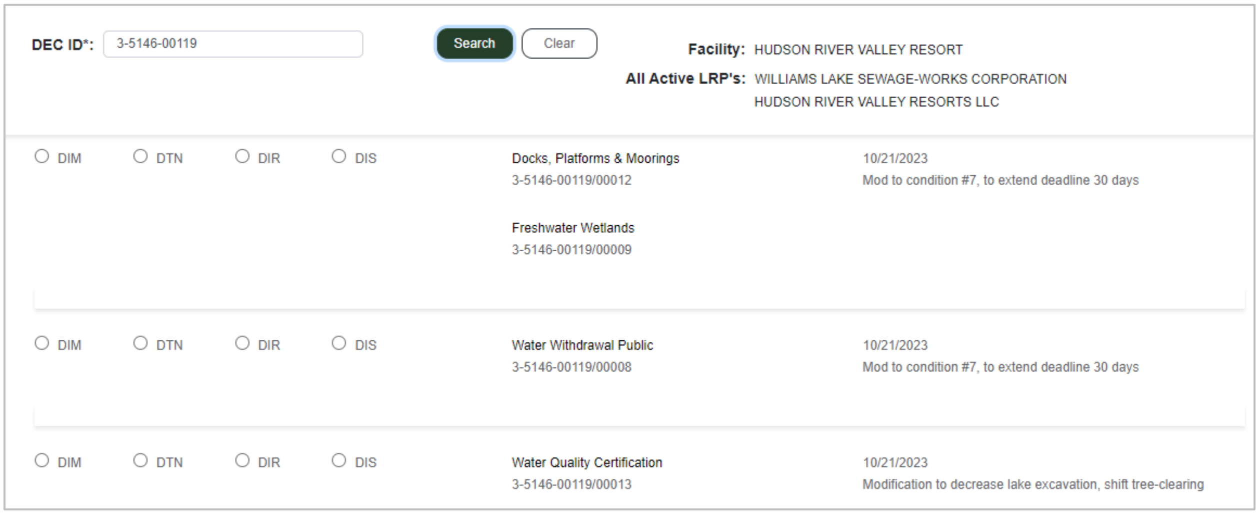


The Analyst enters the DEC ID of the facility with the permits that are being considered for a change in their transaction type and clicks Search. This action generates the appearance of the facility name, and all active LRPs.



8.2 DIMSR - Selecting Transaction/Application Types

Beneath the Search section, the existing authorizations results grid appears with transaction/application types to select by radio button (one type per permit). These are displayed by batch and apply to all applications in the batch (the same as permit selection).



In the grid display, the following trans types are provided (instead of MOD, EXT, etc.):

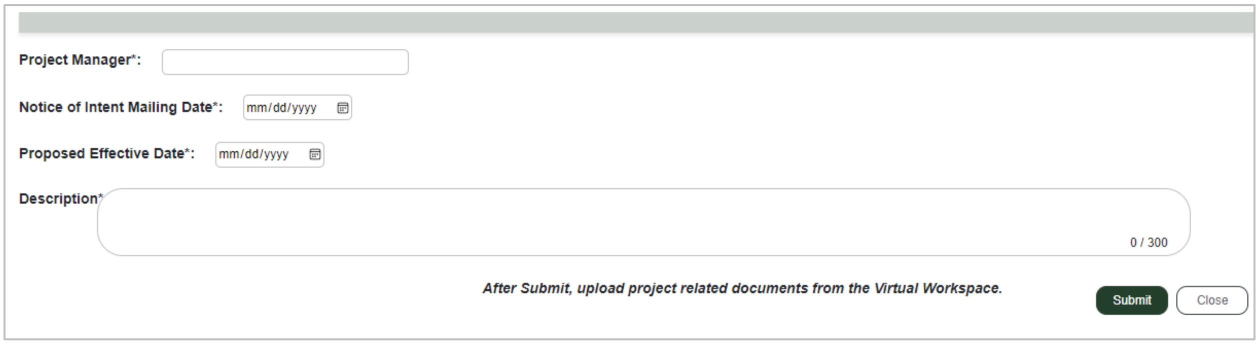
- DIM – Department Initiated Modification
- DTN – DIM Treat as New
- DIR – Department Initiated Revocation
- DIS – Department Initiated Suspension

Pending Applications may also appear, below this section. If only Pending Applications appear for the facility, an error message will display.

Only Active Authorizations are displayed, including SAPA extended by batch. Emergency Authorizations and General Permits will not be displayed.

8.3 DIMSR - Detail Section

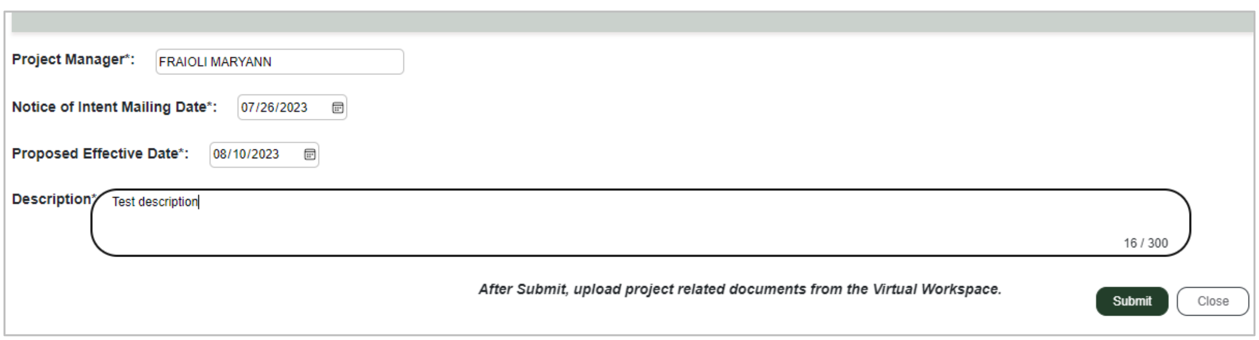
After selecting the appropriate radio button(s), the Analyst completes the required fields in the section below.



- **Project Manager –** Selected from a dropdown; can type to narrow the results.
- **Notice of Intent Mailing Date –** Can only select the current or a past date; this populates the "Recv'd date" in DART.
- **Proposed Effective Date –** A default selection is presented that is 15 days after the Notice of Intent Mailing Date, but may be changed to a subsequent date.
- **Description –** A text box for a description (300 characters)

Note: 'Notice of Intent' is mailed to permittees outside of the system but uploaded into DMS using Doc Type = Correspondence; Sub-Type = Notice of Intent.

Buttons are Submit and Close.

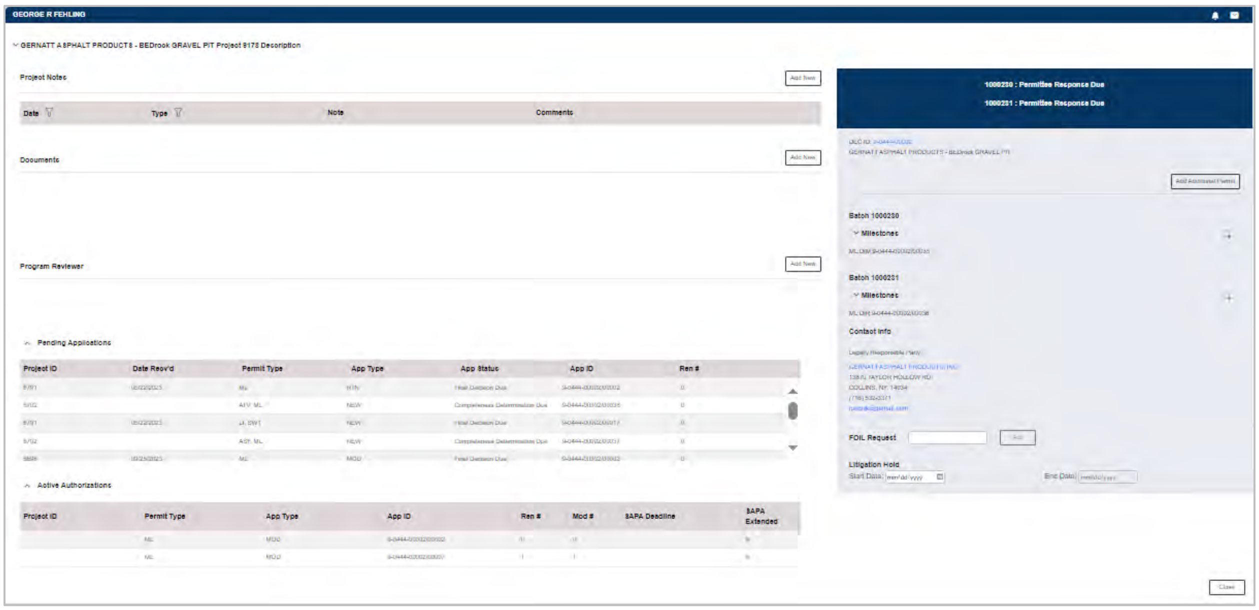


8.4 DIMSR – Submit / Virtual Workspace

After clicking Submit, a message will appear confirming that the DIMSR has been successfully uploaded to DART. Clicking the Submit button will also generate a new batch number in DART. (Under certain circumstances, an 'Application Add Warning' popup will appear after clicking Submit. See next section).

A Virtual Workspace page will then appear, with the Facility Name, Project ID, and Description at the top. The "main" sections (Project Notes, Documents) will be devoid of information, and the Invoice section will not display at all.

The sidebar, however, will populate. Reading from the top down, is the Status, DEC ID (hyperlink to eFind), Facility name, and an Add Additional Permit button. In the section below that, is the Batch number, the permit type (appended with the trans type), the tracked ID, and under Contact Info, the LRP name (hyperlink to eFind) and full address. The FOIL and Litigation Hold features are also present and functional.



The Analyst can upload project-related documents from the Virtual Workspace. The Pending Applications and Active Authorization results grids will be populated with the new DIMSR permit and the original permit, respectively.

8.5 DIMSR – Submit / Application Add Warning

After clicking the Submit button, there are several circumstances that could generate an Application Add Warning popup, for example if a pending modification already exists.

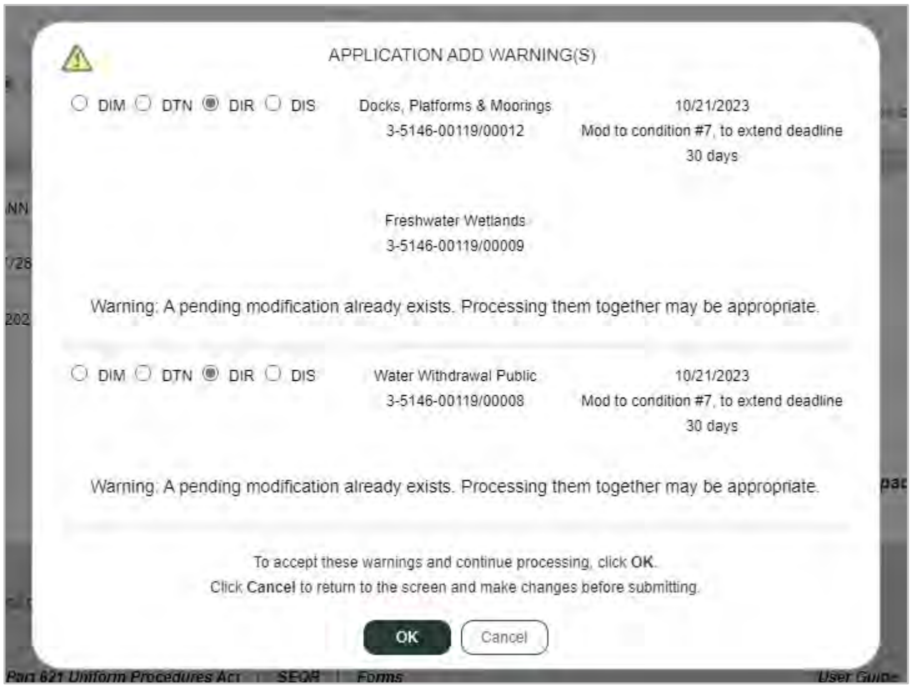
1. If an existing active application (pending application is not dispositioned) for the 15-digit application is REN/RTN/REI and the application being added is DIM/DIS/DTN/DIR, the following warning will appear:

   'Warning: A pending renewal or re-issuance is already pending. Suspension is appropriate until the DIMSR is resolved.'

2. If an existing application (pending application is not dispositioned) for the 15-digit application is MOD/AA/MTN/MNM and the application being added is a DTN/DIM, the following warning will appear:

   'Warning: A pending modification already exists. Processing them together may be appropriate.' OK

The user is given options to change the radio button, select OK, or Cancel:



8.6 DIMSR - Appearance on Dashboards

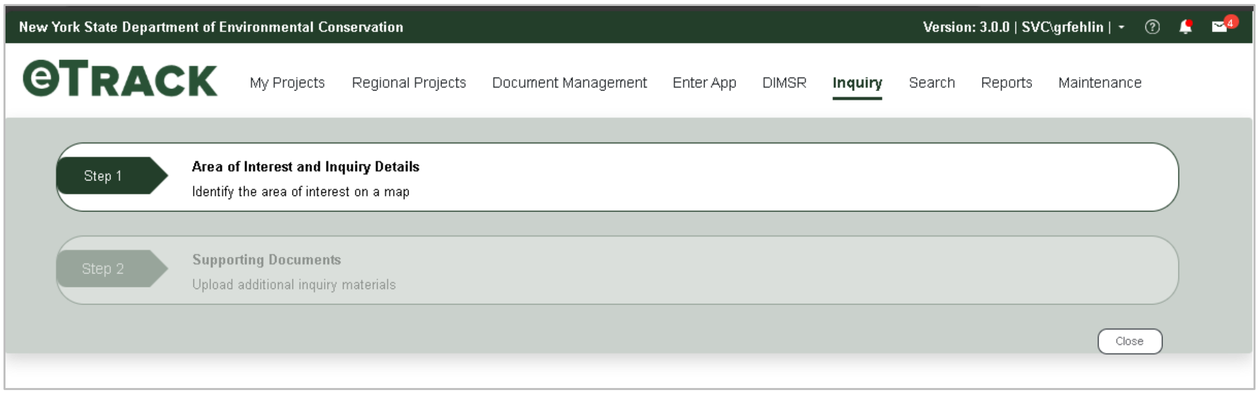
The new Project ID will appear on the All Active and Applicant Response Due dashboards for the Analyst selected. The Project ID that appears on the dashboards will navigate to the Virtual Workspace.

9. Geographical Inquiries

eTrack enables the tracking and management of Geographical Inquiries (GIs – which have also been referred to as Spatial Inquiries). An Analyst can search for and define an Area of Interest, associate this Area of Interest with an Inquiry Type, record information relevant to the Inquiry Type and Region, upload documents, assign the GI to program staff for review, and track its status on a dedicated Virtual Workspace.

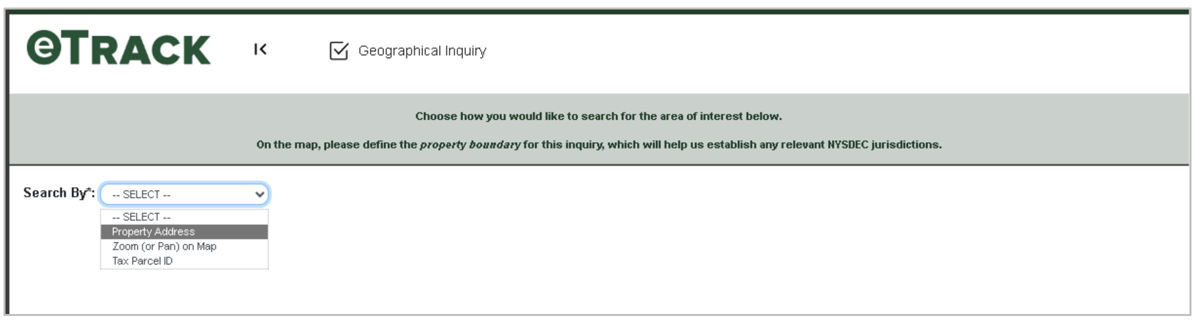
In Step 1 of Enter App Validate Mode, GIs can also be associated with a Project, or added to a Project's Virtual Workspace. GIs have their own map icon and will display on associated parcels during Project Location searches (using Jurisdictional Layers) and GI Location Searches.

Clicking the Inquiry link at the top of the eTrack screen will take the user to the Main Navigation screen for GIs, which resembles the Main Navigation for Enter App, but with only two steps.

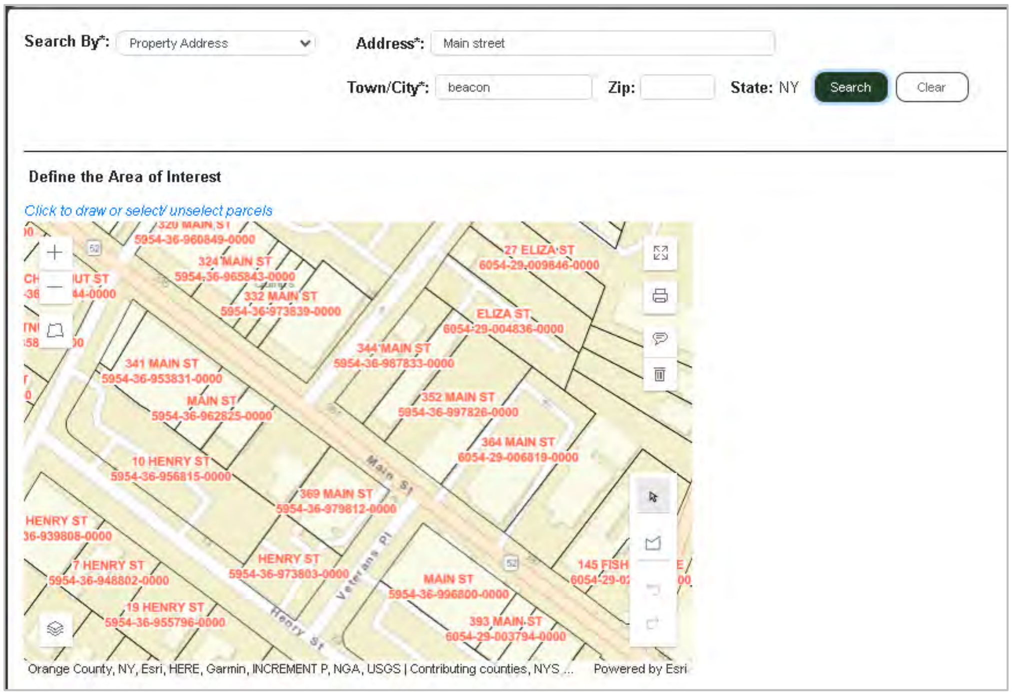


9.1 GI Step 1 – Area of Interest and Inquiry Details

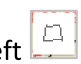
The search capability for GIs works the same way as it does with Step 1 searches in Data Entry mode, but with fewer options. An Analyst can search by Property Address, by Zoom (or Pan) on Map, or by Tax Parcel ID.



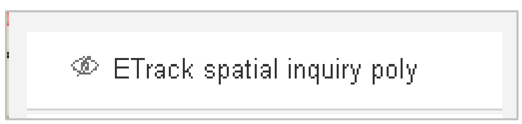
The search results are similar to Step 1 Enter App, however, there are no popups available with information about each parcel. Instead, the tax map numbers are displayed as an overlay on the map itself, along with the street address.



9.2 Displaying existing GIs on the Location Map

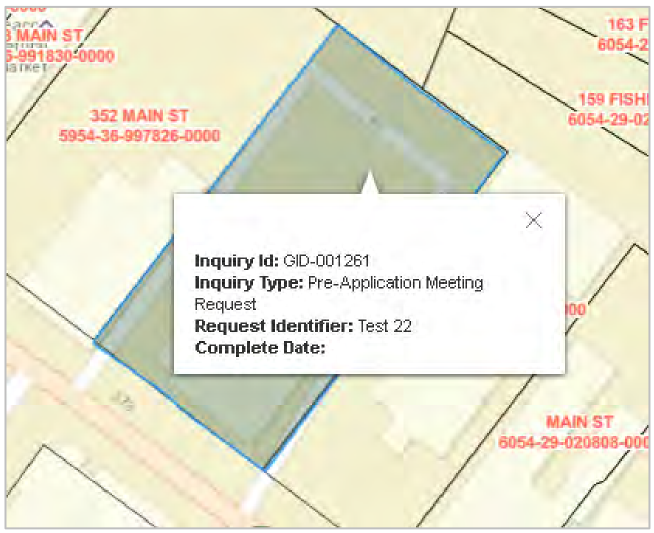
Among the map tools present on the map, is the Jurisdictional Layer button at top left , beneath the zoom in and zoom out buttons.

Clicking on this button will display a menu of layers, including a GI layer.



Zooming out on the map will display small triangles for any GIs in the area.

Clicking on the triangle will display information about that GI.

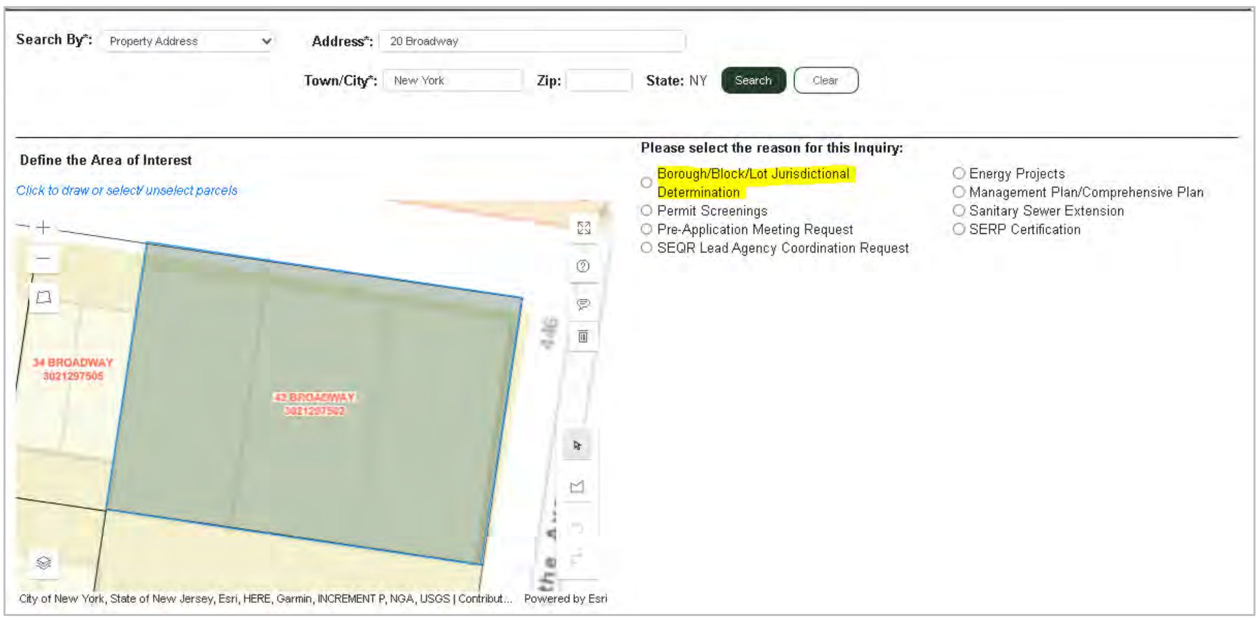


When a GI is marked Complete by the Analyst on the GI VW, the Complete date and timestamp will appear.

9.3 GI Inquiry Type Screens

Selecting a parcel on the map will display a list of options for the Inquiry Type.

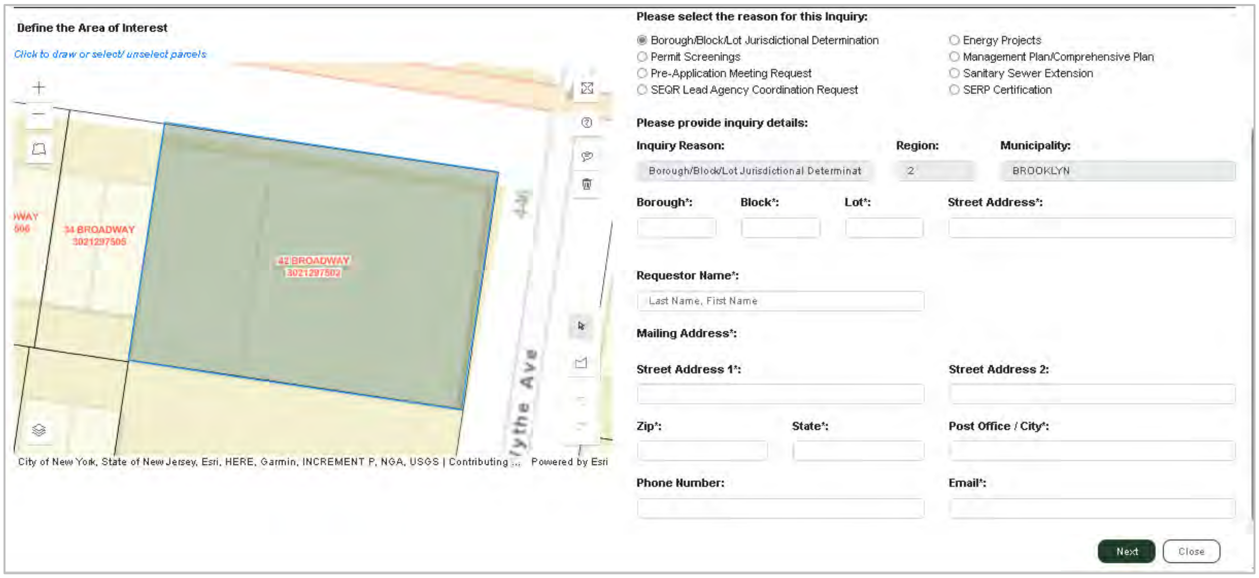
Locations in Region 2 (NYC) will display an extra option (Borough/Block/Lot Jurisdictional Determination) specific to that region.



Selecting one of the radio buttons (or clicking on the label) will present the data fields specific to that Inquiry Type. As throughout eTrack, fields marked with an asterisk are mandatory. Information added will appear on the GI dashboards specific to each Inquiry Type.

9.3.1 Borough/Block/Lot Jurisdictional Determination

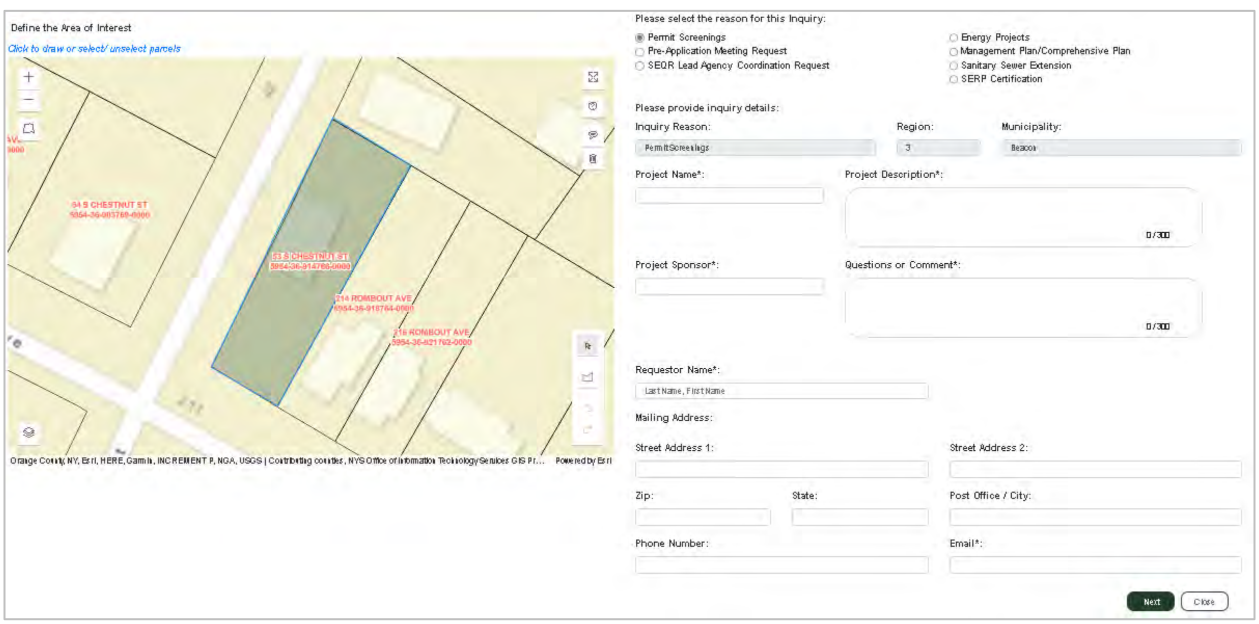
This Inquiry Type will only appear for NYC (Region 2) and is at the top of the left column of Inquiry Types.



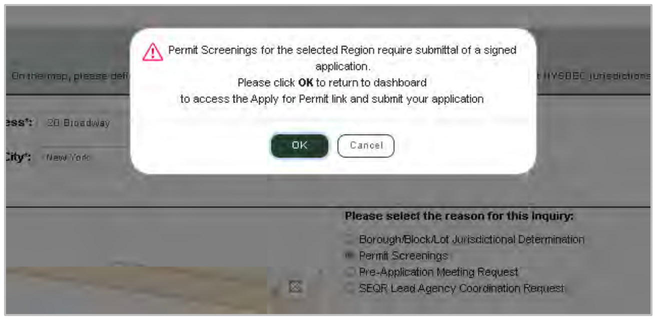
Note: On screens with GI Mailing address fields, the user needs to use a valid street address for the zip code finder to select the correct state and post office.

9.3.2 Permit Screenings

The next option for Inquiry Type is Permit Screenings.



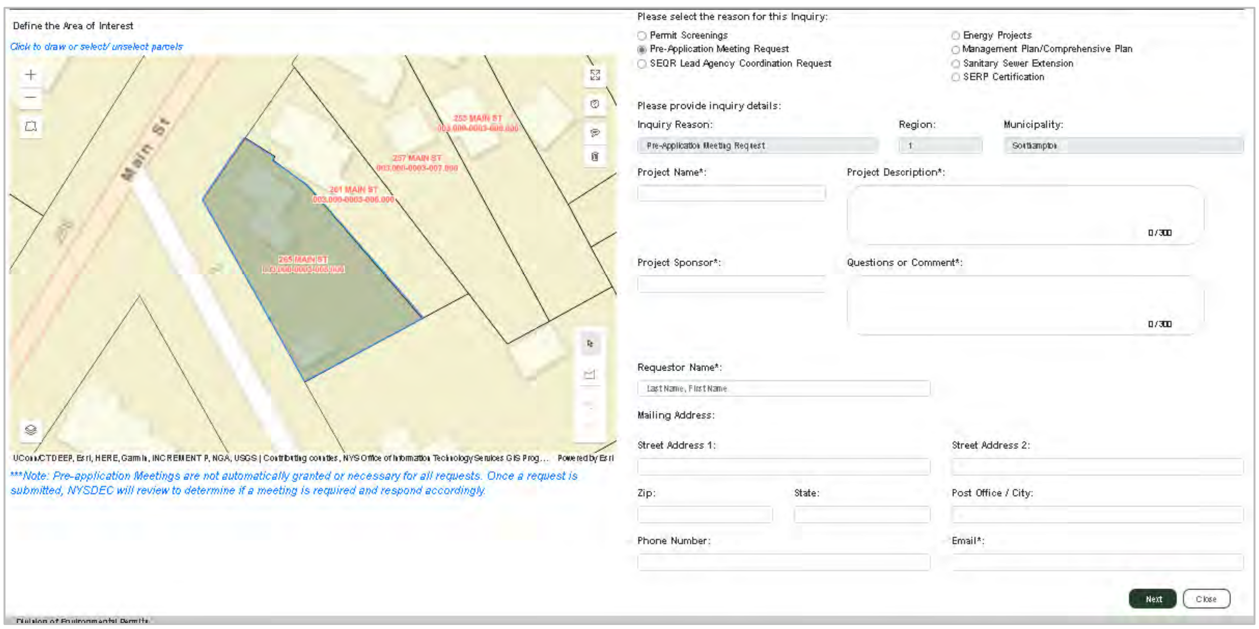
Note: If the Area of Interest (location) is in Region 1 or 2 and Permit Screenings is selected, a popup will be generated redirecting the Analyst to a different path in the process: ‘Permit Screenings for the selected Region require submittal of a signed application. Please click OK to return to dashboard to access the Apply for Permit link and submit your application’.



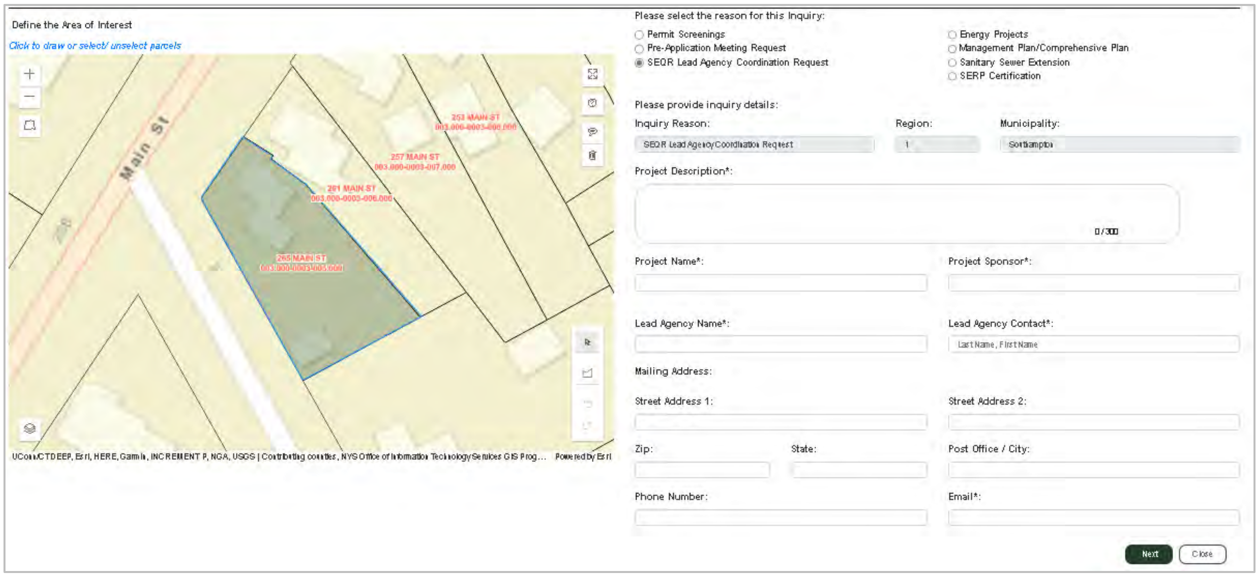
9.3.3 Pre-Application Meeting Requests

The Pre-Application Meeting Requests screen presents an instructional message beneath the map:

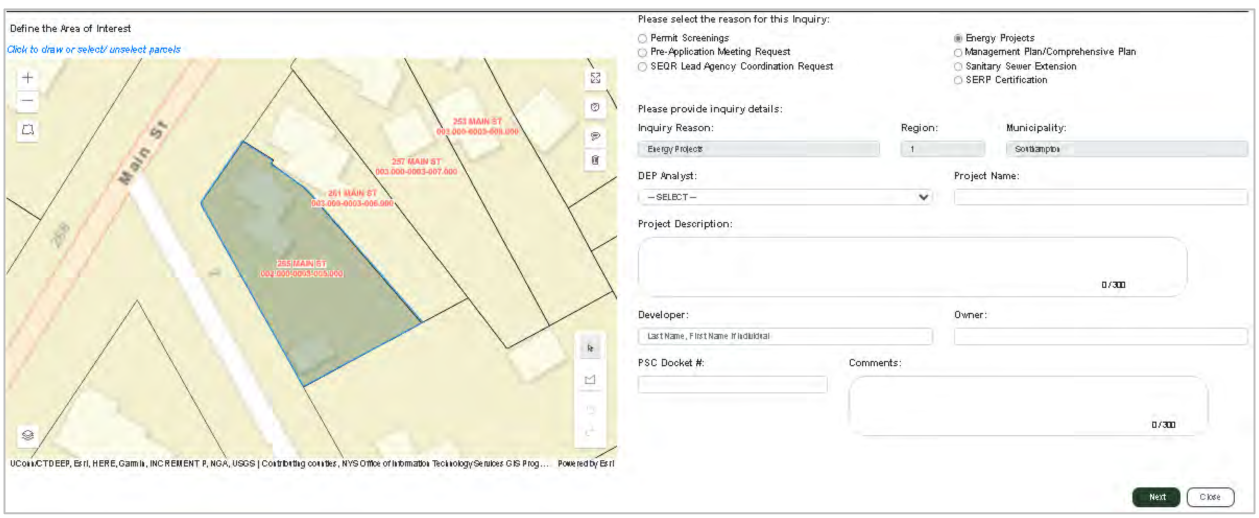
*'***Note: Pre-application Meetings are not automatically granted or necessary for all requests. Once a request is submitted, NYSDEC will review to determine if a meeting is required and respond accordingly.'*



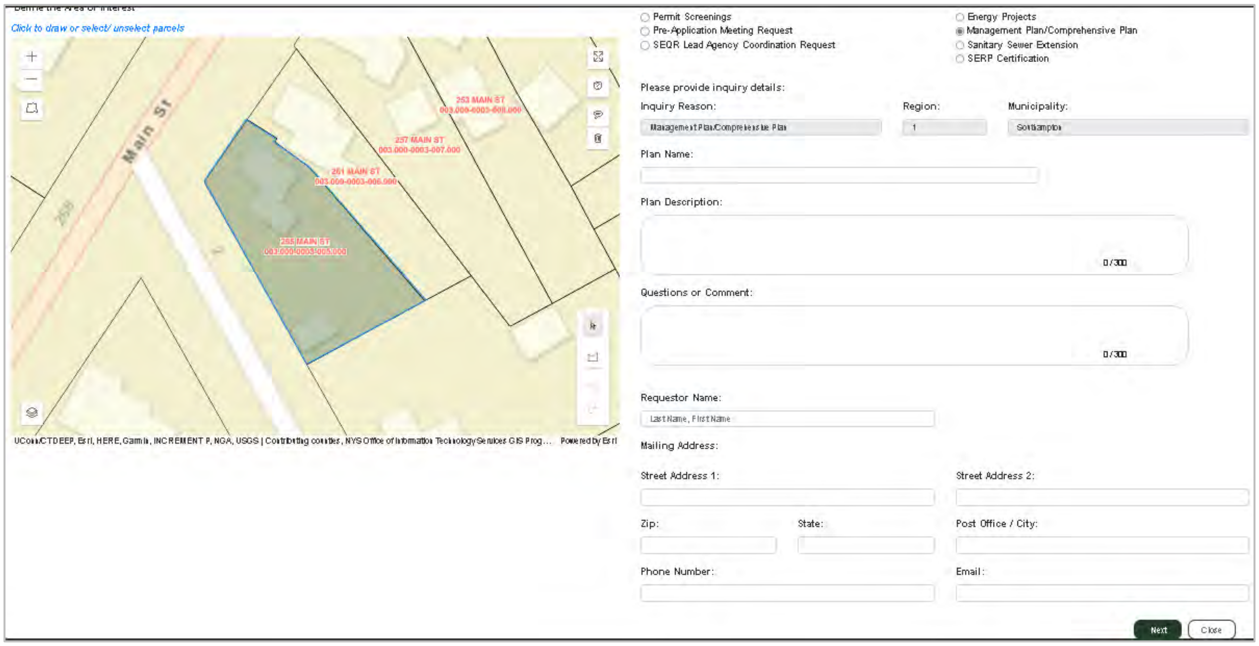
9.3.4 SEQR Lead Agency Coordination Request



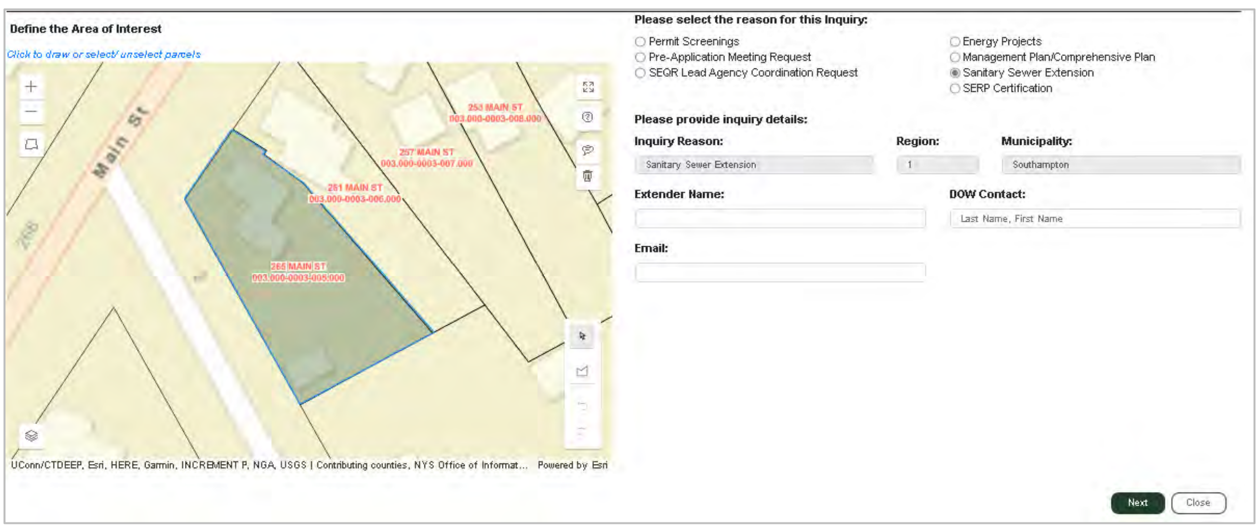
9.3.5 Energy Projects



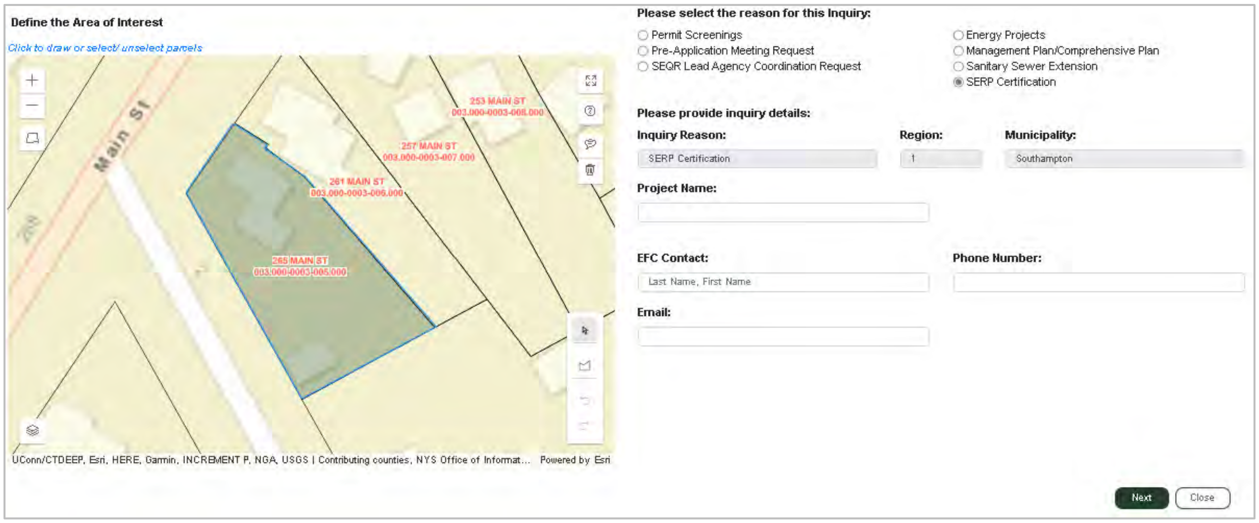
9.3.6 Management Plan/Comprehensive Plan



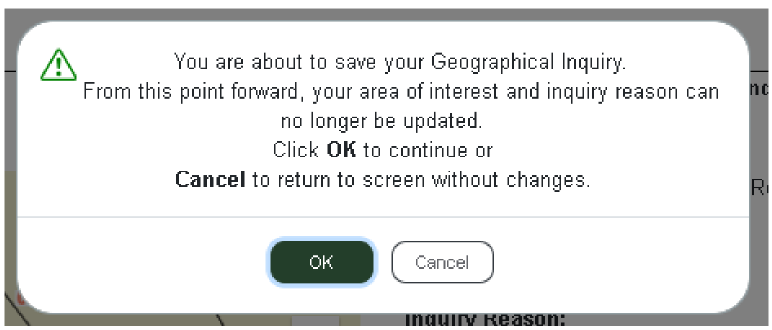
9.3.7 Sanitary Sewer Extension



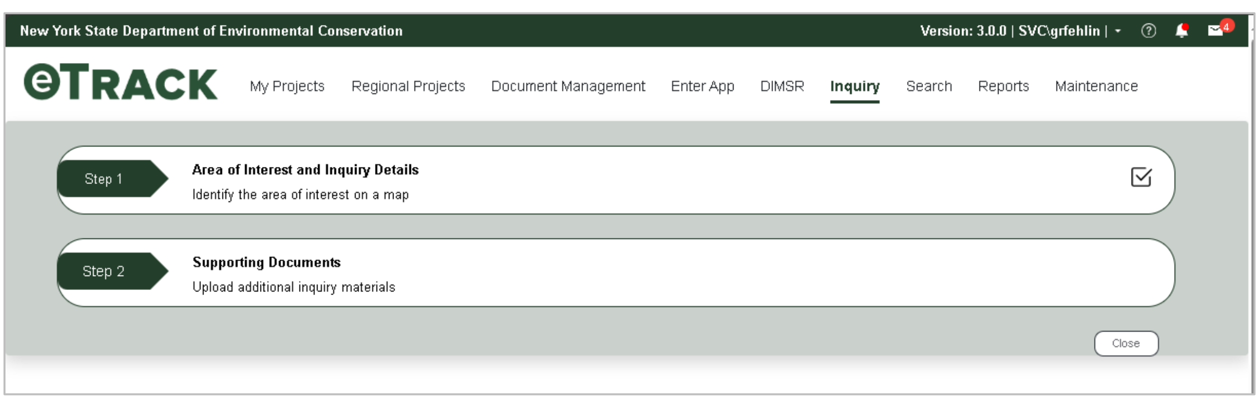
9.3.8 SERP Certification



Once the information has been added to the data fields, the Analyst will click Next. This will generate a confirmation popup.



At this point, the Analyst will return to the Main Navigation screen, where Step 1 will be marked off with a checkmark, and Step 2 will be enabled.

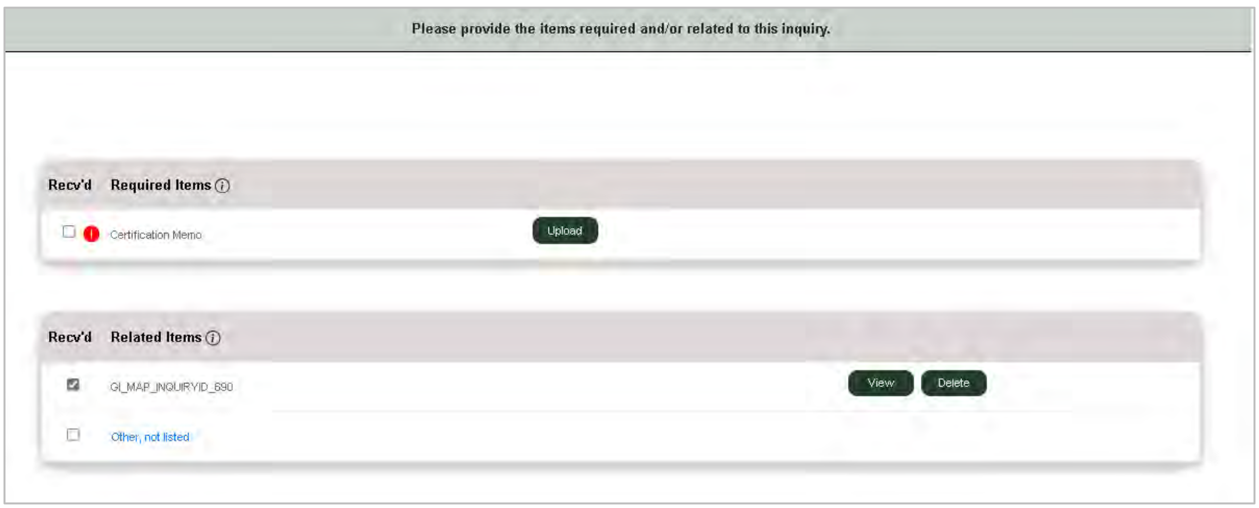


Note: If there are no Required documents in Step 2, a checkmark will also appear there at this point, without even opening Step 2. The Analyst can either proceed to Submit the GI at this point, or open Step 2 to add any Related documents.

9.4 GI Step 2 – Supporting Documents

Similar to Step 4 in Data Entry mode, an Analyst can upload documents associated with the GI. These are organized into Required and Related document upload grids.

The Required grid lists the documents that are required for this GI Inquiry Type. The Related grid contains a map that was automatically generated of the GI, and an option to upload additional documents if needed.

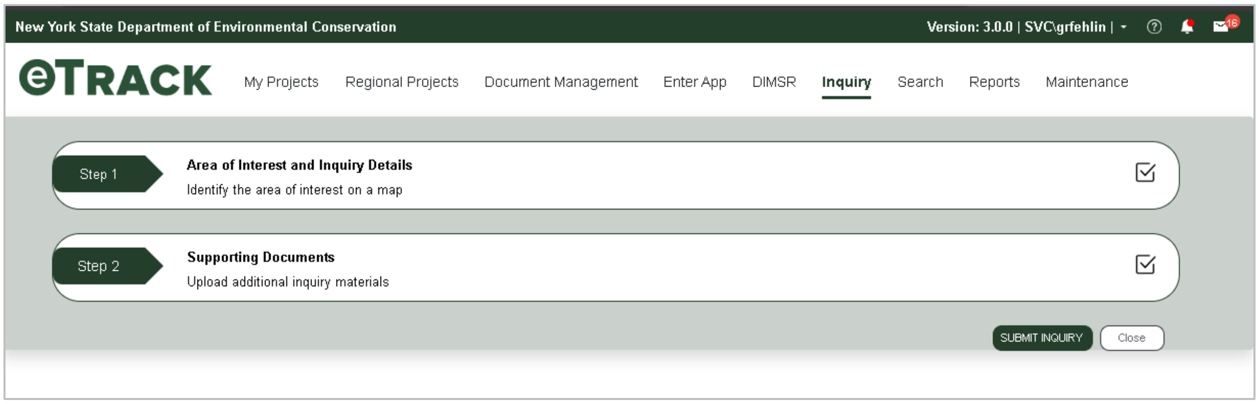


The SERP Certification inquiry Type will also generate SEQR and SHPA document upload grids.

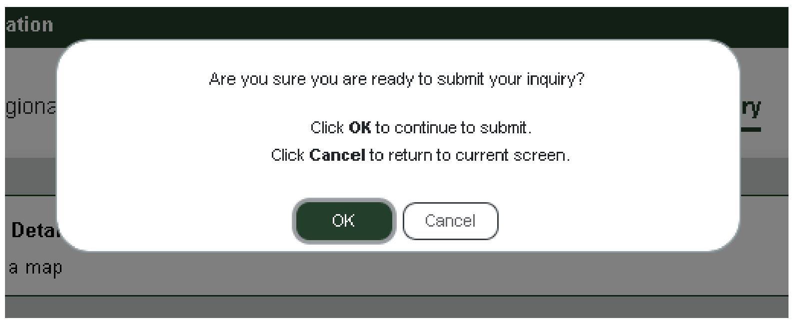
Note: As with Enter App Step 4, GI Step 2 can also be 'Skipped' altogether, and the documents uploaded later on the Virtual Workspace.

9.5 GI – Submit Inquiry

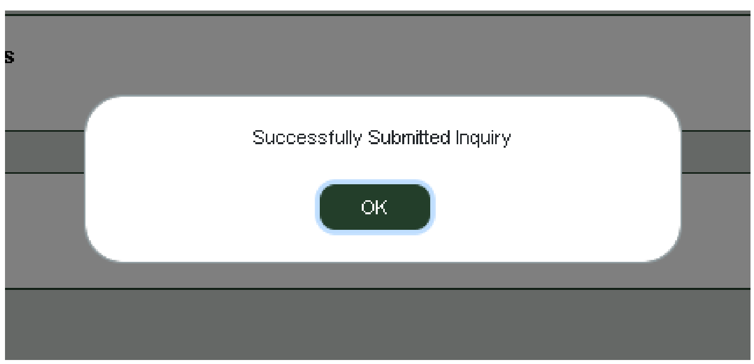
When GI Step 2 is completed (or skipped), the Submit Inquiry button will appear.



Clicking on the Submit Inquiry button will generate a confirmation popup.

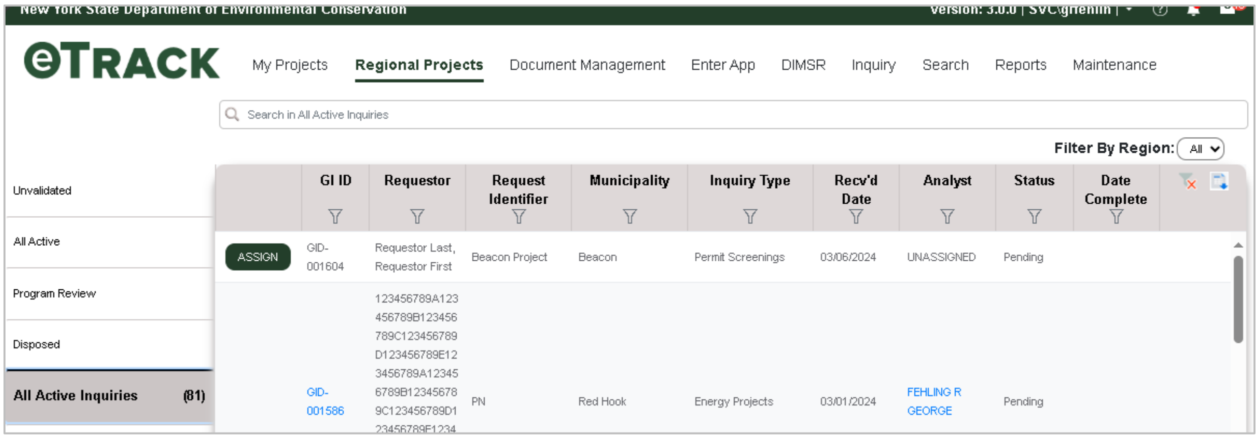


Clicking OK will submit the GI and generate a popup.



At this point, the GI will appear on the Regional Dashboard in the Geographical Inquiry section, under the All Active tab. An Assign button will appear next to the GI ID, which will become a hyperlink only after the Analyst is Assigned and then views the GI via the My Projects dashboard.

Columns from left to right are: Requestor; Request Identifier (this was the Project Name on the Permit Screenings screen and will vary by Inquiry Type); Municipality; Inquiry Type; Recv'd Date; Analyst (at this point UNASSIGNED); Status and Date Complete (blank by default).



Here are the fields that populate the Requestor and Request Identifier columns, based on the Inquiry Type:

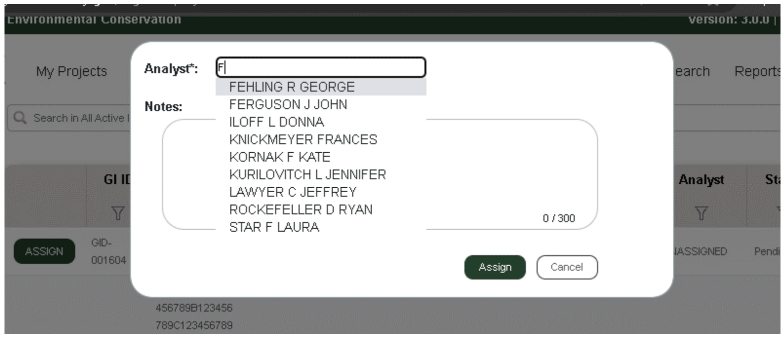
Requestor column:

- BBL = Requestor name
- Permit Screenings = Requestor name
- Pre-app = Requestor name
- SEQR = Lead agency name
- Energy = Developer
- Mgmnt plan = Requestor name
- Sewer = DOW contact
- SERP = EFC contact

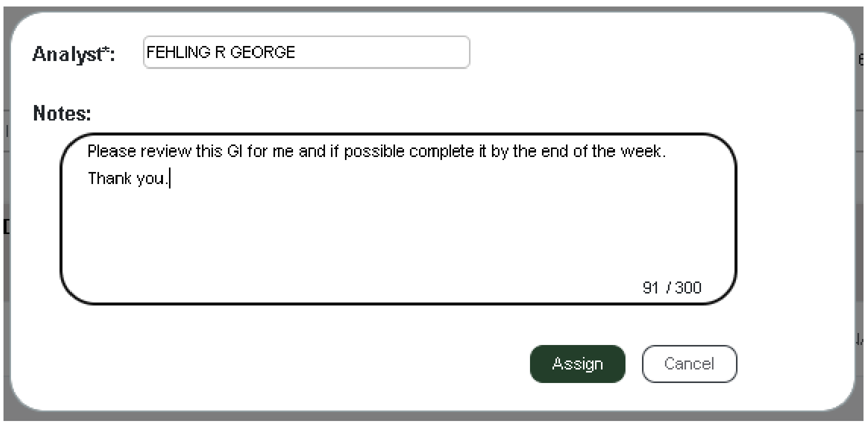
Request Identifier column:

- BBL = BBL
- Permit Screenings = Project Name
- Pre-app = Project Name
- SEQR = Project Name
- Energy = Project Name
- Mgmnt plan = Plan name
- Sewer = Extender name
- SERP = Project name

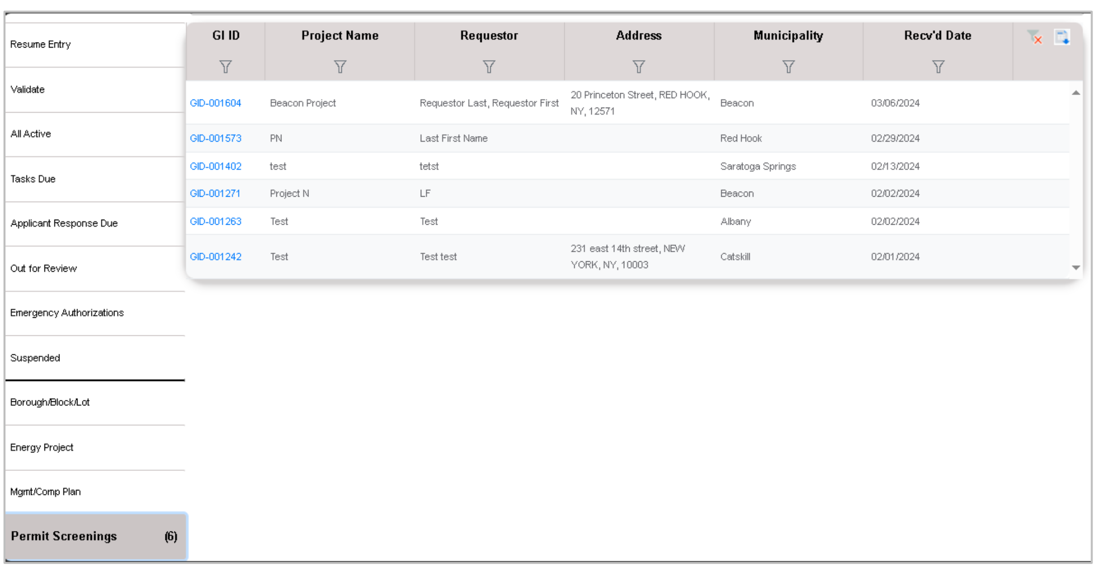
Continuing with the GI assignment process, clicking Assign generates the same popup as seen in Enter App:



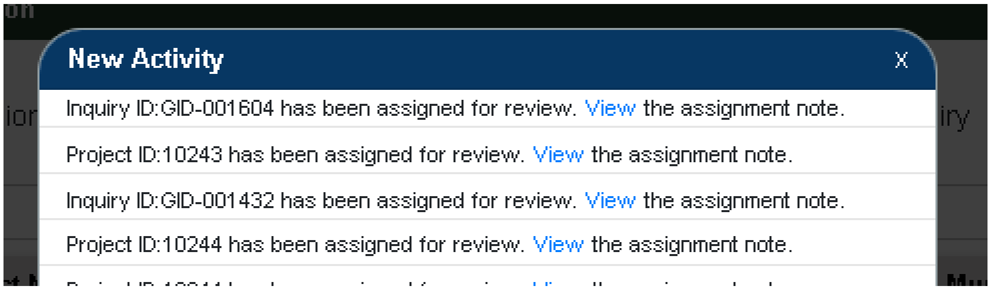
The Analyst can be assigned and an assignment Note added if desired.



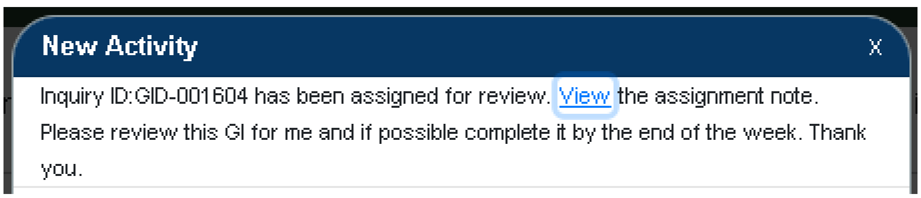
Clicking Assign will place the GI on the Analyst's dashboard grid, in the tab associated with the Inquiry Type. Note that the GI ID has become a hyperlink, which will take the Analyst to the Virtual Workspace for this GI.



Clicking the Assign button will also generate an Alert that will appear on the Analyst's dashboard (the Bell icon at top right). Clicking on the bell will display the Alert.



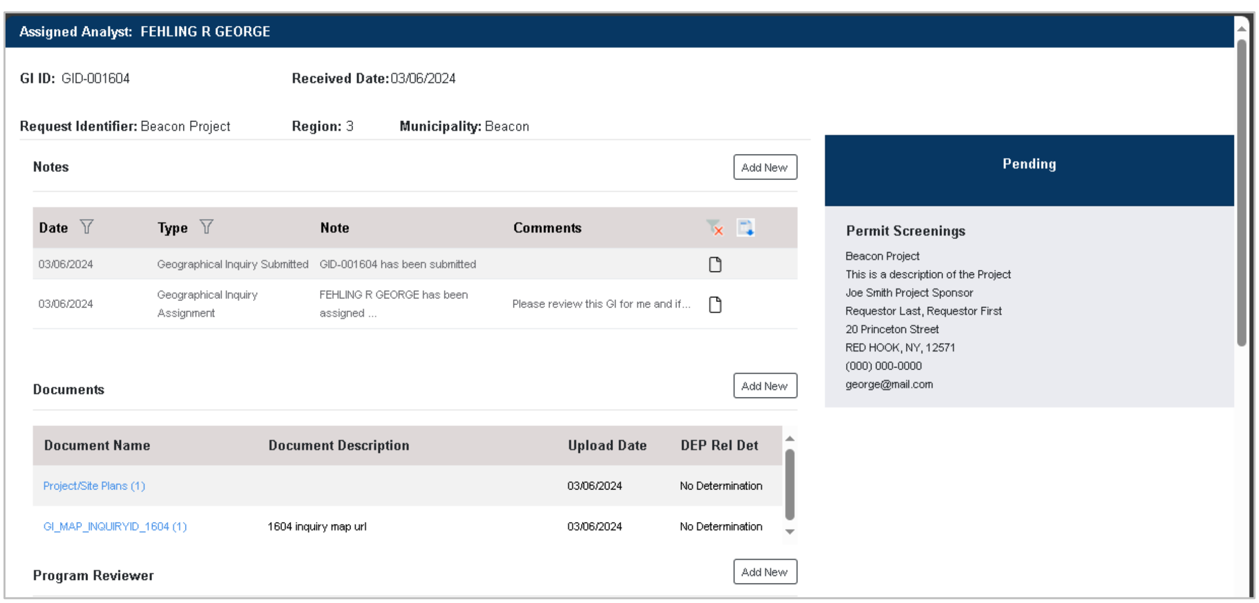
If an assignment Note was included, the View the assignment note text will appear. Click on View to see the Assignment Note.



Having viewed the Note, it will disappear from the Alert list after the New Activity popup is closed.

9.6 GI – Virtual Workspace

Having been assigned a GI, the Analyst will click on the hyperlinked GI ID (GID) on their dashboard. This will take them to the Virtual Workspace for this specific GI (the top half appears as follows).

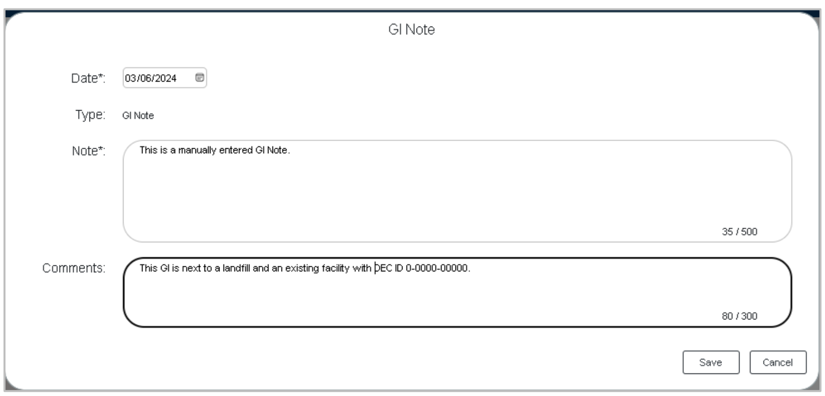


In the top banner is the name of the Assigned Analyst. Beneath the top banner are fields for the GI ID; the Received Date; the Request Identifier; the Region; and the Municipality.

9.6.1 GI – VW – Project Notes

Beneath this is the section for Project Notes. The System Generated Notes can be edited by the Analyst by clicking on the edit icon, but not deleted (only a System Admin can delete System Generated Notes). Hovering over the text in the results grid will display the content.

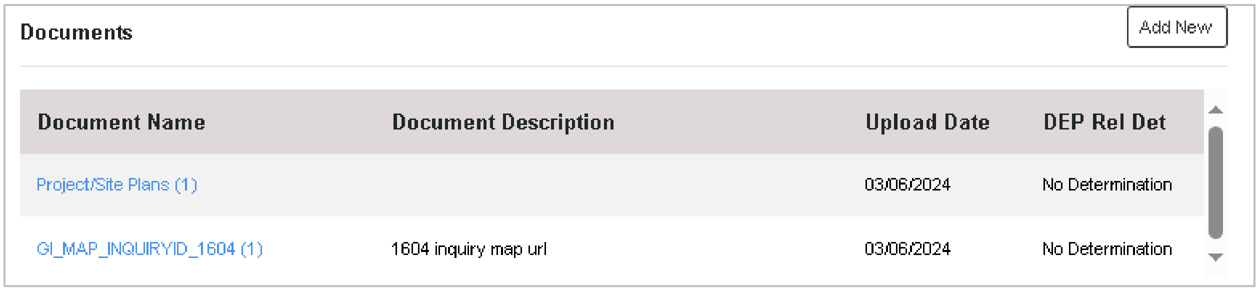
The Analyst can also add a Project Note with the Add New button. There is only one kind of manually generated Note type available (GI Note).



This will be added to the Project Notes grid when the Save button is clicked. Manually generated notes can be edited by clicking on the edit icon, or deleted by using the trashcan icon.

9.6.2 GI – VW – Documents

Beneath the Project Notes is a section for Documents. Upon first view, this will include any documents uploaded during GI Step 2, and the automatically generated GI map.



The Document Name hyperlink contains a numeric value indicating the number of files in the Document.

Documents may be uploaded using the Add New button.

Note: There is no link to DMS on the GI VW. Documents are available through the VW only.

9.6.3 GI – VW - Program Reviewer

Beneath the Documents section is a section for Program Reviewer. This is blank until a Program Review is assigned. Clicking on the Add New button will open a popup for assignment of this GI and/or its document for review by program staff.

Clicking OK will place the Program Reviewer information on the grid.

The Analyst will click the Review Complete button when the Program Reviewer has completed their review.

Alerts generated for a GI PAR review

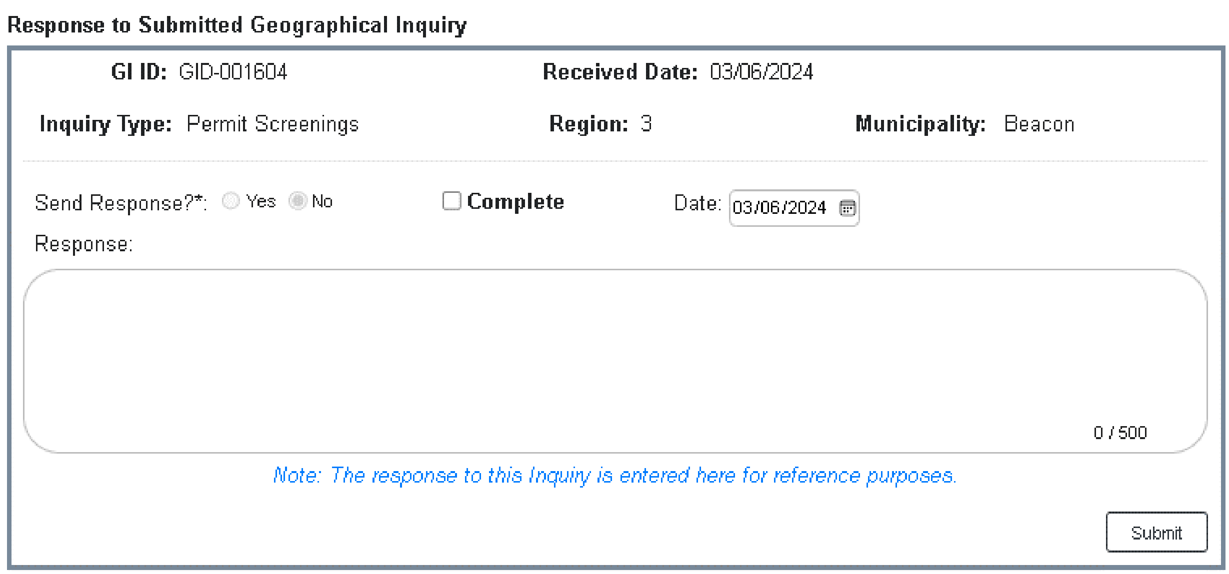
In PI 3 of the Analyst Portal, there is no messaging capability in eTrack between Analysts and PARs for GIs. However, Alerts have been enabled. When a PAR is assigned to review a GI, they will receive an Alert on their dashboard (the bell icon) similar to when an Analyst is assigned a project to review.

Since there is no messaging capability, correspondence should be conducted by email.

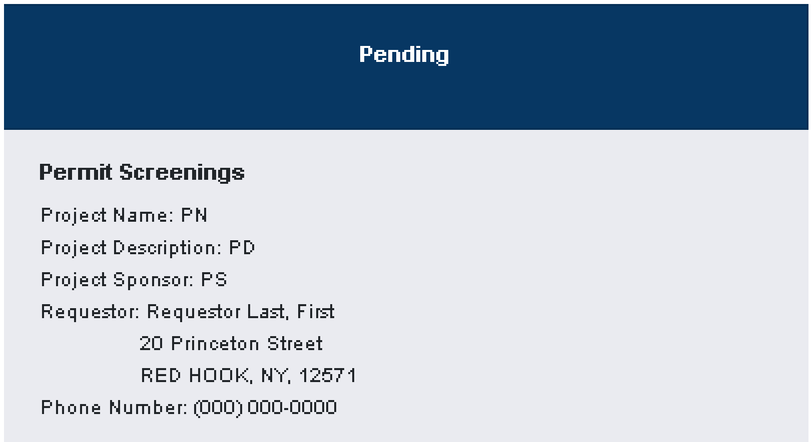
9.6.4 Response to Submitted Geographical Inquiry

Beneath the Program Reviewer section is a section that can be used to capture notes for reference purposes and mark the GI Complete (the checkbox). In a future version of eTrack, this section could be used to communicate with online submitters of permit applications.

For now, checking the Complete checkbox and clicking Submit will remove the GI from the Analyst's My Projects dashboard. It will remain however on the Regional Project/GI/All Active dashboard and the specific Inquiry Type dashboard.

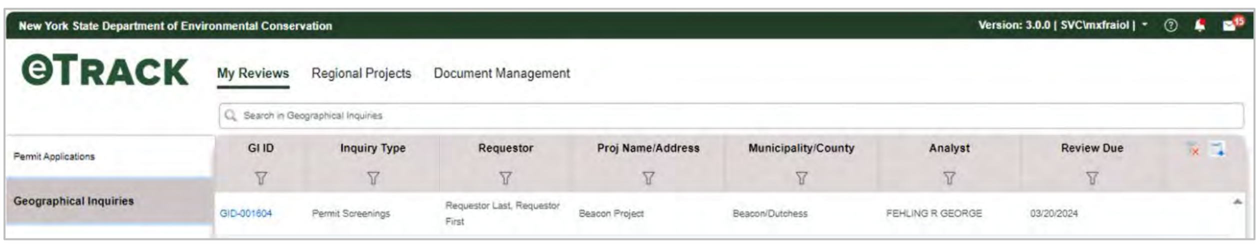


In the blue sidebar, the GI status appears at top. Beneath that, information about the GI that was added during GI Step 1 is displayed, which will vary based on the Inquiry Type (in bold, at top) and the information that was entered on those screens.



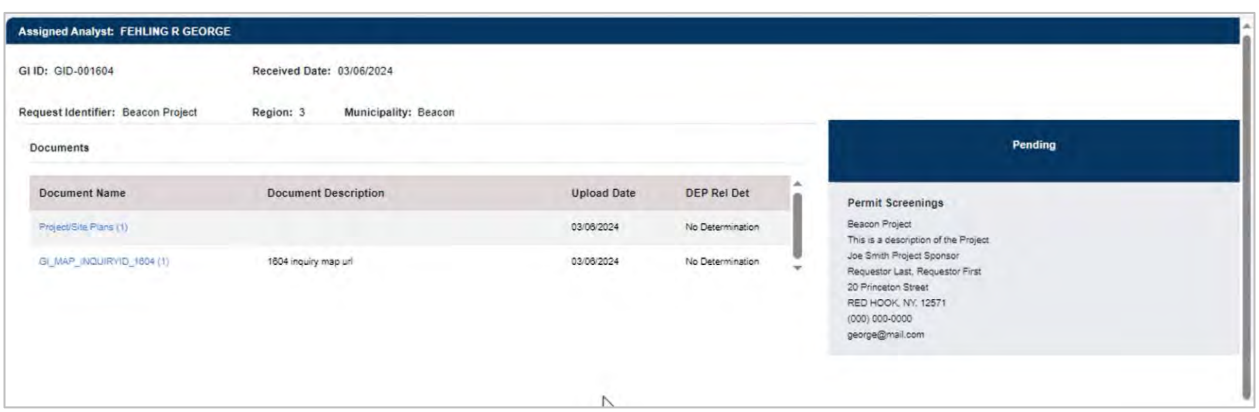
9.7 GI – Program Area Reviewer Dashboard and VW

When a Program Reviewer is assigned a GI for review, the GI will appear on the PAR dashboard under the Geographical Inquiry tab.



The PAR will click on the GI ID hyperlink to go to the VW for the GI and to conduct their review.

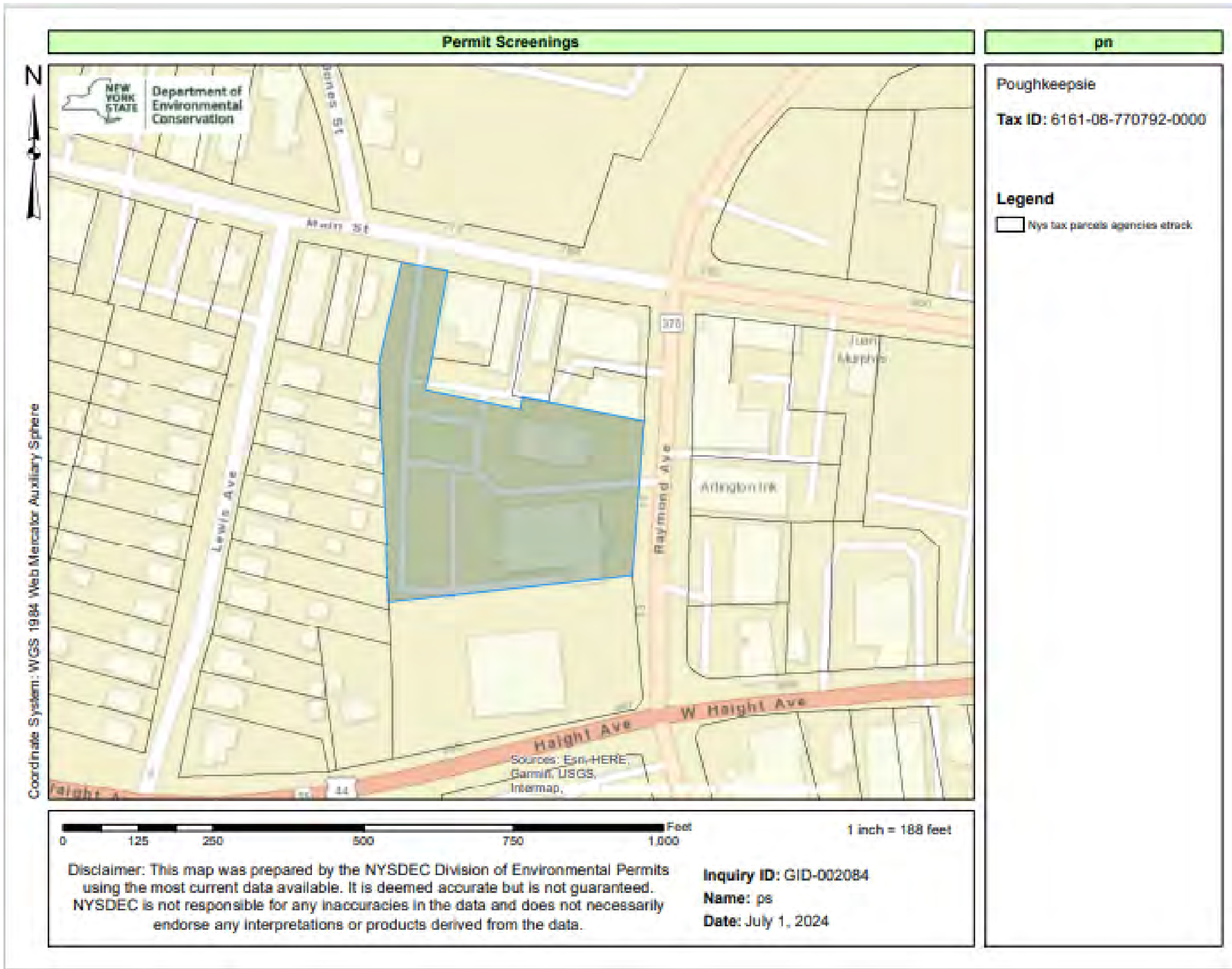
The PAR GI VW has a limited view compared to other VWs. The basic information is at top, and the Documents grid is present. The GI information in the blue sidebar will vary based on the specific Inquiry Type and the information that was entered during GI Step 1.



9.8 GI – Map

At the completion of GI Step 1, a map is automatically generated of the GI Area of Interest with contextual information. The map can be seen during GI Step 2, the document upload process, and on the GI Virtual Workspace (Analyst and PAR).

GI_MAP_INQUIRYID_1604 (1)	1604 inquiry map url	03/06/2024	No Determination



Depending on the Inquiry Type, the Name fields at top and bottom will be populated with different data sources. At the top right of the map is the Project Name field, and at the bottom, below the Inquiry ID, is the Name field. At the top right, below the Project Name field, the Municipality appears, along with the Tax ID.

The Project Name/Name fields on the map are populated with data sources according to the Inquiry Type, as follows:

Top of map

Type =GI Type	"name"=Request_Identifier
BBL	BBL
Permit Screen	Project Name
Pre-app	Project name
SEQR	Project name
Energy	Project name
Mgmnt plan	Plan name
Sewer	Extender name
Serp	Project name

Bottom of map

Type =GI Type	GI MAP template & correct "Entity Name"
BBL	Requestor Name
Permit Screen	Project Sponsor
Pre-app	Project Sponsor
SEQR	Project Sponsor
Energy	Developer
Mgmnt plan	Requestor name
Sewer	DOW contact
Serp	EFC contact

10. Document Management Service (DMS)

This section describes the functionality of eTrack's Document Management Service (DMS). It explains how to search for and associate documents to a Facility; Upload Documents (a group of related files); Edit Document Metadata; and Download Documents.

eTrack

10.1 eTrack DMS Overview

The eTrack Document Management Service (DMS) allows for the storage and retrieval of documents and files. General metadata is required to associate with the files being processed. DEC Analysts have full access to DMS. Program Area Reviewers also have access, but with less functionality (e.g., Program Area Reviewers cannot delete documents).

DMS allows Analysts and Program Area Reviewers to upload and download documentation for Facility Documents created in DART and eTrack Project Documents. Documentation added to DMS may be helpful for records responsive to a FOIL request, or useful as a reference to a pending application review for Program Staff, or to store documentation for current applications. By entering the DEC ID or Facility Name, the system will check if a document already exists in eTrack DMS from a prior upload.

10.1.1 eTrack DMS - Upload

Searching can be done for current or 'formerly known as' DEC ID/Facility Names, similar to the eFind search function.

Document details/metadata are required, and at least one file must be chosen for Upload. Once uploaded, the new document will appear in the 'Uploaded Documents' results grid, the most recent appearing at the top. Multiple files of the same file extension can be uploaded to the same Document Name. This is useful, for example, to upload multiple photos. Columns may be sorted and filtered by clicking on the headers in the top of the results grid.

The Document Name hyperlinks to a new screen displaying each Document/File Name which can be viewed in the browser if the file type is supported. If not, the file will be downloaded to the user workstation.

10.1.2 eTrack DMS – Edit Document Metadata

The metadata associated with a Document can be edited by clicking on the edit icon in the Uploaded Documents results grid based on permissions.

10.1.3 eTrack DMS – Download

By clicking the Download Documents button, a screen displays all Files for all Document Names that are listed in the Uploaded Documents results grid.

Columns may be sorted and filtered by clicking on the headers in the top of the Download Documents results grid. Checkboxes next to each Document Name/File Name allow for choosing which files to download. An 'All' checkbox in the results grid header area checks/unchecks all files in the list.

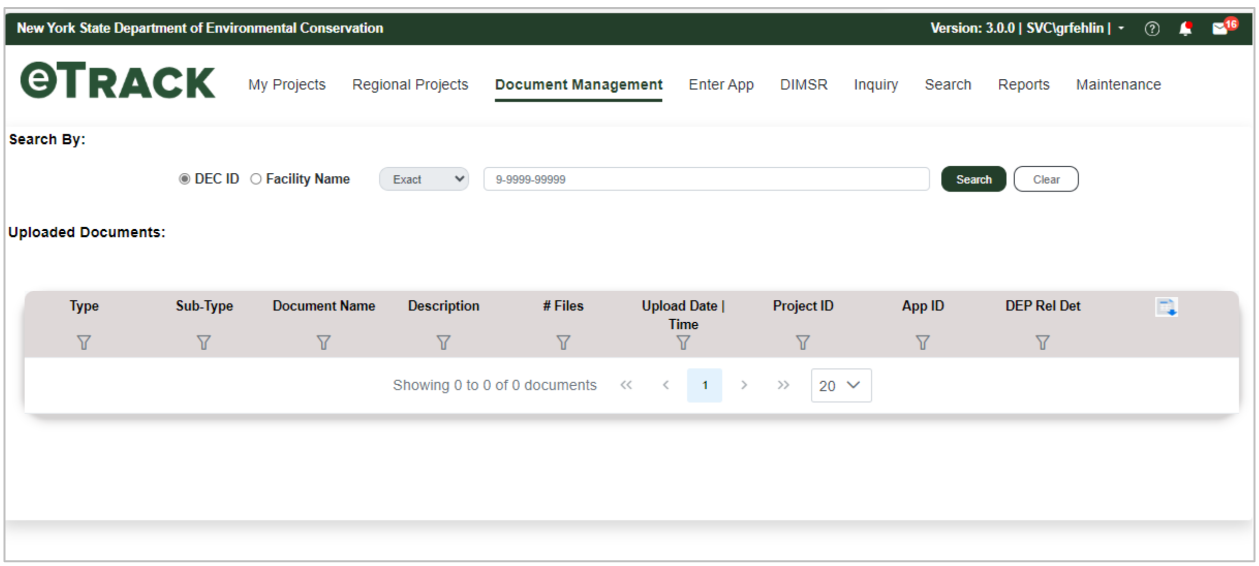
10.2 Document Management Service Main Screen

The user is presented with the main screen. It contains a ‘Search’ feature that facilitates a facility search by either ‘DEC ID’ or ‘Facility Name’, and an ‘Uploaded Documents’ feature that displays any documents uploaded for that facility. In eTrack, a Document is either a file or a group of files.

Note: There is a “full” DMS, as described in this section. However, many functions will happen during the Enter Application process (in Step 4) and on the Virtual Workspace.

In eTrack, many/most documents will be uploaded via Step 4 during application entry. Step 4 includes auto naming and doctype/sub-type, and associated documents with that Project ID.

Fields are set to default values when the user enters this screen for the first time.

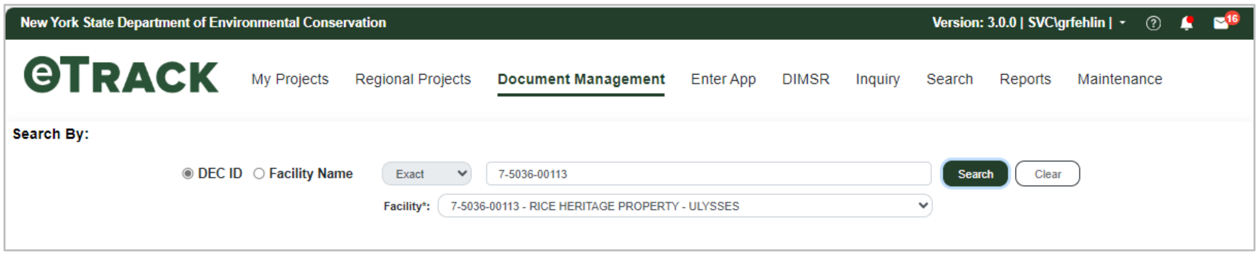


10.3 Search for a Facility

10.3.1 Search by DEC ID

A facility may be found by searching on its current (or past) numerical DEC ID. A user selects the DEC ID radio button (the default selection). Only an ‘Exact’ DEC ID is permitted for the search (the default selection).

The user enters the 10 digits associated with the facility. The search field automatically formats the number to conform with the DEC ID standard (i.e., 0-0000-00000). The user clicks on the Search button to initiate. If no match is found, an error message will display. Entering invalid characters, or fewer than 10 digits, will also produce an error message.



10.3.2 DEC ID Search Results

The facility associated with the DEC ID is selected and displayed with the metadata: 'DEC ID – Facility Name – Municipality':

Using a specific DEC ID will automatically display any documents associated with that facility in the 'Uploaded Documents' section of the page.

By clicking on the 'Clear' button at any point during this process, the information entered and any results displayed will be removed, and a fresh search can begin.

If a facility has had a different DEC ID at some point in the past, the system will search through the history data and produce the facility's up-to-date information (including the new DEC ID).

10.3.3 Search by Facility Name

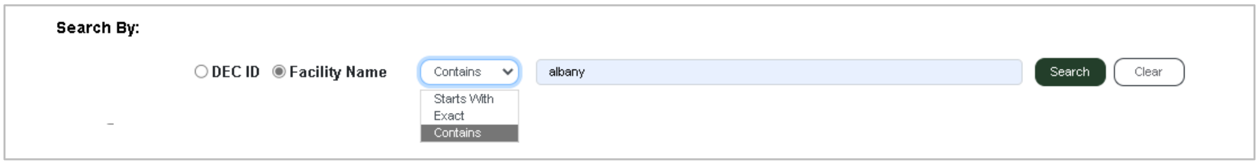
A facility may also be found by using a word (text) search. There are three options when entering text for the search: 'Contains'; 'Starts With'; and 'Exact'. A user clicks on 'Search' to initiate. If no match is found, an error message will display.

Allowed characters for a Facility Name search include alphanumeric, space, comma, period, hyphen, underscore, ampersand, apostrophe, round brackets, plus, and colon.

Hyphens (-) and other allowed characters must be entered exactly as written in the facility name for the desired results to appear.

10.3.4 Contains

This is the default selection. The search results will display every facility name in the database that contains the text entered.



A minimum of five characters is required for this option. If searching for a facility name that may commonly be represented by fewer than five characters (e.g., YMCA), enter a space after the letters, or enter additional information about the facility name to produce the search results.

For a Contains search, information must be entered in the order in which it appears in the facility name. For example, if searching for 'A B C', entering 'A B' will produce a result, but entering 'A C' will not.

Some search terms may produce an excessive number of results. For example, entering a commonly used word such as 'Hudson.' If a search term produces more than 500 results, an error message will appear, prompting the user to further refine the search term.

10.3.5 Starts With

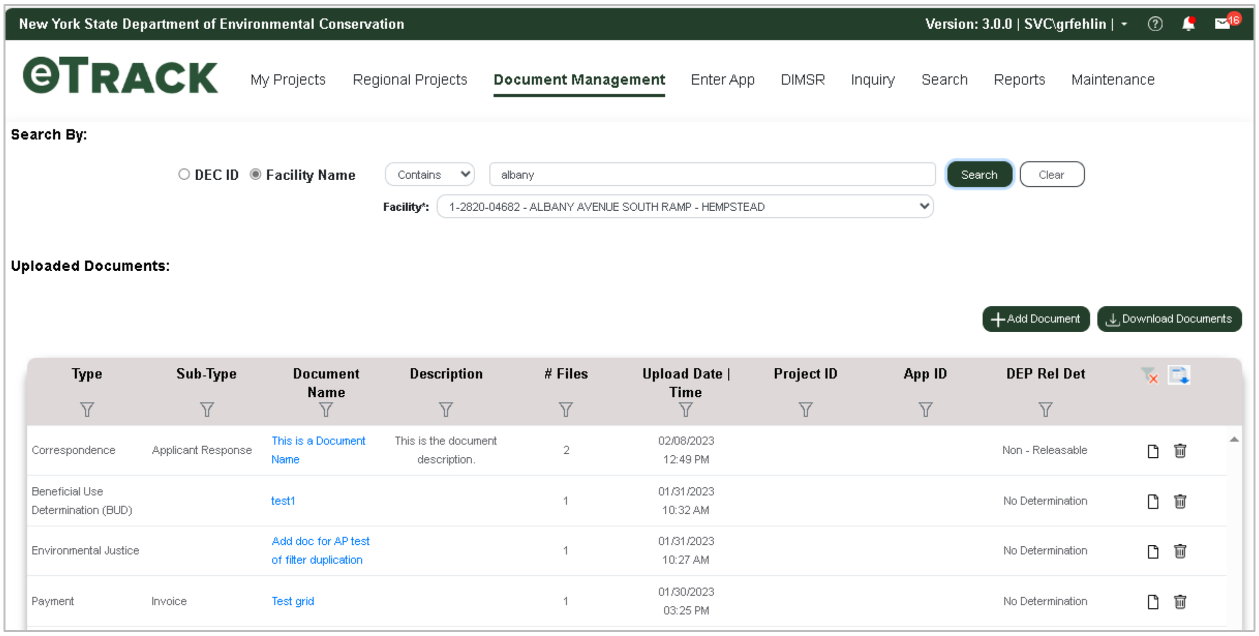
This displays search results that correspond to the first few characters of text entered. The user selects the desired facility from the dropdown list of results provided. A minimum of five characters is also required for this option.

10.3.6 Exact

This option will display only an <u>exact</u> match for the text entered.

10.3.7 Facility Name Search Results

With the text entered, a user clicks Search and chooses from the results displayed in the dropdown menu. If only one facility is returned, the result will appear instantly in the 'Facility' field. If multiple results are returned, the text '– Select –' will appear in the 'Facility' field. The user clicks on the dropdown icon to display the full list of results, and then clicks on the desired facility.

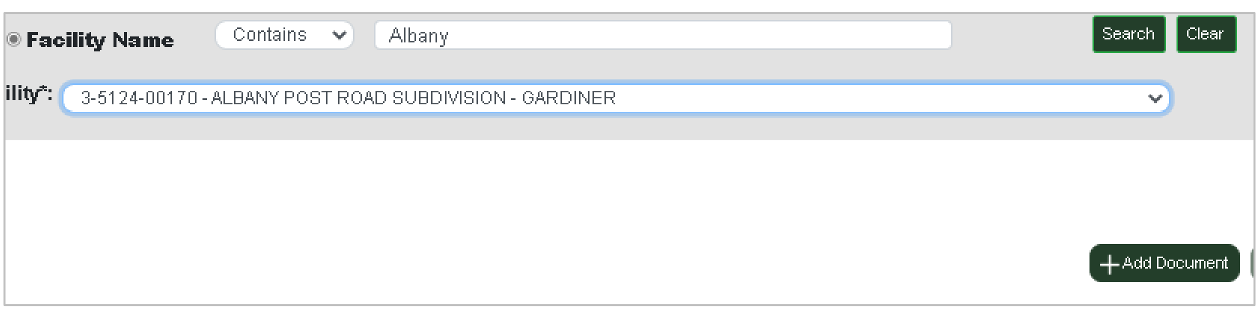


If a facility has had a different Facility Name at some point in the past, the system will search through the history data and produce the facility's up-to-date information (including its new name). Any documents associated with the facility will display in the Uploaded Documents results grid.

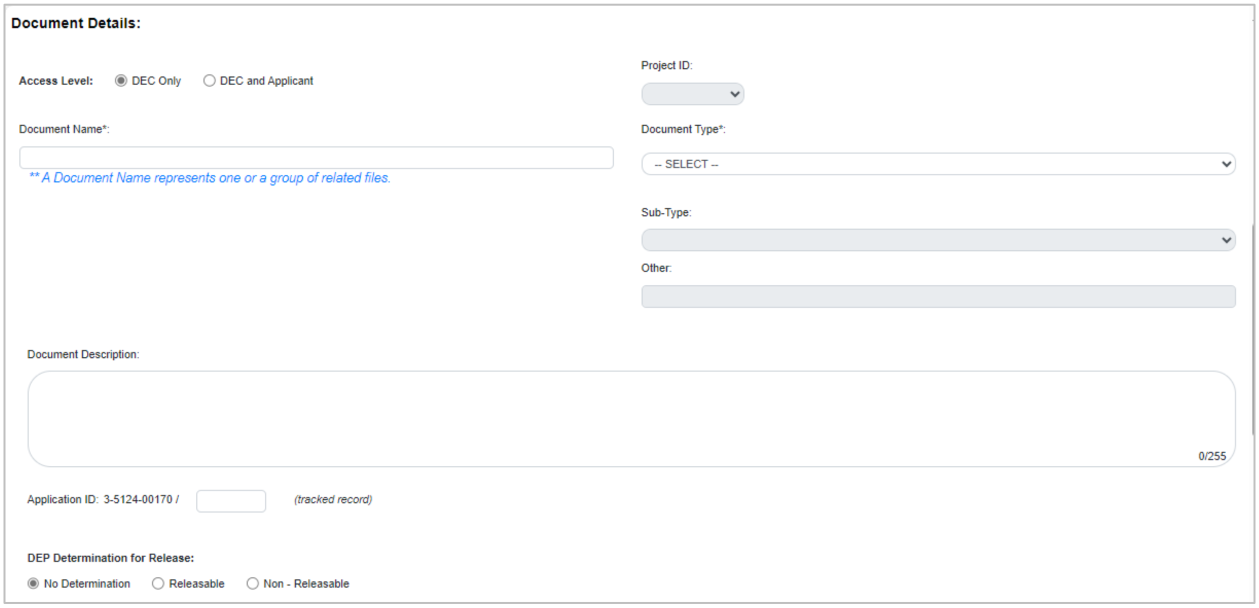
As with the DEC ID search above, clicking on the 'Clear' button will remove all search criteria entered and search results presented. A fresh search can begin.

10.4 Adding a Document to a Facility

With a Facility selected through the process above, single, or multiple documents and files may now be added to the facility.



By clicking on the Add Document button, this feature will display on the page for all metadata to be entered:

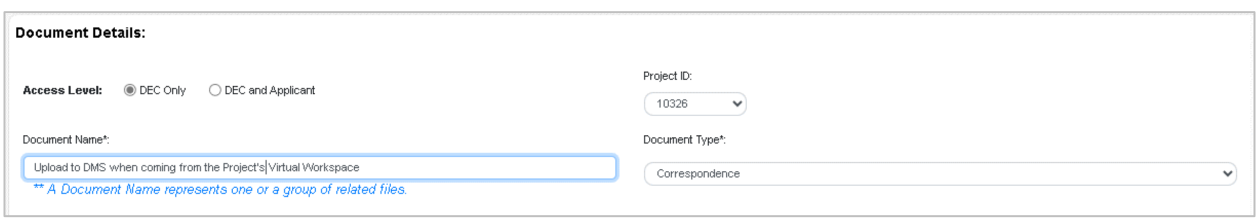


10.4.1 Access Level

The Access Level radio buttons enable a user to choose whether the document will be available to DEC Analysts only, or to both the DEC Analysts and the Applicant. The default value is DEC Only.

10.4.2 Project ID

Each Project is automatically assigned a Project ID when it is created in eTrack, and documents uploaded in eTrack will automatically be assigned the correct Project ID. During a manual Document Upload on DMS, a Project ID field is visible at the upper-right hand corner of the detail area. Project IDs associated with the facility can be selected from a dropdown menu (blank by default), so that uploaded documents can be associated with the correct Project ID.



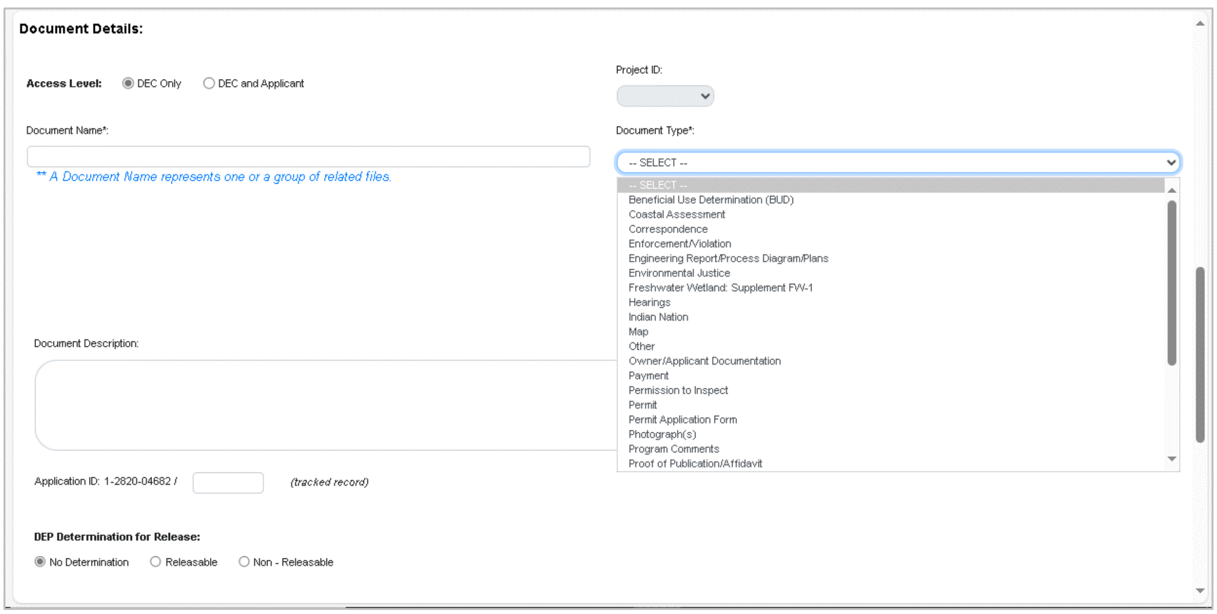
Note: The Project ID field above will be enabled only when documents are being uploaded to a facility that has at least one Project entered through eTrack.

10.4.3 Document Name

In eTrack, a Document can contain a single file or multiple files. This is a required field. The Document Name is limited to 100 characters and must be unique. If a DEC Analyst attempts to create a document with the same name as an existing document, the Analyst will be prompted to either replace the existing document, or to choose a different name. Allowed characters for the Document Name are alphanumeric, underscore, comma, period, forward slash, and hyphen (_ , . / -).

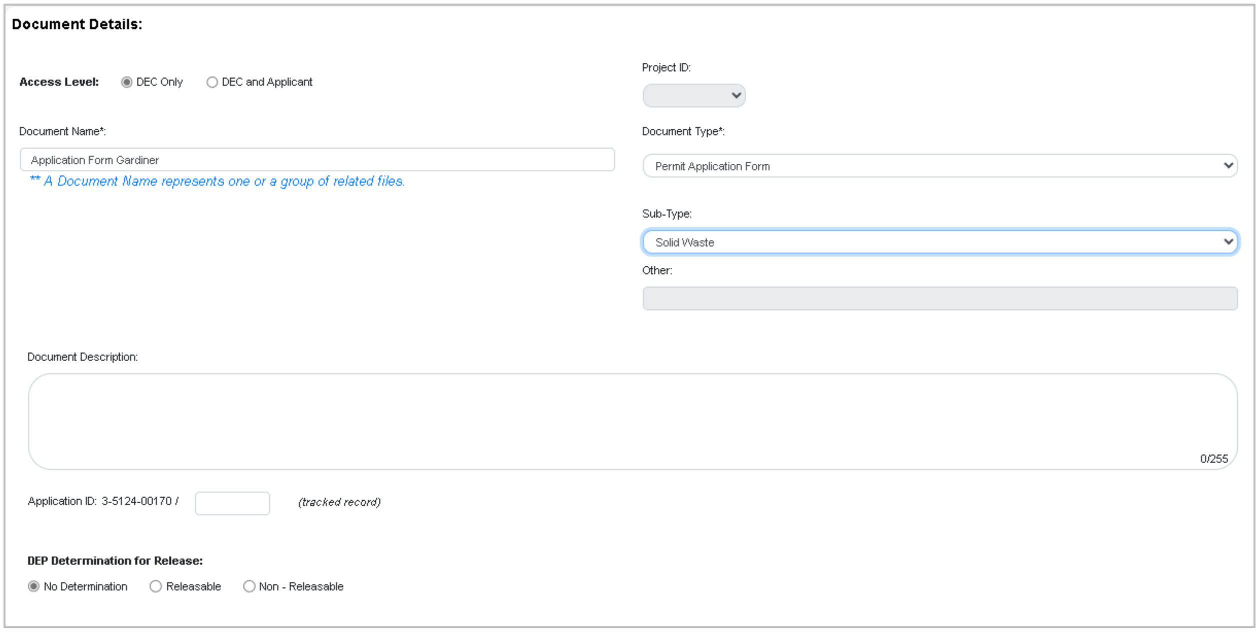
10.4.4 Document Type

The user must select a Document Type from the dropdown menu.



10.4.5 Sub-Type

Some Document Types have associated Sub-Types that the user can select. If there are Sub-Types for a particular Document Type, the user will see a prompt to '-- SELECT --' in the 'Sub-Type' field. The user should select a Sub-Type as appropriate, or leave it blank if there is not an appropriate Sub-Type.



If the user chooses a Sub-Type, but then changes their mind, and doesn't wish to choose a Sub-Type, click on – SELECT – to remove the selection.

10.4.6 Other

Among the options for Document Type is 'Other'. Users select this option if none of the Document Types match the document being uploaded. This field will be left inactive unless the 'Other' option is chosen in the Document Type dropdown, in which case it is required. The number of allowed characters in this field is 50.

10.4.7 Document Description

A user may add a description for each document. The number of allowed characters in this field is 255. A character counter will "count down" as text is entered, until the limit is reached.

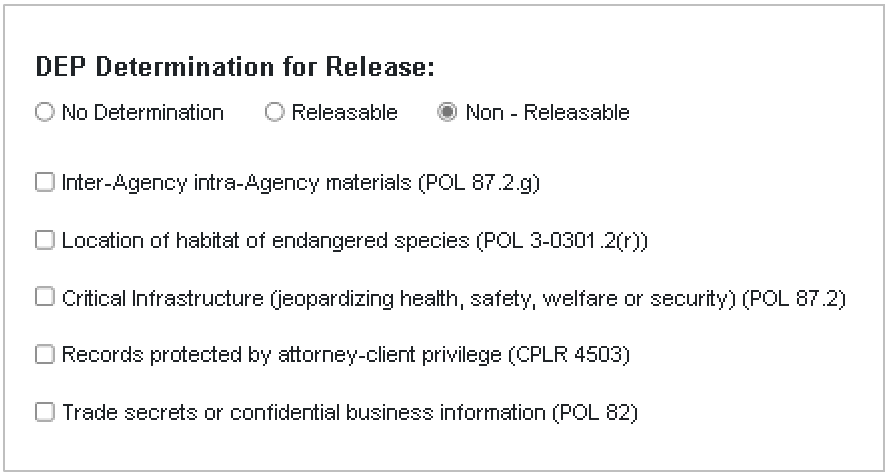
10.4.8 Application ID

A five-character Application ID (numerals only) may be added for each document. This should be the Tracked Record. The full format for the Application ID is '1-1234-12345/12345' which is the DEC ID plus the unique incremented application number.

10.4.9 DEP Determination for Release

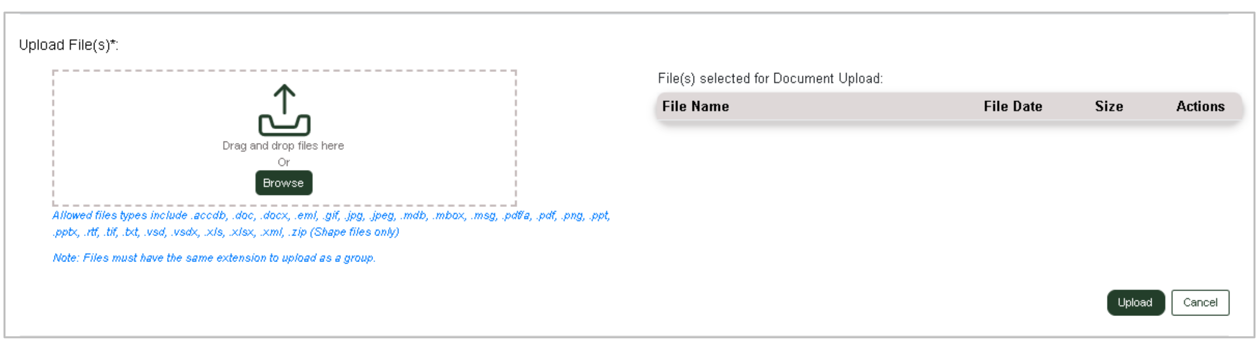
Users must select a DEP Determination for Release. 'No Determination' is the default. A reason (or reasons) will be required if Non-Releasable is chosen.

Selecting Non-Releasable will produce the following five options. One or more of these options must be selected:



10.4.10 Upload File(s)

To upload a file or files, users may 'Browse' or 'Drag and Drop' the file(s) into the upload box. The maximum number of characters in a file name is 100. Allowed characters are alphanumeric, hyphen, underscore, space, dots (periods), and round brackets. Multiple files (of the same file type only) may be dragged and dropped into the upload box at once. There is a total (combined) file size limit of 50 MB per upload, whether it's multiple files or a single file. It is not possible to upload multiple files with the same file name, or a mix of different file extensions.



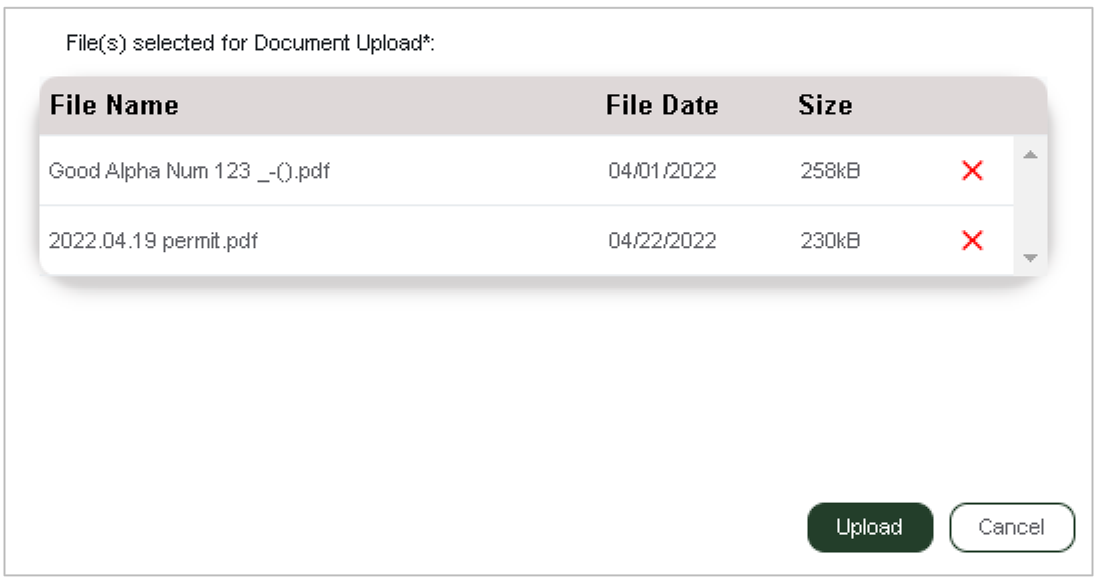
10.4.11 Allowed File Extensions

Allowed file extensions for upload are as follows: .accdb, .doc, .docx, .eml, .gif, .jpg, .jpeg, .mdb, .mbox, .msg, .pdf/a, .pdf, .png, .ppt, .pptx, .rtf, .tif, .txt, .vsd, .vsdx, .xls, .xlsx, .xml, .zip (Shape files only).

As noted above, files must have the same extension to upload as a group. Shape files (GIS), which can include multiple extensions, must be grouped together and uploaded as a zip file. Only Shape files should be uploaded as zipped files.

Allowed file extensions for inclusion in a zip file are as follows: .shp, .shx, .dbf, .prj, .sbn, .sbx, .fbn, .fbx, .ain, .aih, .ixs, .mxd, .mxs, .atx, .shp.xml, .cpg, .qix.

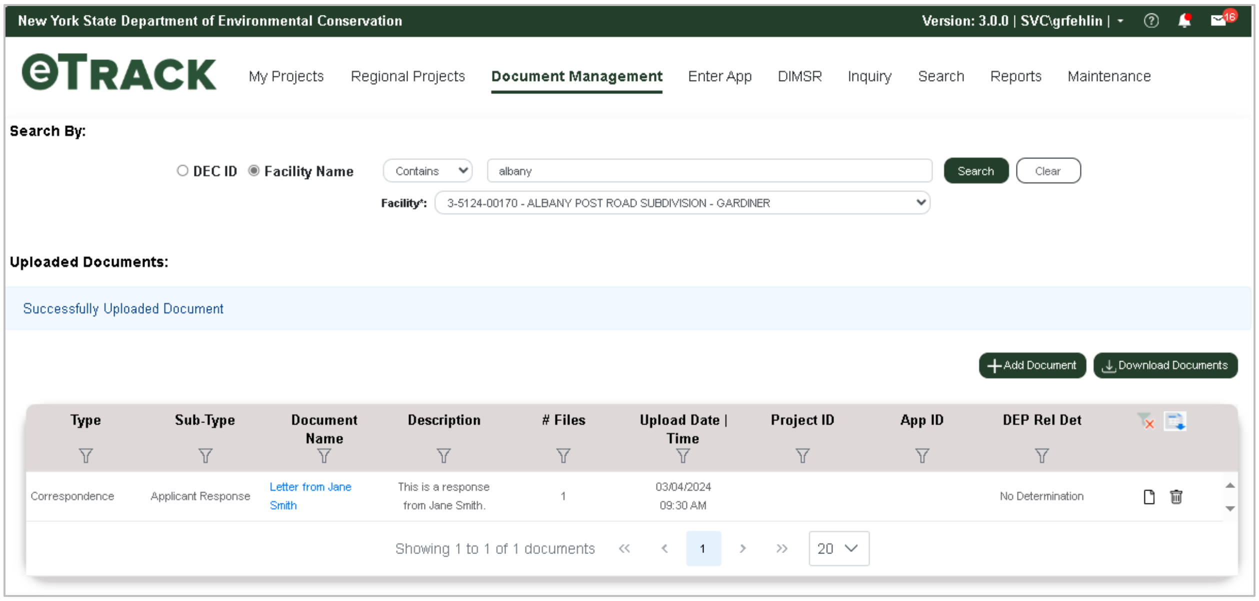
Files selected for upload appear in a results grid as the final step before uploading:



While multiple files may be uploaded at once, the total (combined) file size may not exceed 50MB. All files must of the same file type to upload as a group. Clicking the ‘Cancel’ button will remove the documents from the selection. Clicking the ‘X’ will delete the file from the group being uploaded.

Once the files are uploaded, a message will appear confirming success or failure.

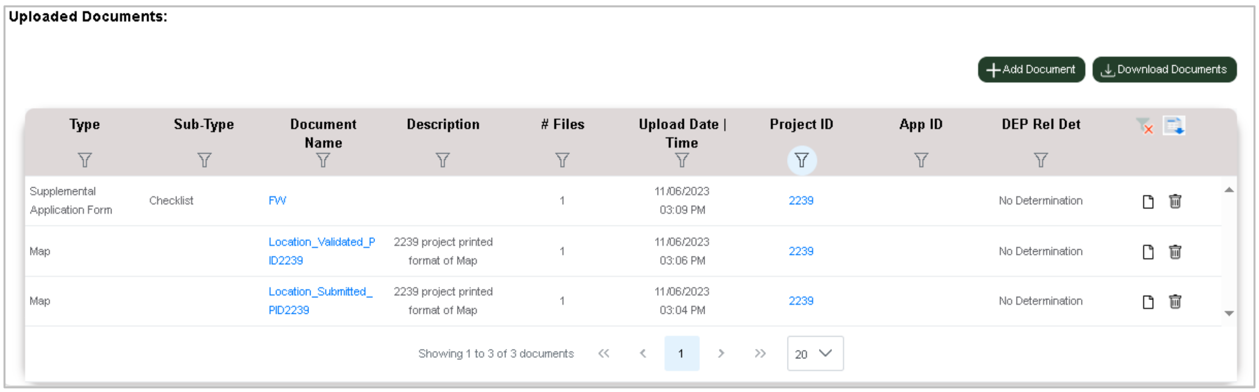
eTrack


New York State Department of Environmental Conservation
Version: 3.0.0 | SVC\grfehlin |
eTRACK
My Projects
Regional Projects
Document Management
Enter App
DIMSR
Inquiry
Search
Reports
Maintenance
Search By:
DEC ID
Facility Name
Contains
albany
Search
Clear
Facility*:
3-5124-00170 - ALBANY POST ROAD SUBDIVISION - GARDINER
Uploaded Documents:
Successfully Uploaded Document
Add Document
Download Documents
Type
Sub-Type
Document Name
Description
Files
Upload Date | Time
Project ID
App ID
DEP Rel Det
Correspondence
Applicant Response
Letter from Jane Smith
This is a response from Jane Smith.
1
03/04/2024 09:30 AM
No Determination
Showing 1 to 1 of 1 documents
1
20

10.5 Uploaded Documents Results Grid

Files uploaded to a facility appear in the ‘Uploaded Documents’ results grid.

Metadata for each document is presented in columns which include the previously entered information, plus other details: Type, Sub-Type, Document Name, Description, Number of Files, Upload Date and Time, Project ID, Application ID, and DEP Release Determination. There are also two icons: one for the editing of the document metadata, and a delete icon which will permanently delete the document.

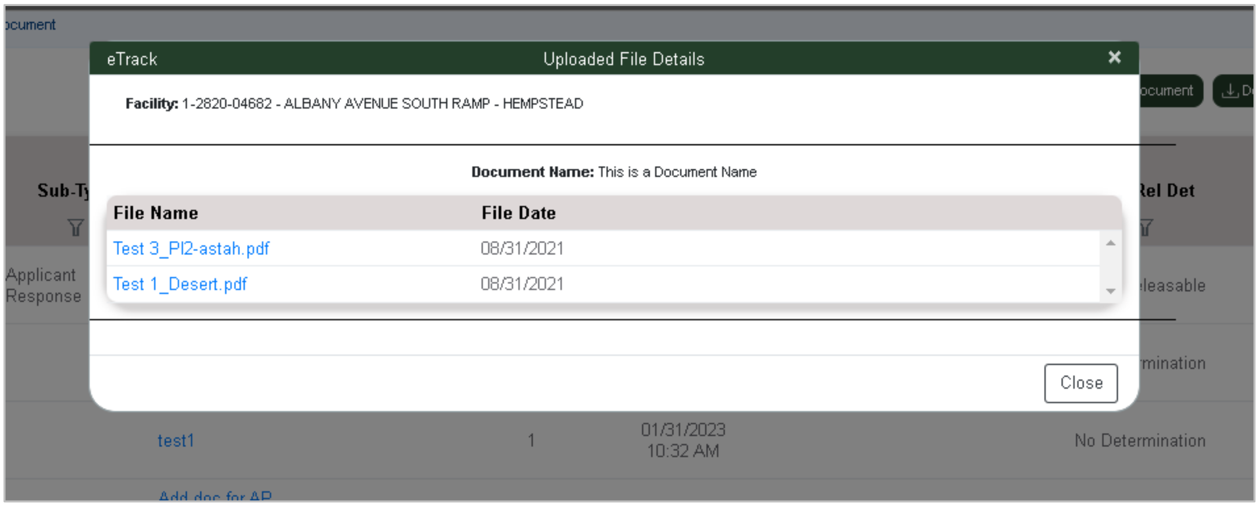


Columns may be sorted by clicking on the column headers. Columns may be filtered using the filter icons. Clicking the Clear Filter icon will delete all the filter criteria entered. Clicking on the Export Spreadsheet icon will export the contents of the results grid into an Excel file.

Documents are listed in groupings of up to 20 as the default. This value can be adjusted. Users can advance and go back through the groupings using the navigation buttons provided.

10.5.1 Viewing Document Files

To view the files that are contained within a Document, click on the Document Name in the results grid. This opens the ‘Uploaded File Details’ pop-up.



The results grid displays the name of the files contained within the document, and the date the file was created (not uploaded).

Clicking on the name of the file will open the file for viewing within the browser, that is, if the browser being used supports this functionality. If the browser does not support viewing a specific file type, it will download the file instead to the user's workstation. However, using the Download Documents feature (described below) is the preferred method for downloading documents and their files.

If you encounter difficulties, check your browser settings and/or any popup blockers on your device.

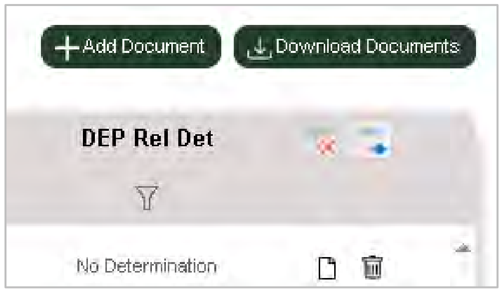
10.6 Editing Document Metadata

By clicking on the Document icon in the Uploaded Documents results grid, a user can edit and/or add to the metadata associated with the document. After making changes to the Document properties, click the 'Save' button to save the changes and/or additions.

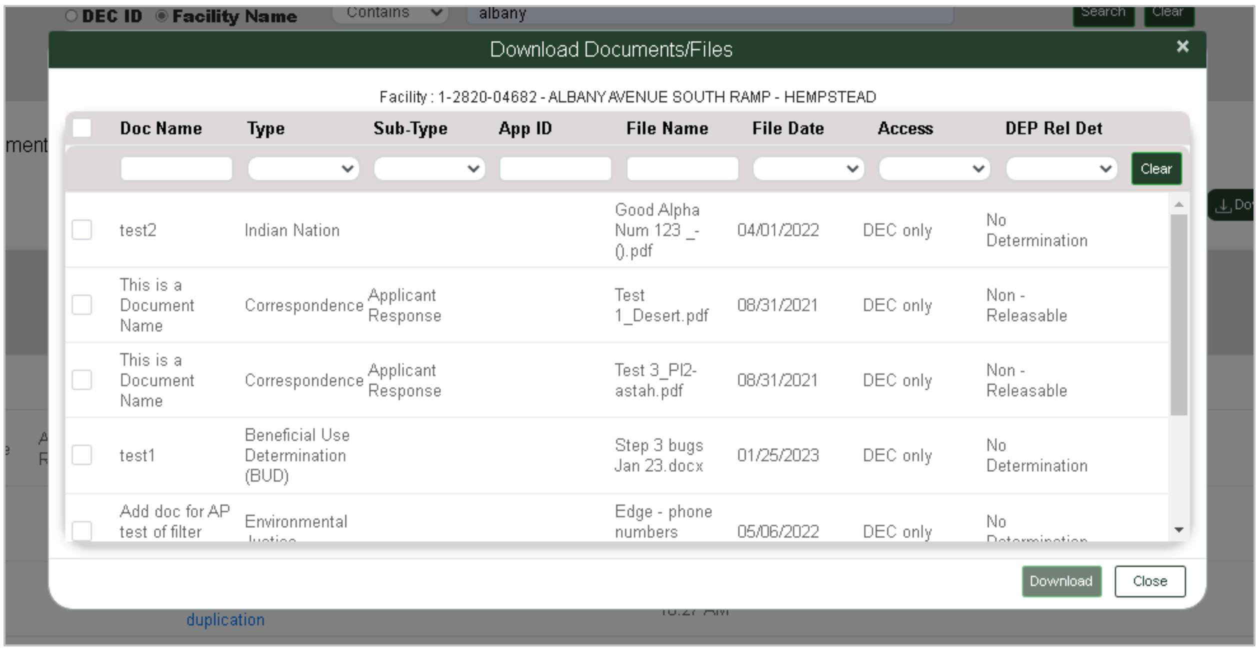
Note: It is not possible to add a file to a document once the document has been created, or to delete a file from a document after it has been uploaded. If a user needs to add or remove a file, the document must be recreated.

10.7 Download Documents

To download a Document, click on the Download Documents button.



The Download Documents/Files results grid appears:



A user can click on the headers in the top banner to sort each column, or click on the filter fields to filter.

Documents can contain multiple files, and these are presented individually in rows.

Documents can be selected for download using the checkboxes next to each file name. Or all files may be selected at once by clicking on the box in the results grid header.

Click the ‘Download’ button to download the file(s). A message will appear indicating that the file(s) have downloaded successfully.

Clicking on the Close button will close the results grid and return the user to the Uploaded Documents screen for the facility.

10.8 Deleting Documents

Documents along with all their associated files can be permanently deleted by clicking on the trashcan icon in the Uploaded Documents results grid. Once deleted, the document and its files cannot be recovered.

Documents that are under Litigation Hold cannot be deleted.

11. Enter Application (Enter App)

Clicking the ‘Enter App’ link on the Analyst Dashboard brings the Analyst to the Applicant Type Selection screen.

The Analyst selects how the application was received (email or paper mail) via the dropdown, and then selects the date the application was received (cannot be a future date). A radio button must be selected to indicate whether the application form was signed by an APPLICANT / OWNER or APPLICANT / NON OWNER (default is APPLICANT / OWNER).

The Date Received selection will appear on the Analyst Dashboard. If the APPLICANT / OWNER radio button is selected, the default checkbox selection on the applicant information screen in Step 2, ‘Relationship to Property’ will display ‘Owner’. This will create both an Applicant record and Property Owner record. The Property Owner record is always read-only in this scenario. Changes made to the Applicant screen in Step 2 will follow through to the Property Owner screen automatically.

The next section of this pop-up reminds the Analyst that all projects must be classified under the State Environmental Quality Review Act (SEQR) and provides a link to an SEQR description on the DEC public website. The Analyst is asked whether the project is classified under SEQR as Type II and a link to a description of Type II is provided. The Analyst must select a radio button answering Yes, No, or Not Sure. If the Analyst selects No or Not Sure, additional document upload options will be provided in the Supporting Documentation section in Step 4.

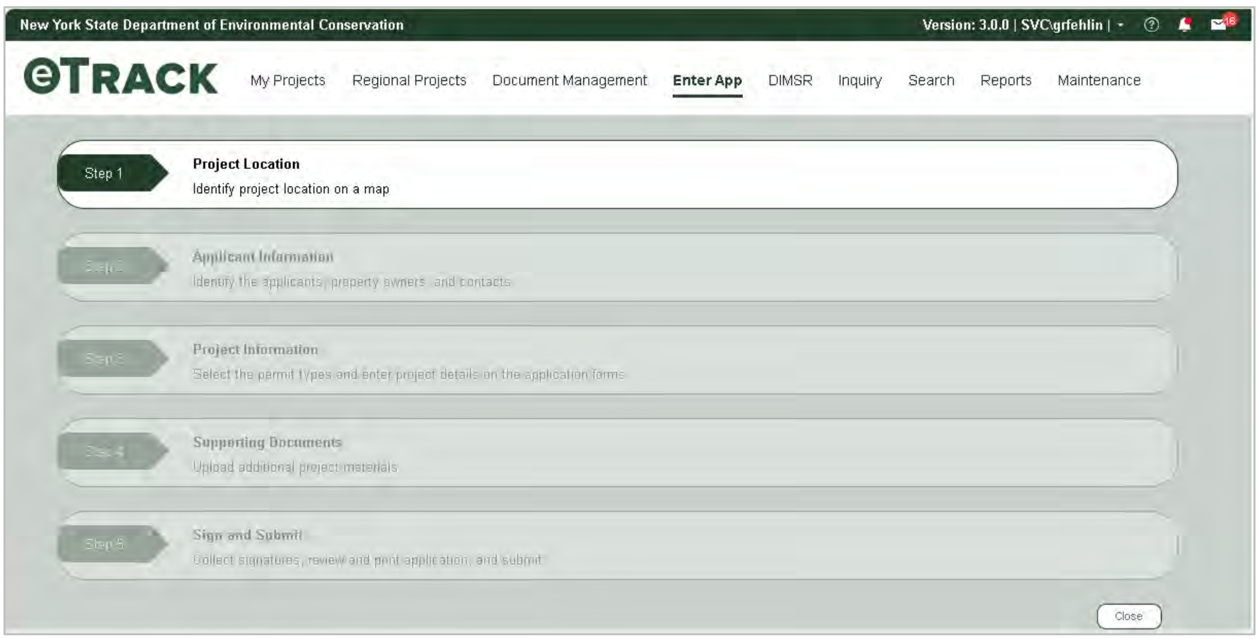
Clicking Next takes the Analyst to the Main Navigation Screen, to begin the application entry process.

11.1 Main Navigation Screen

Before a Project has been created (i.e., before a Project Location has been identified) the Main Navigation Screen will appear. The Main Navigation Screen presents a defined navigation process for how data needs to be entered, displaying the five steps of the process to enter an application.

After Step 1 has been completed, and a Facility Name and Project Location are entered, the name and address will appear at the top of the Main Navigation Screen throughout Steps 1-5. Subsequent steps are disabled until the current step is completed.

Clicking the 'Close' button at the bottom of the screen will return the user to the Analyst Dashboard.



The Analyst begins by selecting Step 1, Project Location, where the Analyst will identify the project location on a map.

11.2 Project Location

In PI 3, eTrack provides a map-based user interface for Analysts to easily locate a project location, facility and/or tax parcel, using text-based searches and by geo-reference. eTrack allows project locations to be identified as one or more polygons on the map interface, using existing NYS/ DEC enterprise map layers. The appropriate layers may display or not display depending on the business use case.

Analysts can draw the project polygon and a separate work area (if needed) directly on the map using the map tools (see the next section for map tool references). A shape file representing project polygons can also be uploaded, in lieu of using the map-based interface.

The system will retain the project location, and the map will be automatically created and stored with the application forms and documents as part of the submittal.

The system can also generate a simple jurisdictional map with resource boundaries during validation. If selected, these will be printed on a .pdf version of the map along with project information and notes.

These geo-spatial components maintain their reference to applications in eTrack as well as the resulting permits issued in DART. The Project Location and Facility Details are determined in Step 1 of the Enter Application process.

Modifications to eFind

To better reflect spatial data, modifications were made to eFind (the system that manages, roles, public, addresses and geospatial data for DEC facilities, violation locations, emission points and other site types). These changes are intended to improve the management and display of facility site records so that the area is represented by a polygon rather than a point, to better reflect the DEC's definition of a facility:

A record in eFind is defined by the outer boundary of one or more under the control of the same legally responsible party (or parties). Rights of way or easements will not split the property, nor will they serve to connect properties that are separated by a distance. A single property that is jointly owned is a facility, but two adjacent properties with two separate owners are not.

These changes will be a significant improvement in the quality of spatial data by:

- Decreasing the instances of duplicate facilities
- Better defining the extent of a facility
- Providing better mapping and data layers for regulated facilities.

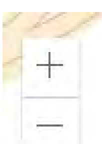
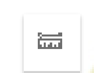
11.2.1 Map Tools and Polygon Symbology

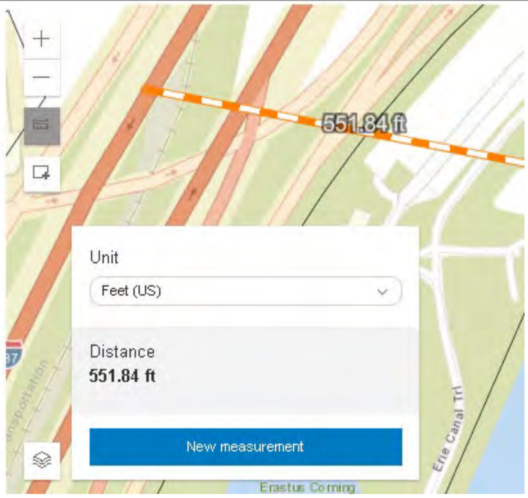
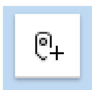
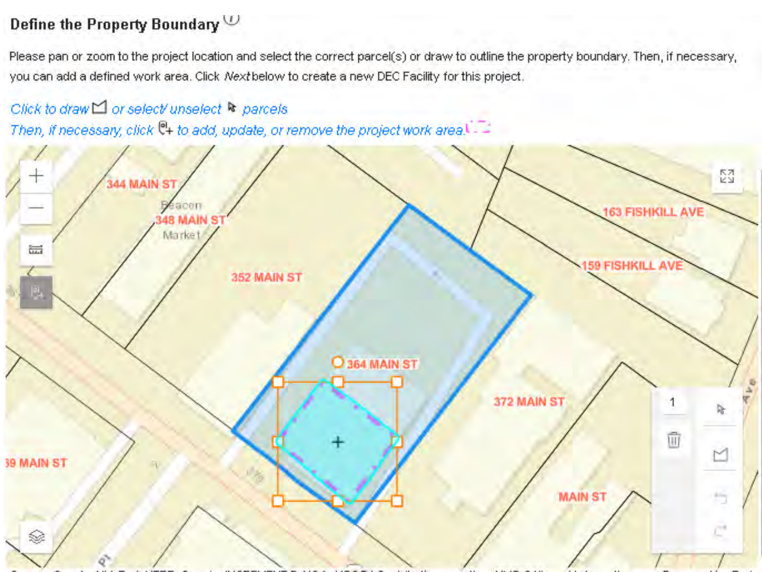
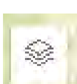
All Project Location search options present a map. Depending on the results of the search, the user may be asked to confirm that the parcel is correct by clicking Next, or to identify and/or update the property boundary using the map tools available on the screen.

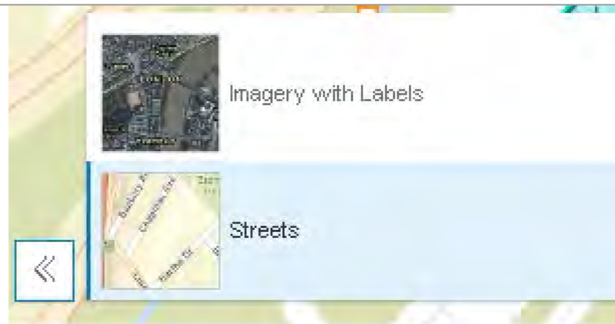
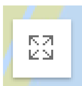
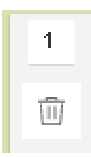
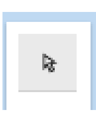
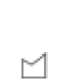
Icons on the map represent tools available to help define the property boundary. Hover-over instructions above each icon help the user understand how to use each tool. Map tool availability may differ according to the screen being viewed.

The map tools available on the Project Location screen in Step 1 are, beginning in the upper left and moving from the top down: zoom in; zoom out; draw a distance measurement; draw or edit a work area (appears only when a polygon is displayed); and change the base (background) map. On the right-hand side of the screen, starting at the top and moving from top down, the tools are: expand to fill screen; select tool; draw a rectangle; undo a modification to a polygon; and re-do a modification to a polygon.

Note: The drawing tools on the map use the "click and drag" method to draw a boundary. While drawing the line, click the mouse once to establish a pivot point, and continue to drag. When finished with your drawing, double-click the mouse.

Map Tools	Description
	**Zoom in** **Zoom out**
	**Distance measurement tool**: Click to pick a starting point, drag the cursor, then double click. There are multiple options for measurement. Click again on the icon when done.

	
	**Work Area tool**: With a parcel <u>selected</u> or polygon already drawn that represents the facility boundary, click on the Work Area tool <u>and the 'draw polygon' icon</u>, then click and drag to carve out a section where the work is being performed: 
	**Change base map**: Offers a choice of backgrounds for the map:

<table>
<tr><td></td><td>
</td></tr>
<tr><td></td><td>Enter fullscreen: Fills entire screen. Click icon again or Esc to exit.
</td></tr>
<tr><td>
</td><td>Delete feature: Click the trashcan to delete the selected feature.</td></tr>
<tr><td></td><td>Select feature: Pointer</td></tr>
<tr><td></td><td>Draw a polygon: Select icon, click to start and click on pivot points. Double click to finish.</td></tr>
</table>

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<tr>
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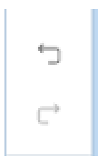
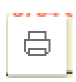
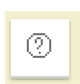
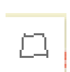
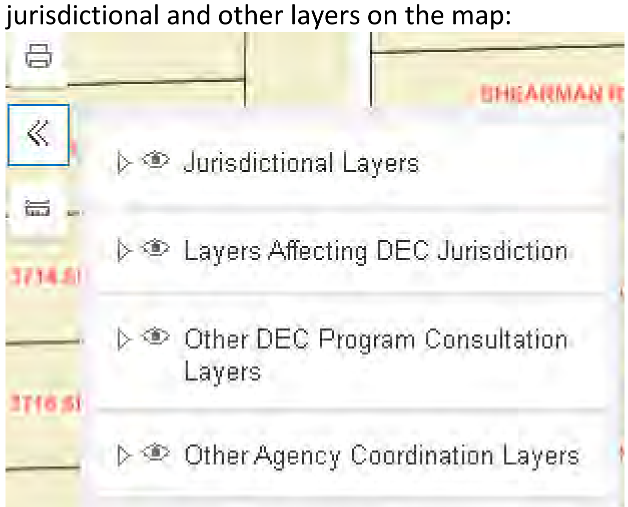
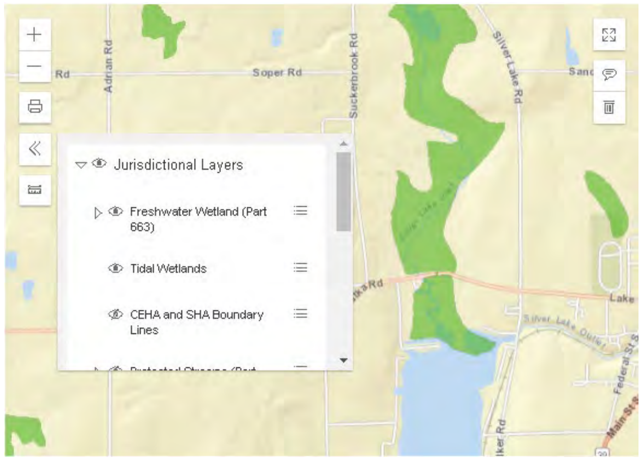
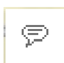
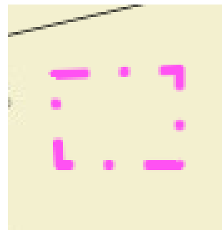
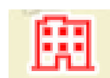
<td></td>
<td>Undo and Redo: With polygon drawing tool selected, use these buttons to undo or redo an action. These buttons are disabled unless a polygon is actively being drawn.</td>
</tr>
<tr>
<td>
</td>
<td>Print: You must zoom out far enough for printing to be enabled; that is when the icon will change from a ‘?’ to a typical printer icon.</td>
</tr>
<tr>
<td></td>
<td>Jurisdictional Layers: This icon will display a number of options to display jurisdictional and other layers on the map:

</td>
</tr>
</table>

<table>
<tr>
<td></td>
<td>Clicking the arrow icon will open up each tab and display additional options. Clicking the eyeball icon will hide layers. Zoom out to better see the layers displayed on the map:

</td>
</tr>
<tr>
<td></td>
<td>Add text: Click on this icon and place the cursor where you would like to add a note that will print on the map. <u>Click on the label text</u> ‘Click to edit text below’ to open a text window below, and enter the text in the text box.


When finished with your note, <u>click on the map (do not click Enter)</u>.</td>
</tr>
</table>

	 This note will not be saved; it is only for printing.
	**Delete text**: To remove the note, select the text on the map and click on this trashcan icon.

967

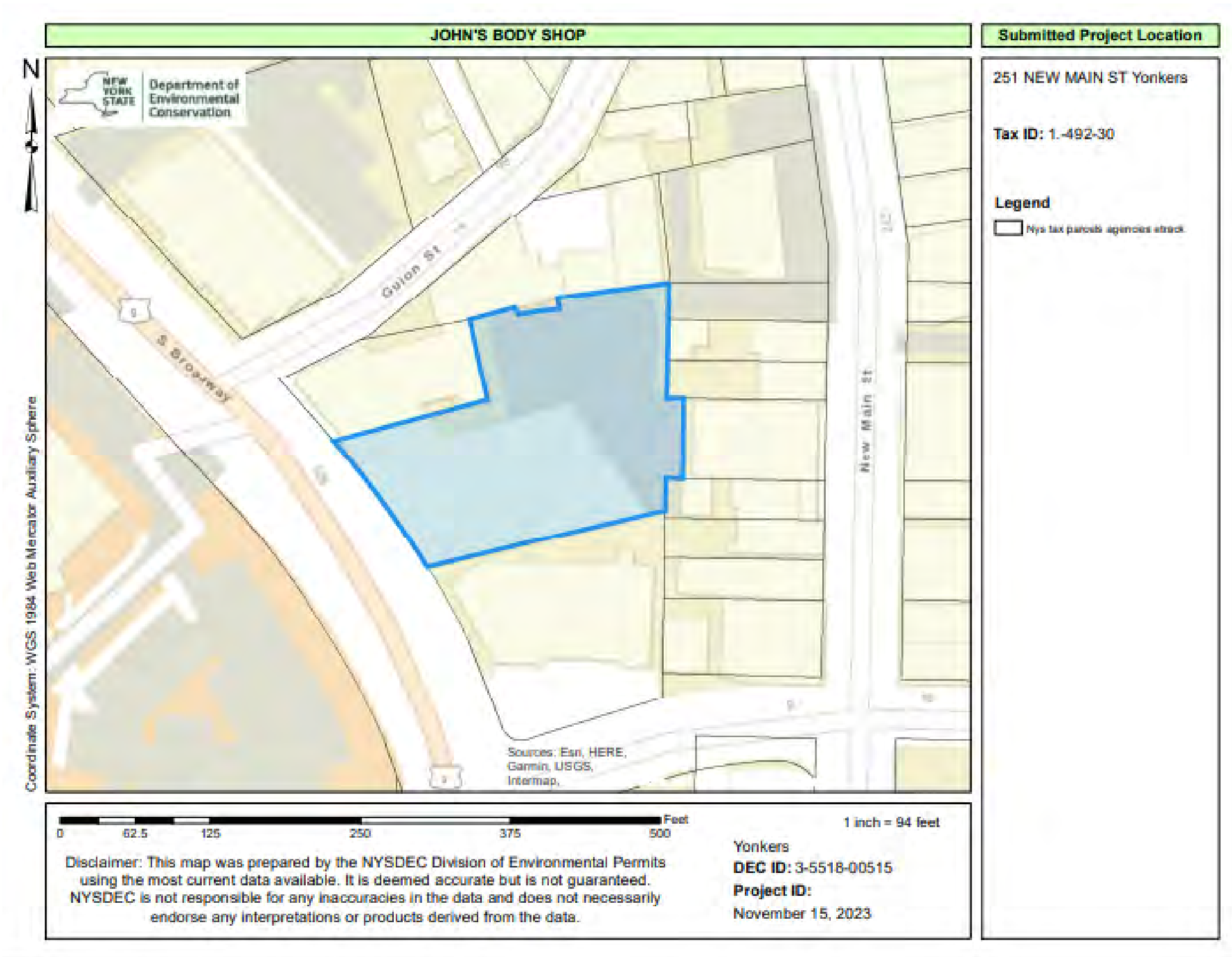
	Polygon Symbology
Work Area Polygon	
Selected/Drawn Polygon	
Facility Icon	 *Note:* Facility icons are created only after the Project is uploaded to DART, the facility is approved in eFind, and the data is sent to the GIS service.

11.2.2 Submitted Project Location Map (Print)

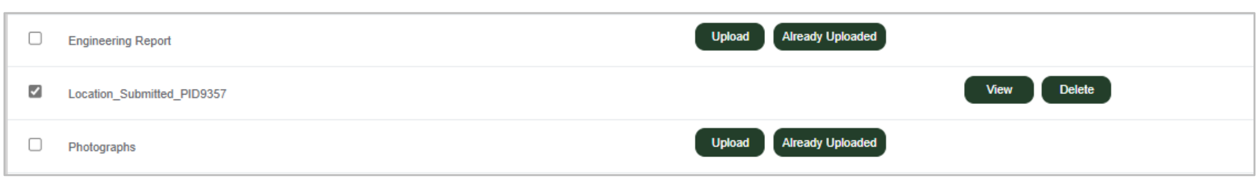
A map of the location/facility can be printed using the printer icon on the Facility Details screen of Step 1, in both Data Entry Mode and Validate Mode.

In Data Entry Mode, the map will appear with the parcel selected in blue; the name of the facility as identified in Step 1 at the top; the title 'Submitted Project Location' at the top right; the selected address; Tax ID; legend; DEC ID (if available); and the current date.

Note: If you are submitting a new project within a newly created facility, the DEC ID number will be left blank, as Step 1 has not yet been completed at this point in the process, and a Project ID has not yet been assigned. (Choosing 'Save for Later' at the completion of Step 1 will result in the Project ID appearing on the map in Step 4).



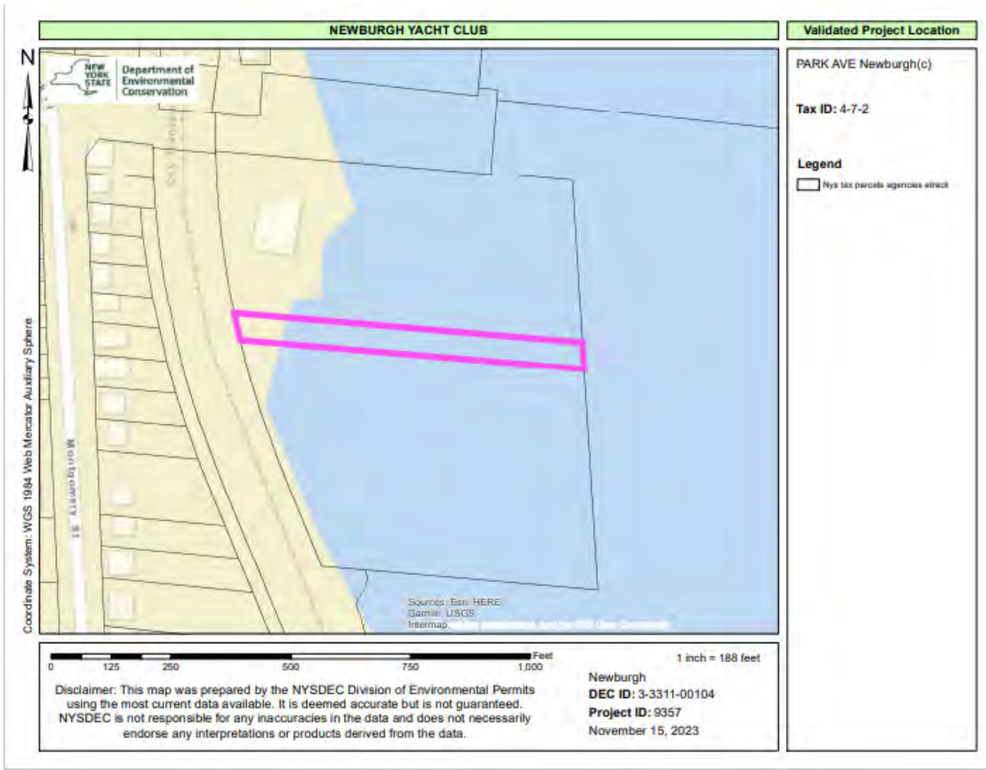
This map will be automatically posted for upload in Step 4 of Data Entry Mode (Related Items grid), with the document name 'Location Submitted' followed by the Project ID.



11.2.3 Validated Project Location Map (Print)

A map of the location/facility can be printed using the printer icon on the Facility Details screen of Step 1 in Validate Mode as well. The Project ID will now be present.

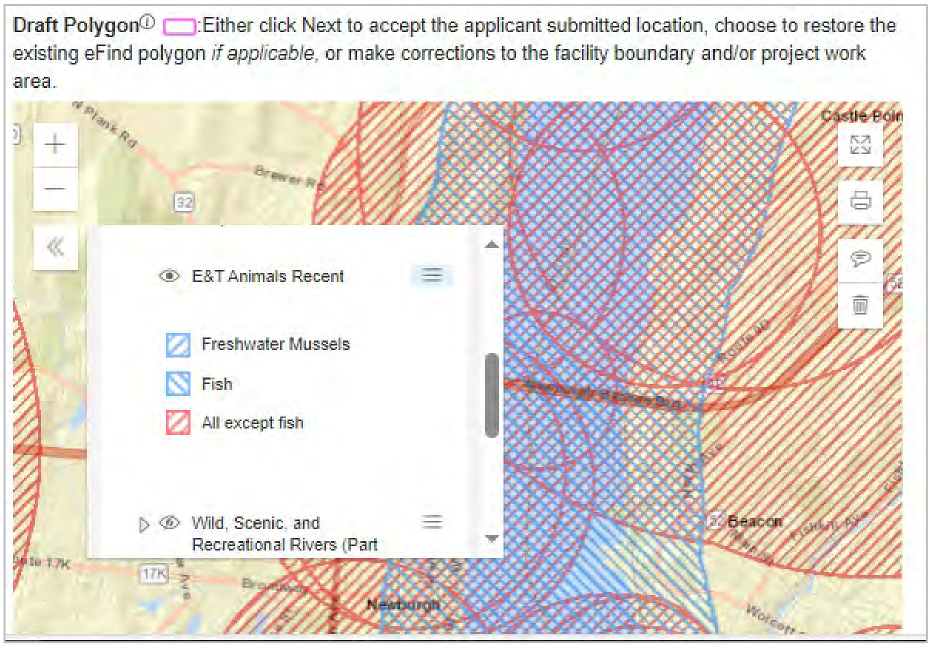
Note: If you are submitting a new project within a newly created facility, the DEC ID number will display as NEW, as the DEC ID is assigned only after uploading to DART.



In Validate Mode, an option is provided to view Jurisdictional Layers over the map using the 'Jurisdictional Layers' icon . Select from the options provided.

Clicking the 'arrow' icon will open up each tab and display additional options. Clicking the 'eyeball' icon will hide layers. Zoom out to better see the layers displayed on the map.

Note: The Jurisdictional Layers are displayed in the map's legend, and at times (i.e., if many layers are checked), the legend will extend beyond the map's view. A way to avoid cluttering the legend, uncheck the layers that did not appear on your project site. In other circumstances, this may be unavoidable.



To add text to the map for printing, use the 'Add text' icon . See map instructions for details.

The map print icon will turn into a "?" if the Analyst is zoomed-in too close. To print, zoom out until the printer icon appears.

In Validate Mode Step 4, the 'Location Validated' Map will appear with the 'Location Submitted' map on the Related Items grid.

11.2.4 Step 1 Screen Navigation

In Step 1, the sub-steps 'Project Location' and 'Facility Details' are displayed at the top of the screen, indicating where the user is in the Enter App process. Clicking on these sub-headers will navigate the user to the respective screen. When data has been entered and sub-steppers can be selected, these links will display for ease of navigation. Clicking on the eTrack logo will take the Analyst back to the Analyst Dashboard.

The I< icon will return the users to the Main Navigation Screen.

Other features of the navigation become enabled as information is entered and the user moves forward in the process (such as the forward arrow >). The right arrow will only be available when the previous step data has been edited and saved.

11.2.5 Project Location (Step 1)

In Step 1, the Analyst must search for and select the project location. Several options are provided to do so, and each search method selected will produce its own unique display on the Project Location sub-step.

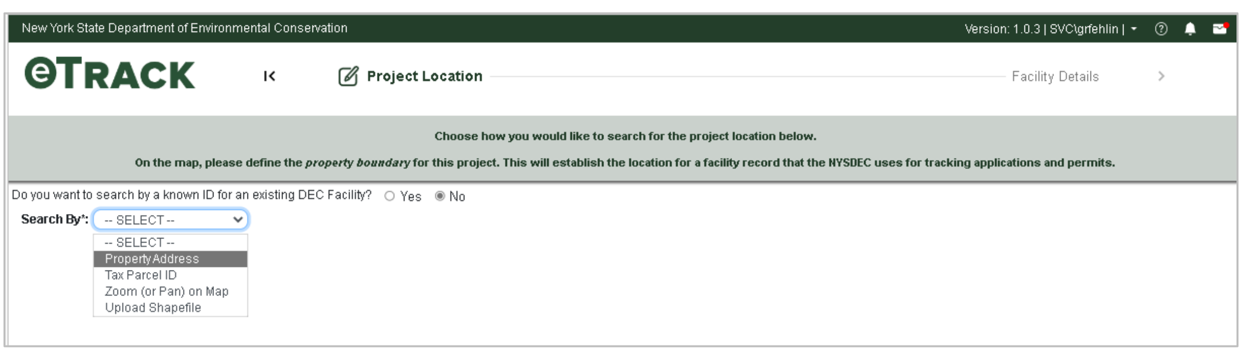
When an approved polygon exists in eFind, and a search is conducted (e.g. by DEC ID), the map will display a facility icon and polygon. The polygon can be edited using the map tools, by first deleting and then recreating the polygon (otherwise known as “edit by delete”).

If an unapproved polygon exists in eFind for a facility, this represents old data for which the location is not verified. When a search is conducted, the map will display and the facility icon will appear, but the polygon property boundary will need to be defined and the instructions will reflect that.

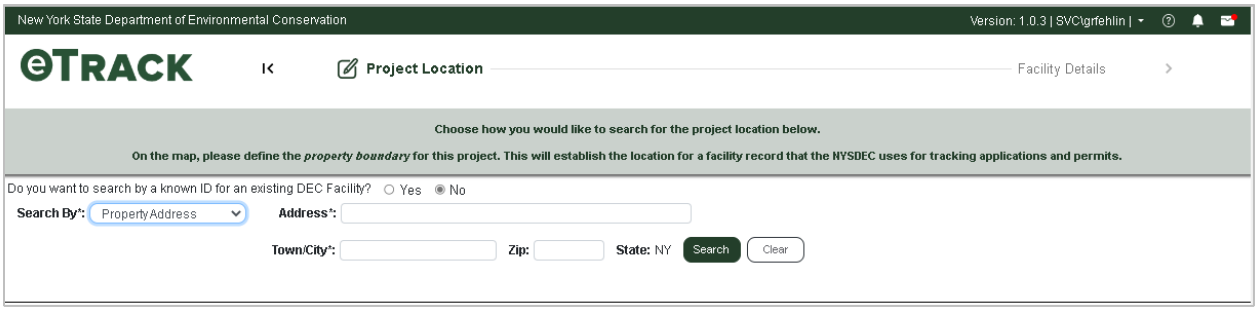
If the facility does not yet have a defined location in eFind (no coordinates), the map will zoom to the general location, but there will be no icon, and the property boundary will need to be defined using the map tools.

To begin, the Analyst is asked if they want to search by a known ID for an existing DEC Facility. The default selection for the radio button is ‘No’. The ‘Search By’ dropdown for the No selection includes Property Address, Tax Parcel ID, Zoom (or Pan) on Map, and Upload Shapefile.

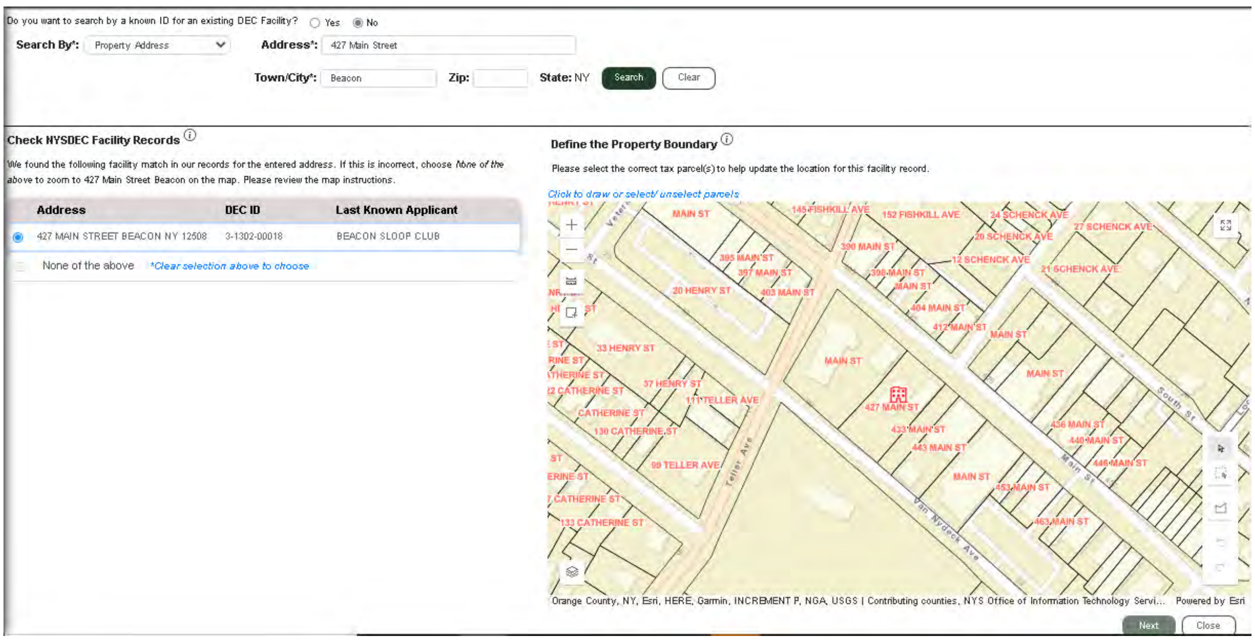
Search by Property Address



Selecting Property Address displays data entry fields for the Address, Town/City, and Zip.



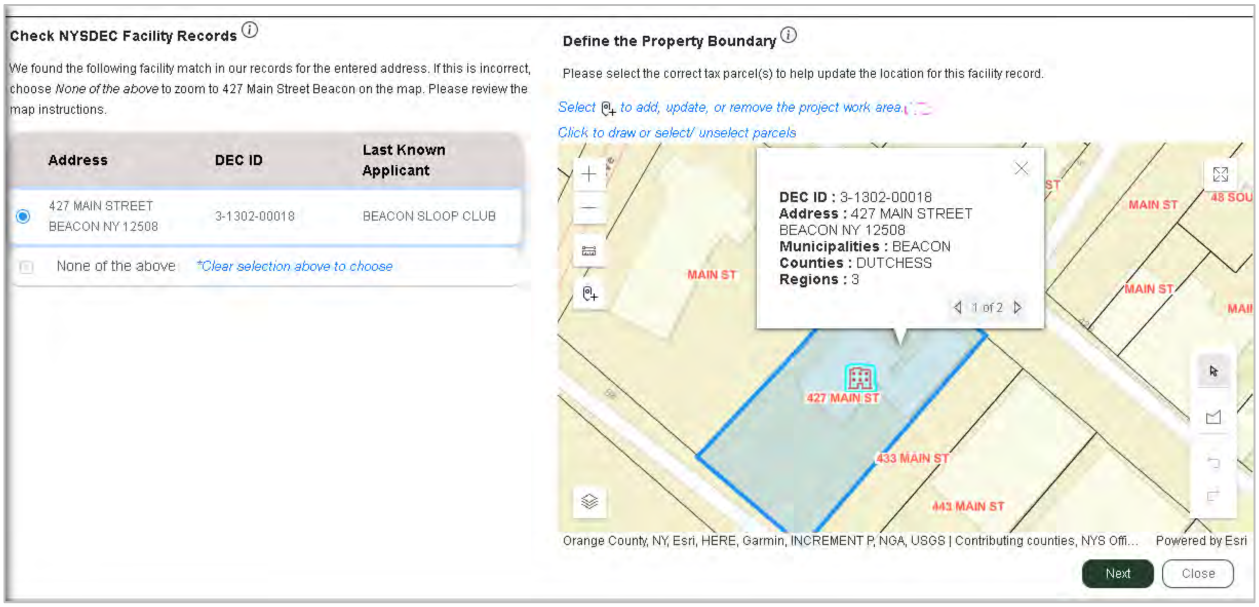
As indicated by the * symbol, the Address and Town/City are mandatory fields. The Zip is not. Since Analysts are searching for locations within NY State, that label cannot be changed. Enter the property address information and click Search.



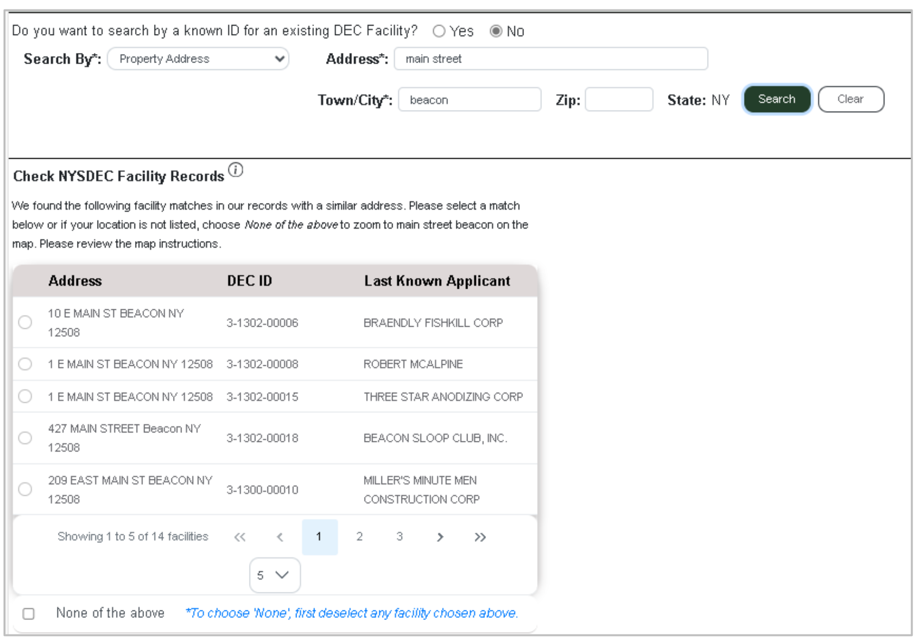
If the property address is associated with an existing Facility, the full address, DEC ID, and Last Known Applicant will appear in a results grid on the left side of the page. On the right side of the page, a map will display, with a facility icon to help the Analyst find the parcel on the map.

Note: Facility Icons are created after the Project is uploaded to DART, and the facility is approved in eFind, and the data is sent to the GIS service.

Selecting a parcel will illuminate it in blue, display information about it, and trigger the appearance of the Work Area tool icon with instructions above the map.



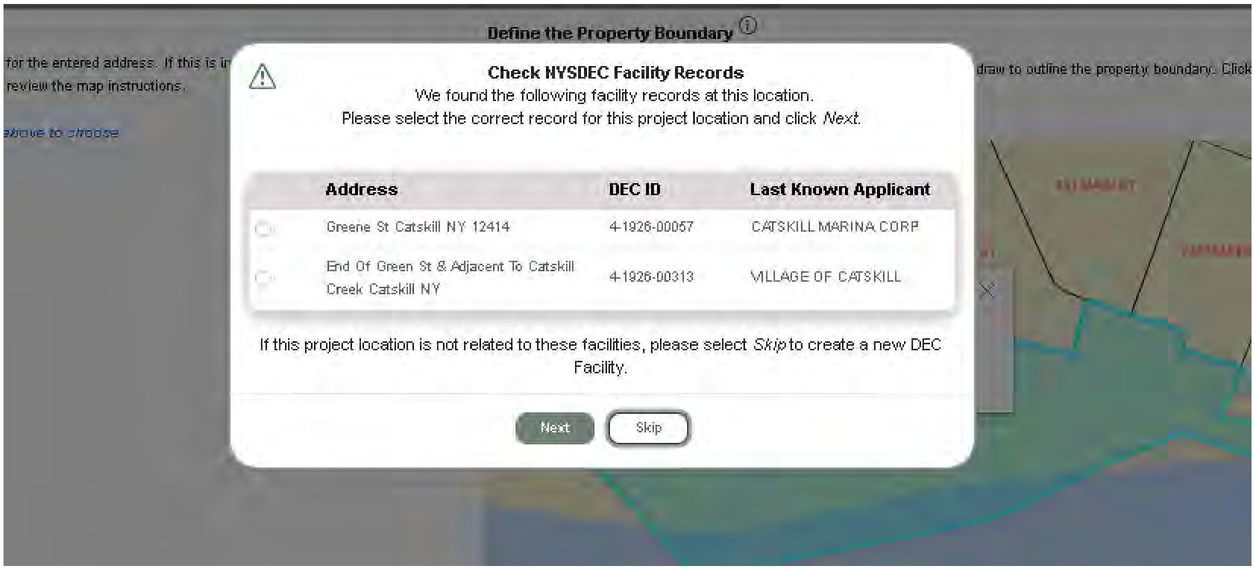
If an exact street address isn't known, a less precise search is possible, using just the street name and town, for example. This will display either a results grid with known facilities around that location, or a map of the general area. When displaying more than five results, the results grid will display a counter at the bottom (which will show results on an order of five (5,10,15,20)). The Analyst can click on the radio button beside the desired facility or select None of the Above.



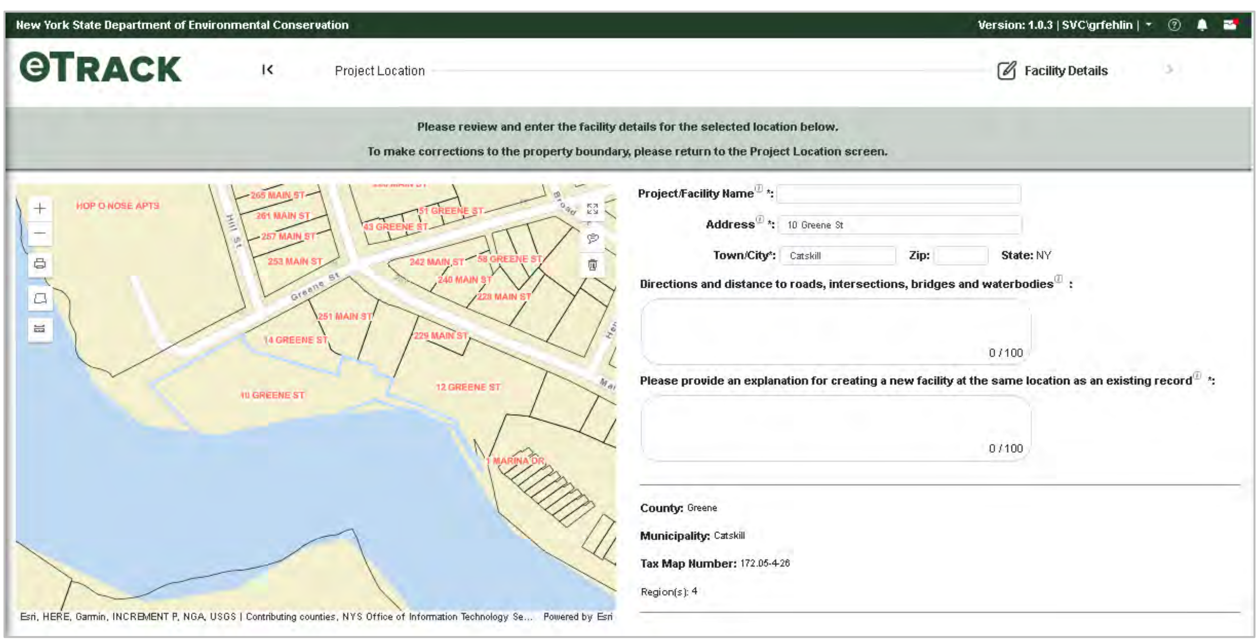
Selecting 'None of the Above' will display a map of the general area (the view will zoom to the geocode of the address entered on search). To select the 'None of the above' checkbox, the Analyst must first deselect any radio button that may have been selected above. The Analyst is then directed to pan or zoom to the project location and select the correct parcel, or draw to outline the property boundary.

Clicking Next will take the Analyst to the Facility Details screen.

If the user selects a parcel that already has a known facility associated with it, a popup will display prompting the user to select the correct record for the project location. If multiple facilities are found for the location, they too will display. The user can opt to click Skip to create a new DEC Facility.

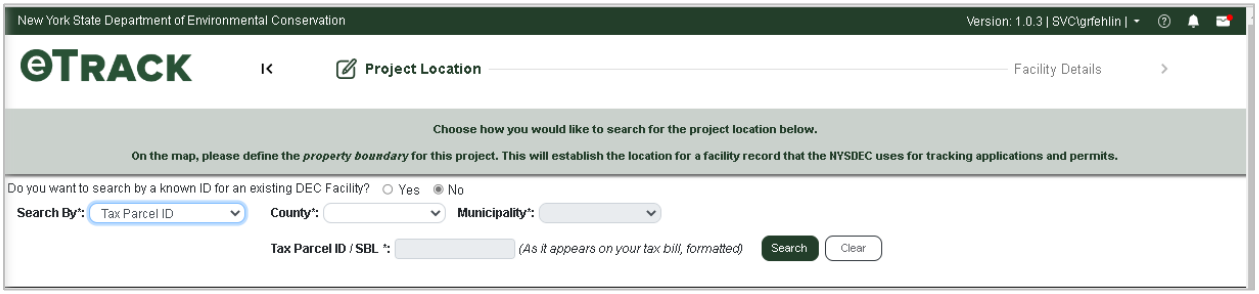


If Skip is selected, the user will be asked to provide an explanation for creating a new facility at the location of an existing record (the second text field below).

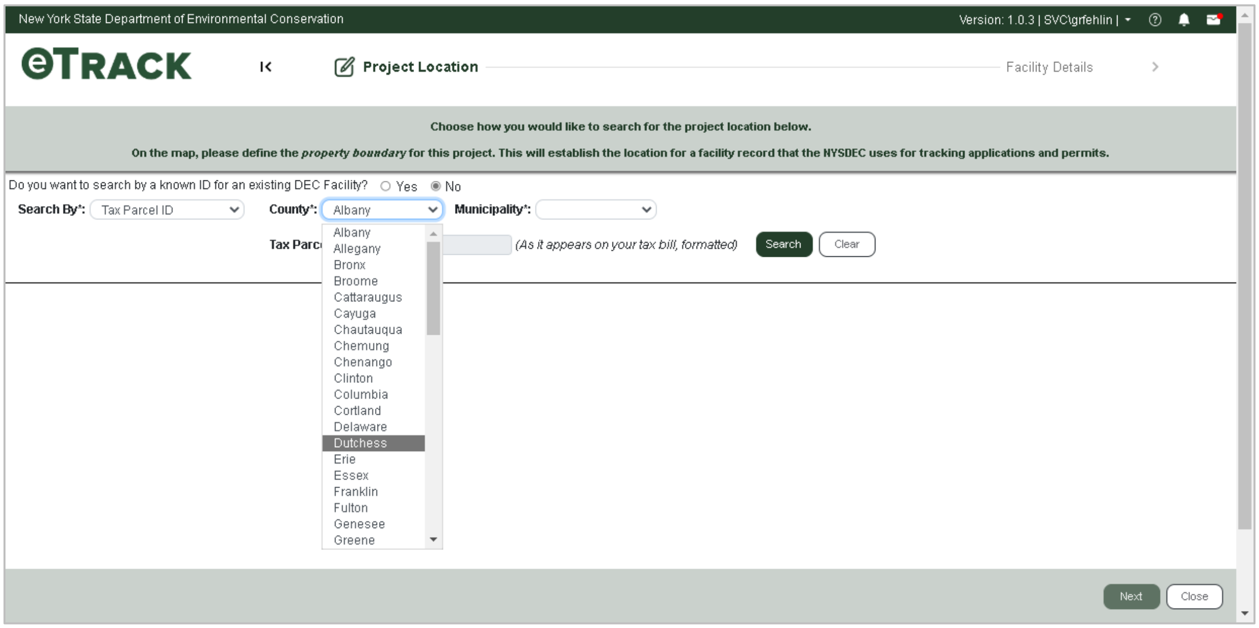


Search by Tax Parcel ID

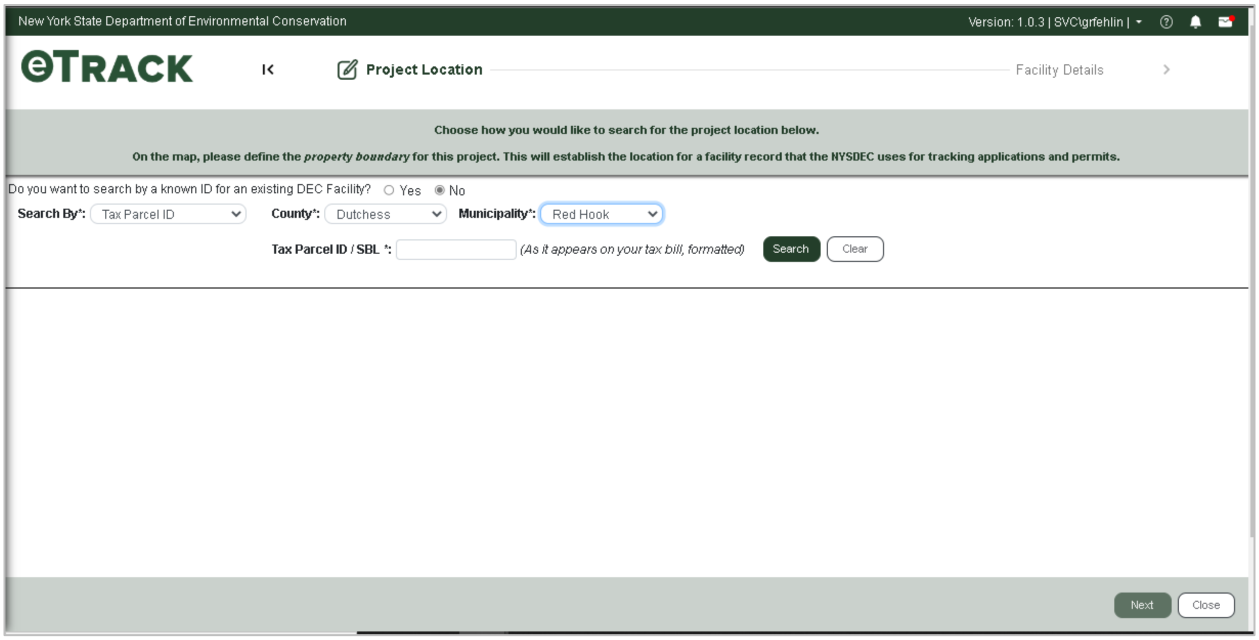
The next option is to search by Tax Parcel ID.



The County must first be selected in the dropdown.

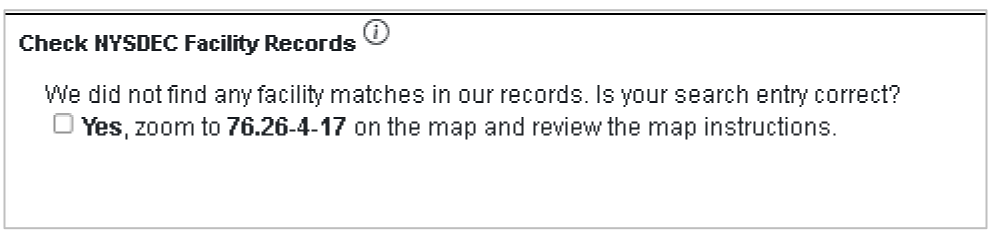


After which the municipalities within the County appear in the Municipality dropdown.



Entering the County and Municipality enables the Tax Parcel ID / SBL data field. Enter the Tax Parcel ID / SBL number for the Project and click Search. The search will return matches from eFind if an exact match is found.

If an exact match is not found, the user can click the 'Yes' checkbox opt to search again for the correct parcel. If found, the map will zoom in to that location. If not found, the map will zoom to the municipality instead.

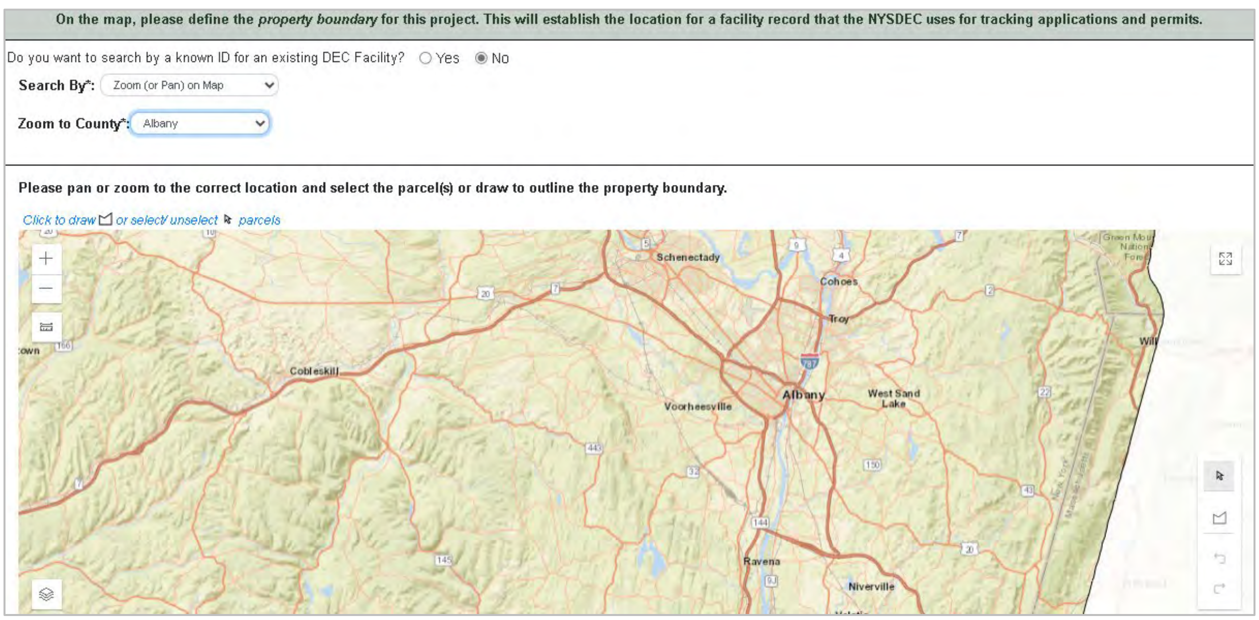


Use the map tools to define/select the correct parcel and then click Next.

Zoom (or Pan) on Map / Using the Map Feature

The Zoom (or Pan) on Map feature enables the Analyst to select the property by using map tools.

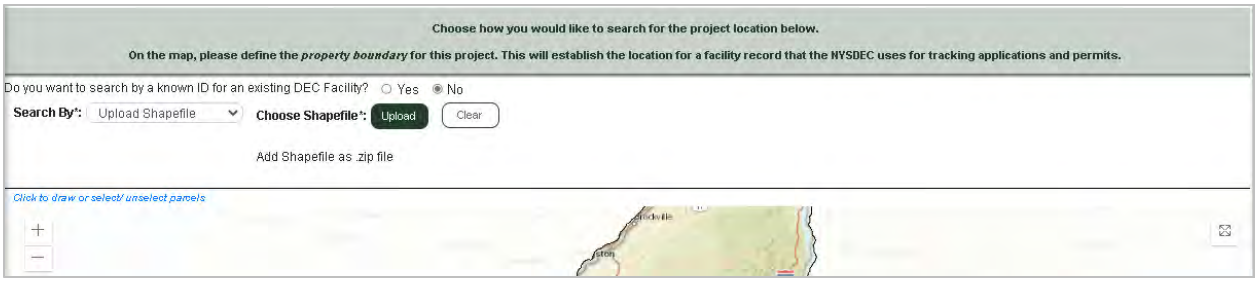
Select a County from the dropdown and the map will zoom to that County.



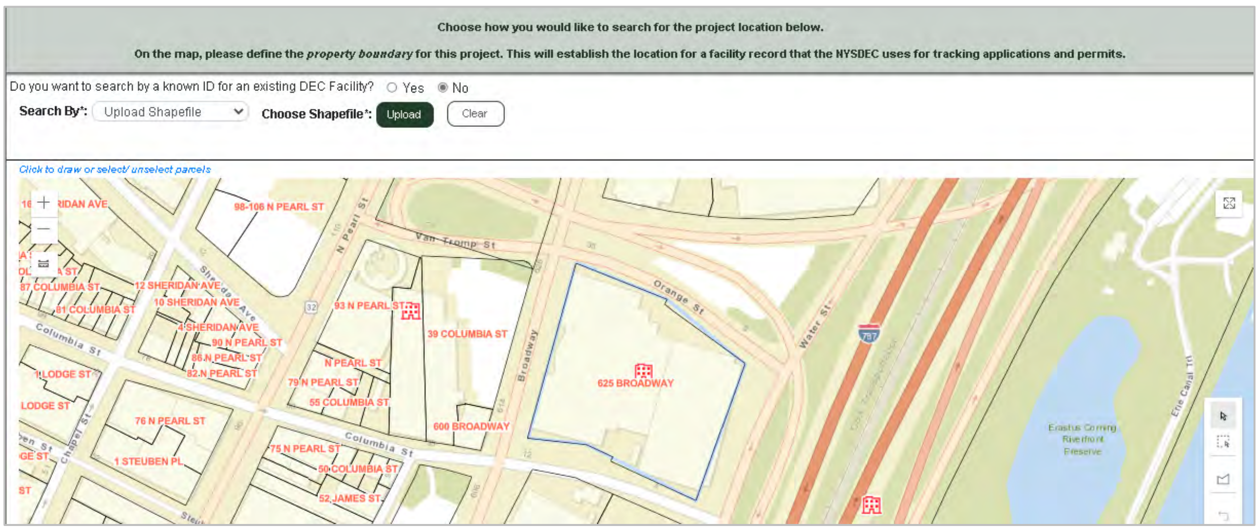
Use the map tools to define/select the parcel boundary and then click Next.

Upload a Shapefile

The final way to search for a facility with the No radio button selected is to Upload a Shapefile.



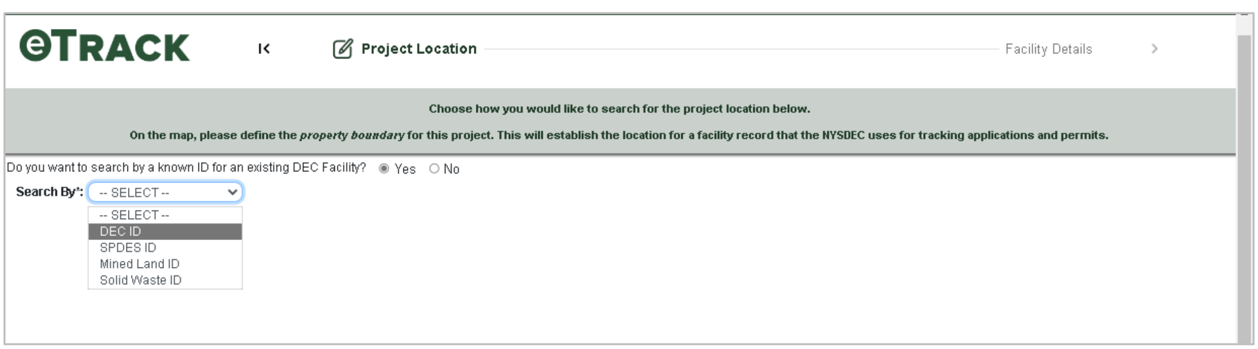
The Analyst chooses a shapefile (which must contain a polygon and cannot be larger than 50MB). Once the file is uploaded the polygon appears on the map:



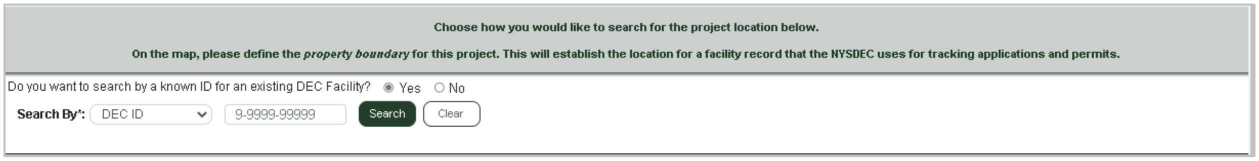
If the uploaded shape is correct, click Next.

Search for Project Location by DEC ID

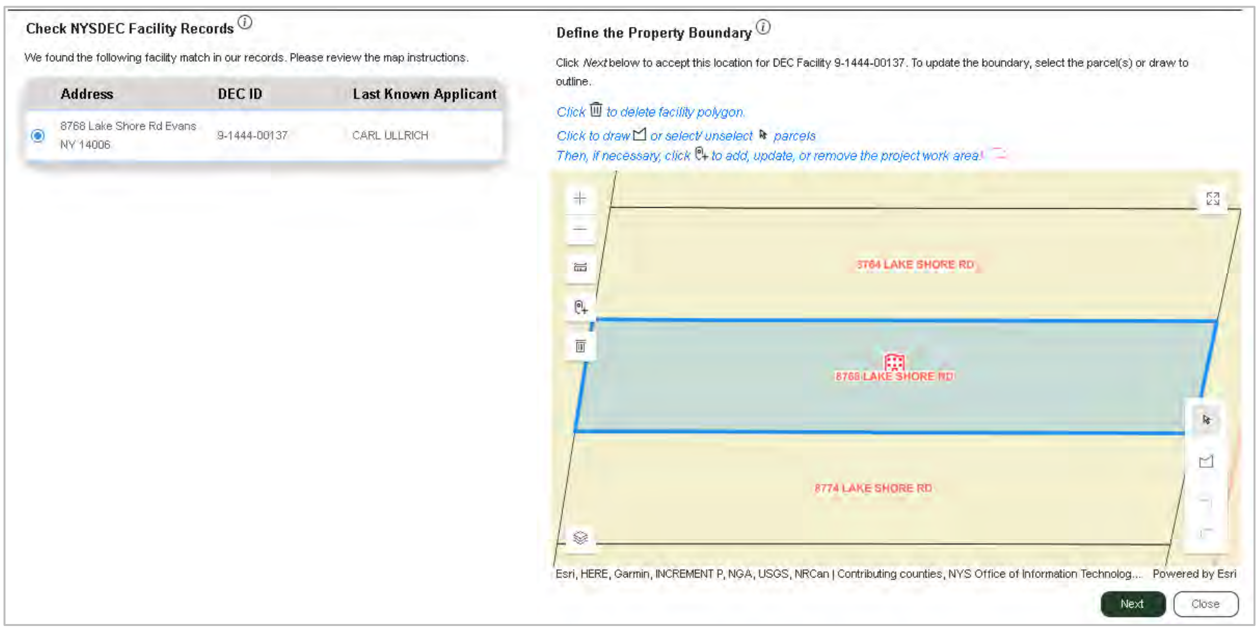
If the Analyst selects the ‘Yes’ radio button when asked if they wish to search for a location by a known ID for an existing DEC Facility, a different selection of search criteria is presented in the dropdown, starting with ‘DEC ID’.



Selecting the DEC ID option produces the following data entry field, into which the DEC ID can be entered or pasted. The number is automatically formatted.



Using a valid DEC ID, click Search. The address, DEC ID, and Last Known Applicant are presented in a results grid, and the radio button for the single result is pre-selected.



As stated above, the map will display the facility icon and facility polygon when an approved polygon exists in eFind. The polygon can be edited by deleting the existing polygon (the trashcan icon can be used) and then using the map tools to select or draw a new polygon. If the facility does not yet have a defined location in eFind, the map will zoom to the general location and display the facility icon. The property boundary will need to be identified using the map tools to select a parcel or draw a boundary.

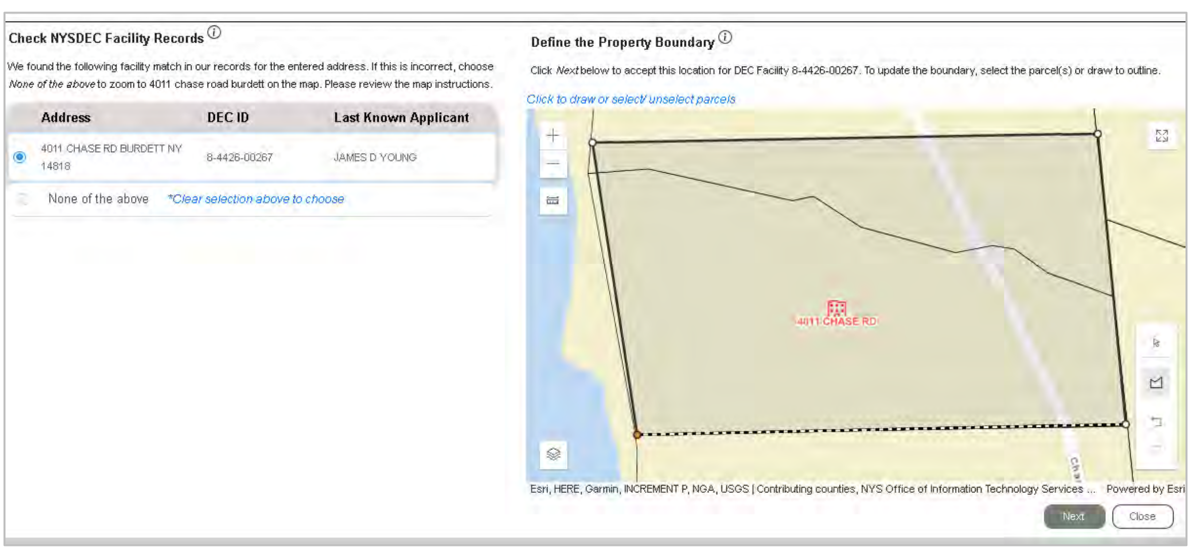
If a recognized facility exists at the address, a red ‘building’ icon will appear within the parcel. Click on the **border edge** of the red icon to display information about the facility.

Note: if there is an additional associated parcel, a page number icon will appear at the lower right for navigating to that information.

In the DEC ID search above, according to the instructional text above the map, the property boundary has already been defined.

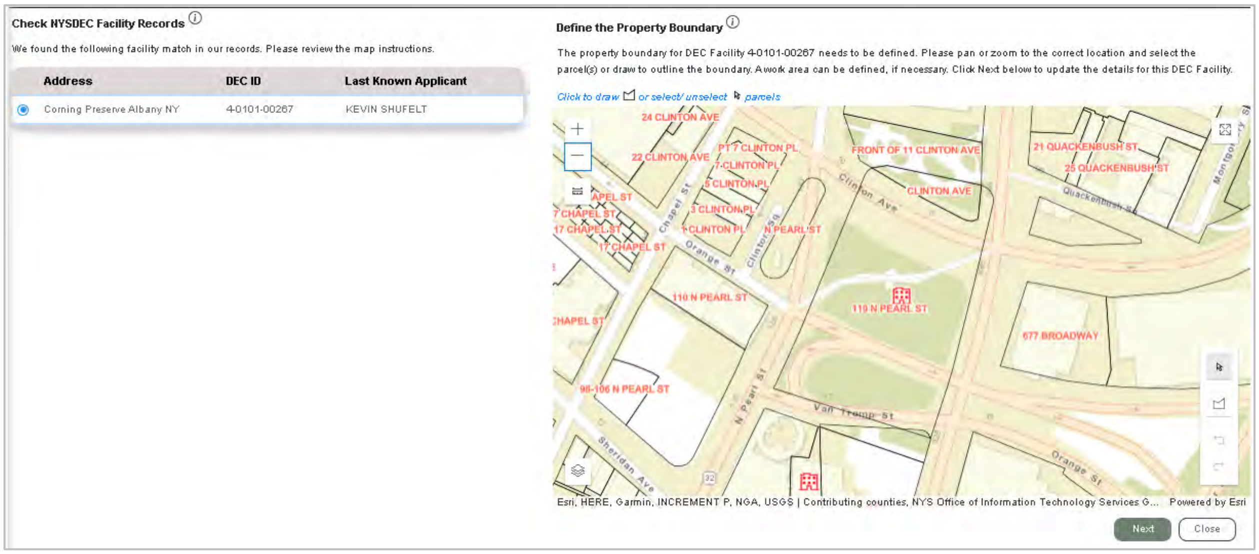
To accept this location for the DEC Facility number entered, do NOT click on the map, just click Next.

To update the boundary of an approved polygon, click on the trash can icon to delete it, then redraw the polygon using the ‘draw a polygon’ tool from the right-hand map tool menu.

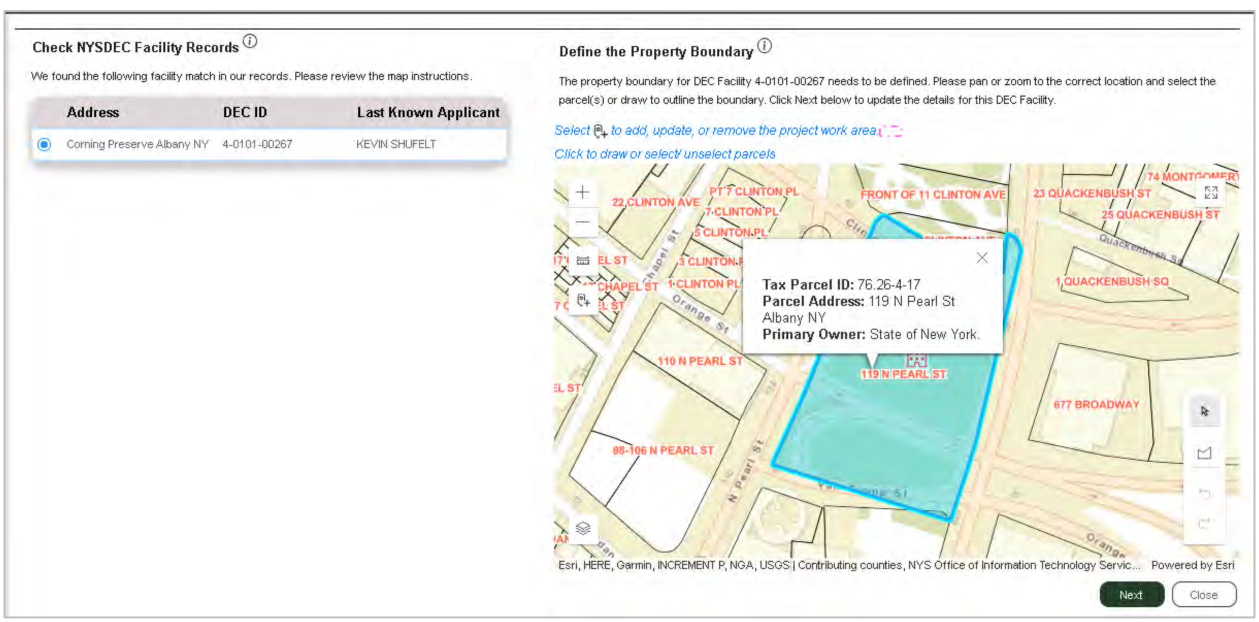


In this next DEC ID search, as seen in the instructional text above the map, the property boundary needs to be defined for a facility that already exists in eFind.

Click on the parcel to select its boundary, or draw a polygon to define the property boundary. Follow the 'Define the Property Boundary' instructions above the map.



Click on the parcel, and additional instructional text appears above the map, along with information about the parcel.



For both of the above options, click Next to advance to the Facility Details screen.

Search for a Project Location by SPDES ID

With the Yes radio button selected, the next option for the project location search is the SPDES ID. The first two characters of the SPDES ID (NY) are pre-populated in the data field. The Analyst enters or pastes the SPDES ID into the field (without duplicating the 'NY') and clicks Search.

The address, DEC ID, and Last Known Applicant are presented in a results grid, and the radio button for the single result is pre-selected. The map displays as described in the property location searches above.

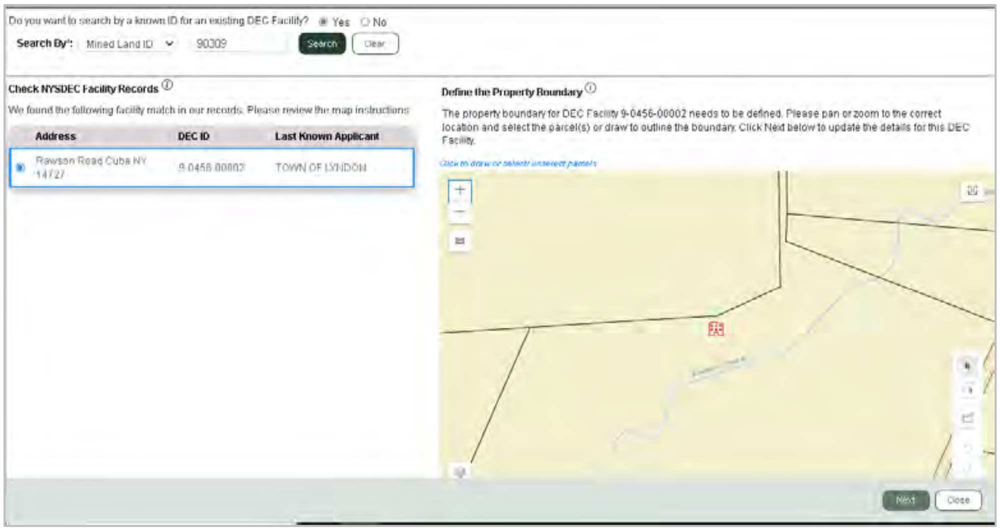
Click Next to advance to the Facility Details screen.

Search for a Project Location by Mined Land ID

With the Yes radio button selected, the next option for the project location search is the Mined Land ID. Five digits representing the Mined Land ID are present in the data field and vanish when the correct sequence of five digits for the Mined Land ID are entered. Click Search.

The address, DEC ID, and Last Known Applicant are presented in a results grid, and the radio button for the single result is pre-selected, and the map functions as described above.

As with the DEC ID, even if an existing facility is recognized, the Property Boundary may still need to be defined. Click on the appropriate parcel to select the property boundary or draw a polygon to define the property boundary. Follow the 'Define the Property Boundary' instructions above the map.

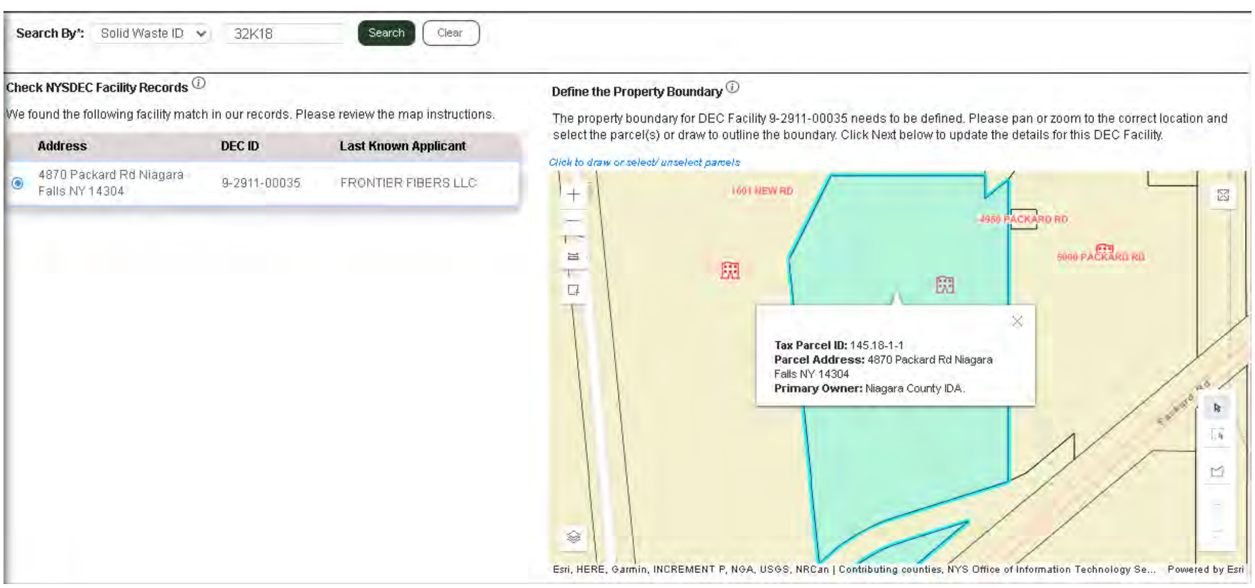


Search for a Project Location by Solid Waste ID

With the Yes radio button selected, the next option for the project location search is the Solid Waste ID. The Analyst enters the Solid Waste ID and clicks Search.

The address, DEC ID, and Last Known Applicant are presented in a results grid, and the radio button for the single result is pre-selected. The map functions as described above.

Even if an existing parcel is recognized, the Property Boundary may still need to be defined. Click on the appropriate parcel to select the property boundary or draw a polygon to define the property boundary. Follow the 'Define the Property Boundary' instructions above the map.

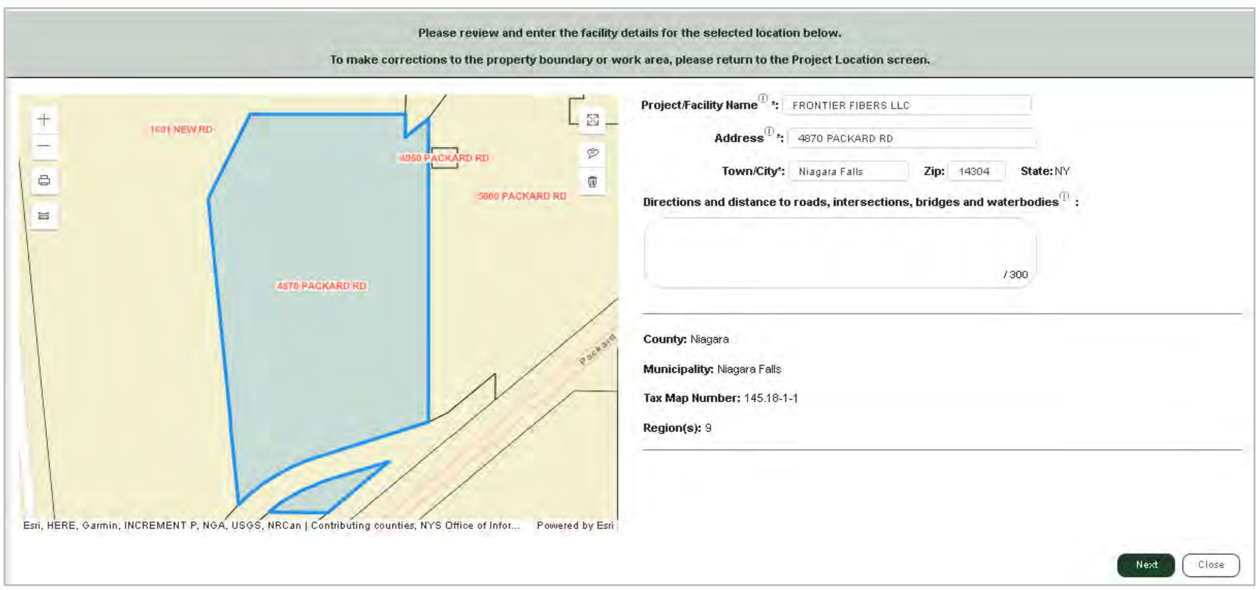


Click Next to advance to the Facility Details screen.

11.2.6 Facility Details

Clicking Next on the Project Location screen for any of the above scenarios will bring the Analyst to the Facility Details screen. This screen contains information about the facility (i.e., County, Municipality, Tax Map Number, and Region(s)), plus data entry fields in which information about the location can be added and/or edited.

On the Facility Details screen, the display of the map and the information is reversed in comparison to the Project Location screen, with the map appearing on the left and the information to the right.



Analysts are instructed to review and enter the facility details for the selected location.

The data entry fields are: Project/Facility Name; Address; Town/City; Zip; and Directions. The Address, County, Municipality, Tax Map Number, and Region(s) are pre-populated based on the location data. There can be multiple Municipalities, Tax Map Numbers, and Regions.

Informational icons beside the Project/Facility Name, Address, and Directions can be hovered over for detailed instructions and tips.

To make corrections to the property boundary, the user **must return to the Project Location** screen by clicking on the sub-header in the navigation panel above.

11.2.7 Creating a Work Area

As part of the permit application, the Analyst may wish to draw a distinct project work area on or near the project polygon. The work area could indicate a precise location for the area of disturbance, or the work being proposed, typically within the facility polygon already defined.

The 'Work Area' drawing tool is available on the Project Location selection screen in Step 1 (Data Entry and Validate Mode). For the tool to be visible to the user, a facility polygon must already be displayed on the map. When there is a facility polygon on view, the system will display instructional text above the map.

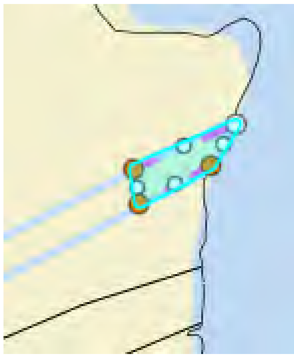
Using the project work area tool, the user can draw/add a project work area, delete an existing work area, and modify a project work area. If the user deletes the facility polygon on the map view, the project work area will also be deleted.

After the user clicks the Next button on the Project Location screen, the system will display the selected facility polygon and the project work area on the Facility Details screen.

Users are not able to alter the project facility polygon and project work area on the Facility Details screen. If they must modify them, they need to navigate back to Project Location to make any changes.

To draw a work area, click on the 'Add work area(s)' icon on the upper left , below the zoom-in and zoom-out icons. Then, click on the 'Draw a polygon' icon to activate the drawing tool.

Place the cursor where the work area is be drawn and then click and drag to create the shape. Double-click to finish and the work area will appear:



The work area can also be adjusted by clicking and dragging the dots:

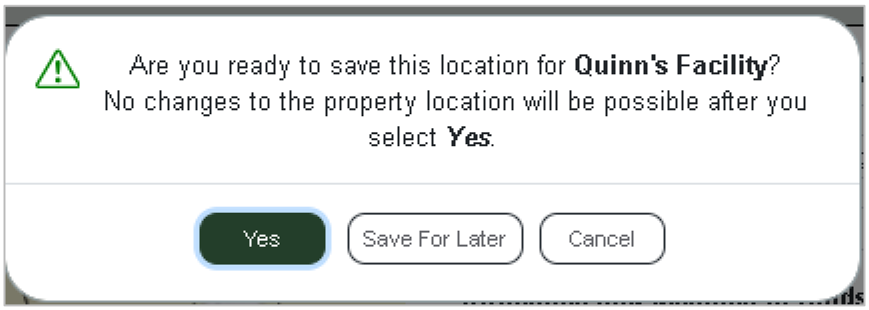
Clicking off the work area will leave it appearing with a dotted purple line:

The Analyst can then move forward by clicking Next.

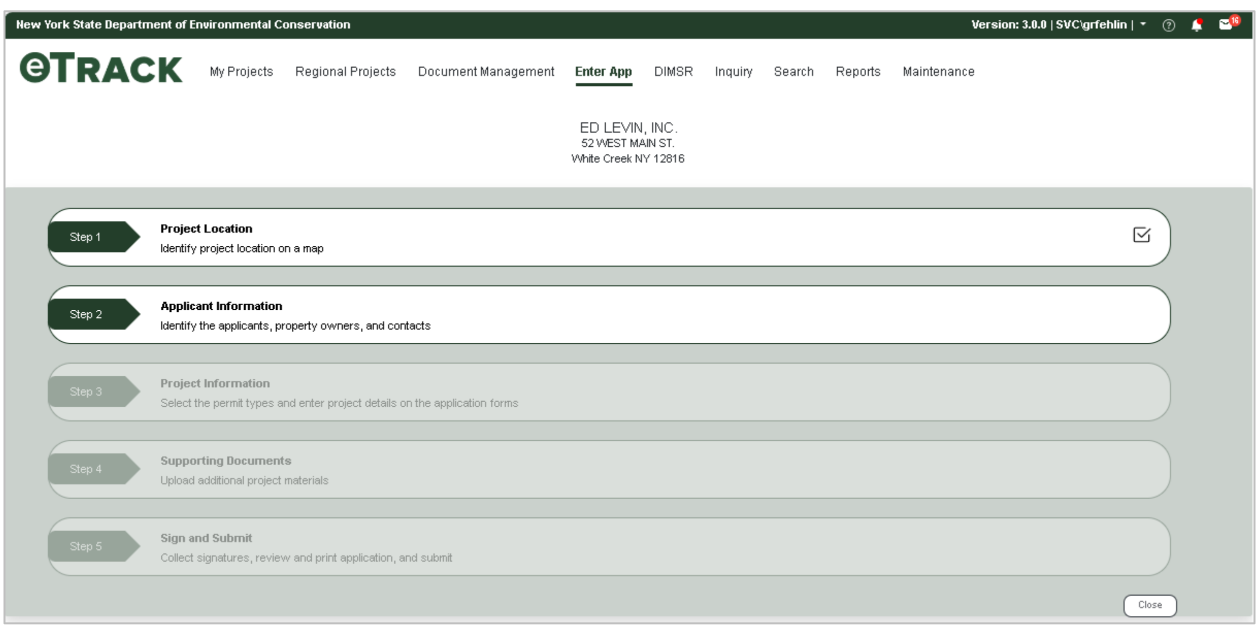
Ultimately, there are many combinations possible for drawing a work area, with or without an approved polygon, unapproved polygon, selecting a new facility, confirming that the facility is a duplicate, etc. The polygon and work area will appear later in Validate Mode, where changes can be made if needed.

11.2.8 Step 1 Confirmation Complete Pop-up

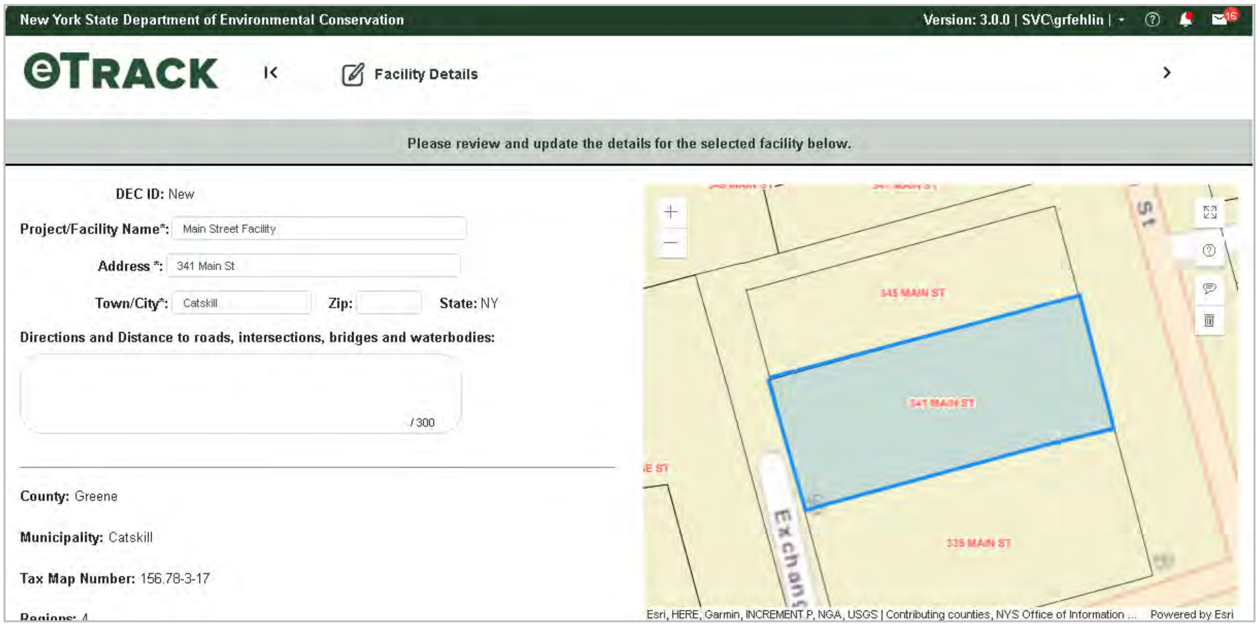
Back on the Facility Details screen, Clicking Next will generate a confirmation pop-up, asking if the Analyst is ready to save the location. No changes to the property location will be possible after the user clicks Yes.



Clicking Yes will save the selection and bring the user to the Main Navigation screen, where the facility name and address appears at top, and Step 1 is marked completed with a checkmark and Step 2 is enabled.



If the Analyst comes back to Step 1 after Clicking 'Yes', they will be able to make changes to the facility details, but not to the map itself.



Clicking Save For Later will save the information entered and move the user forward to the Main Navigation Screen, however, since the step was not completed, there will be no checkmark and Step 2 will not be enabled. The user can come back to Step 1/Facility Details later to add or edit a Work Area or the Facility Details. Although the Project Location screen will not be accessible, the user can make changes to the Project Location using the map on the Facility Details screen in this situation alone.

11.3 Creating a New Facility

To create a new facility using eTrack, begin the Enter App process using the link at the top of the Analyst Dashboard. In Step 1, use the ‘Property Address’ search to zoom into a city, town, or street, or use the ‘Zoom (or Pan) on Map’ search to zoom into the location where the new facility is located.

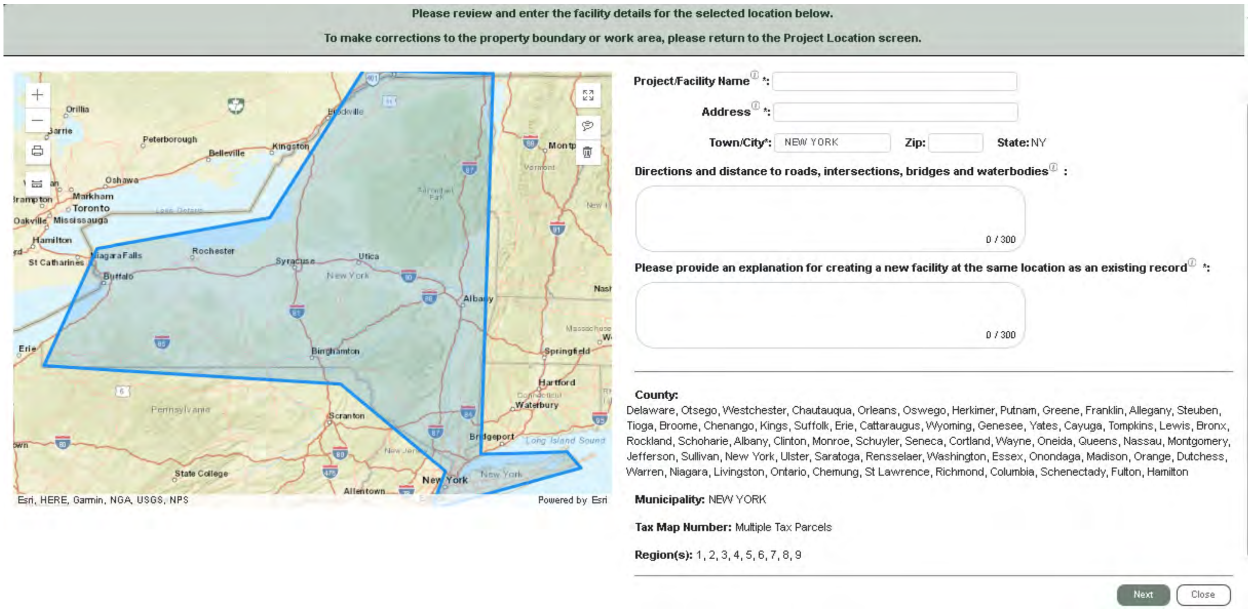
Select or draw the parcel using the map tools, fill in the information fields on the Facility Details screen, and click Next. A Project ID is created at the end of Step 1 to assist with the tracking of the new facility through data entry and validation. Once uploaded to DART at the end of Validation Mode, a DEC ID will be created for the new facility, and a record will be created in eFind.

11.3.1 Statewide, Countywide, and Multi-Region facilities

In certain circumstances, a facility will extend across geographical boundaries and will display uniquely in eTrack. For example, the facility could be a 'Statewide' pipeline project that extends from the north of NYS to downstate, a transmission line, a highway, etc. Or it could be a Countywide or Multi-region facility, or other facility that crosses geographical boundaries.

Projects that cross multiple boundaries and include all/most counties are defined as 'Statewide'. In these cases, the individual counties will be aggregated under the title 'STATEWIDE' on various screens throughout eTrack.

In Data Entry Mode Step 1, all the counties will be displayed but the Municipality will be NEW YORK. The Tax Map numbers will be collectively referred to as 'Multiple Tax Parcels'.



In Validate Mode Step 1, the Municipality, Primary Municipality and Tax Map Number identifiers will all be aggregated.

County: STATEWIDE

Municipality: NEW YORK STATE **Primary Municipality:** NEW YORK STATE (0000)

Tax Map Number: Multiple Tax Parcels

Regions: 0

After Upload to DART, the Analyst dashboard will show the statewide category designations as well.

Project ID	EA	GP	Applicant	Facility	Municipality	County
6083			JOHNSON, MARIE, ANNA	colin shapefile test	NEW YORK STATE	STATEWIDE

The designation will also appear on the Project Location maps.

Statewide, Countywide, Multi-region, and other facilities that cross specific geographical boundaries are assigned unique DEC ID number sequencing, and can be identified as such:

Statewide	0-0000-xxxxx	Located in all/most counties - throughout the state. "New York (state)" entered in eFind
Multi-region	0-9999-xxxxx	Located in more than one region. Multiple county codes from different regions or county wide codes from different regions entered in eFind)
Countywide	x-xx00-xxxxx Examples: 1-2800-xxxxx; 4-3600-xxxxx	Located in all/most municipalities - throughout the county. Single "Countywide" code entered in eFind.
Multi-county	x-990x-xxxxx Example: 4-9904-xxxxx; 9-9909-xxxxx	Located in more than one county (county codes or countywide codes entered in eFind)
Multi-municipality	x-xx99-xxxxx Examples: 3-1399-xxxxx; 1-2899-xxxxx	Located in more than one municipality within same county (municipality SWIS codes entered in eFind)
Single municipality	x-xxxx-xxxxx Example: 8-2434-00088	Located within a single municipality. Single municipality SWIS entered in eFind.

Note: For NYC-wide facilities, the pattern is 2-6500-xxxxx. The facility spans across all five counties (60-64), but not any other county.

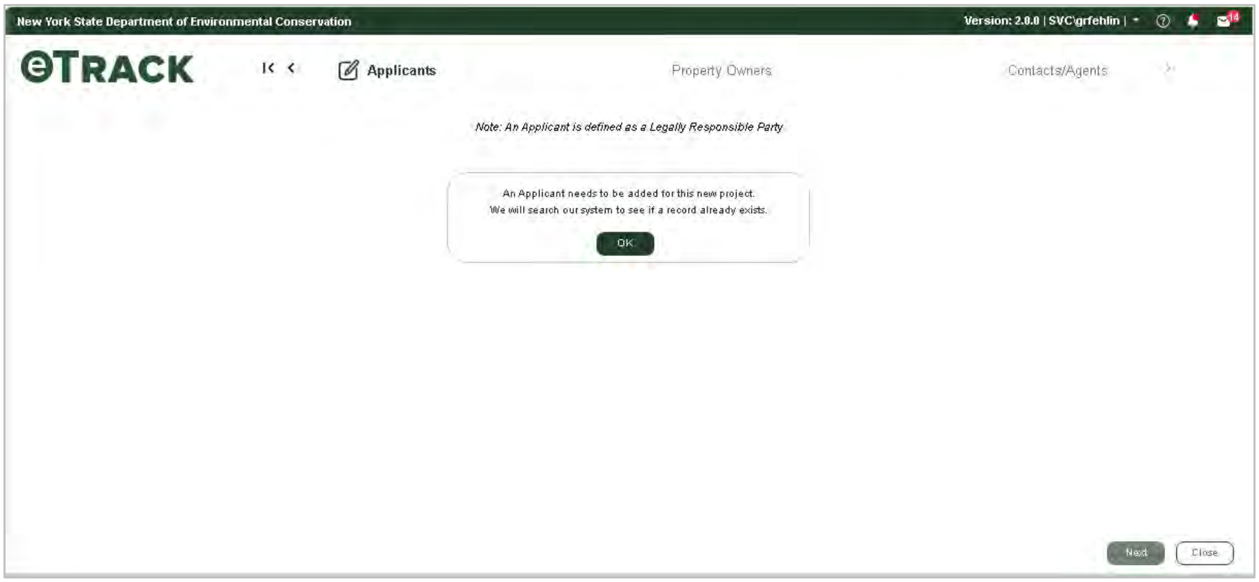
11.4 Applicant Information (Step 2)

In Step 2, Applicant Information, the Analyst identifies the Applicants (the Legally Responsible Party), Property Owners, and Contacts/Agents associated with the project. At least one Applicant must be associated with the Project. The Analyst will not be able to move forward until one has been added.

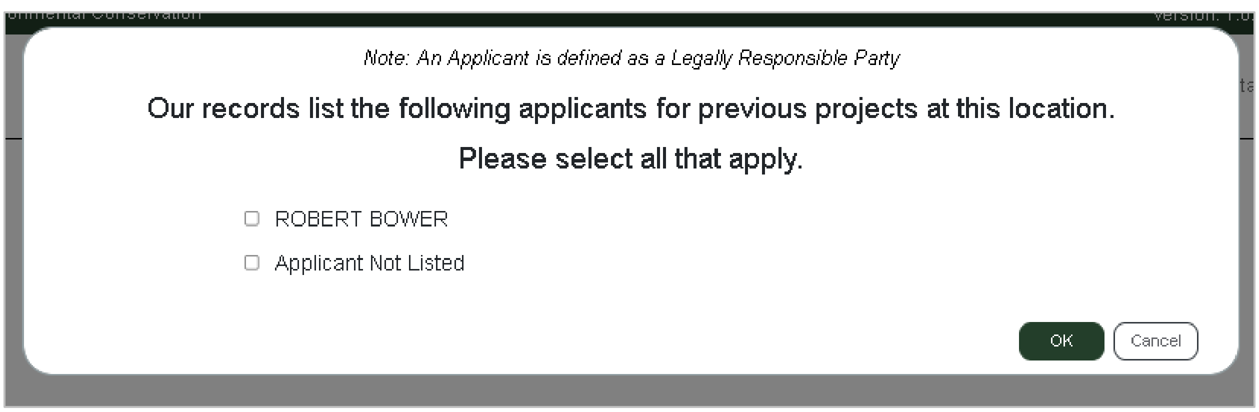
11.4.1 Step 2 Screen Navigation

During Step 2, three sub-steppers are present at the top of the screen: Applicants; Property Owners; and Contacts/Agents. When data has been entered and sub-steppers can be selected, these links will display for ease of navigation.

Clicking on Step 2 on the Main Navigation Screen will bring the user to the Applicants screen, where the user will be informed that an Applicant needs to be added for a new project, and that eTrack will search eFind to see if a record already exists. The Analyst confirms this by clicking OK.



If a previous applicant(s) who has been associated with the chosen location already exists, the name(s) will be displayed beside a checkbox, above a checkbox for ‘Applicant Not Listed’. If the facility is new (i.e., no previously associated applicant exists), the Public Search screen will be opened instead. If an applicant is initially chosen for this project and then deleted, the applicant is dis-associated with this project but remains in eFind as is.



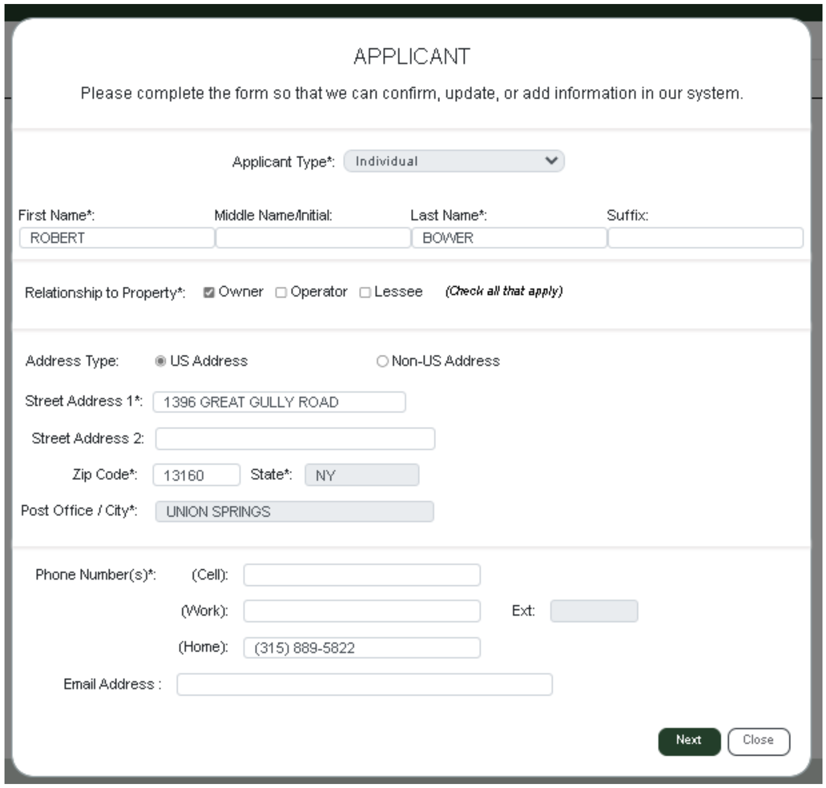
Selecting the checkbox beside each name, and clicking OK, will present the existing public details for each applicant. Detail screens will be presented sequentially after each applicant screen is completed.

If the Analyst chooses not to use the previous applicant(s), but add a new one instead, the old previously associated applicants are ‘ended’ (removing the association). The newly created applicant is considered ‘active’.

The removal of the association cannot be seen until the permit application is uploaded to DART. This is where the end dates are placed on the name(s) previously associated but not selected. The next time an

Analyst comes to this screen for a different project, they will only see the newly added applicant for selection.

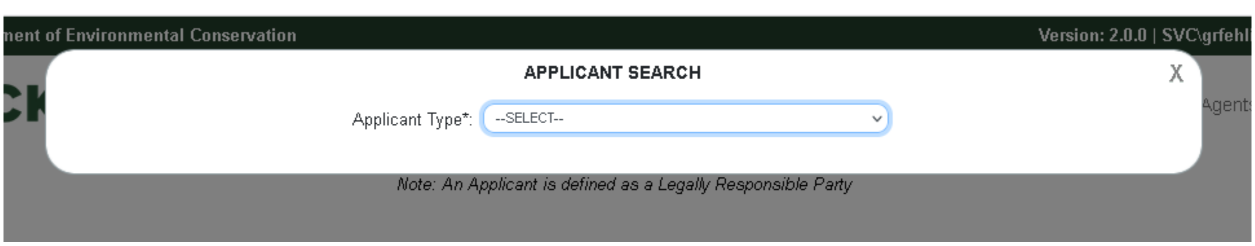
Note: This ‘ending’ process applies also to Property Owners and Contacts/Agents.



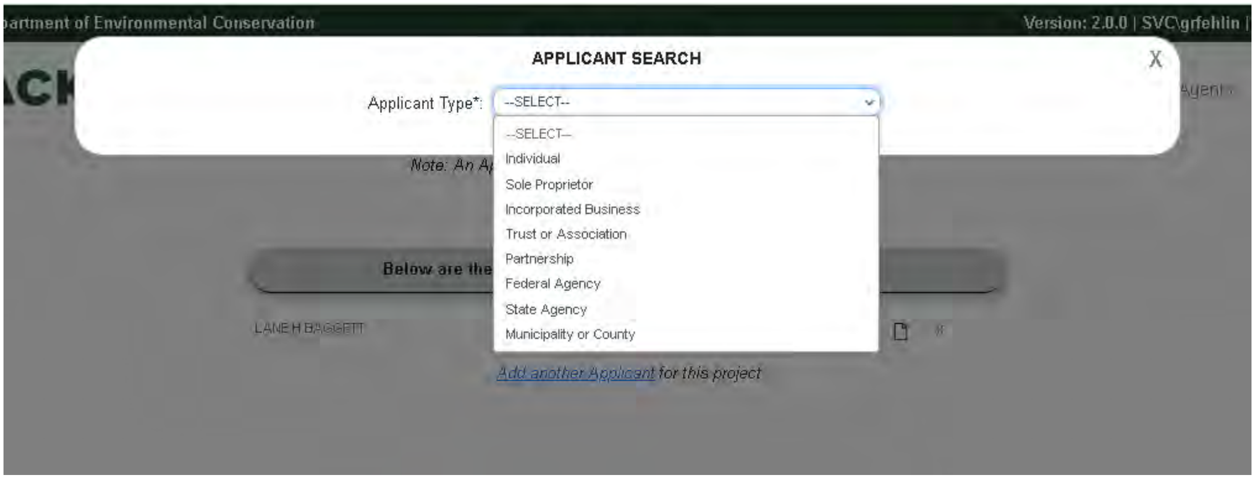
If the new applicant is not listed, the Analyst selects the Applicant Not Listed checkbox and clicks OK. This will display the Applicant Search pop-up (Public Search) which will check for existing public records in eFind. The Analyst will also be presented with this screen when a new facility is being created and there hasn’t been any person previously associated.

11.4.2 Applicant Search

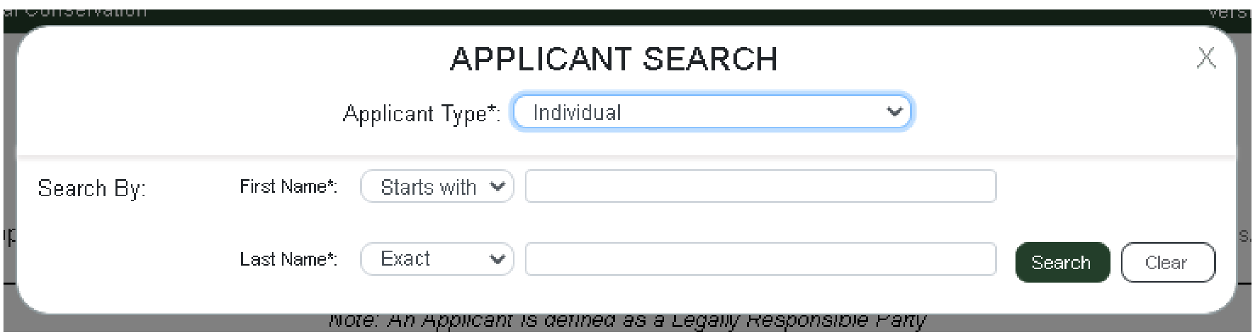
The user is prompted to search for an applicant using Applicant Search, before adding any new Applicant, Property Owner, or Contact/Agent. The public search is done first to check whether the applicant already exists in the eFind database.



To begin, a selection must be made from the Applicant Type dropdown. Options are, from top down: Individual; Sole Proprietor; Incorporated Business; Trust or Association; Partnership; Federal Agency; State Agency; Municipality or County.

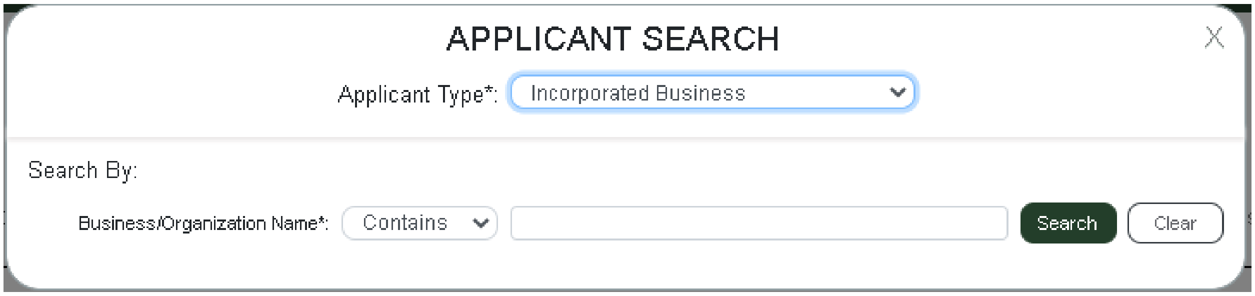


After choosing an option from the dropdown, the remainder of the search screen appears, with options to search.

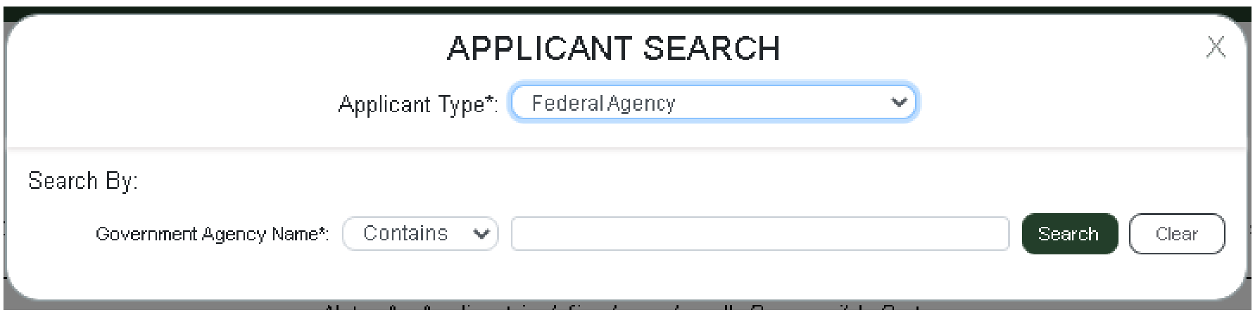


The first option, Applicant Type 'Individual' presents search options for First Name and Last Name. The dropdowns provide additional search options: Starts With; Contains; and Exact. These same options are provided for Sole Proprietor. There are a minimum of two characters for each search field for the Applicant Type searches, with the exception of the Individual/Sole Proprietor Type, where the Last Name field can have an Exact search value of only one character.

The next Applicant Type category is Incorporated Business. For this search, the user is asked to enter the Business or Organization name. The same search options are available: Starts with; Contains; and Exact. The next two Applicant Types (Trust or Association; and Partnership) use the same search criteria.

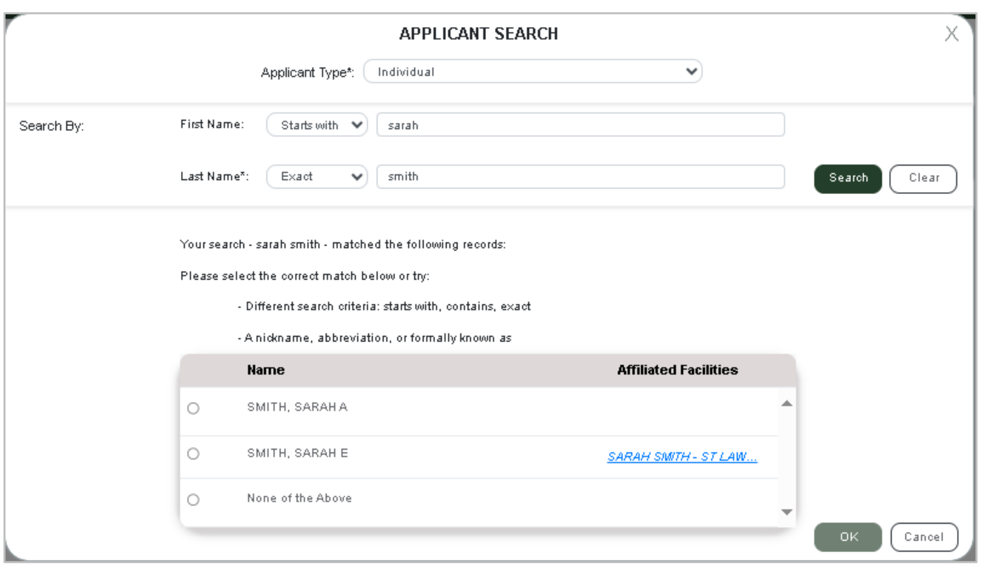


The next Applicant Type is Federal Agency. For this search, the user is asked to enter the Government Agency name. The same search options are provided. The next two Applicant Types (State Agency; and Municipality or County) use the same search box.

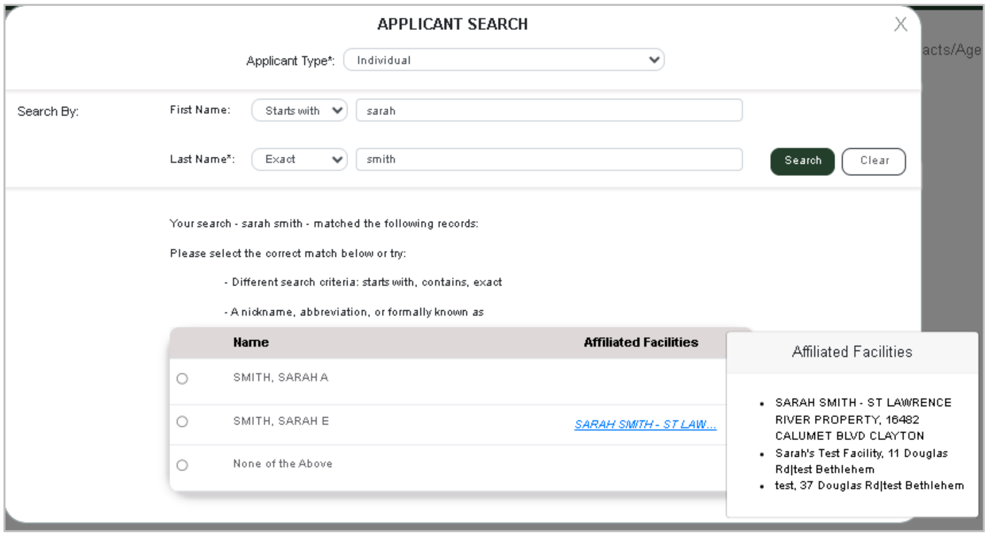


11.4.3 Applicant Search Results

Search results are presented in a list from which the correct applicant may be chosen. If none of the options provided are a match, the user may select 'None of the Above', which will present a blank applicant information screen for the Analyst to manually enter the information.



Clicking on any Affiliated Facilities in the Individual search results (highlighted with a blue hyperlink) will display a popup with a bulleted list of the applicant's affiliated facilities in NYS.



This feature is helpful, for example, if two Sarah Smiths appear in the results; the associations can help identify which listing is the correct one.

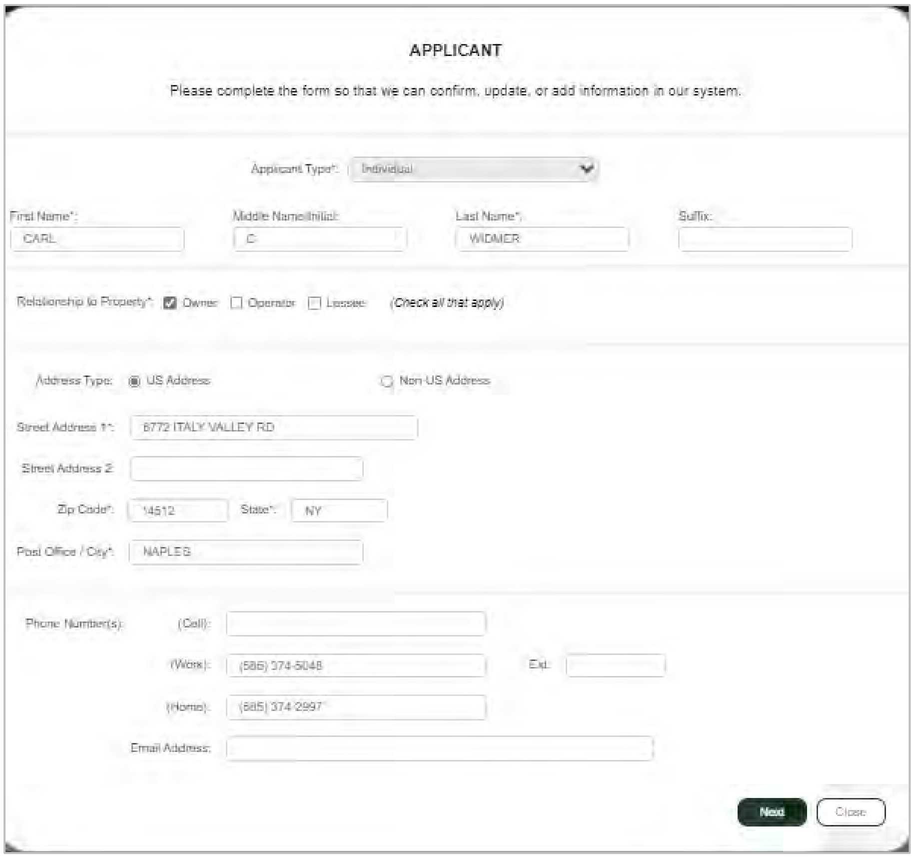
11.4.4 Applicant Information

Whether an applicant is selected from the list of previously associated applicants, or through a public search, an applicant information screen will appear. In each of these cases, information will pre-populate in the fields, as available. This information may be edited, and additional information may be entered. Fields marked with an asterisk (*) are mandatory.

Individual

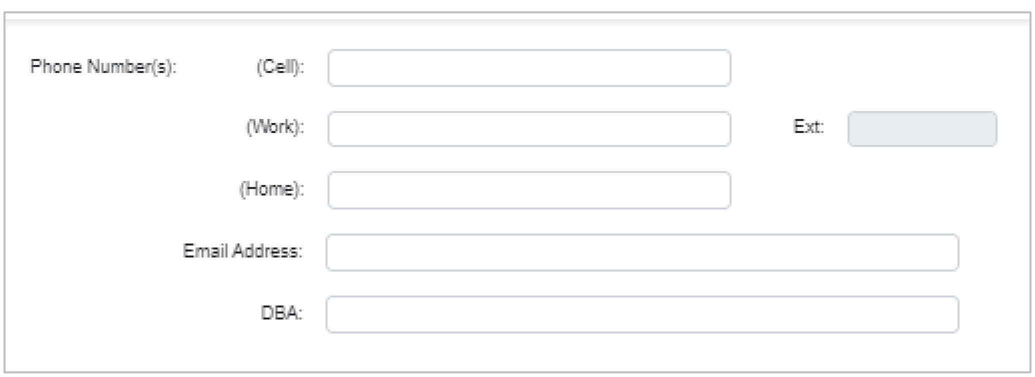
The Individual Type applicant information screen displays relevant contact information fields. Selecting the radio button for a Non-US Address will display a variation of these fields, with additional character allowances for international telephone numbers and postal codes, as well as a country dropdown menu.

The Relationship to Property is a mandatory selection and the user is given the option to choose from Owner, Operator, and Lessee, and can check all that apply. Identifying a Property Owner will be necessary to move forward. If the applicant has already been identified as a Property Owner in the pop-up at the very beginning of Enter Application process (Applicant Type Selection screen), that information will be carried forward to pre-populate the Relationship to Property checkboxes, as appropriate. An Applicant/Owner's information is stored in both the applicant and owner records.



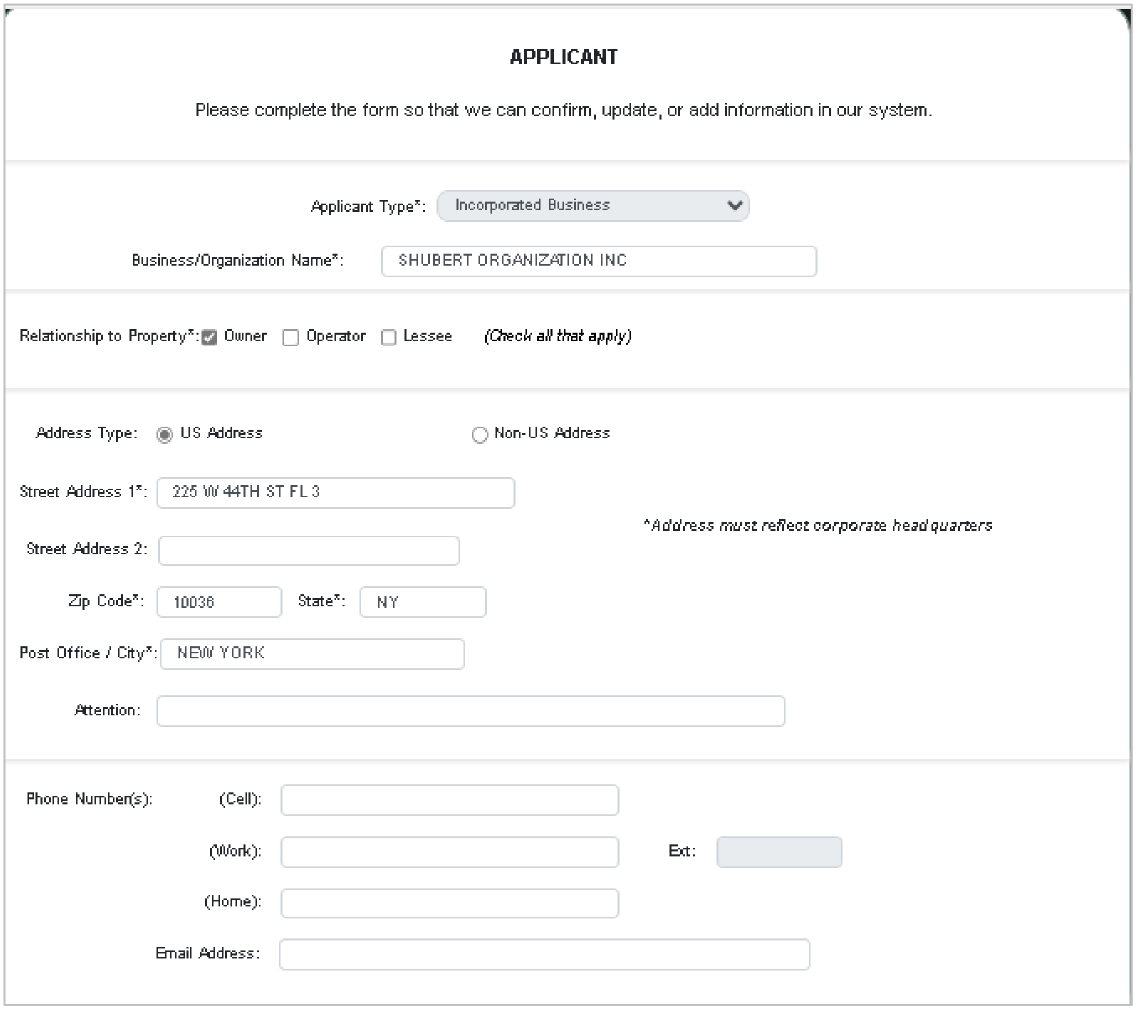
Sole Proprietor

The Sole Proprietor screen is similar to the Individual screen, however, an additional field for DBA (Doing Business As) is presented at the bottom of the screen.

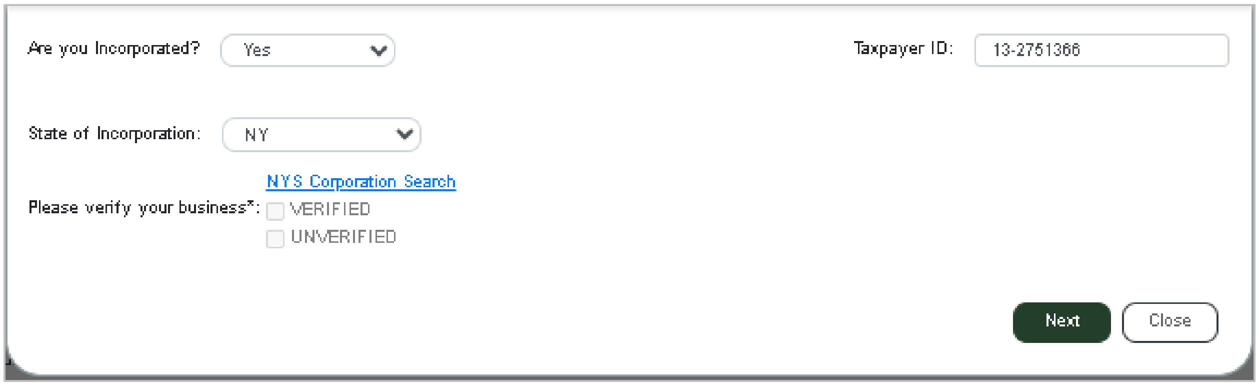


Incorporated Business / Trust or Association / Partnership

The Incorporated Business screen provides the same information and data field options as Individual/Sole Proprietor, with additions. It is noted that the address must be a Corporate Headquarters, and there is an 'Attention' field.

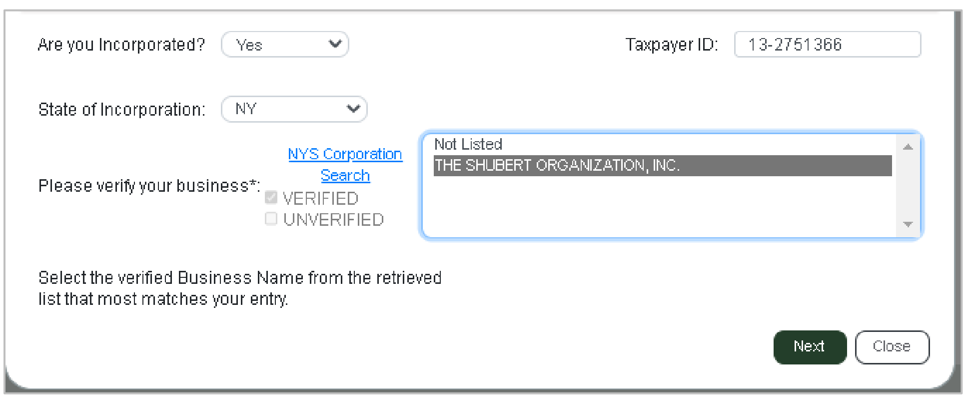


The section at the bottom of the screen contains dropdown selections, information fields (e.g., for Taxpayer ID) search tools, and instructions.

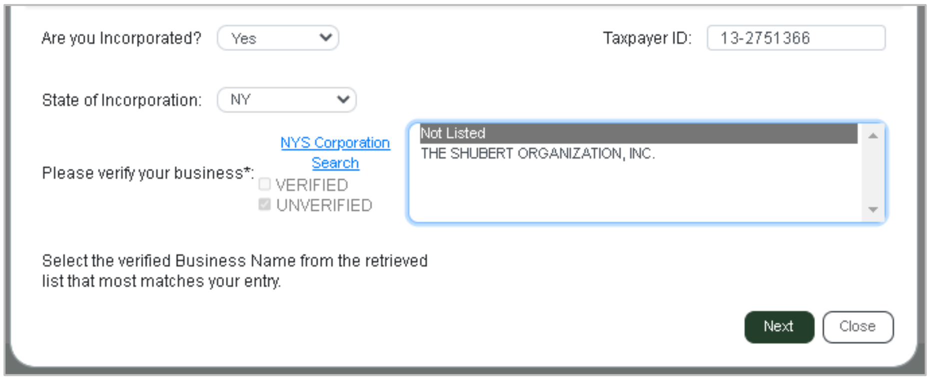


If the Analyst clicks Yes to indicate that the applicant is Incorporated, they will be prompted to use the NYS Corporation Search tool by clicking on the hyperlink. If the state of incorporation is NOT NY, the NYS Corporation Search will be hidden.

If the 'Are you Incorporated' dropdown is selected to Yes, the 'State of Incorporation' dropdown and the Taxpayer ID data field will appear. If the State of 'NY' is also selected from the 'State of Incorporation' dropdown, the NYS Corporation Search hyperlink will display a search results box in which the applicant can select the correct business name for the applicant. This business verification helps save time during the analyst validation process.

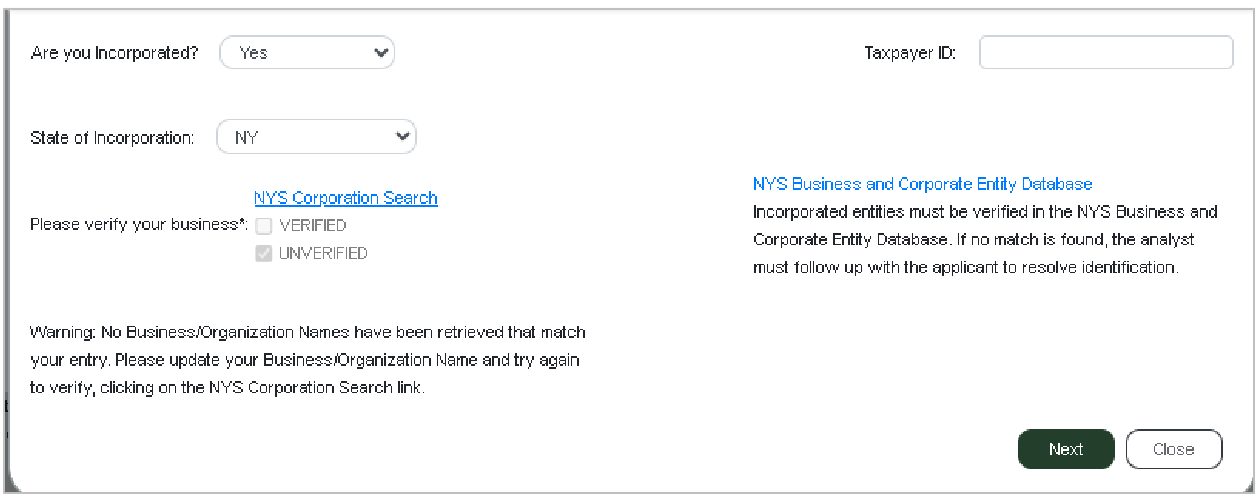


After clicking on NYS Corporation Search, the business will either be automatically verified, causing the VERIFIED checkbox to be filled, or if UNVERIFIED, the business listing will display. Selecting a name from the list will change the status checkbox from UNVERIFIED to VERIFIED. Selecting a business name from the list will also replace the name and/or punctuation that had been entered at the top of the screen. If the correct business name is not listed, the applicant can select Not Listed, in which case the UNVERIFIED box will be checked.



If no results appear following the NYS Corporation Search, the Analyst will be prompted to modify the business name field above until a proper result is presented.

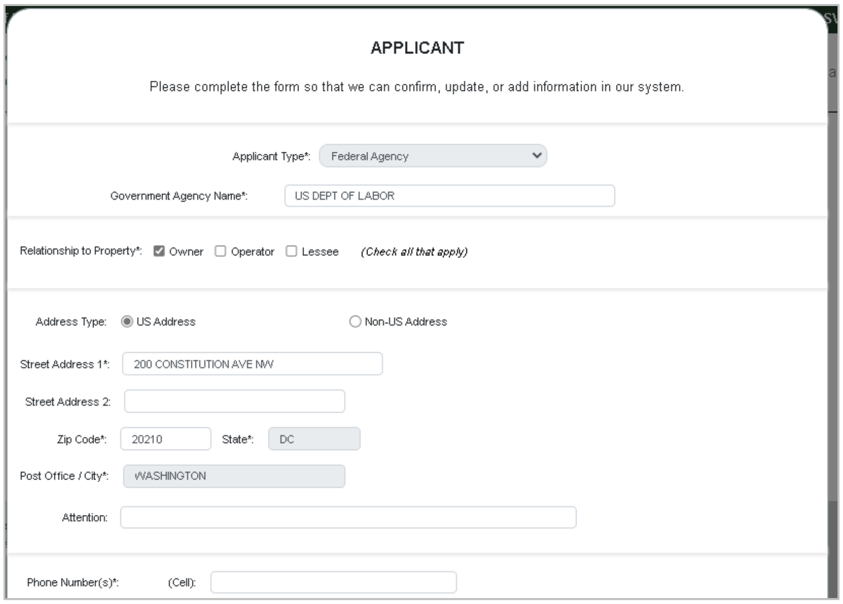
If UNVERIFIED, the Analyst is also reminded that Incorporated entities must be verified in the NYS Business and Corporate Entity Database, and that if no match is found, the Analyst must follow up with the applicant to resolve identification. A direct link to the NYS Business and Corporate Entity Database is provided for additional search functionality.



The ‘Trust or Association’ and ‘Partnership’ options provide the same screen options as ‘Incorporated Business’.

Federal Agency

The ‘Federal Agency’ information screen is similar to the Individual screen; however it contains the data field, ‘Attention’ below the address fields.

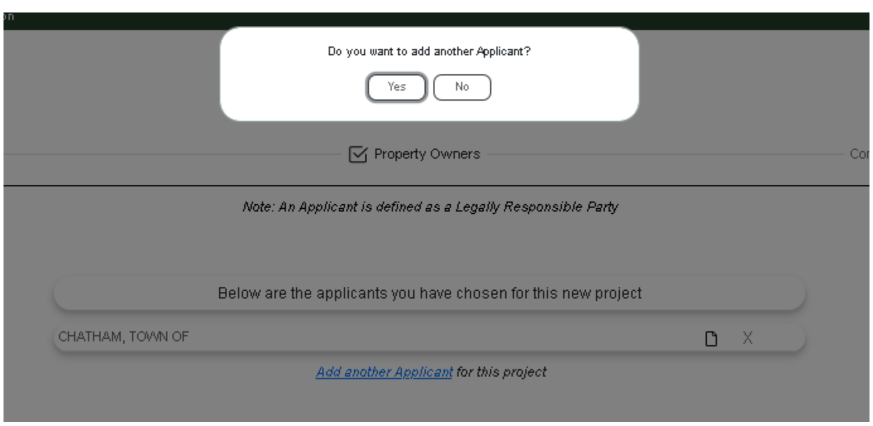


If there are multiple names to be added to the 'Attention' field, Analysts must type a comma-separated list.

The 'State Agency' and 'County or Municipality' screens are identical to the Federal Agency information screen.

11.4.5 Add Another Applicant

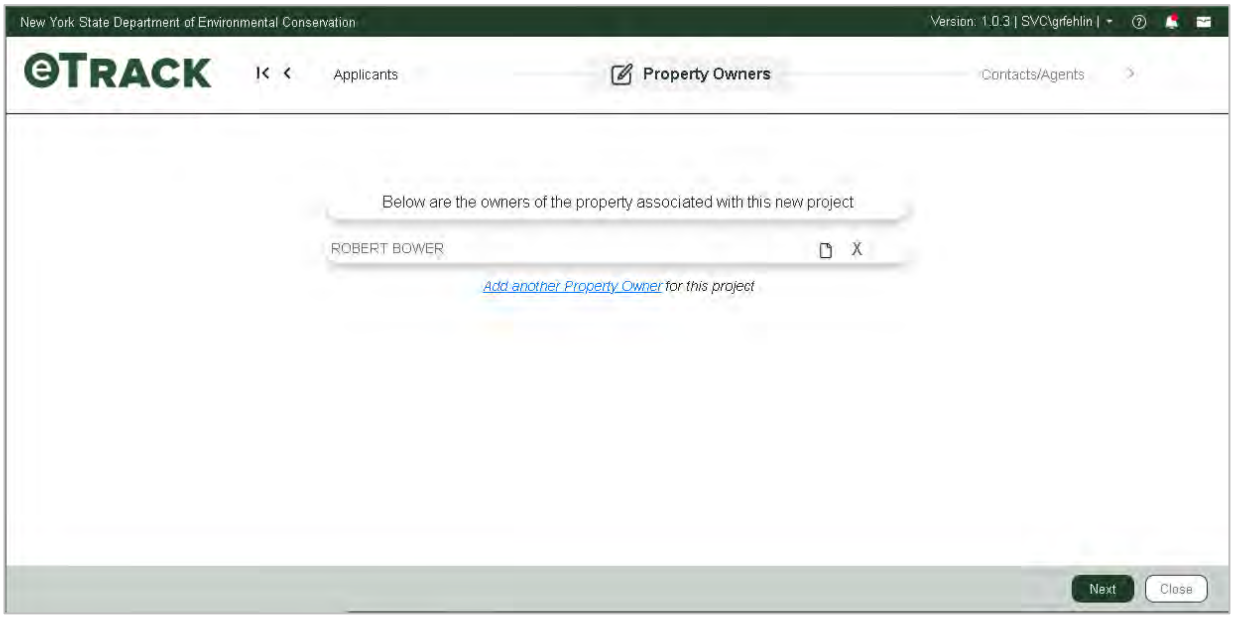
After clicking Next on the Applicant Information screen, the applicant will be listed in a results grid, and the user will be asked if they want to add another applicant. If the user selects yes, the process above will repeat.



If the user clicks No, the system will display the list of the applicants chosen for the project on the summary screen.

11.4.6 Property Owners

If the Owner checkbox has been selected on any previous applicant screens to identify the applicant relationship to the property, that will fulfill the requirement for the identification of a Property Owner, and the Property Owner sub-stepper will be checked. Clicking on the edit icon will return the user to the applicant screen where further edits can be made if desired.



Clicking on the X will remove the owner from the project. If it was a newly entered name, it will be deleted. If it was a previous association to this project location, the association will be removed from this project and the person or entity will be added back to the possible selection list.

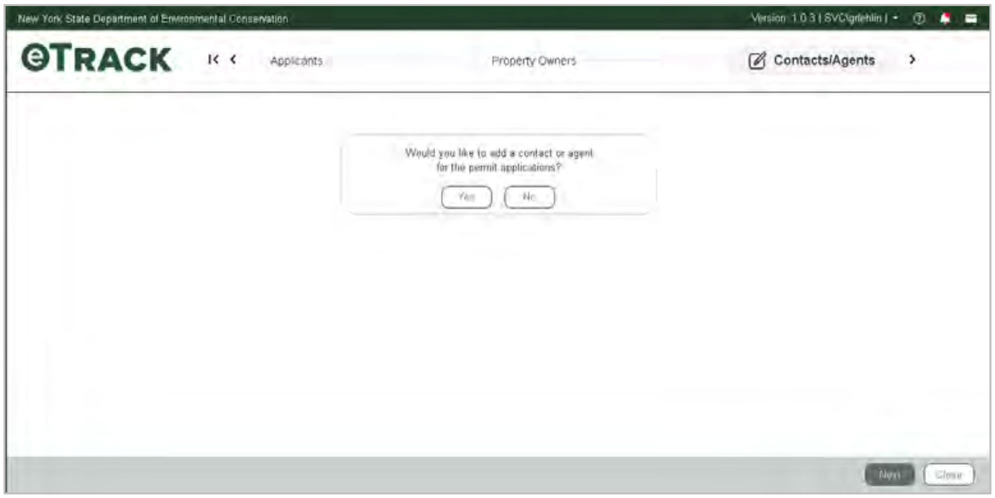
When adding an applicant identified as an Applicant/Owner, the Property Owner record is automatically created for this project, but is disabled for editing. Changes to the owner record would need to be made by editing the applicant details in the previous sub-step, since the applicant/owner relationship has already been established.

The user can still choose to Add another Property Owner by clicking on the hyperlink and repeating the process. Clicking Next will take the user to the option to add Contacts/Agents.

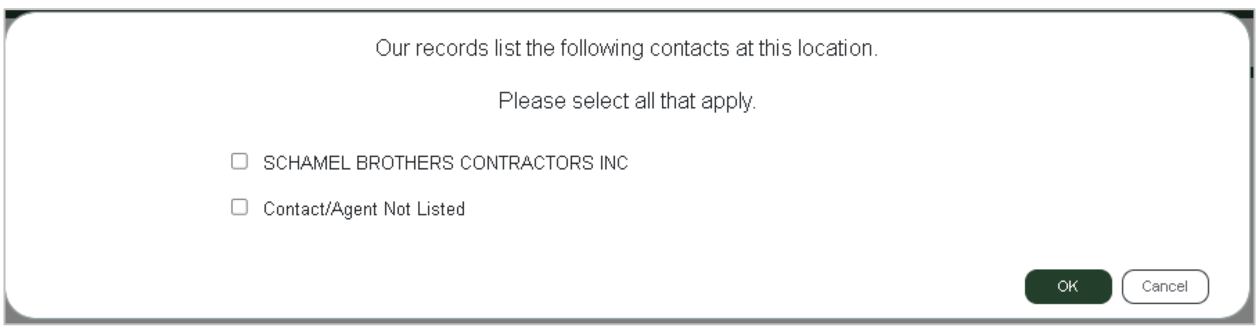
11.4.7 Contacts/Agents

Having identified the Applicant(s) and Property Owner(s), the Analyst is asked if they want to add any Contacts or Agents for the project. Selecting a Contact/Agent is optional.

Note: The Contact/Agent that is entered in eTrack is a Facility Application Contact. Other Contacts such as Water Fee Billing Contact or Air Permit Contact are entered directly in eFind.

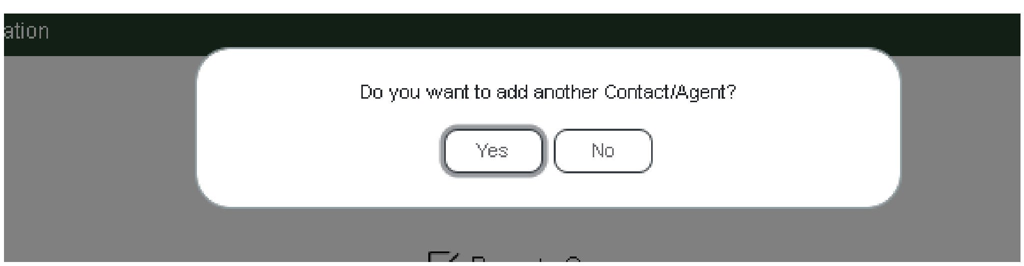


If the user clicks Yes, any previous Contacts or Agents previously associated with the location will appear in a pop-up:

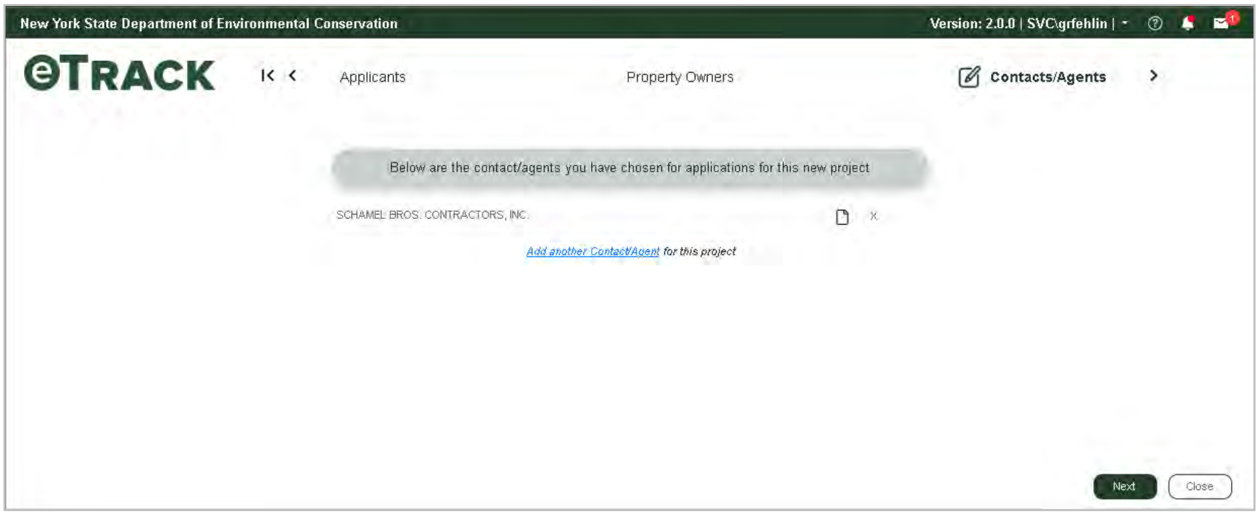


Selecting an existing contact will bring the user to the information screen for that contact, enabling the Analyst to make and save any changes. Clicking Next on the information screen will prompt the system to ask if the user wants to add any additional Contacts or Agents.

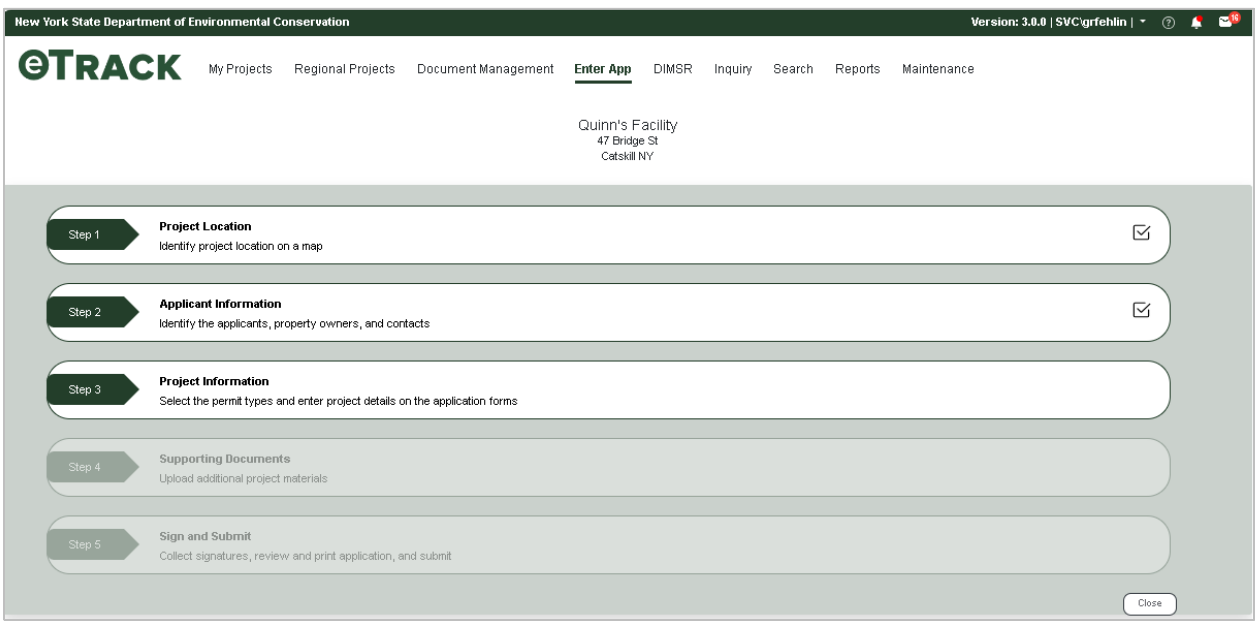
Selecting Contact/Agent Not Listed will bring the user back to the search screen.



Clicking Yes will repeat the process. Clicking No will display the list of Contacts/Agents on the summary screen with the options to edit, delete, or add another Contact/Agent.



Clicking Next concludes Step 2, and brings the user back to the Main Navigation screen to begin Step 3. Step 2 box will contain a checkmark, and Step 3 will be enabled.



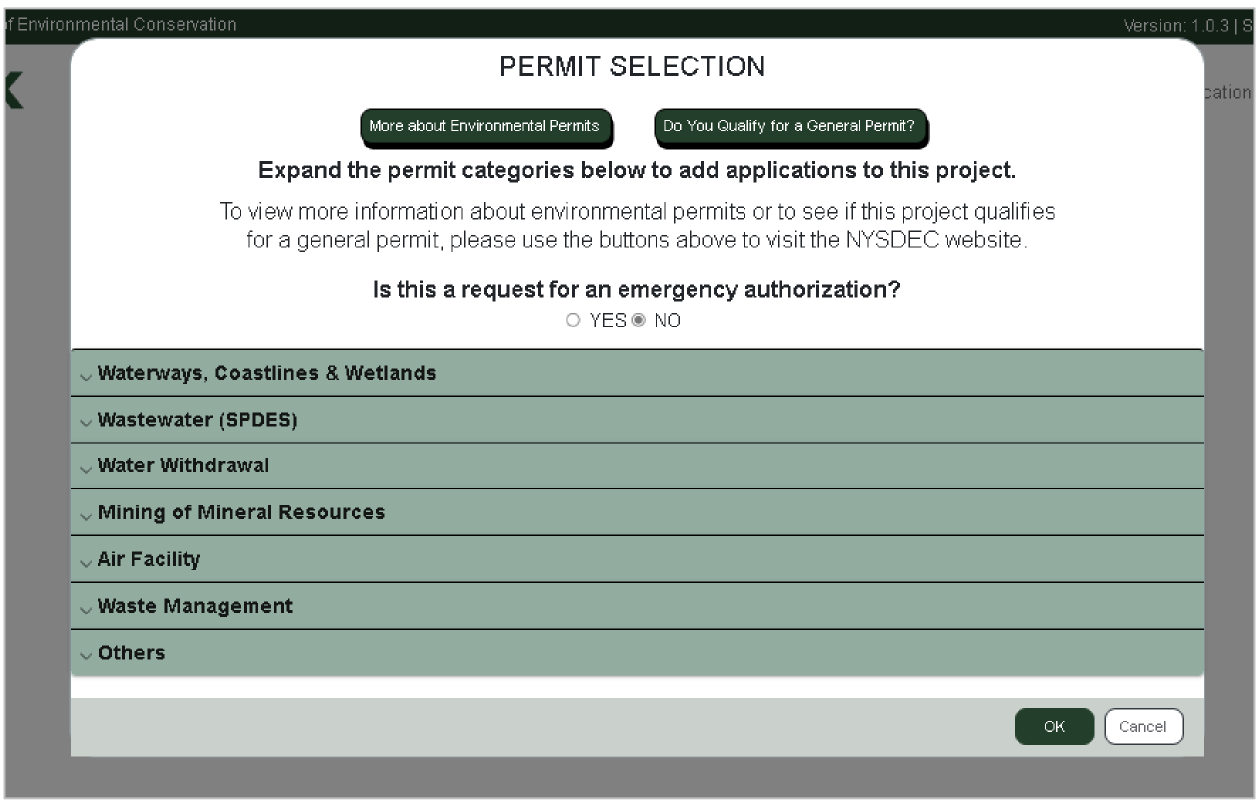
11.5 Project Information

Step 3 in the Enter Application process, Project Information, is where the Analyst will select the types of permits being requested by the Applicant and to enter information on the application forms. Clicking on Step 3 on the Main Navigation screen takes the user to the Permit Selection screen.

11.5.1 Step 3 Screen Navigation

During Step 3, three sub-steppers are present at the top of the screen: Permit Selection; Project Description; and Application Forms. When data has been entered and sub-steppers can be selected, these links will display for ease of navigation.

11.5.2 Permit Selection (New Permits)



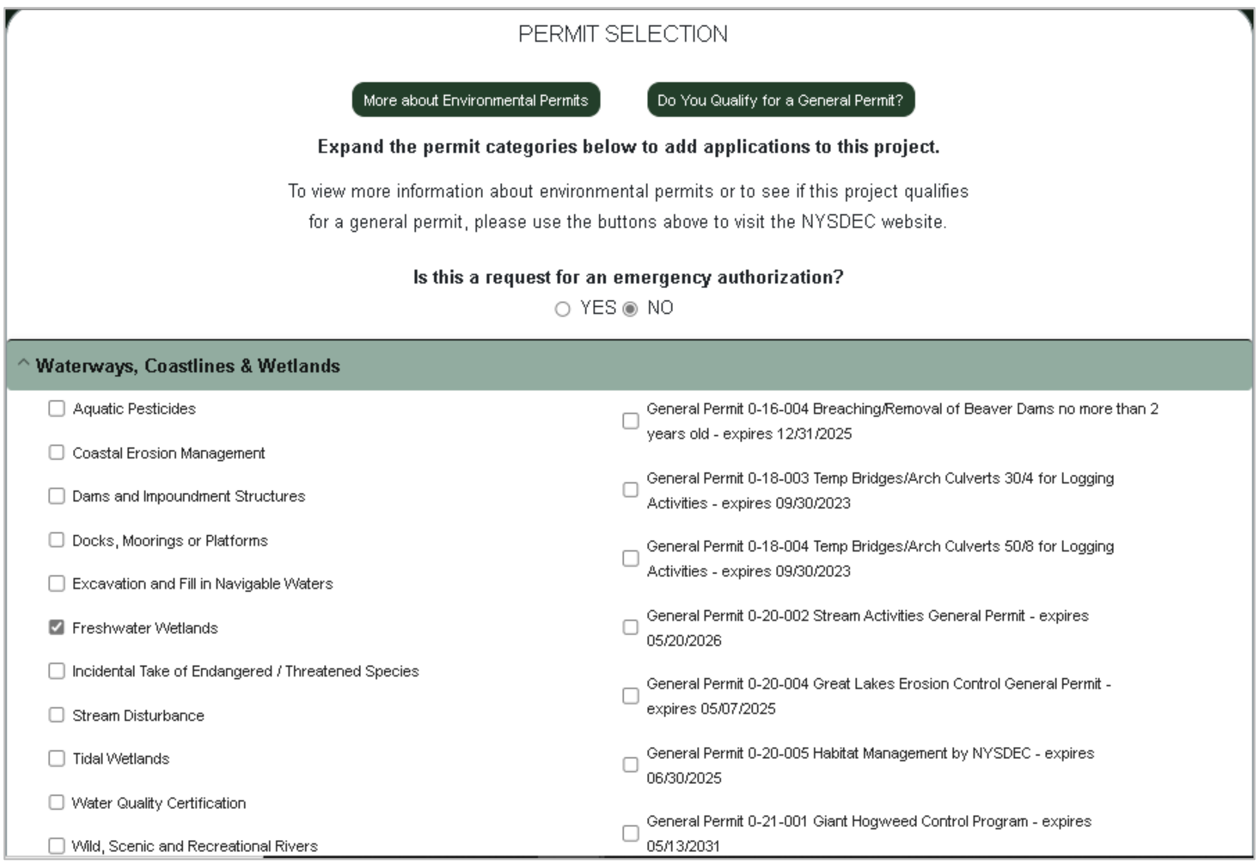
Two buttons at the top will take the user to the NYS DEC website where they can view more information about environmental permits (More about Environmental Permits) or see if the project qualifies for a general permit (Do You Qualify for a General Permit?).

The user is asked whether this is a request for an Emergency Authorization. Clicking the ‘Yes’ radio button will eliminate General Permits from the selection process, there will be no fees, and the Emergency Authorization timeframes will be set. Clicking ‘No’ will continue the usual permit process.

In either case, the user will click on the relevant permit categories from the list and choose the permit(s) to add. For new permits, there are seven categories that may be expanded:

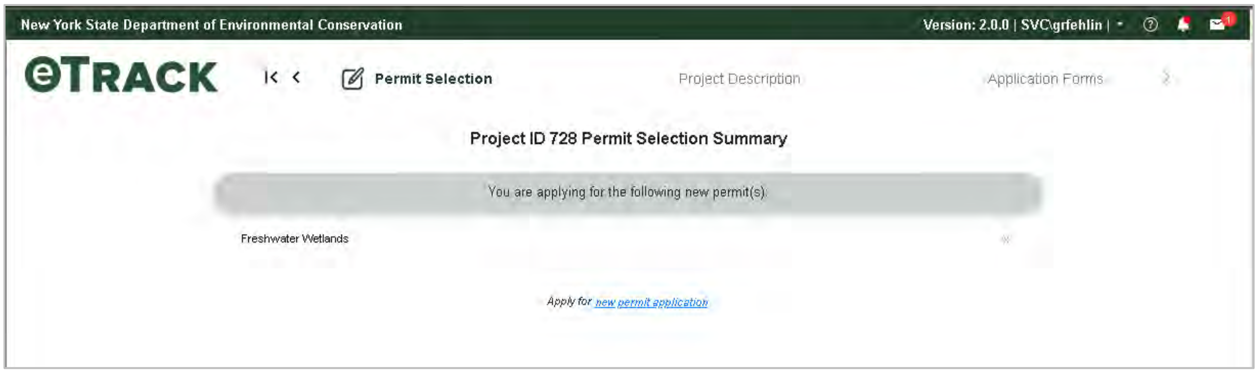
1. Waterways, Coastlands & Wetlands
2. Wastewater (SPDES)
3. Water Withdrawal
4. Mining of Mineral Resources
5. Air Facility
6. Waste Management
7. Others

Clicking on each selection will expand it to reveal the permit types under that category as well as the general permits available in that region within the permit category.



The user selects the permit types from the options provided. Some permits will require additional selections to be made (e.g. Aquatic Pesticides).

Having made the selection(s) necessary by clicking the relevant checkbox(es), the user clicks Next and is taken to the permit selection summary screen.



Here the user can delete a selection, or apply for a new permit application, before moving forward to the Project Description screen by clicking Next.

11.5.3 Project Description

Sub-step 2, Project Description screen allows the applicant to describe the project. Some information categories appear for all project types, regardless of the permits selected, while other categories (and/or data entry fields) will appear depending on the permits selected.

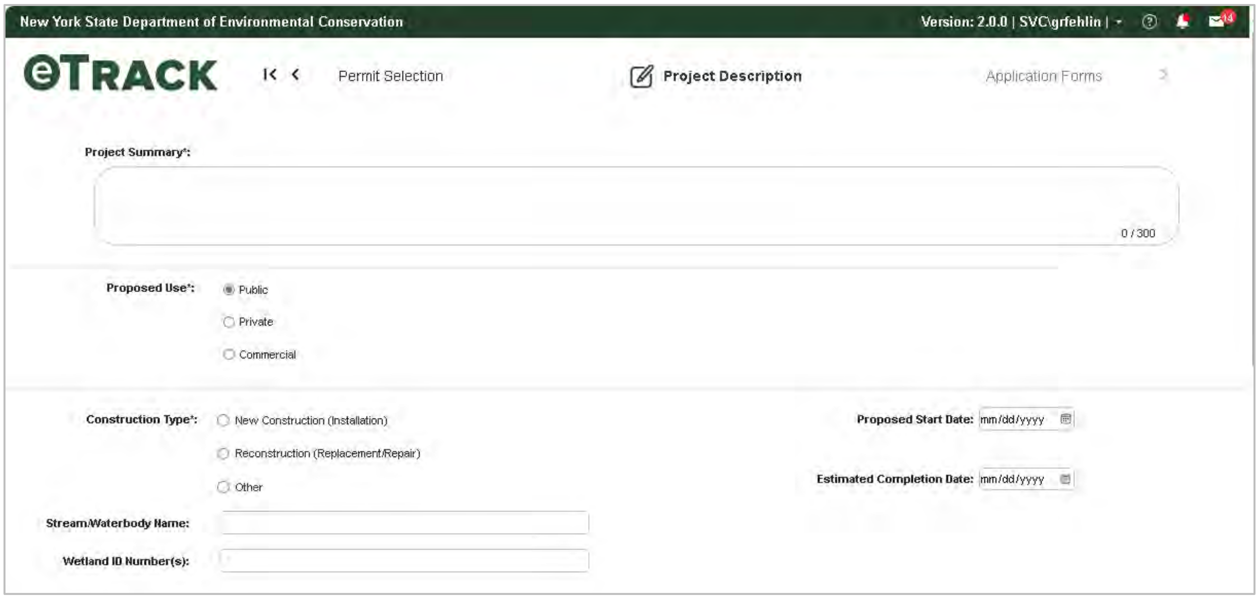
At the top of the screen is a data entry field for a Project Summary, which is mandatory, and appears for all projects. The text entered will appear later on at the top of the Virtual Workspace for this project. Project Summary is a mandatory field.

Below the Project Summary is a section for the Proposed Use, which is also a mandatory field and appears for all projects. The Analyst chooses one of three categories, ‘Public’, ‘Private’, or ‘Commercial’, using the radio buttons provided.

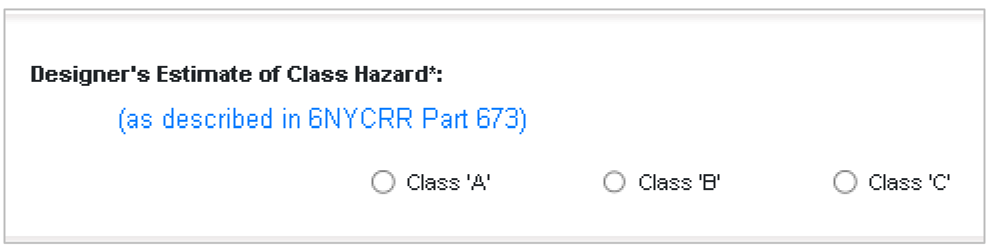
Below this section is Construction Type, which will appear for Construction permit types only. When this category is displayed, three Construction Type radio button selections appear (‘New Construction’, ‘Reconstruction’, and ‘Other’), one of which will be a mandatory selection. Date selection fields are available for the proposed start and end dates.

The appearance of the Project Description screen will change depending on the permit types selected. Specific data fields, radio buttons, and checkbox selections will appear according to the permit requirements. For example, under the ‘Waterways, Coastlines & Wetlands’ category on the permit selection screen, the selection of ‘Freshwater Wetlands’, ‘Stream Disturbance’ and ‘Water Quality’ permit types will generate the additional fields ‘Stream/Waterbody Name’ and ‘Wetland ID Number(s)'.

For additional guidance regarding this section, please refer to DEP's In-Site for Proposed Uses and Project Types.



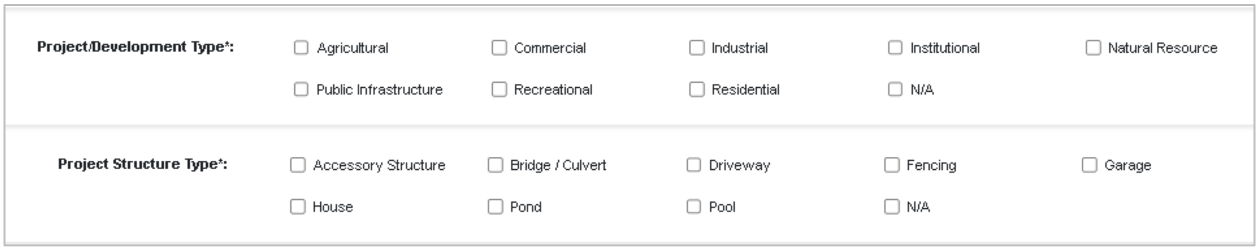
Selecting the permit type, 'Dams and Impoundment Structures' will result in the display of the category, 'Designer's Estimate of Class of Hazard', with radio buttons for the respective classes (A, B, and C), and a link to the Hazard Description for 6NYCRR Part 673.



Other special categories appearing based on previous selections made in the Enter Application process include:

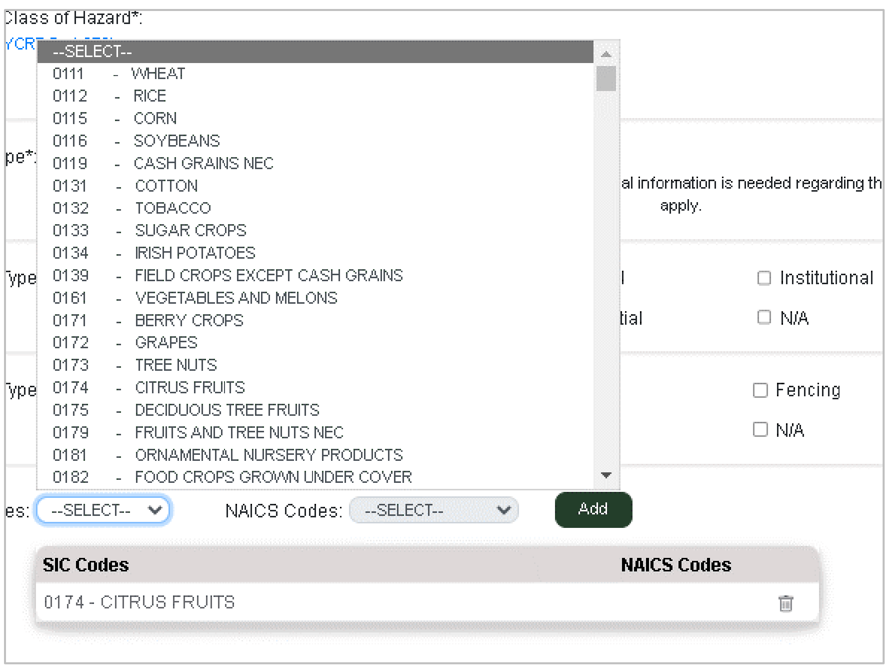
- If the applicant has been identified as a State Agency, Federal Agency, or Municipality or County, during Step 2, the Bridge Identification Number (BIN) field will appear.
- If Solid Waste has been selected in the Project Description, a section will appear with additional checkboxes that will identify the solid waste facility type.

Beneath the Construction section are two mandatory selections that will appear regardless of the permit type, 'Project/Development Type' and 'Project Structure Type'.



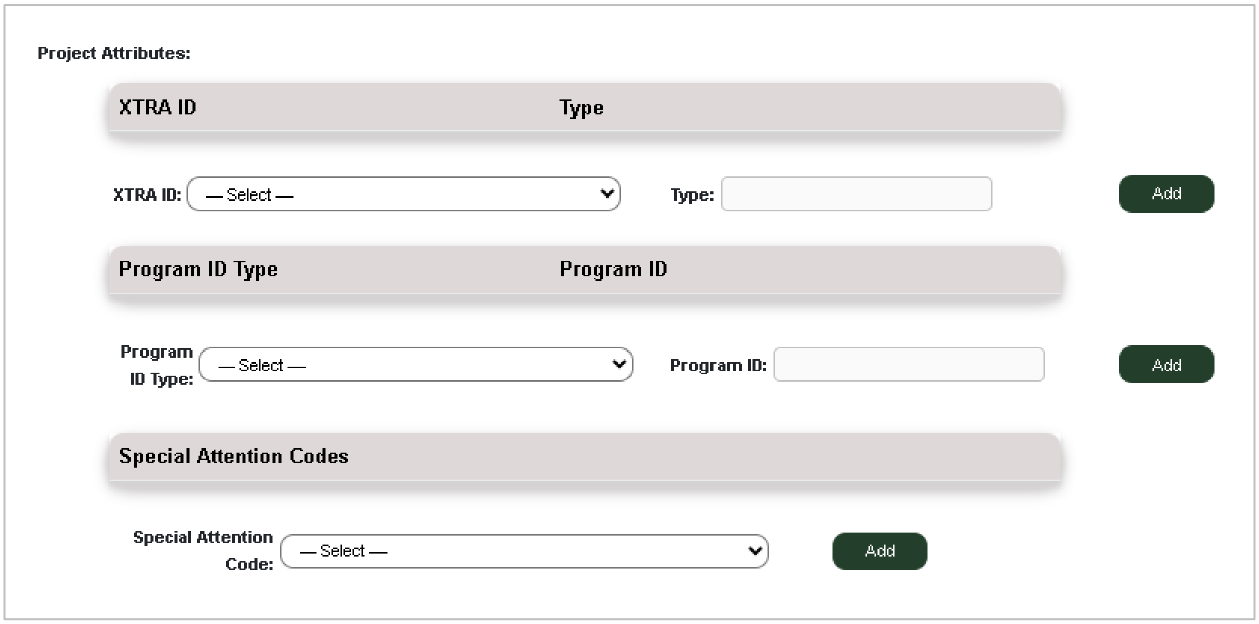
Here as well, specific options may also be displayed based on selections made. For example, clicking on Agriculture or Industrial checkboxes in the Project/Development Type section at the bottom of the screen…

…will produce the option to select SIC and NAICS codes from a list and Add them:



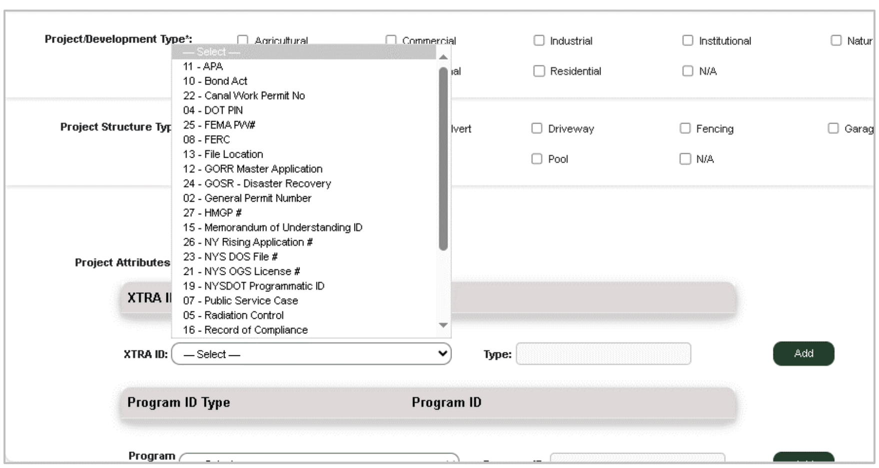
Project Attributes

Beneath the 'Project Structure Type' section is a separate section for 'Project Attributes', with three data entry sections, plus selection results grid headers for each. From top to bottom, these are XTRA ID; Program ID; and Special Attention Codes. All are optional.

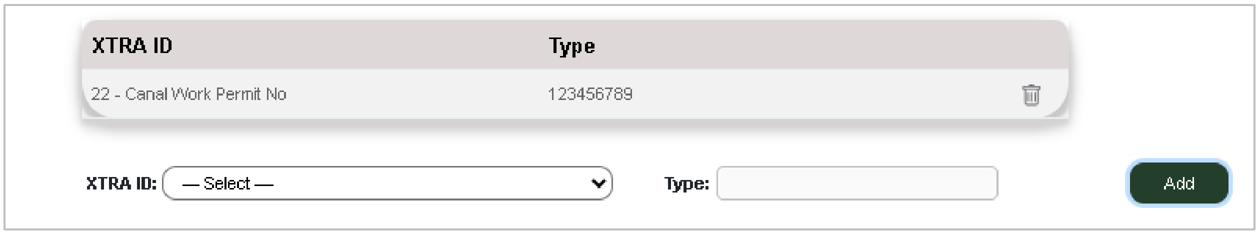


In each dropdown field, the label -Select- appears by default. The results grid headers will be blank (without a grid) until data is entered in the data fields and the Add button is clicked.

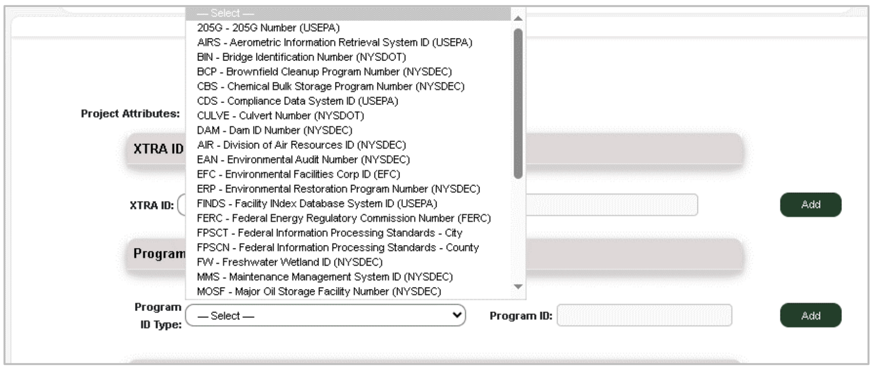
The XTRA ID dropdown presents a list of ID#s with descriptions. Information is added manually by the Analyst into the Type data field.



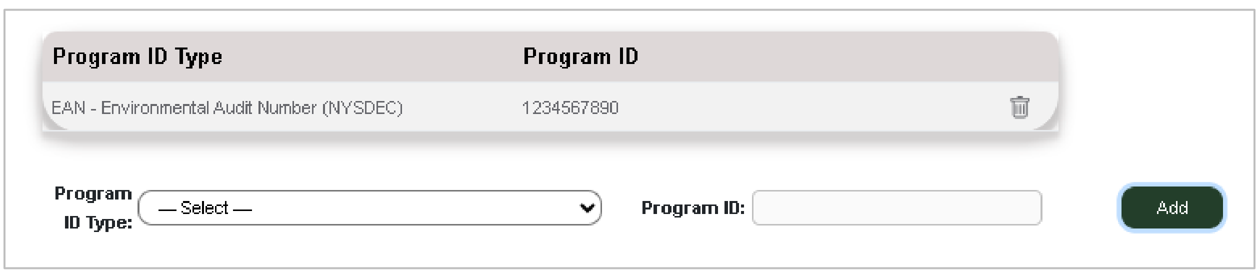
Clicking the Add button will populate the grid.



Clicking on the Program ID Type dropdown will provide a list of Acronyms and their descriptions.



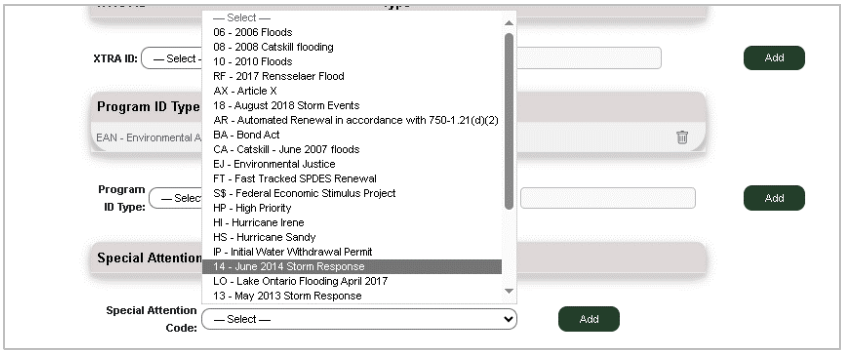
Selecting a Program ID Type from the dropdown and manually entering the Program ID will populate the results grid. The trashcan icon can be used to remove the selection.

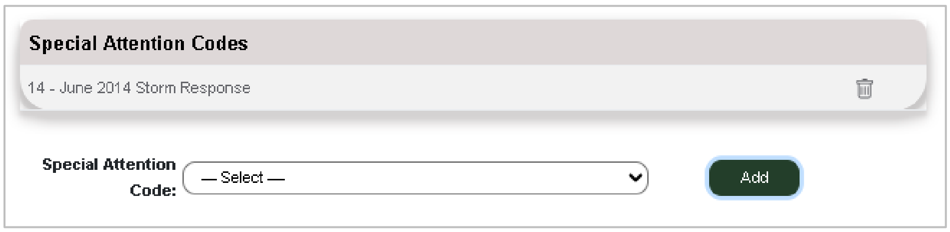


If a pre-populated grid exists in eFind under Facility Details / Env Interest tab / in the Program Identifiers grid, the information will pre-populate here. However, eFind data cannot be deleted in eTrack and there are NO trashcan icons beside these rows when pre-populated.

If the database contains a 'mask' and an error message for a specific program type, the error message will display and indicate the correct formatting for the Program ID. If the database has an 'input mask' (e.g. BIN, VCP, SPDES) then a prefix will appear in the Program ID field when the Type is selected.

Special Attention Codes can also be selected from a dropdown and added to the results grid.





When the project is eventually uploaded to DART, XTRA IDs will be found in DART. Program ID entries will be found on eFind, under Facility Details / Env Interest tab / in the Program Identifiers grid. Special Attention Codes will be found in DART.

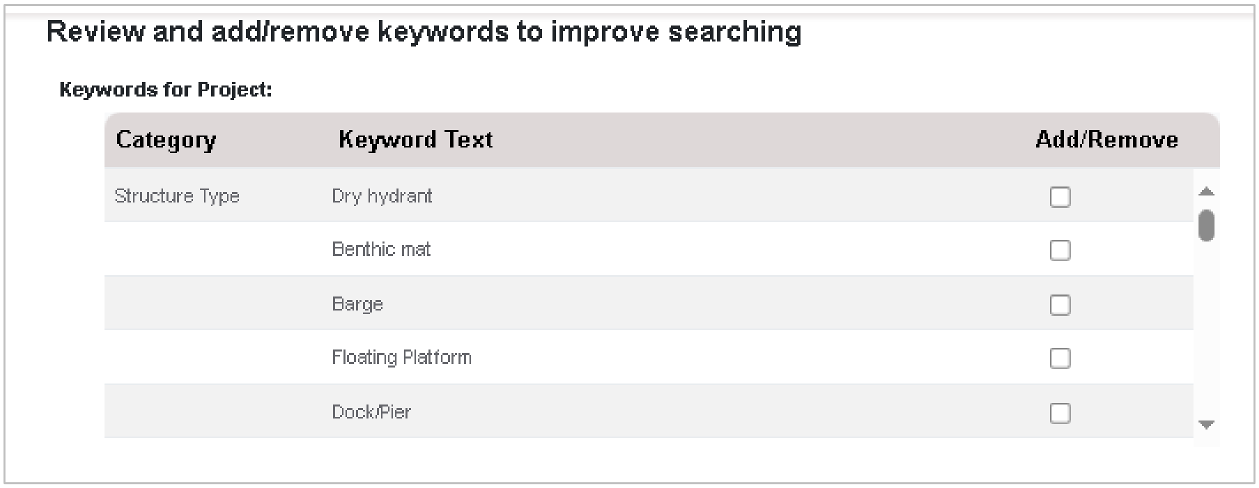
Keywords

Beneath the Project Attributes section is a section for Keywords (optional). The Analyst is reminded by the section header to "Review and add/remove keywords to improve searching."

In Data Entry Mode, this section only displays the grid "Keywords for Project," whose contents are generated by the Permit Type selected on the previous screen. Click the checkboxes to associate specific Categories and Keyword text with the Project.

If the checkboxes are already checked, the Keywords have already been selected, but can be removed from the project by removing the checkboxes.

The Keyword Text displayed is organized by Category, and a scroll bar is present to take users further down the list, as needed.



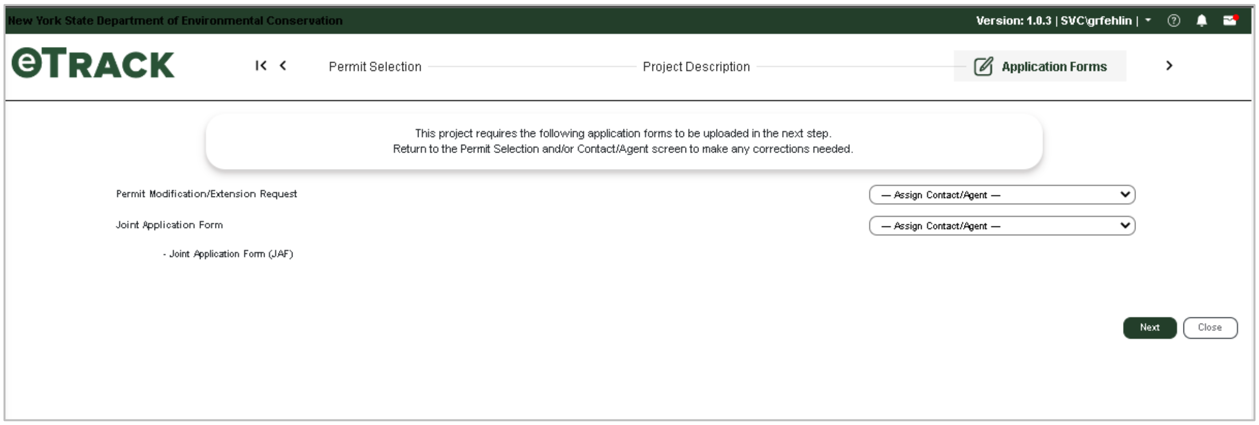
Once the Project Description screen information has been entered, the Analyst will click Next to move forward.

It is necessary to click the Next button to save the information that has been added to this screen. Clicking Close will produce a warning message that the information will be lost, with the option to return to the screen.

11.5.4 Application Forms

In Step 3, sub-step 3, Application Forms, Analysts are provided with a list of the Application Forms required for the Permit Types selected, and can select a Contact/Agent for each permit application. If only one Contact/Agent was identified in Step 2, this screen will be skipped and the individual Contact/Agent automatically assigned. If no Contact/Agents were assigned, or if only one Contact/Agent was assigned, this screen will be skipped as well. Users select the appropriate Contact/Agent for each permit from the dropdown box on the right of the screen.

If two or more Contact/Agents were assigned, this screen will appear and the user will be prompted to Assign a Contact/Agent to each Application Form.



If a Contact/Agent identified on this screen is not selected, the user will get a pop-up asking them to Correct the assignment or to remove the Contact. If one Contact/Agent has been selected, it is automatically assigned to all listed Application Forms behind the scenes.

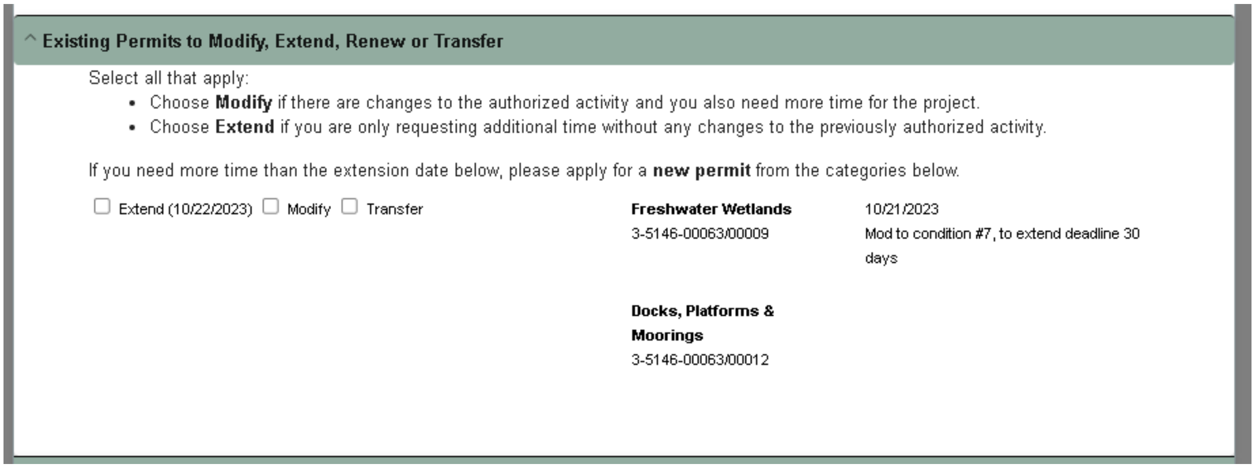
Note: Regardless of how many Contacts/Agents have been assigned, it is possible to manually navigate to this screen by clicking on the Application Forms link in the top navigation field.

Clicking Next completes Step 3 and takes the user to the Main Navigation Screen, where Step 3 is marked complete with a checkmark, and Step 4 is enabled.

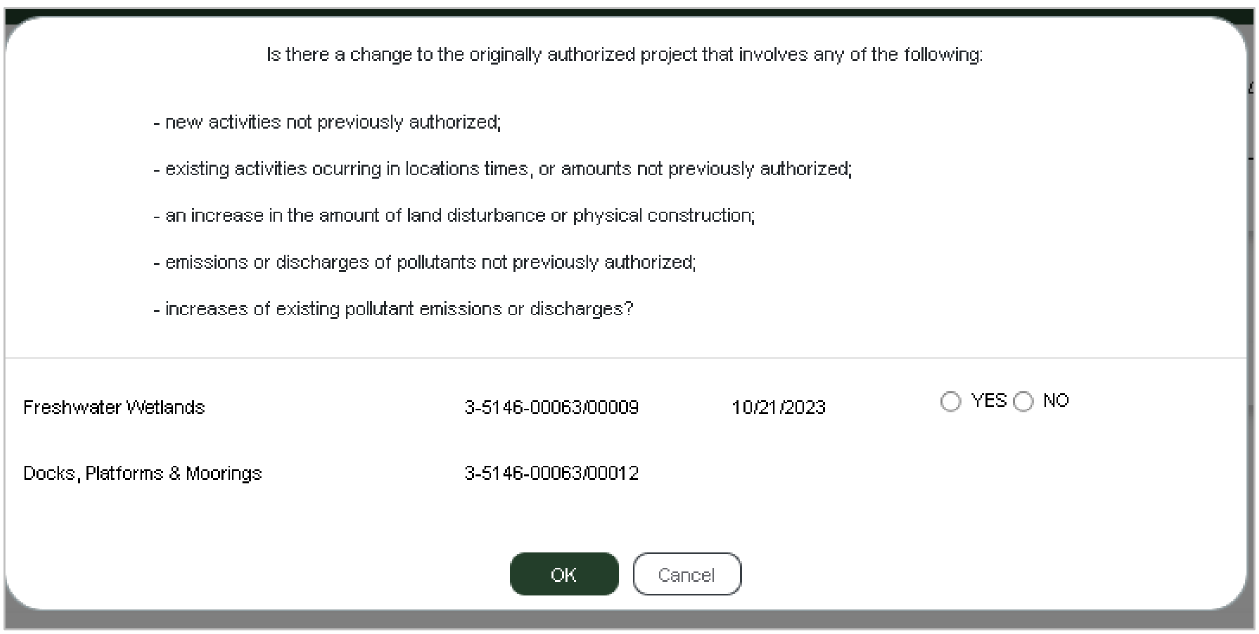
11.5.5 Add a Permit (Existing Permit - Modifications, Extensions, Renewals, Transfers)

If a Project is at a Facility that has existing active permits, and there is a need to modify, extend, renew, or transfer the permit(s), the user will be automatically presented with a permit selection screen that includes an additional row for this purpose.

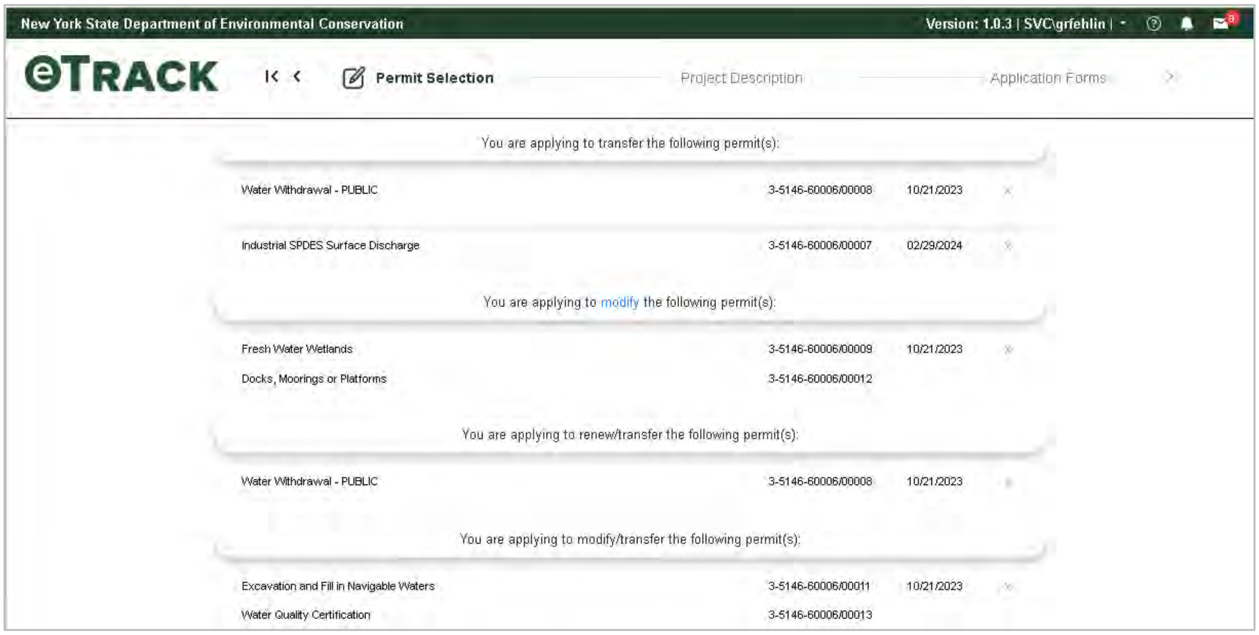
Clicking on this category will expand the screen to display the existing batches for that Facility, along with the actions that can be taken, shown as checkboxes: Extend, Modify, Transfer, and/or Renew. More than one checkbox can be selected. The checkboxes selected will help determine the Application Type (REN, RTN, MOD, etc.) that will be uploaded into DART.



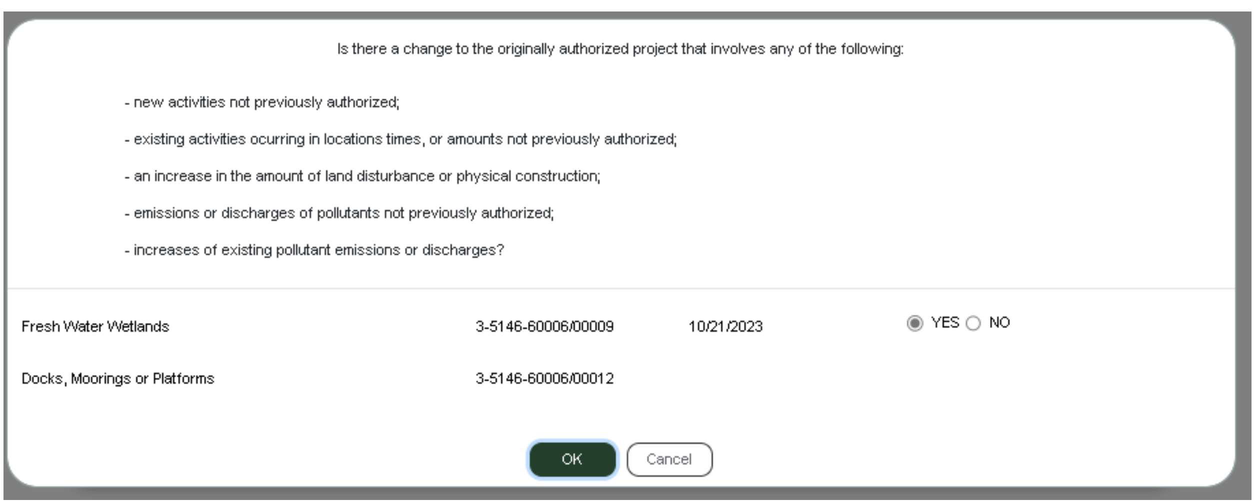
Clicking on the Modify or any combination including Modify, will generate a pop-up that asks if there was a change to the originally authorized project. The applicant will have to select Yes or No. Each answer will determine the Application Type that gets uploaded to DART. Clicking the “Yes” radio button indicates a Big MOD, or “No” is a Small Mod.



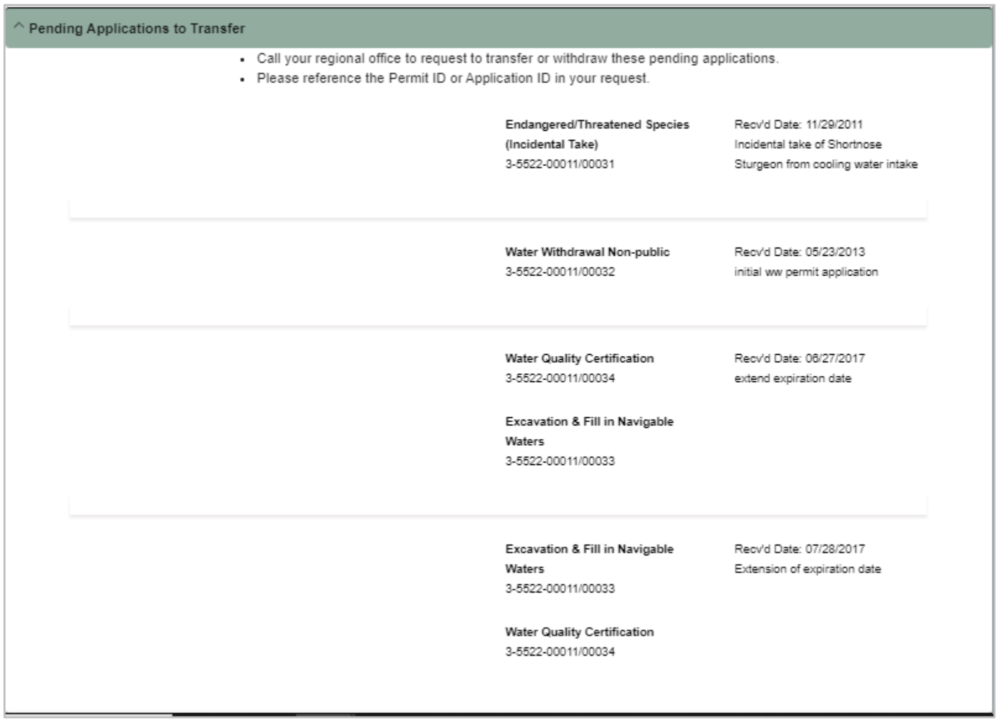
Clicking OK will bring the user to the Permit Summary screen.



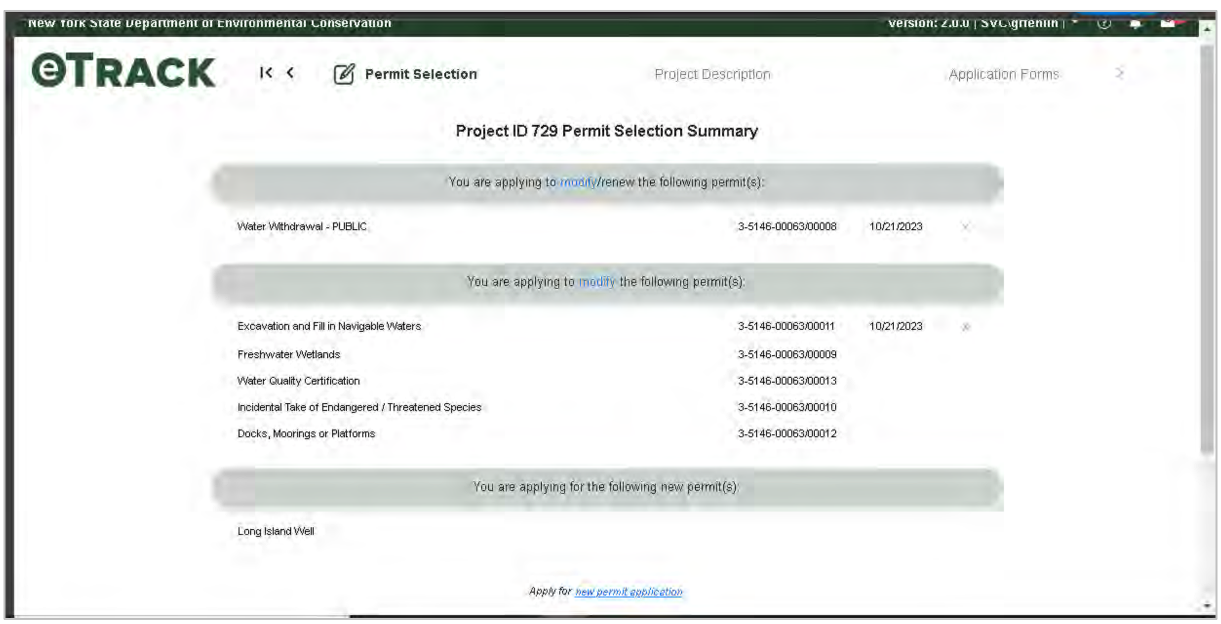
The only actions the user can take on this screen are to delete a permit (with the X), view and change the yes/no value for Modify, and apply for a new permit application. If the applicant has chosen "Modify" for any batch/selection (or any combination including Modify) when clicking the Modify link for that selection, the same pop-up will display with the chosen response of Yes or No, which can be changed.



If the user wants to Transfer a Pending Application, they would click on the category below the one above on the Permit Selection screen, if available, which provides summary information about each of the Pending Applications, and the instructions to call the regional office to request to transfer or withdraw the pending applications.



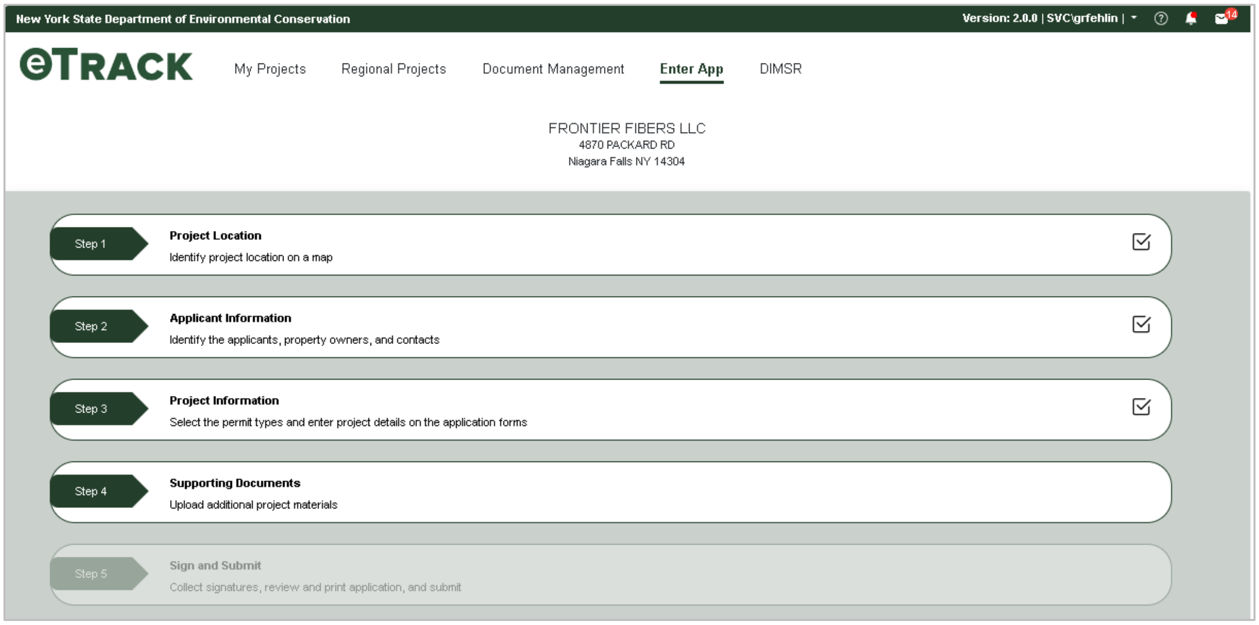
If a Project has both Existing and New Permits, they will be displayed on the summary screen as follows (with 'New' always at the bottom).



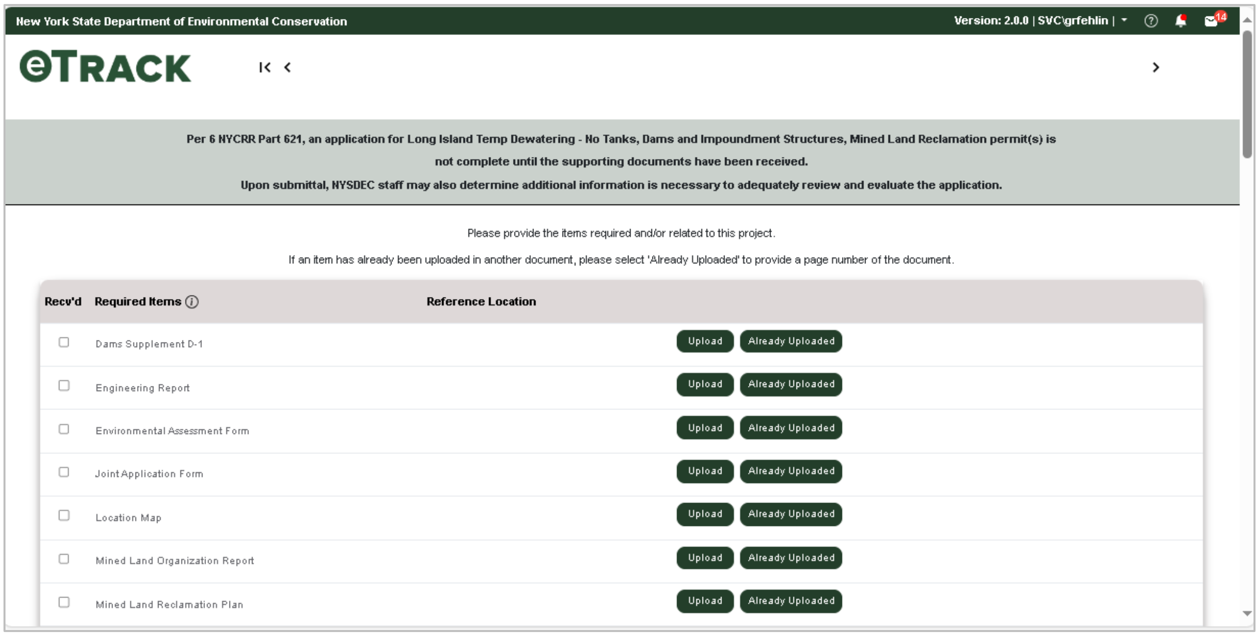
Clicking Next, the Project Description screen now appears, and the process continues as described above.

11.6 Supporting Documents

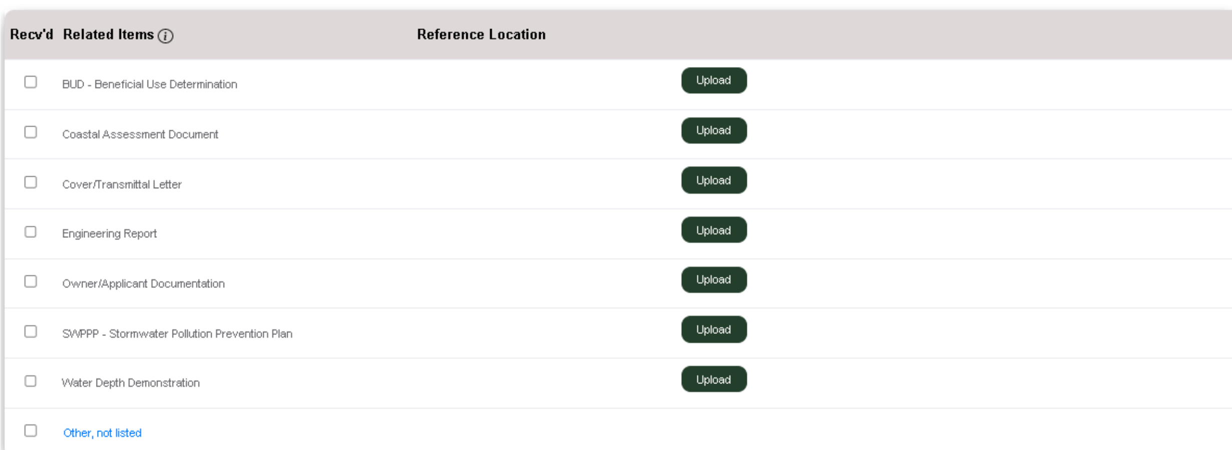
After completing Step 3, the Analyst is taken to the Main Navigation Screen, where Step 3 is marked complete with a checkmark, and Step 4 is enabled.



In Step 4, the Analyst uploads Supporting Documents and additional project materials. The system automatically presents the documentation required for each permit type selected in Step 3. The Analyst can upload Required Items (documents and files) to DMS from this screen, as well as view uploaded documents and files, add additional related documents and files, or refer to documents that have been already uploaded.

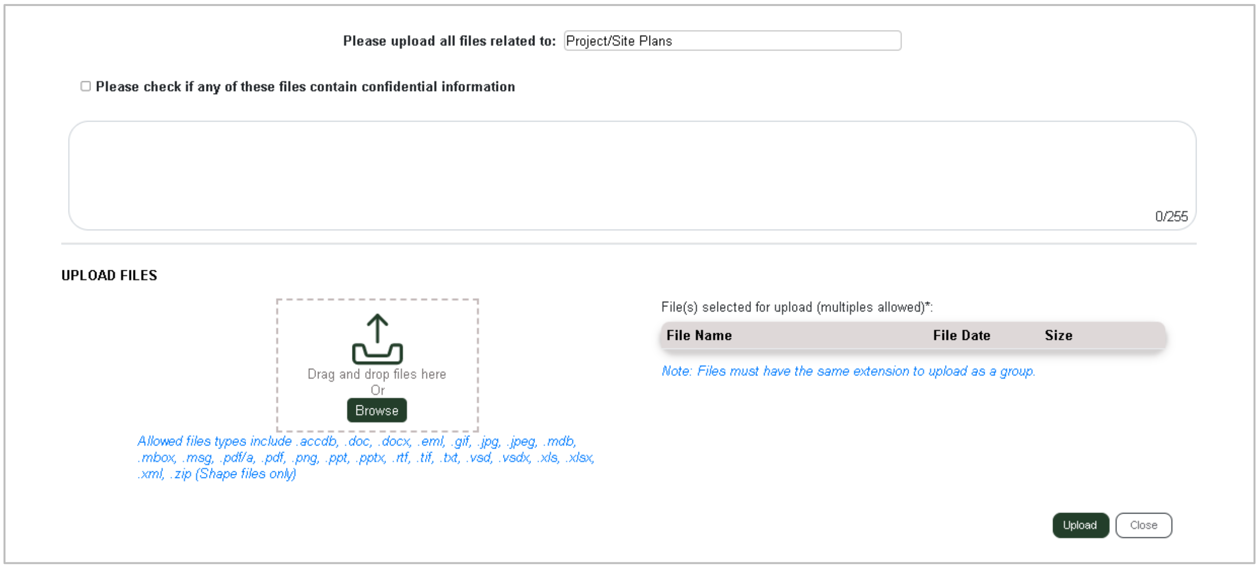


Below the Required Documents results grid is the Related Documents results grid, which contains documents that are not mandatory but may be related to the selected permit types. Related documents are often associated with application submittals for the permit type, but are not always required.

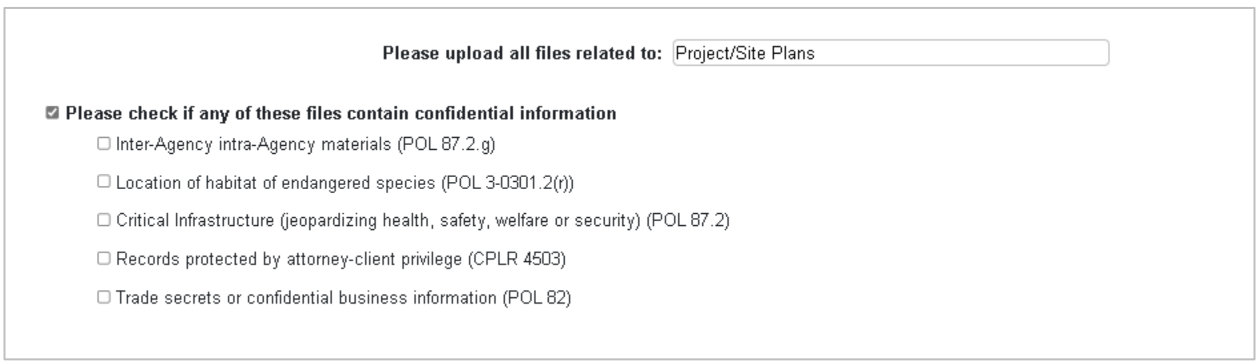


'Other' (not listed) documents that the Analyst wishes to upload can also be uploaded in this section. Once uploaded, documents may also be deleted in this section.

Clicking on the Upload button takes the Analyst to the document upload screen.



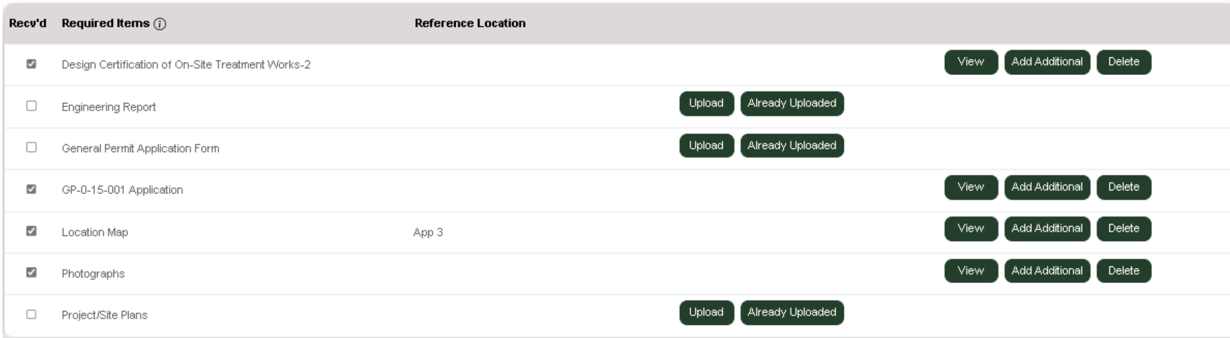
The document name is pre-populated, but can be changed / appended if necessary. If any of the files contain confidential information, the user should check the box and select the appropriate reason(s) from the checklist.



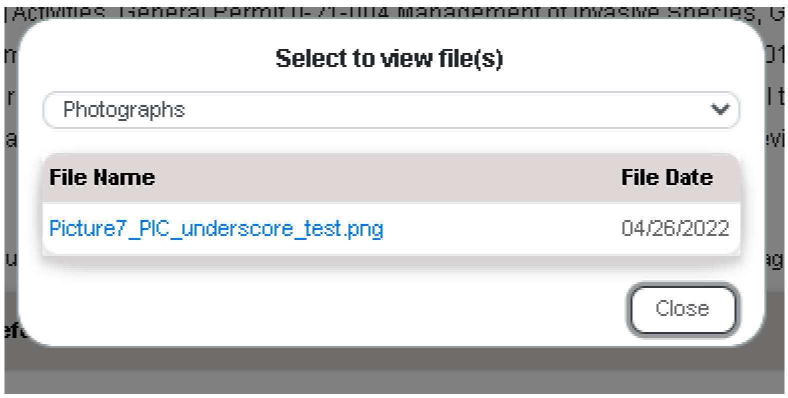
The user adds a description (character limit 255) and uploads the information. The document upload screens in Step 4 are similar to the full Document Management upload screens, except documents uploaded here are defaulted with a doctype and subtype as appropriate, and a suggested standard document name. In addition, documents uploaded here are also identified by a Project ID.

The Recv'd checkbox indicator will be filled once the document is successfully uploaded.

Returning to the Step 4 document upload screen after a document is uploaded, additional buttons will appear: Already Uploaded; View; Add Additional, and Delete.

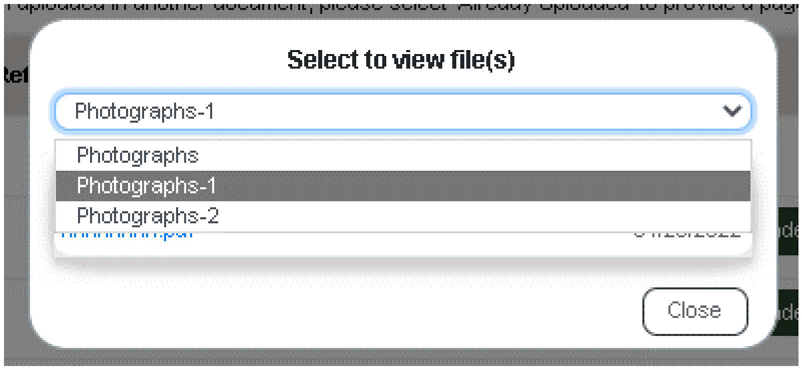


Clicking the View button will display the document and its files.

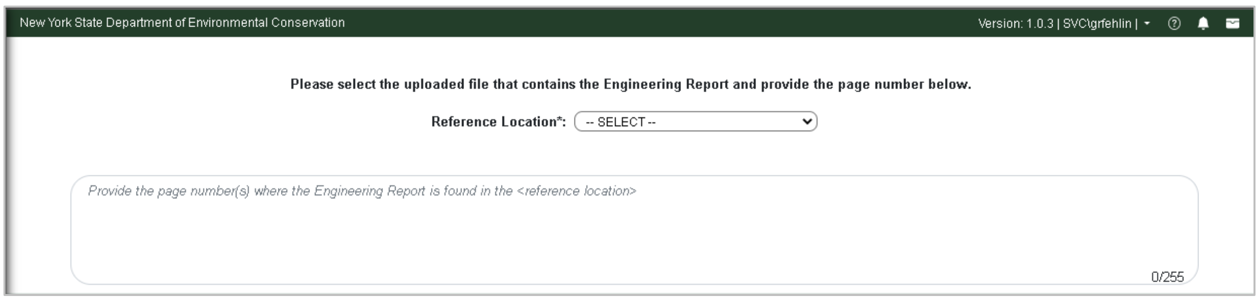


Clicking the Add Additional button will allow the user to add another document/file to a document category.

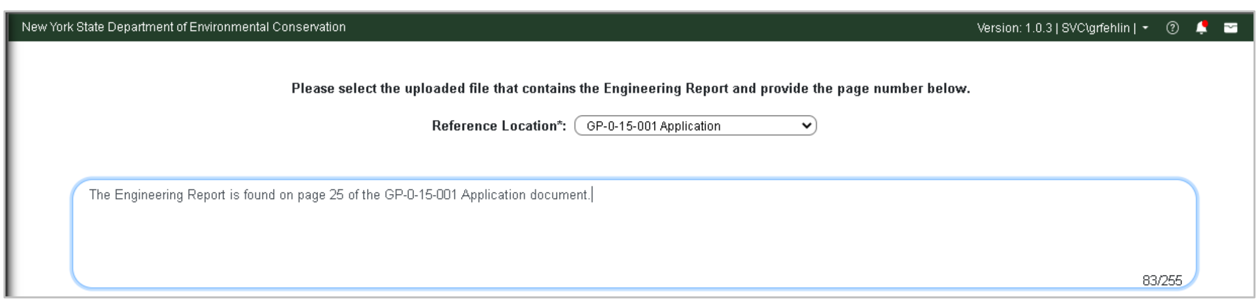
It is pre-populated with the default document name with a number appended to it (Photographs-1, Photographs-2, etc.), but it can be changed/appended if necessary.



If an item has already been uploaded within another document, the user can select 'Already Uploaded' and a reference description of where the item may be found (i.e. a page number in the referenced document).



The user chooses the Reference Location from the dropdown list and then provides information regarding where the item may be found, such as the page number(s) of the referenced document.

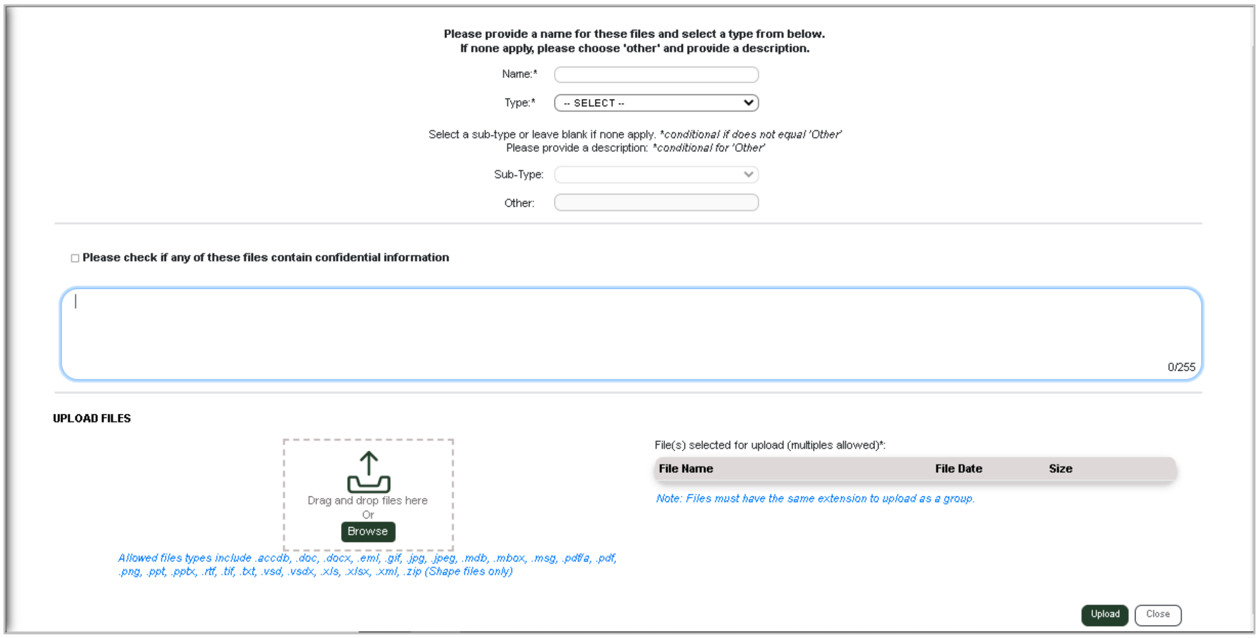


The Reference Information appears in the results grid.

Clicking the Delete button will remove a document from DMS and restore the document to an unreceived status in the results grid. Any documents linked to the deleted item will also restore to an unreceived status (the Already Uploaded Reference Information will be deleted).

If other documents need to be updated in addition to the Required Items, the Related section is available for this purpose.

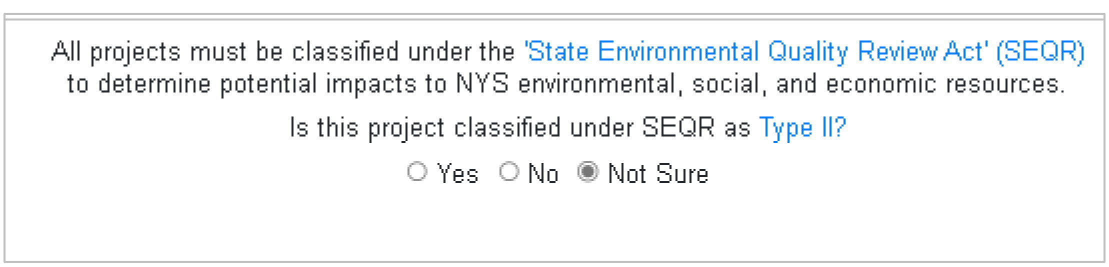
Clicking on the 'Other, not listed' hyperlink will take the user to its own document upload screen where details can be provided along with the upload.



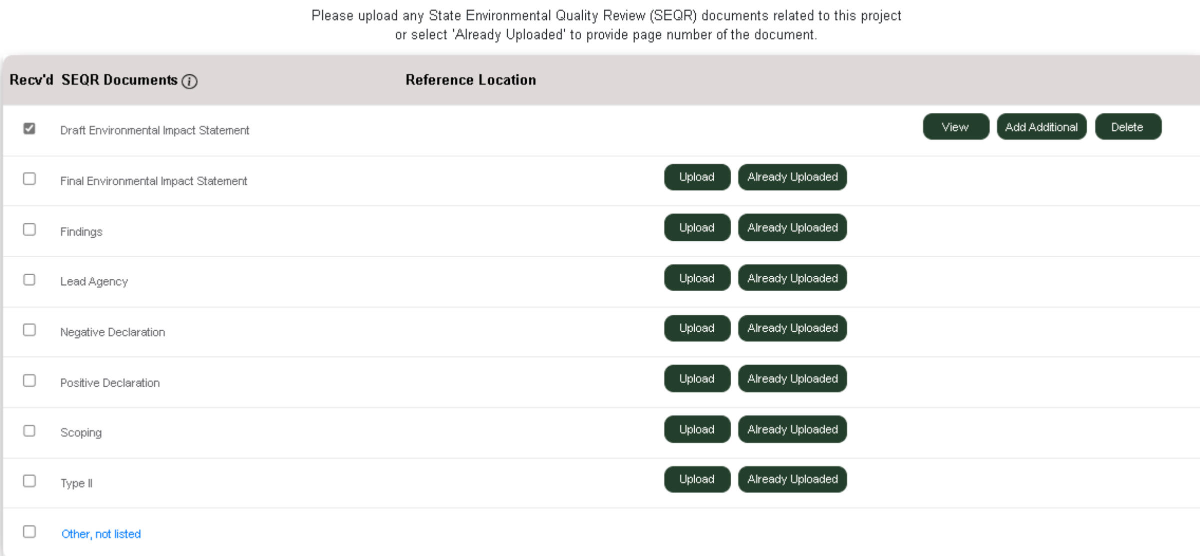
This allows the users to upload unique documents that are not already identified in the pre-defined lists.

11.7 State Environmental Quality Review (SEQR) and State Historic Preservation Act (SHPA) documents

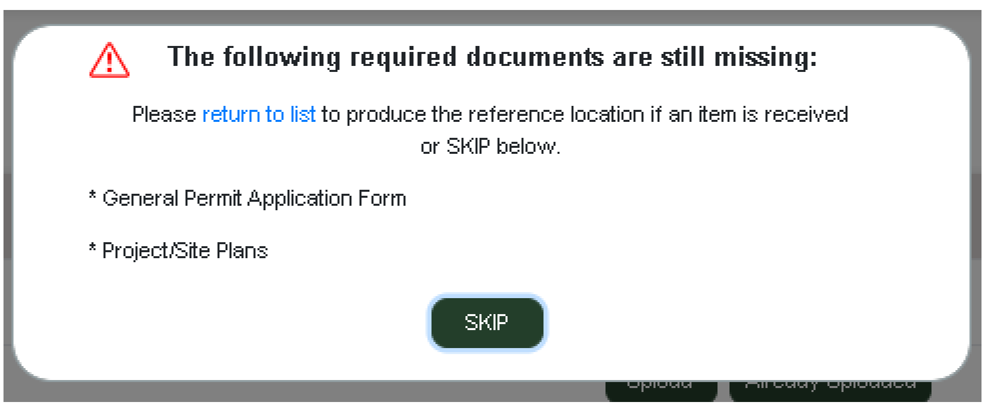
At the beginning of the Enter Application process, on the Applicant Type Selection screen, the Analyst was asked:



If the answer chosen was No or Not Sure, in Step 4, document prompts related to SEQR and SHPA will appear. These documents are not mandatory. The Analyst can choose either Upload or Already Uploaded, and proceed as described in the previous section.



After the documents have been uploaded, or referenced with the Already Uploaded button, the user clicks Next to advance and return to the Main Navigation Screen. Any Required documents not uploaded in Step 4 during data entry will be highlighted in a pop-up, and the user encouraged to return to the list to provide any missing documents.



Clicking SKIP will take the user to the Main Navigation Screen. Step 4 will be marked complete with a checkmark, and Step 5 will be enabled.

11.7.1 Step 4 and DMS

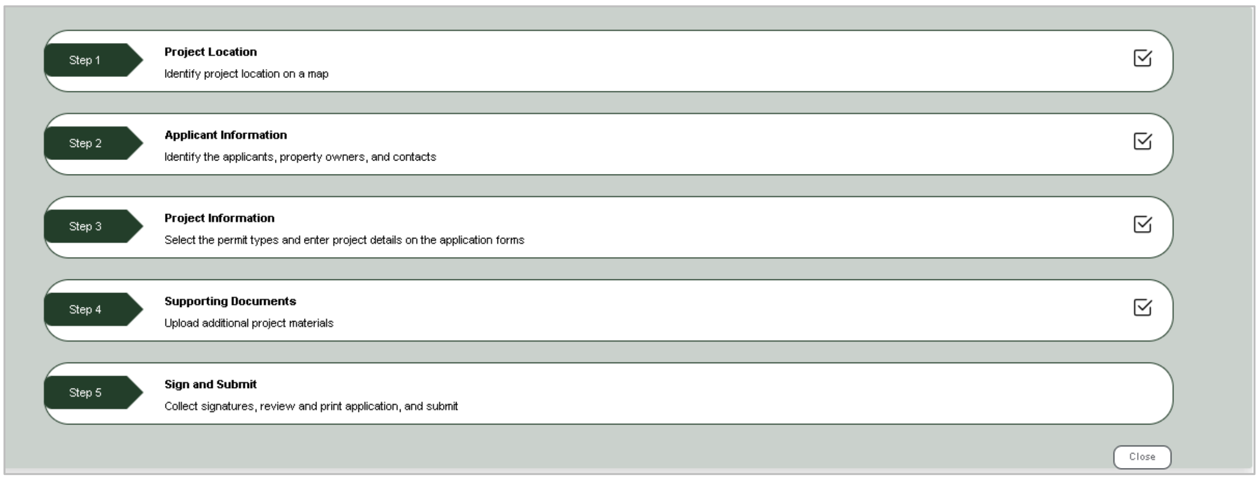
Uploading documents in Step 4 will store them in the DMS screen for that facility.

If a user "goes back" to Step 3 and deletes a permit type, the document listing on Step 4 will be updated accordingly. If a document in Step 4 was created by using the 'Already Uploaded' button to refer to the now deleted permit/document, the document will be retained in DMS.

The Project ID in DMS will appear only for projects that have been uploaded to DART.

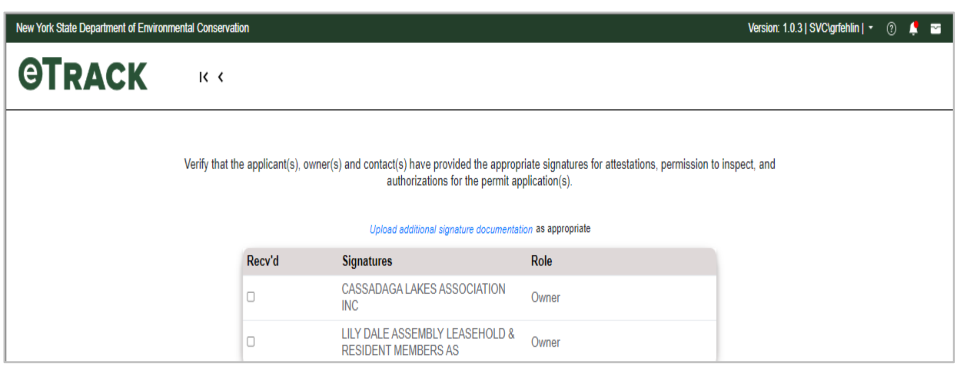
11.8 Sign and Submit

With Step 4 complete, the Main Navigation Screen will display with Step 5 enabled.

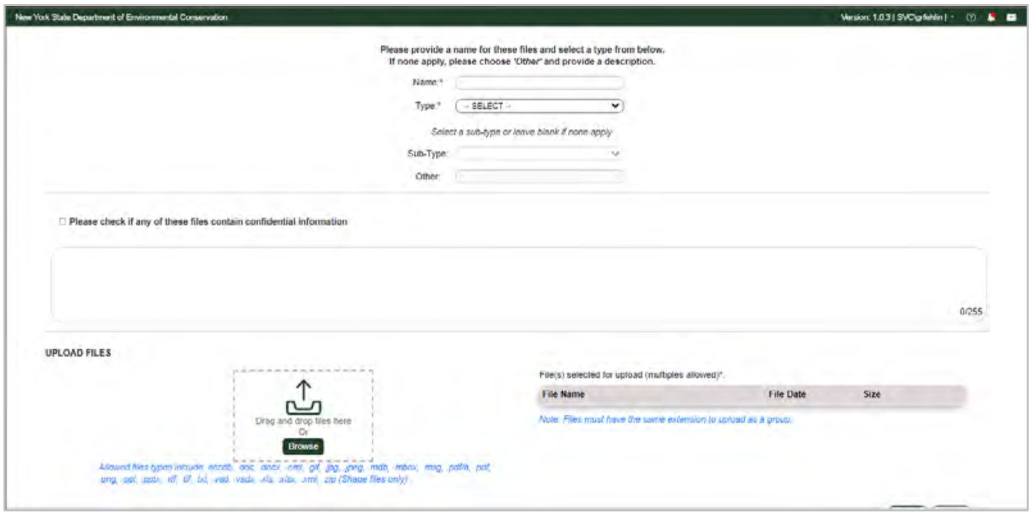


Clicking Step 5, Sign and Submit, brings the Analyst to the screen where the Project will be submitted. The analyst clicks the checkbox next to each name to verify that the applicant(s), owner(s), and contact(s) have provided the appropriate signatures for attestations, permission to inspect, and authorizations for the permit application(s).

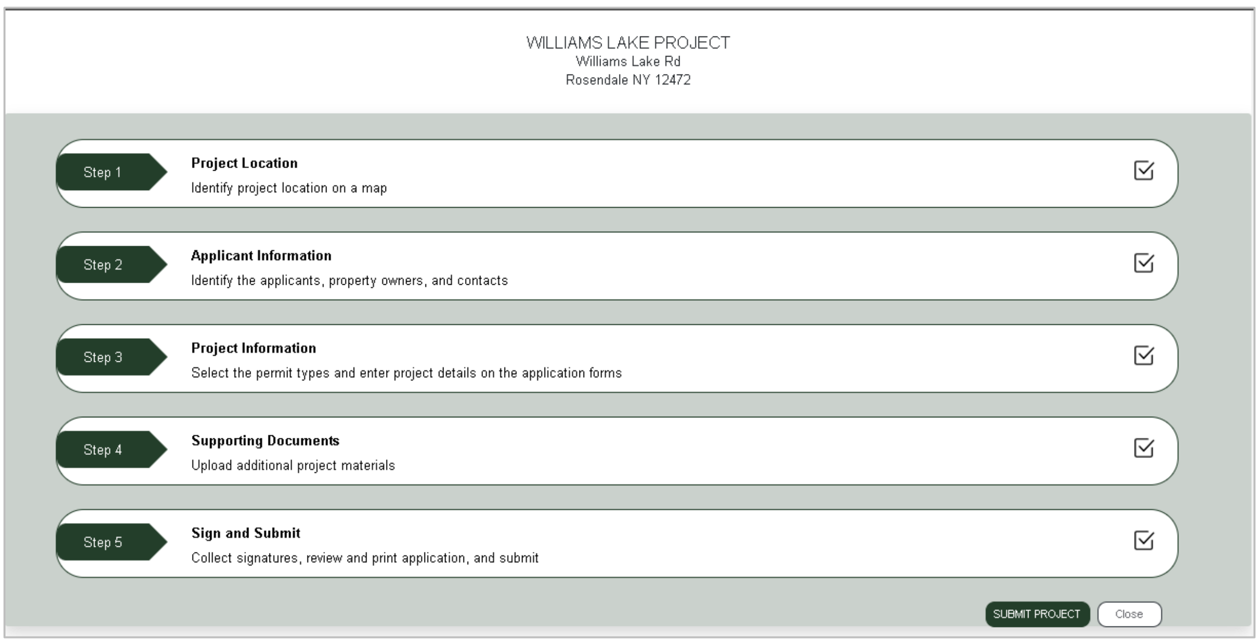
Note: This verification is not mandatory for PI 3 – Analyst Portal.



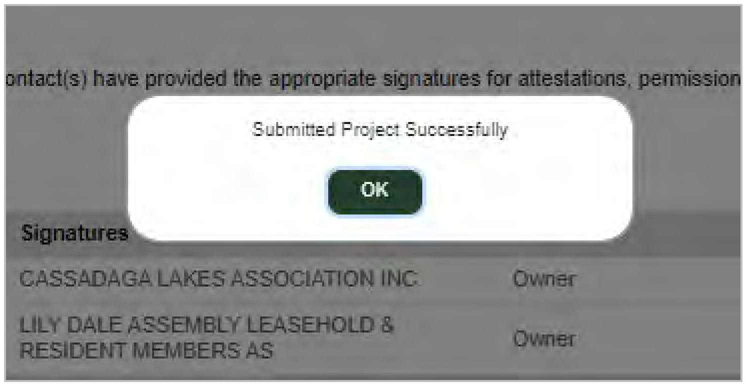
A hyperlink is also provided for the Analyst to upload additional signature documentation as appropriate.



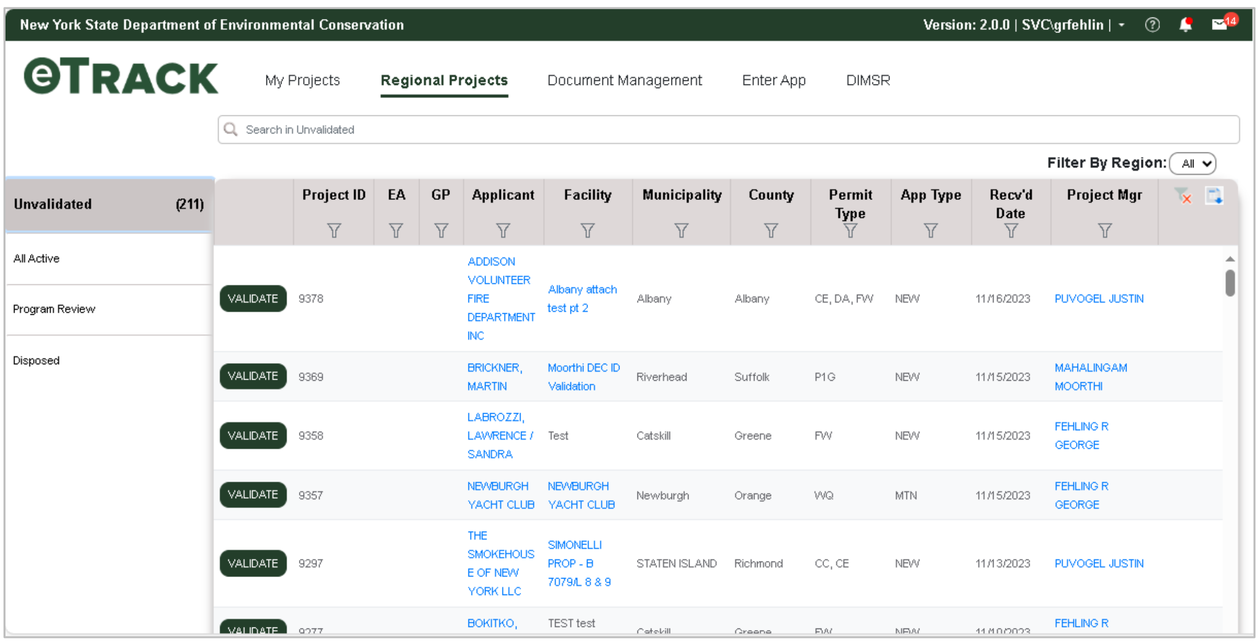
The Analyst then clicks Next to return to the Main Navigation Screen. The Analyst clicks on the 'Submit Project' button to move forward.



Submitting the project will display a confirmation pop-up, confirming that the Analyst wishes to proceed, and then another pop-up when the submission is successful.



Clicking OK will return the user to the Analyst dashboard. It will also move the project from the My Projects listing on the Analyst dashboard and place it into the Regional Projects/Unvalidated results grid so that it can be assigned to an Analyst or Project Manager for Validation review prior to upload to DART/eFind.

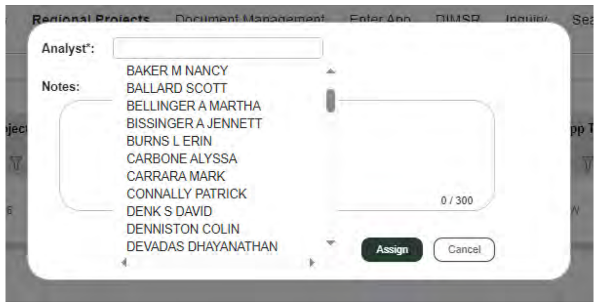


11.9 Assigning an Analyst to Review a Project

After submitting a Project, an Analyst needs to be assigned before the project can move to the Validation stage. Go to the Analyst dashboard, Regional Projects, and click the Unvalidated tab on the left-hand side of the screen.

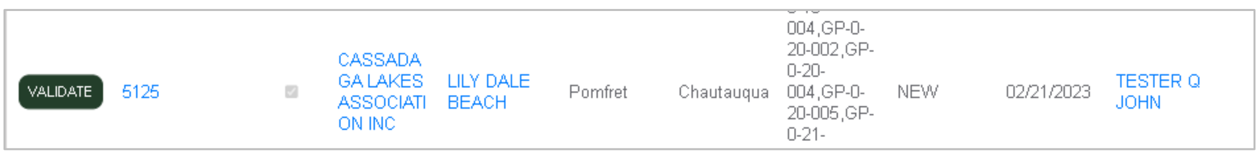
In the list, look for the project recently submitted. Click on the Assign button. The final column, Analyst, will read UNASSIGNED.

Click on the Assign button, and a pop-up will display with a list of DEC Project Managers from which to choose, or type in the name to select.



The Analyst is selected from the dropdown, any Notes are added, and the Assign button is clicked.

The button will now read Validate and the Analyst is assigned.



After being assigned once, a Project cannot go back to being unassigned. However, by clicking on an existing assigned name, the Project can be re-assigned. To change the assigned Analyst, click on the hyperlinked name in the results grid to open the selection dropdown window as above. The Notes previously entered will no longer be present, however they will be saved on the Virtual Workspace, in the Project Notes.

Each time a Project is assigned/reassigned, a system-generated note is created. The Analyst receives an Alert notification (a red dot on the bell icon in the topmost banner).

Once assigned, this Project remains on this regional dash, just as it does on the Analyst dash.

Clicking the Validate button will begin the Project Validation process.

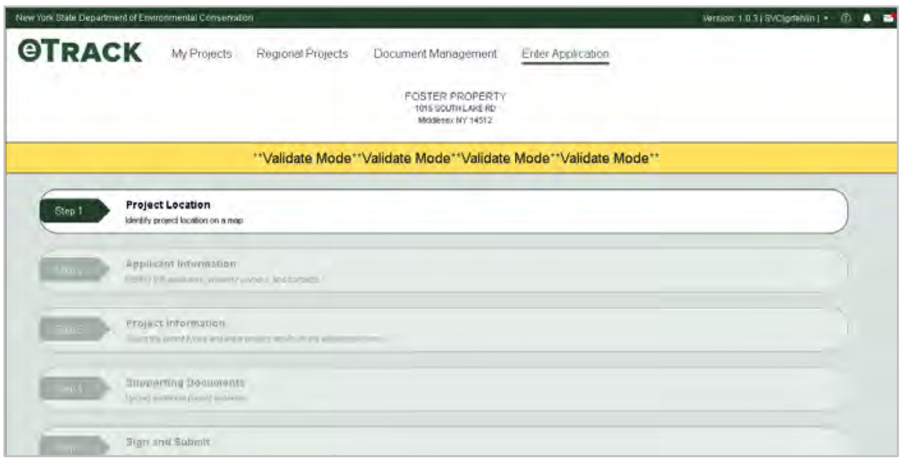
11.10 Project Validation Mode

In Project Validation Mode, the assigned Analyst will go through all the screens and data related to the Enter Application process, and either validate that the screen/information is correct (by clicking on a

Validate checkbox) or by altering/editing the information so that it is correct. Originally submitted documents are always accessible in Validate Mode.

In Validate Mode, nearly all the same screens will appear as they did during the data entry phase of Enter Application, in the same order. However, a yellow banner will appear above the Main Navigation screen reading *Validate Mode*, until the Validation button is clicked, when the banner will change to *Validated*.

When first clicking on the Validate button, the Main Navigation screen for that project will appear, with the yellow *Validate Mode* banner and Step 1 enabled.



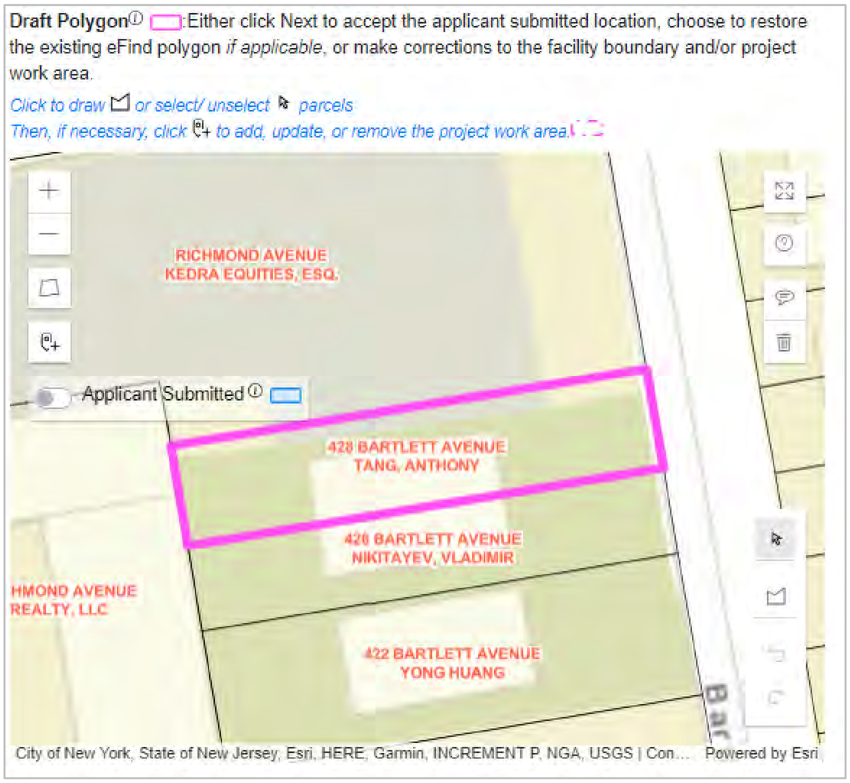
11.10.1 Validate Mode – Step 1

Click on Project Location to begin validation of Step 1. Validation Mode skips the Project Location sub-step of the data entry mode and goes right to Facility Details. An empty Validated checkbox appears at the lower-right hand corner of the page, beside the Next and Close buttons.

Note that the map tool icon for Jurisdictional Layers  is present on the map only during Validate Mode. Clicking on the jurisdictional layer icon will allow the Analyst to add layers to the map to view the project location and proximate layers, annotate, print, and save.

Instructions at the top of the screen provide the Analyst with detailed information on how to proceed. Hovering over informational icons display detailed instructions for the respective data entry fields.

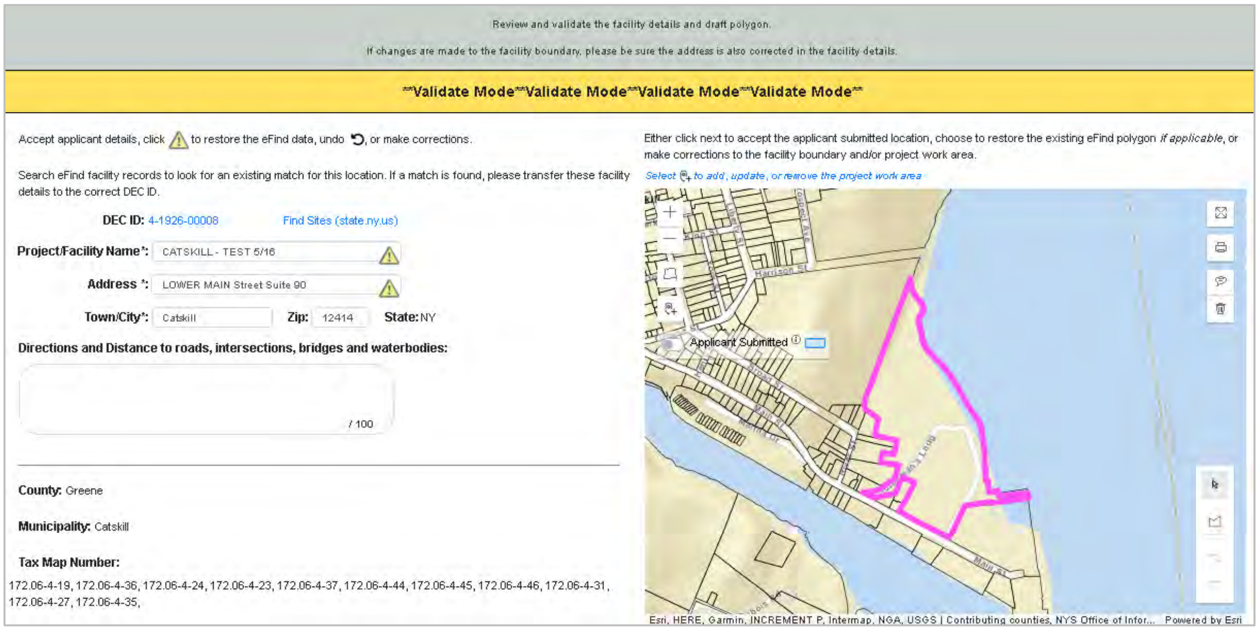
Street addresses and property owner names are visible on the map in Validate Mode Step 1 to help Analysts identify tax parcels, however these are “scale dependent.” Zoom in to the see the address and property owners displayed on the map.



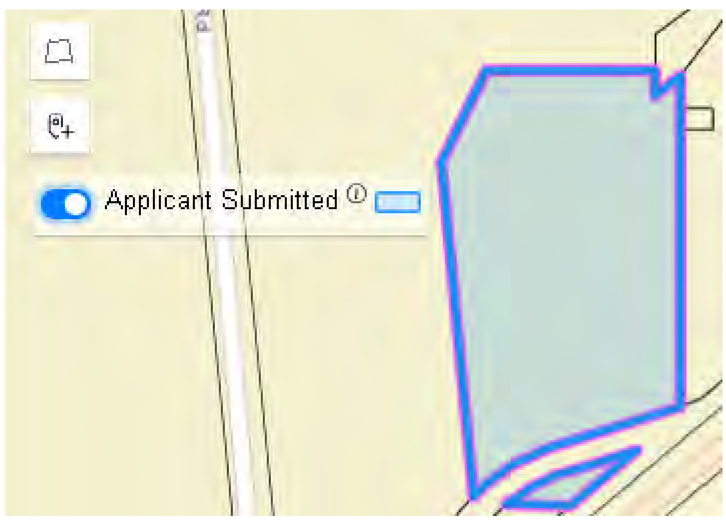
Validating an Unapproved Polygon

An Unapproved Polygon is a polygon location that has not yet been confirmed and approved in eFind.

In this instance, a facility match that did not have an approved polygon location was selected during data entry mode. Screen instructions at the top require that the property boundary be defined: “Review and validate the facility details and draft polygon. If changes are made to the facility boundary, please be sure the address is also corrected in the facility details”. The property boundary will be displayed in purple.

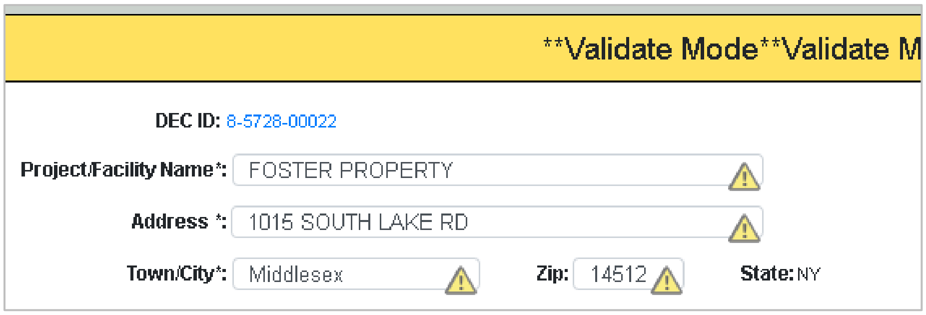


If an Analyst wants to confirm the appearance of the polygon that was submitted by an Applicant, the Applicant Submitted radio button on the map can be clicked to display the submitted polygon boundary, which will appear in blue.

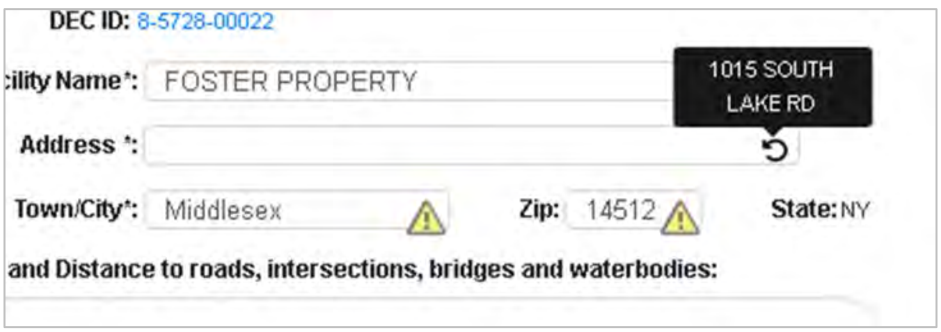


If an existing facility was chosen during data entry, in Validation Mode, the DEC ID will appear as a hyperlink above the property address (DEC IDs for new facilities are created only after upload to DART). Clicking on the DEC ID in Step 1 of Validate Mode will take the user to that facility detail page in eFind. Analysts can also Search eFind facility records by clicking on the hyperlink next to the DEC ID.

In Validate Mode, triangular yellow icons containing an exclamation point will appear beside a data entry field if the data in that field was changed during the data entry process, compared to what was originally provided by the eFind database.



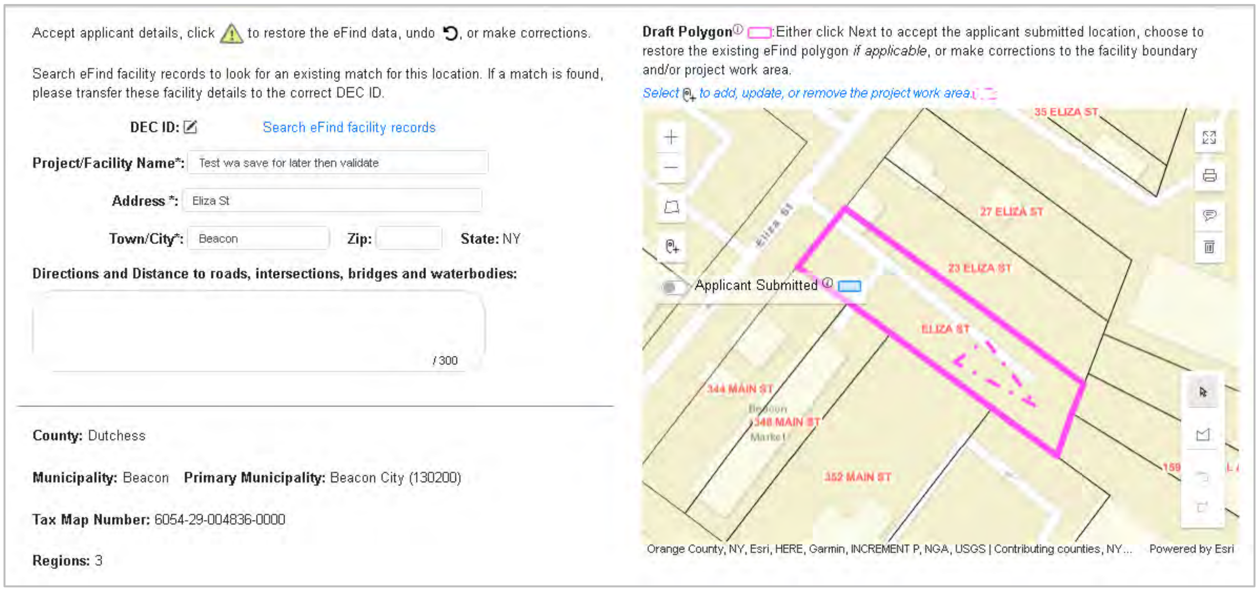
Hovering over any of these yellow icons will display the original information from the eFind record. Clicking on the icon will change the information back to that original eFind information. Clicking on the icon again will restore the more recently entered data. If the Analyst changes the data and clicks Validate, that is what gets saved/validated.



Validating a Work Area

A Work Area is a distinct polygon added to a map that already contains a property boundary icon. As in Step 1 data entry mode, a Work Area can be added to and associated with the facility polygon to indicate the specific area to be disturbed or where the proposed work will be done. As with Data Entry Mode, click on the ‘Add Work area(s)’ icon, and then the ‘Draw a polygon’ icon. Place the cursor where the work area will be located, and click and drag to draw.

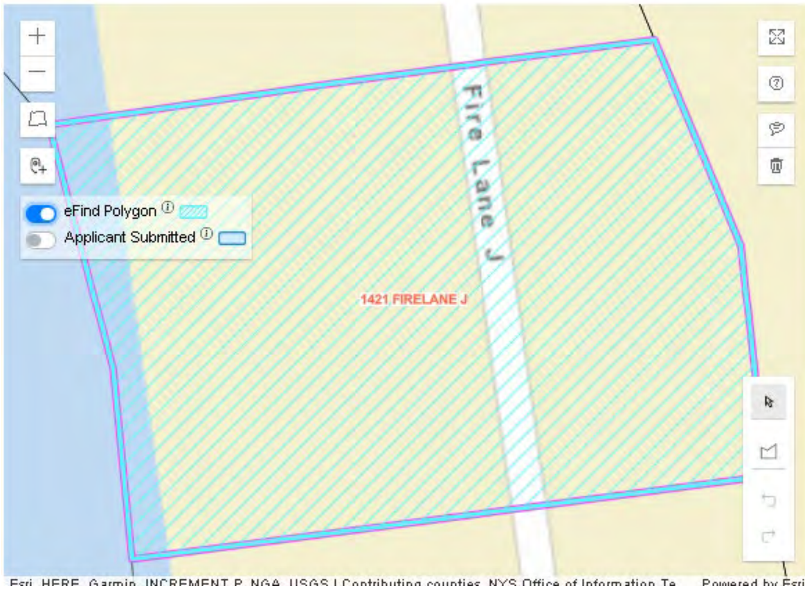
Work area polygons entered during Step 1 data entry will also be visible and may be edited on this screen during Validate mode (the border with the dotted line). Click the Work Area icon to select the work area for editing or deletion.



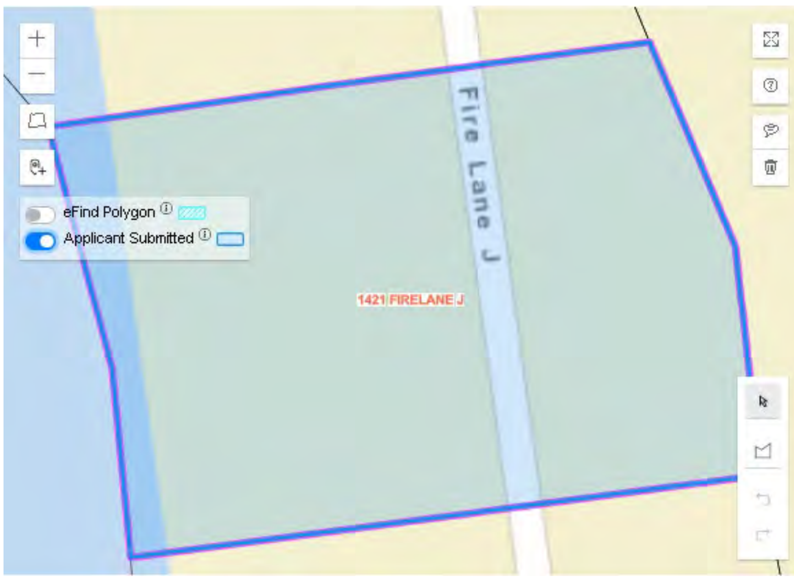
Validating an Approved Polygon

An Approved Polygon is an existing facility in eFind with a polygon location that has been confirmed and approved in eFind.

There are two radio button selections displayed on the map, ‘eFind Polygon’ (the approved polygon)…



…and the Applicant Submitted radio button:



This allows the analyst to compare the approved polygon in eFind for that facility, and the polygon that was selected or drawn during data entry (applicant submitted polygon). In the scenarios displayed above, you can see that the analyst polygon, the eFind polygon and the applicant submitted polygon were all the same. This indicates that during data entry, the existing eFind polygon was selected to represent the facility.

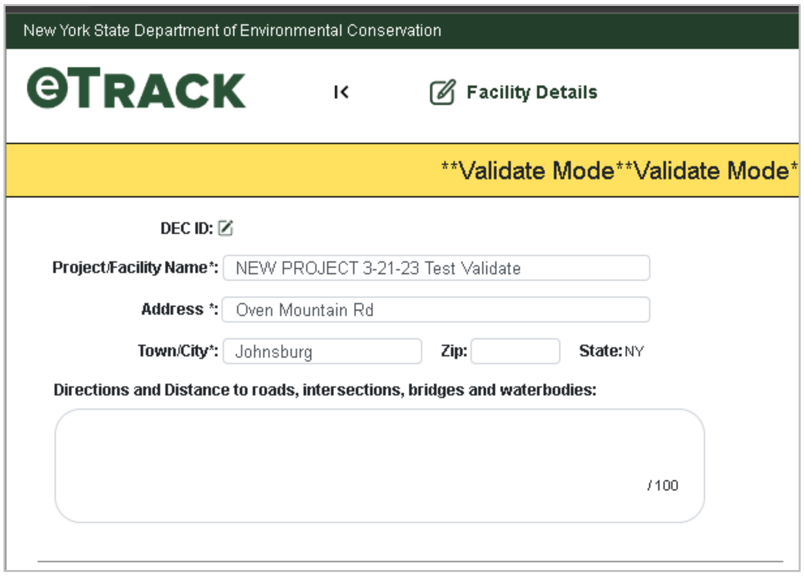
Here again the Analyst can either add a Work Area or view a Work Area created in data entry mode.

Validating a New Facility

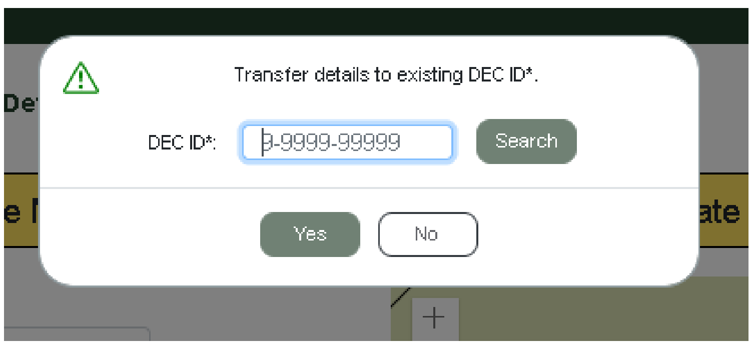
A New Facility is a facility that does not yet exist in eFind.

A new facility created during data entry mode will display slightly differently in Step 1 Validate Mode than an existing facility match. To begin, there is only one radio button on the map (Applicant Submitted), and there is no eFind option.

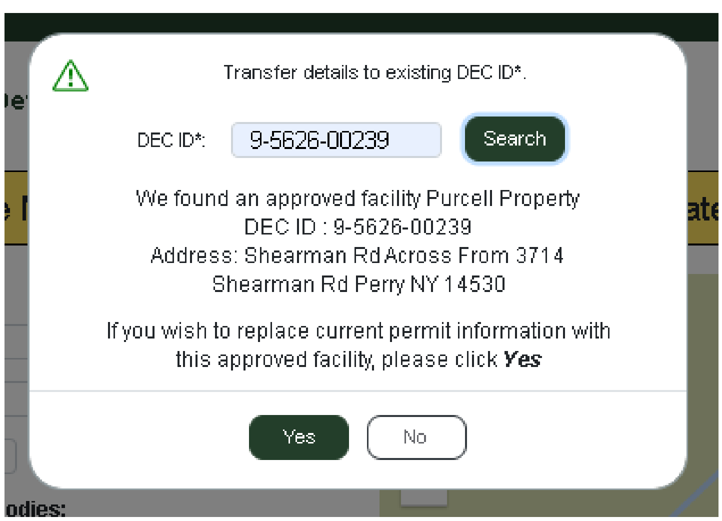
More notably, instead of a DEC ID number (there isn't any, since the facility is new), an edit icon  displays beside the DEC ID label, and there is a hyperlink to search eFind to ensure that a matching facility record does not exist already. If the analyst searches eFind and finds a matching, existing facility record in eFind, the edit icon provides the analyst a way to attach details from an existing facility in eFind. This is specifically for the occasions when a new facility is created in error, potentially resulting in a "duplicate" facility. Instead of starting anew and re-entering the application data, the edit icon provides an easy way for the analyst during validation to use the correct, existing eFind facility record.



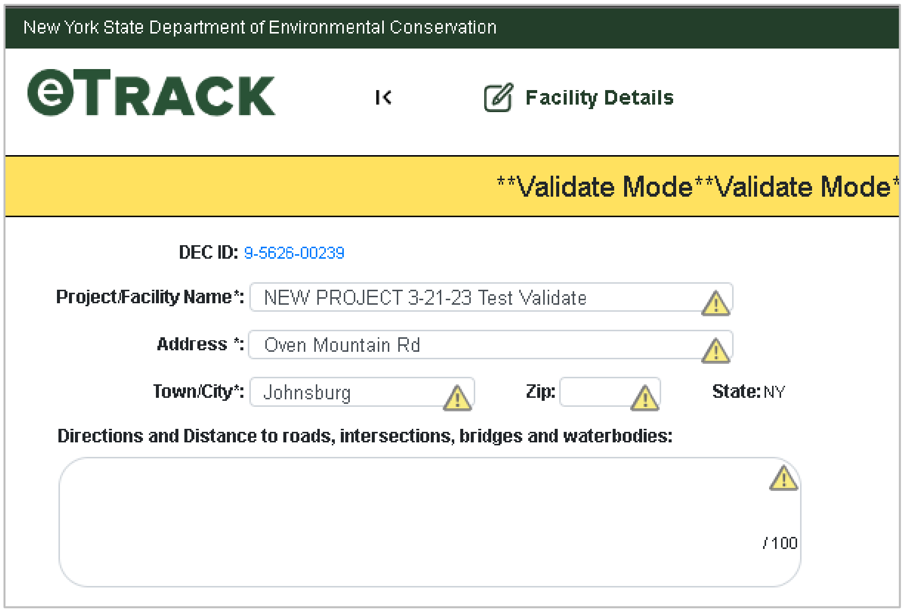
Clicking on the edit icon will present the following pop-up.



Entering the DEC ID and clicking the Search button will attach the details of an existing DEC ID to the project being entered.

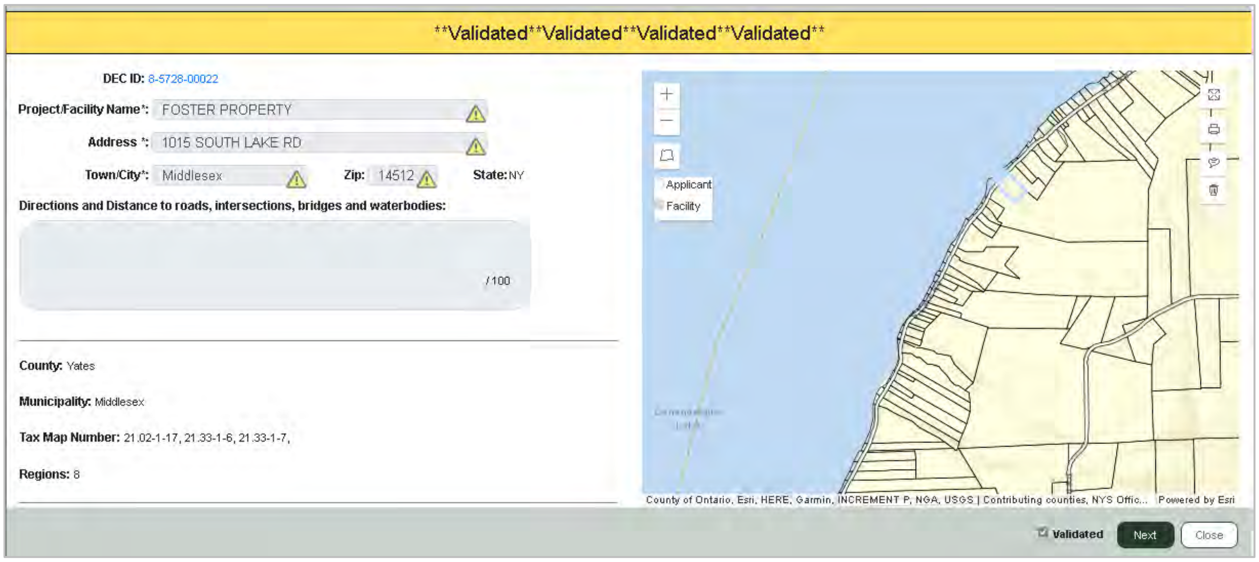


The existing DEC ID appears along with a series of Yield signs that represent the information entered during data entry that does not match the facility record in eFind.



For all of the scenarios above, the Analyst confirms the information is correct, and the clicks on the Validated checkbox.

Clicking the Validated checkbox will grey-out and disable the property address data fields, and change the yellow banner to *Validated*.

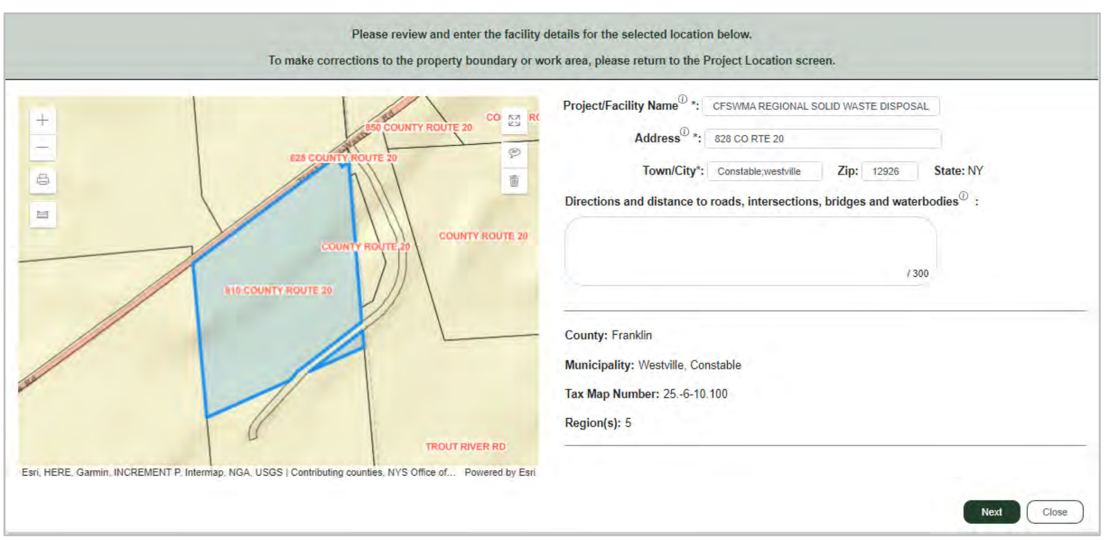


Having validated this information, the user clicks Next to continue, and WILL NOT BE ABLE TO RETURN to this Step.

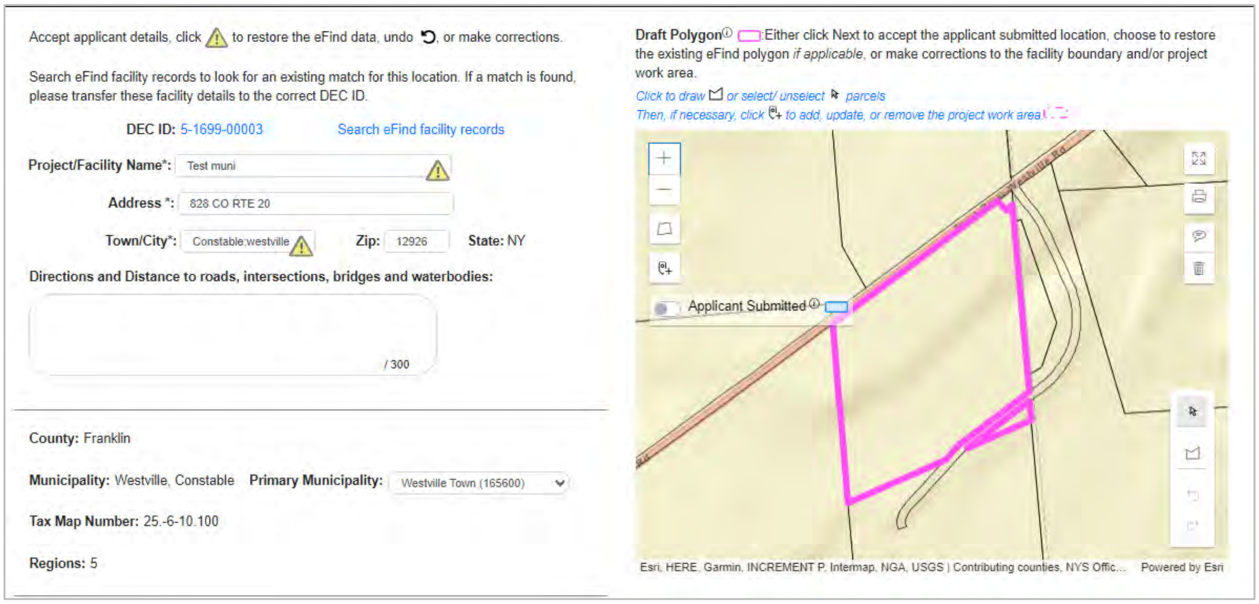
11.10.2 Changing the Property Boundary, Dimensions, or Location of a Polygon

To change the boundary of an approved polygon in Validate mode, the Analyst must “edit by delete”. That is, the polygon needs to be deleted and re-drawn using the map tools. A polygon entered during Step 1 Data Entry mode can be adjusted using the map tools.

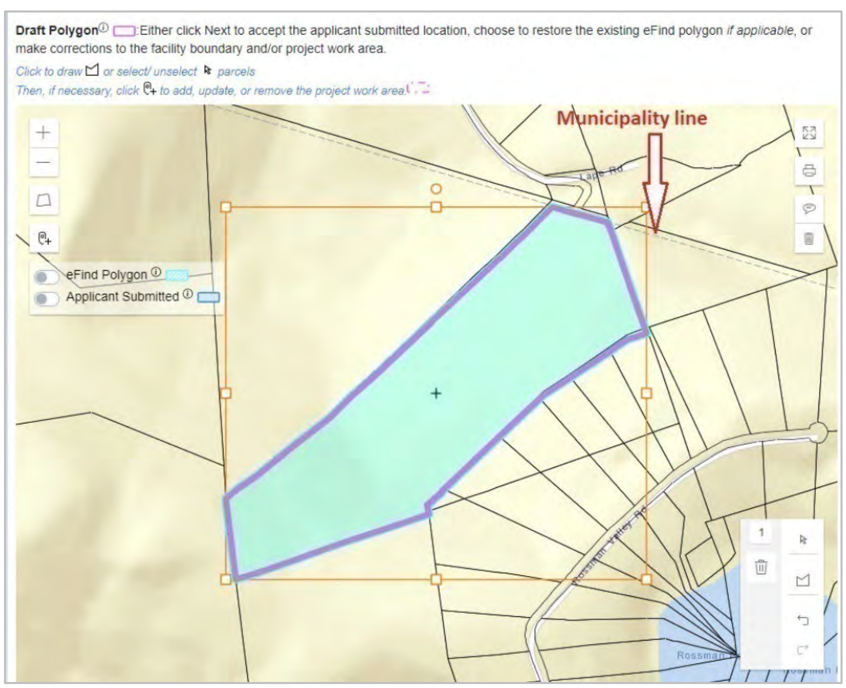
If a facility is a multi-town facility, and a parcel is selected in a different town than the one that initially appeared from the DEC ID search, even if the original parcel is deleted, the previous town will still be listed along with the new town in Facility Details. It is up to the Analyst to delete the old town if needed from the Town/City data field.



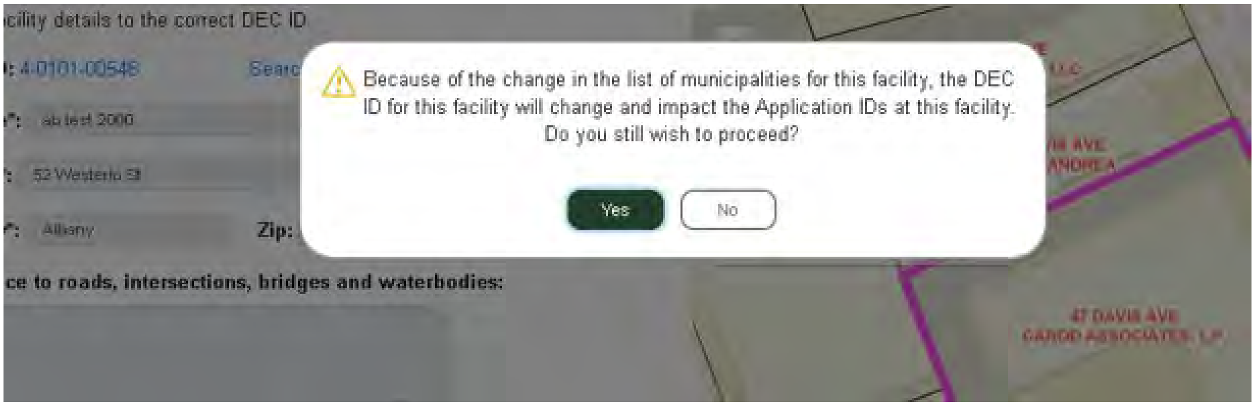
During Validation, the Analyst can select the Primary Municipality, or make other changes. To see other facilities that may be located nearby, use the link beside the DEC ID to Search eFind facility records.



In the case when a tax parcel crosses over municipalities, and it can overlap, giving a new DEC ID in error. In this case the parcel may need to be edited to remove the overlapping municipality if necessary. For example, when a parcel polygon is on the border of two or more municipalities.

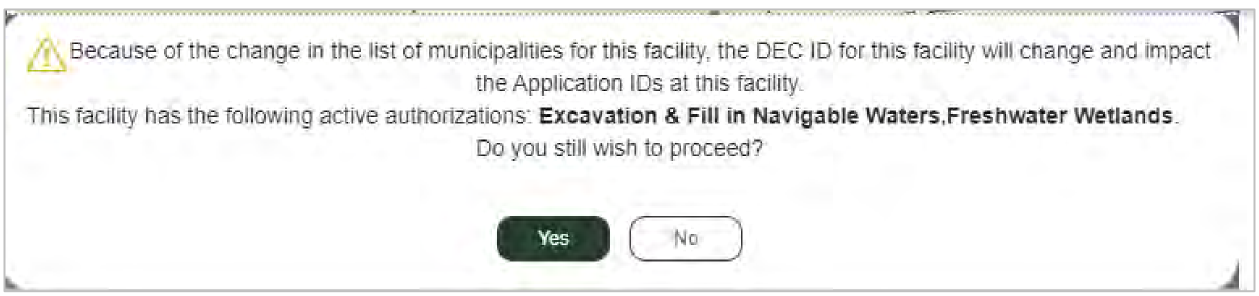


If a polygon is relocated to another Region, the DEC ID will be changed, since the first digit in a DEC ID represents one of the nine Regions. A warning popup will appear when this occurs, asking whether the Analyst wishes to proceed.



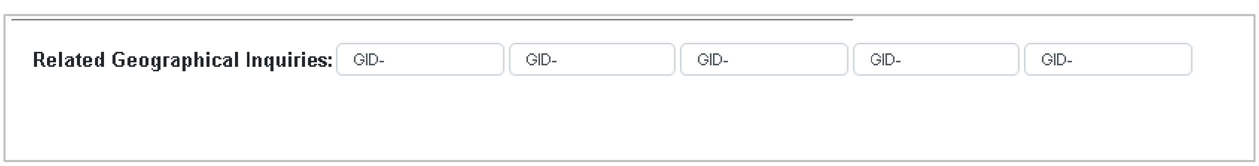
Under these circumstances, when a new project is initiated (after this project is uploaded to DART), a search by the old DEC ID will display the new DEC ID and location.

If there are active authorizations for a facility, the pop-up will contain additional information:

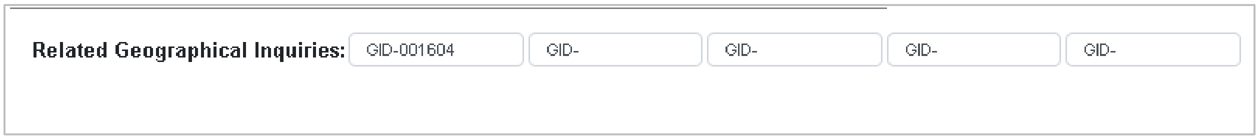


11.10.3 Associating Geographical Inquiries to a Project in Validate Mode

At the bottom of the Step 1 Validate screen are five boxes for Geographical Inquiry IDs that the Analyst may wish to associate to the project (optional).



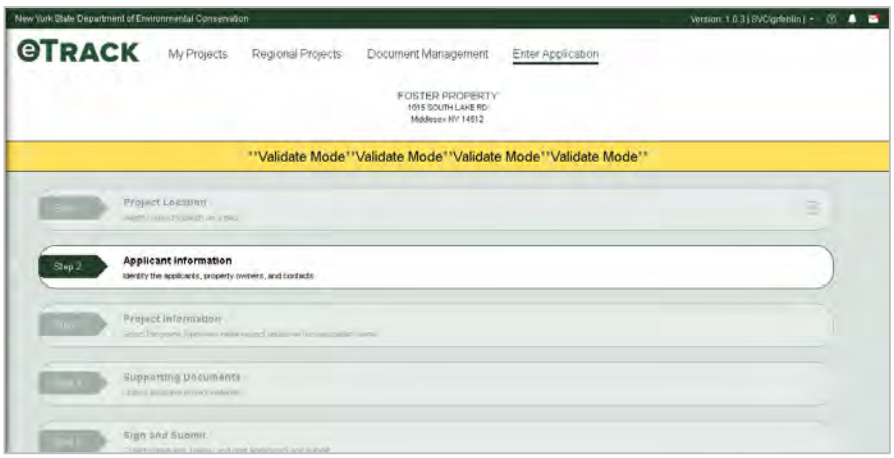
A valid GI ID has six digits, with zeroes added at the beginning of the string to make the digit length six. For example, GID-001604.



This GID will now be associated with this Project and the number will appear as a hyperlink on the Project’s VW.

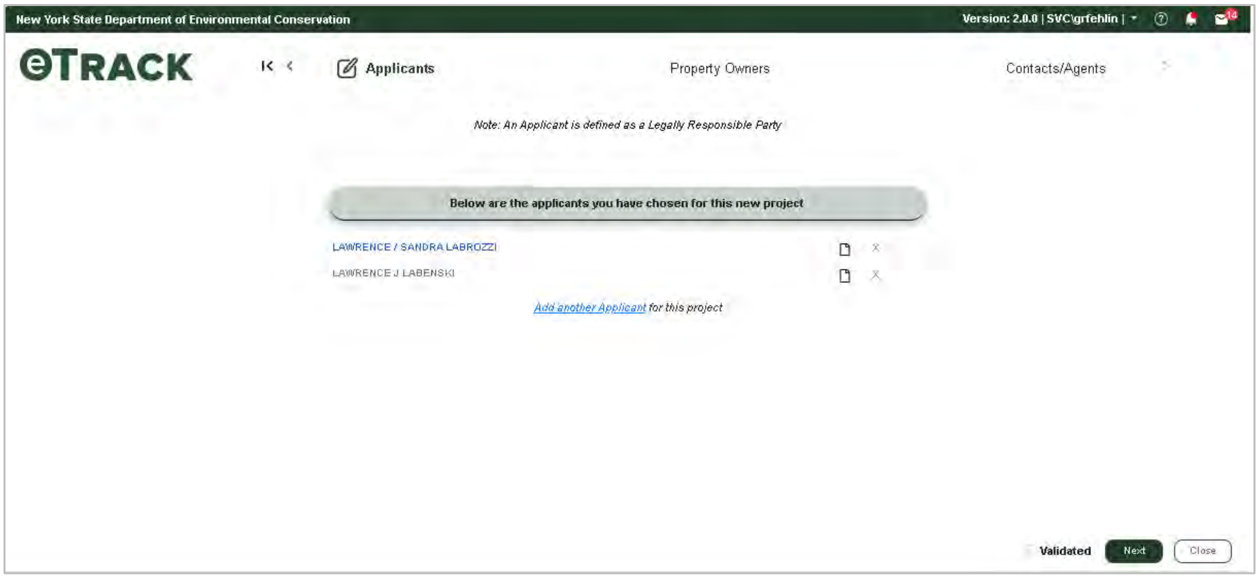
11.10.4 Validate Mode – Step 2

Having completed all work in Step 1 Validate Mode, the Main Navigation screen appears with Step 2 enabled.

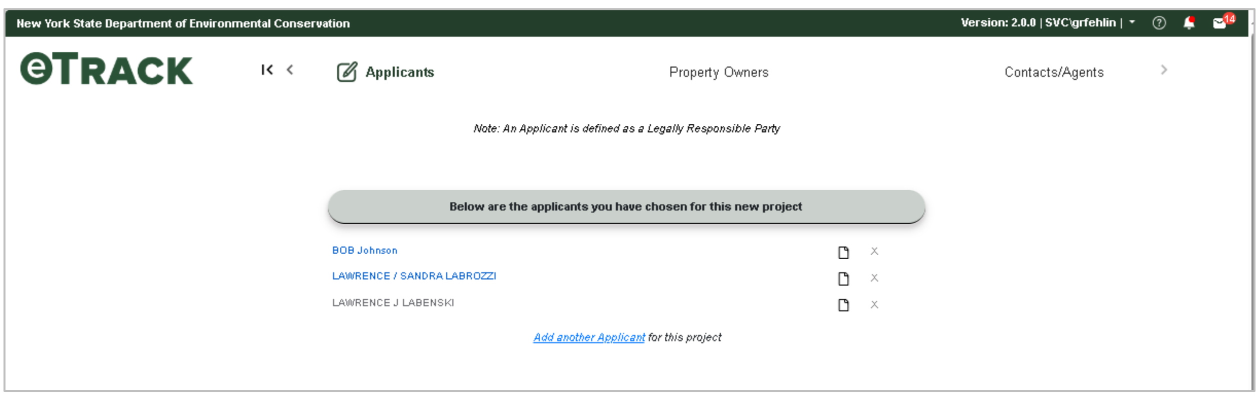


The Analyst clicks on Step 2 in Validate Mode to validate the Applicant Information.

The first screen to appear is Applicant Summary. The Analyst clicks on the edit icon to the right of the name to open the Applicant Information screen and validate the data. Click Validate on the Applicant Information screen, click Next and then Next again to move to the next applicant or to the owner validation.



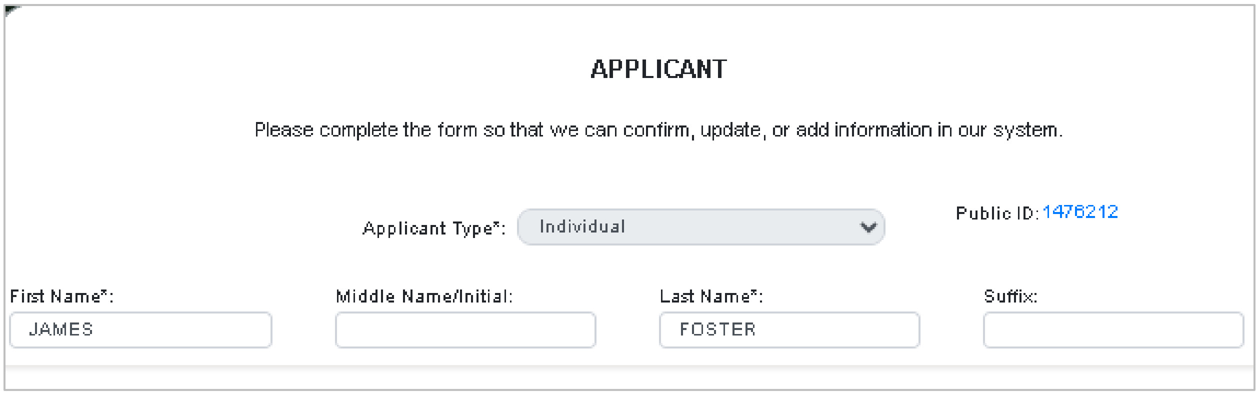
Note: As Applicants are Validated, their name on the Applicant Summary screen will turn blue. If there is more than one Applicant in the Summary, and one has been validated, that Applicant's name text color will change to blue, but the other will not, until it too is Validated. (So, even though one has been validated, this indicates that there are others that still need to be validated).



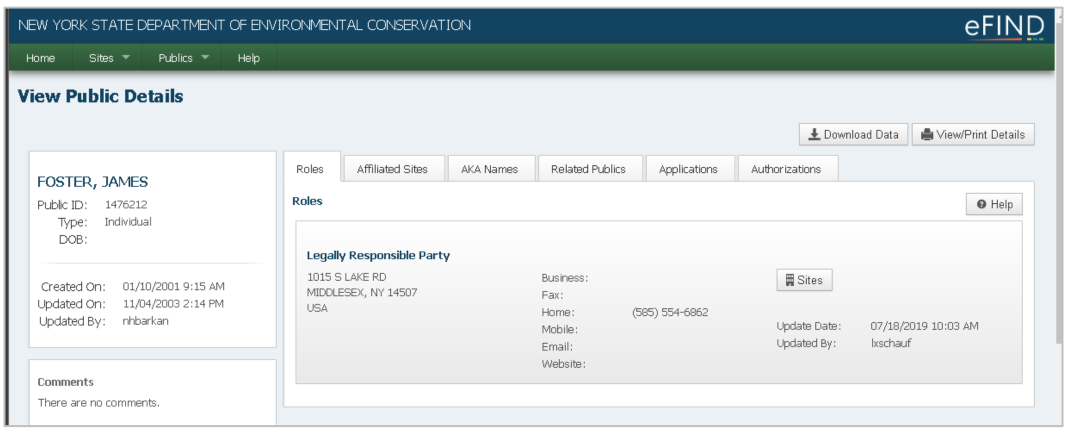
Note: To Add Another Applicant in this step, the Analyst must first de-select the Validated checkbox to access the link.

11.10.5 Public ID

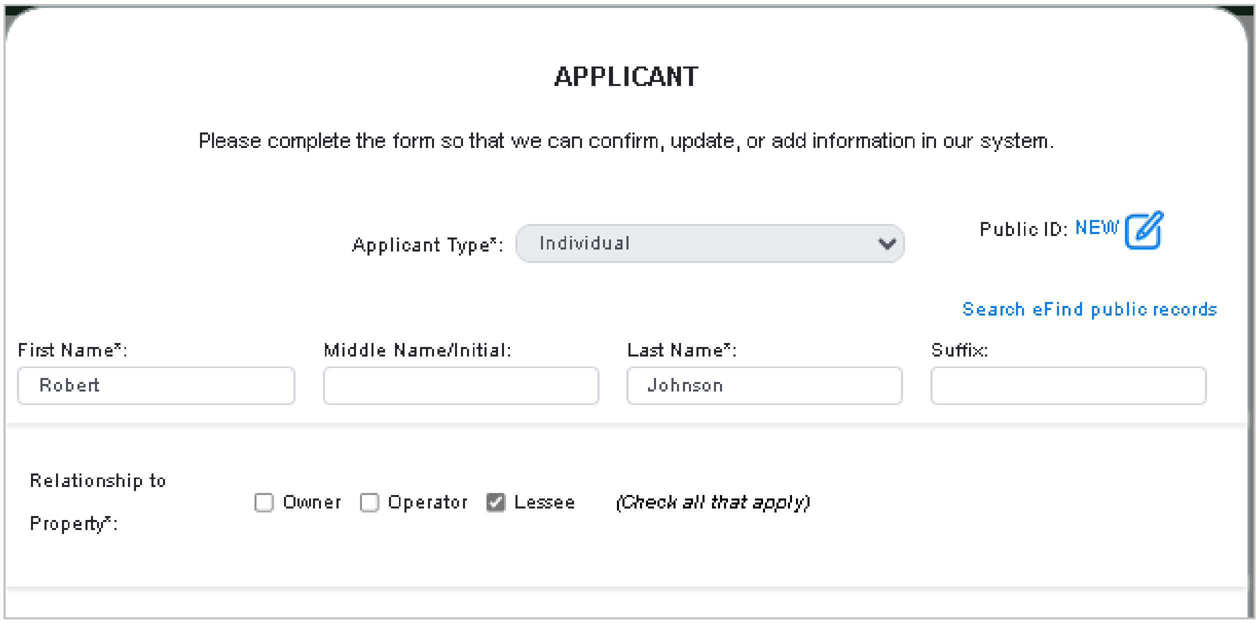
The Applicant Information screen in Validate mode includes the existing, Public ID for the applicant (if any).



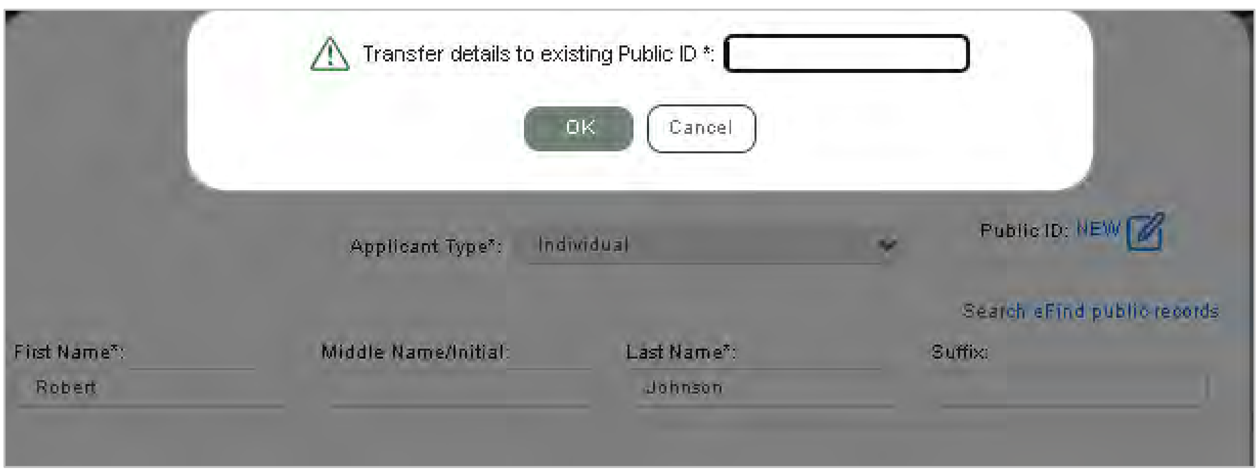
The link will take the user to the relevant page for the applicant in eFind for comparison.



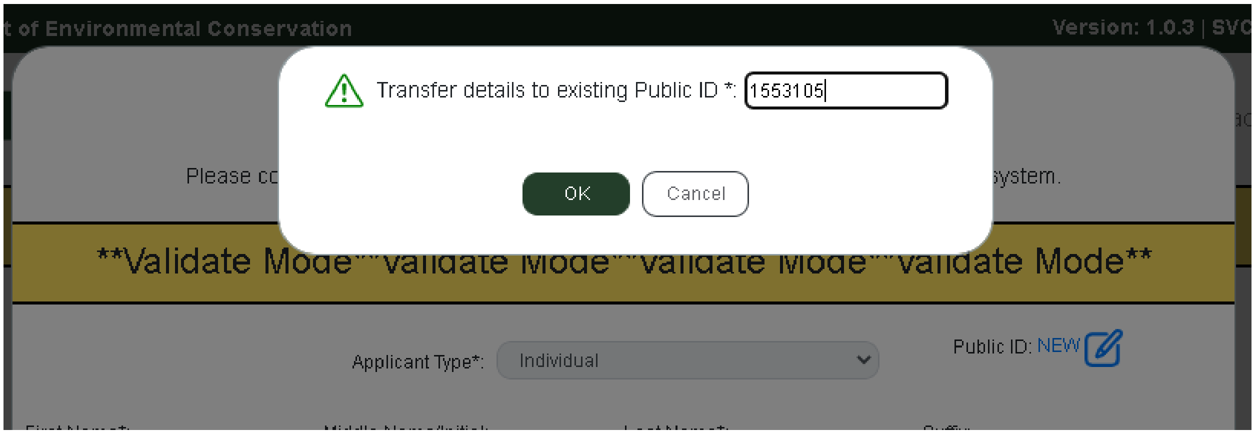
If the applicant's name as entered is not recognized by eFind, when the Analyst arrives at this screen in Validation mode, the Public ID label will have an icon beside it (NEW with an edit symbol). This also applies to the next section Contacts/Agents.



Clicking on the icon will display a pop-up that reads 'Transfer details to existing Public ID.'

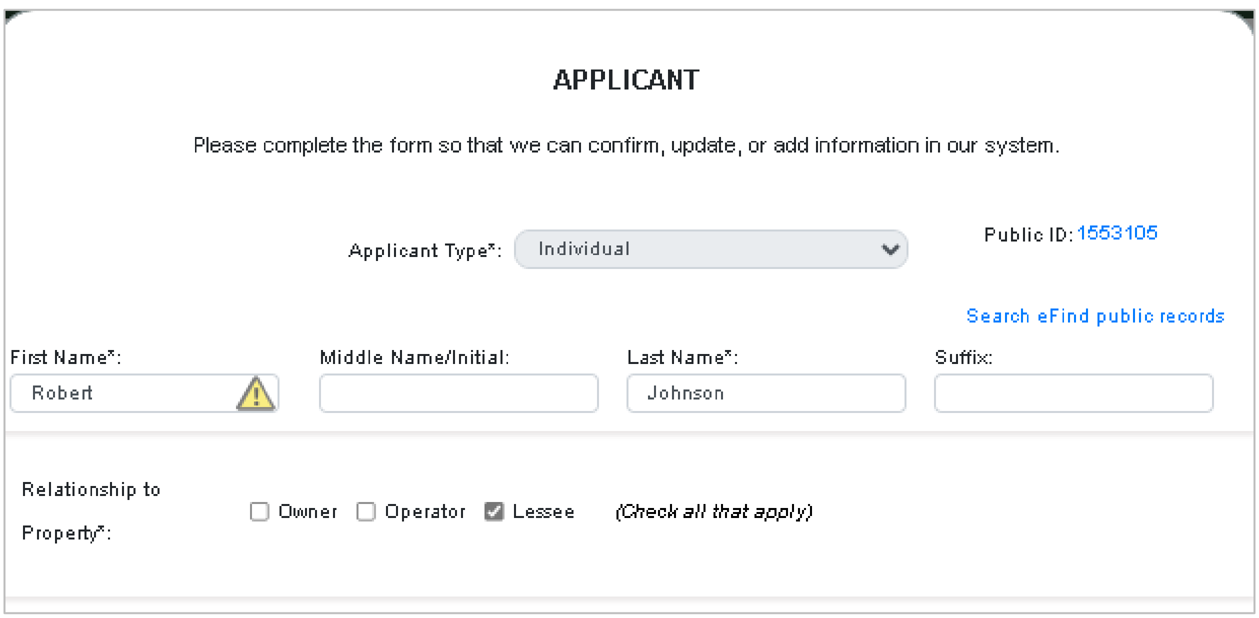


If the Analyst is certain that the applicant is identical to an existing, previous applicant with a Public ID in eFind, the Analyst can enter the Public ID, and click OK.



Note: The Analyst must click Next for the changes to take effect.

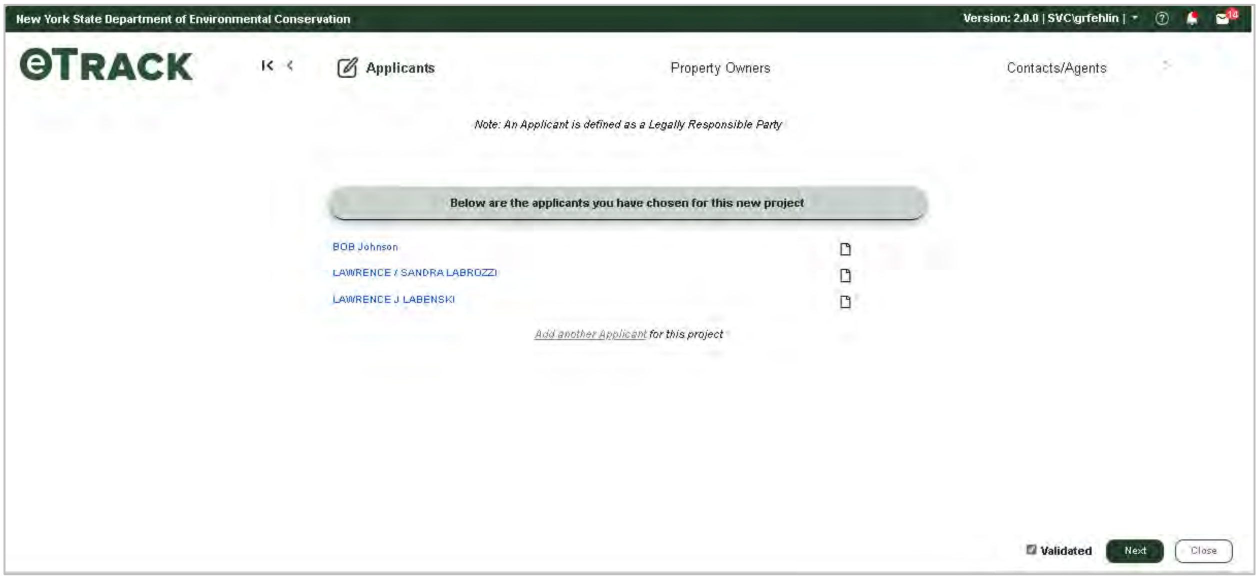
Clicking Next and returning to the Applicant screen will populate the screen with the information that exists in eFind, creating "Yield" signs that when clicked, will replace the information entered on this screen.



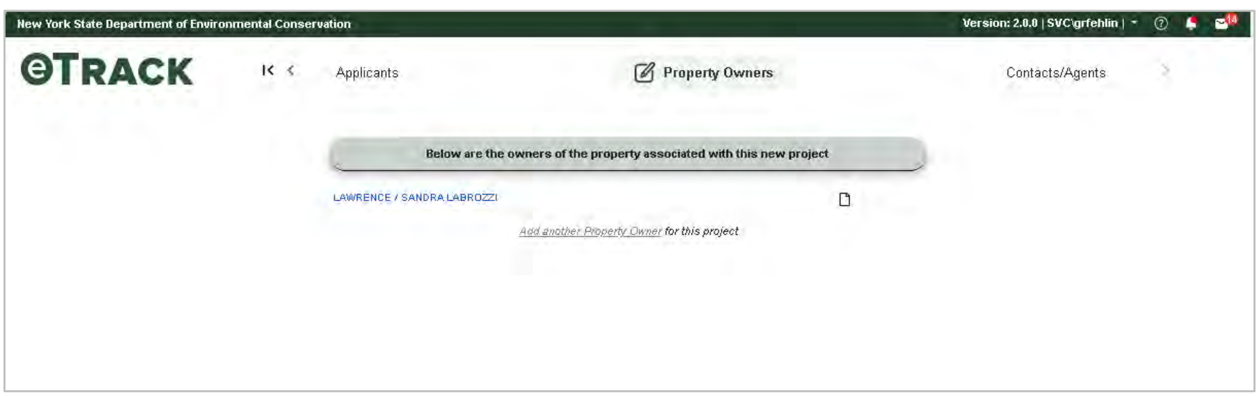
Clicking the Validated checkbox on the Applicant Information detail screen will grey-out and disable the data fields and links on the page.

Clicking Next will return the User to the Applicant Summary screen. The validated applicant's name will now appear in the results grid in a bold blue font to indicate that they have been validated, and once all applicants have been validated in this way, the Validated checkbox will be filled automatically.

During validation the ‘Add Another...’ links are available to add additional records, and it is also possible to delete any listed record with the ‘X’. (Note that he Validate checkbox must first be de-selected).

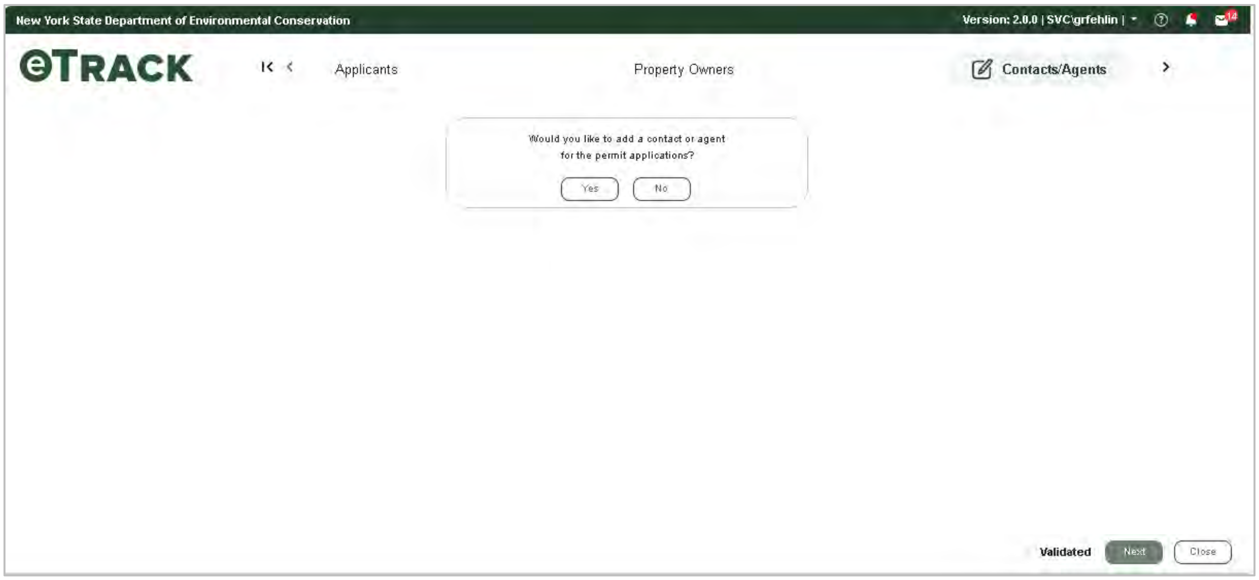


Clicking Next takes the user to the Property Owners Summary screen. If the Property Owner is the same as the applicant on the previous screen, the Validation will carry forward and the checkbox will be clicked.

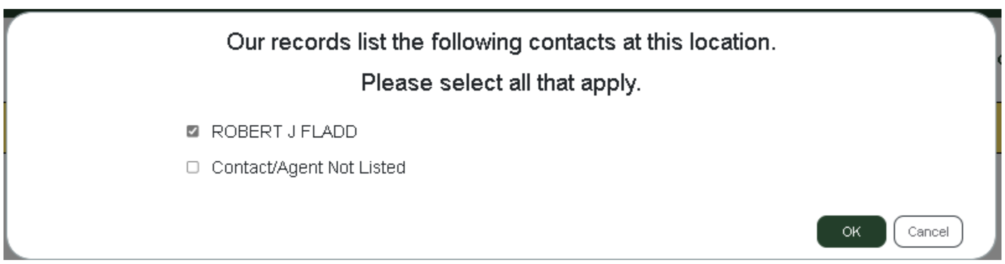


If a property owner has not already been validated, follow the process described above or just click the Validated button on the summary screen.

Clicking Next takes the user to the Contacts/Agents screen. If there are Contacts/Agents already added, the Summary screen of Contacts/Agents will display. If not, the user will be asked if they want to add a contact or agent. (Clicking No will move the user forward).



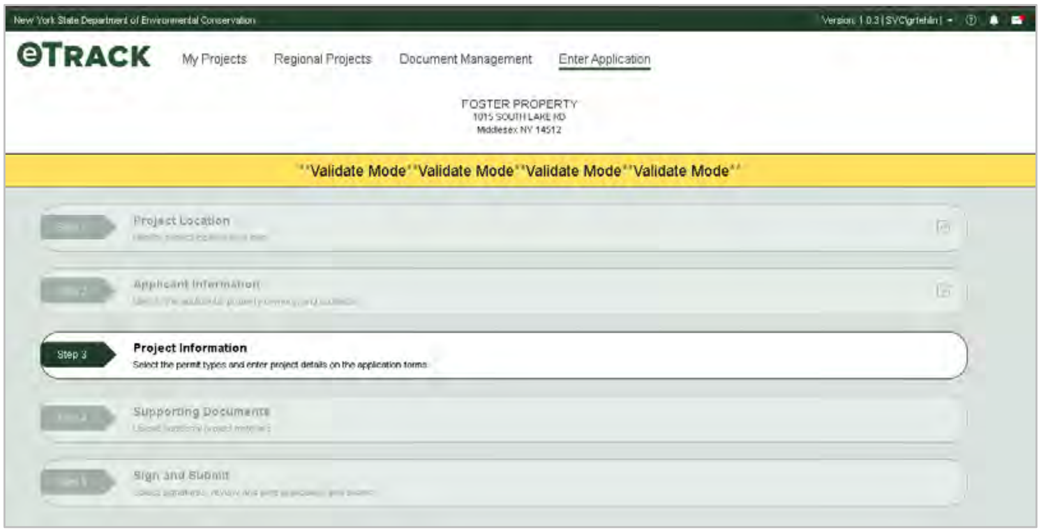
Clicking Yes will allow the user to add a Contact/Agent, who can then be Validated in the same way as described above.



As with the Applicant screens, if the Contact/Agent is new, they can be assigned to an existing Public ID.

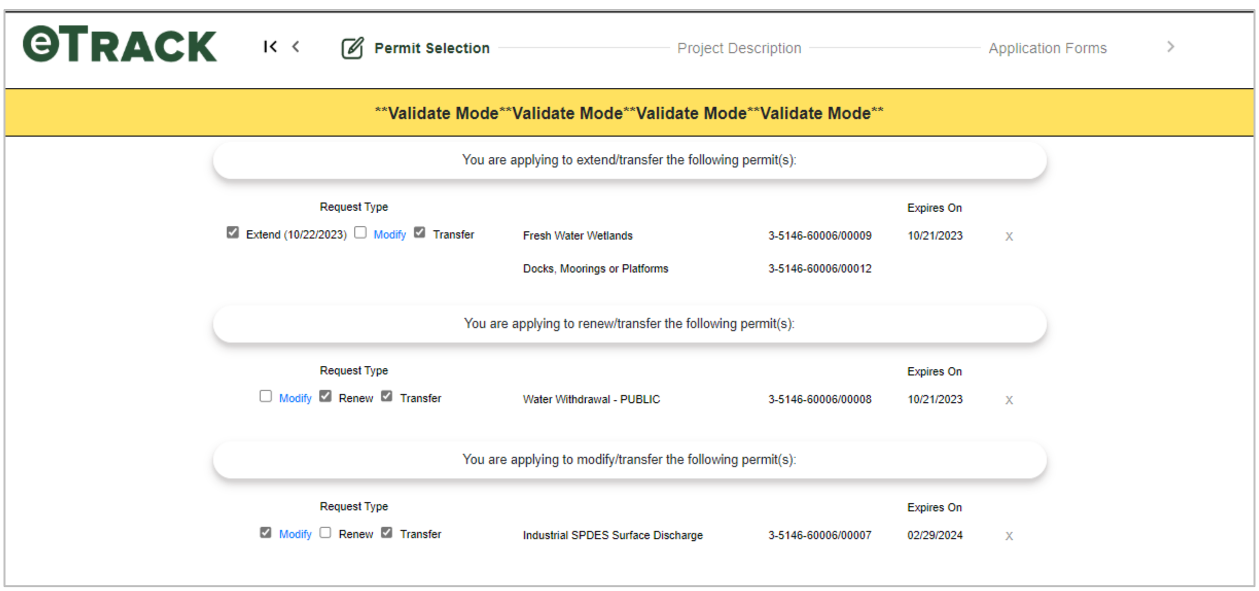
The user clicks Yes or No on the pop-up when asked if they want to add another Contact/Agent. The summary screen re-appears.

Clicking Next takes the user forward to the Main Navigation screen (again, it is not possible to return to the Validation step once complete).



11.10.6 Validate Mode – Step 3

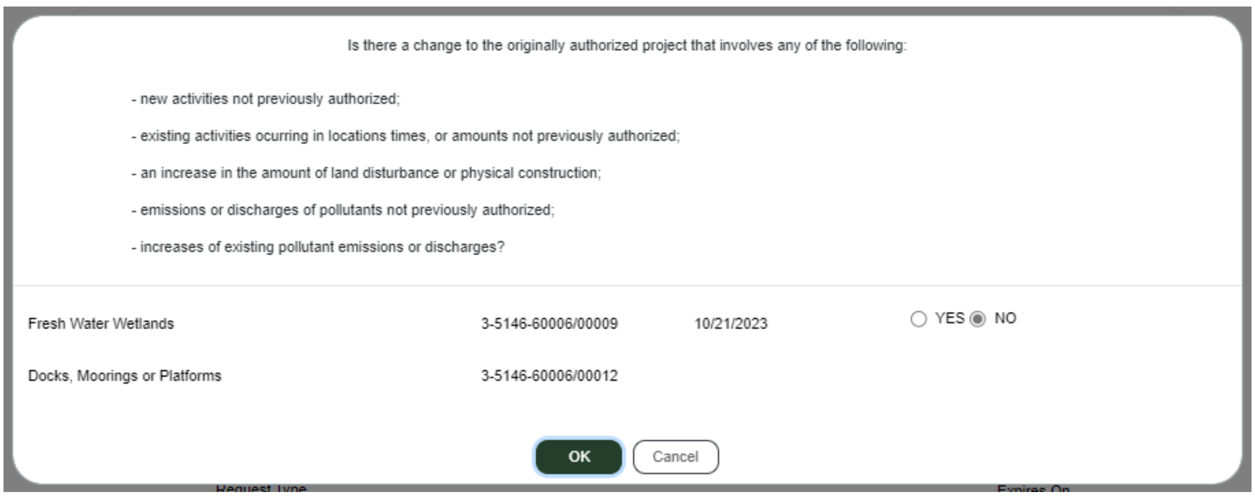
Clicking Step 3 in Validate Mode takes the Analyst to the Permit Selection Summary screen. On this screen, in Validate Mode, the Analyst can either validate that the permit selection(s) is correct; edit the Request Types (Extend, Modify, and Transfer); delete the selection; or add a new permit application.



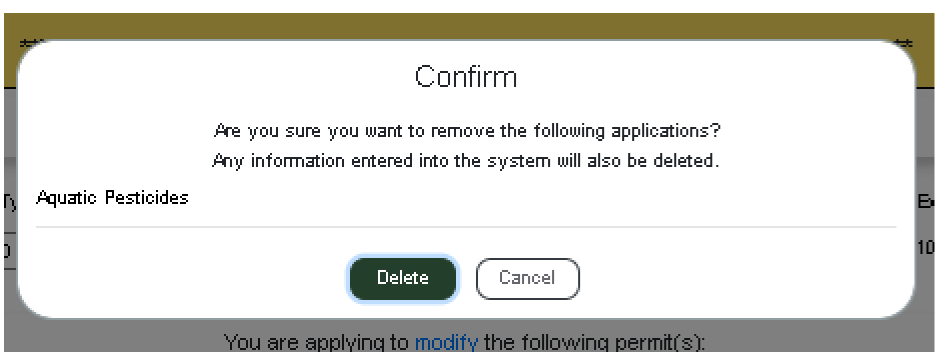
The first section at the top will always be for existing permits, if there are any. Permits are displayed by Batch. The section at the bottom of the screen is reserved for new permits, if any. Based on the existing permits for a Facility, and the selections made on the Permit Selection screen during data entry, the permits will appear in categories according to the action being taken (as displayed in the checkboxes, for example Renew/Transfer, Modify/Renew, etc.).

Permits are displayed with their name, Application ID, and Expiration Date, and a Delete Option (X) for each batch. The Analyst reviews the information on the screen, makes any changes, and then clicks on the Validate checkbox and clicks Next to move forward. As with all screens, the screen becomes disabled when Validate is checked.

Clicking on the Modify link will display the pop-up, which confirms if it is a “Big MOD” (a permit modification that involves a major change, as described in the pop-up), or a “Small MOD” (a permit modification without major changes). Clicking the “Yes” radio button indicates a Big MOD, or “No” is a Small Mod. The selection may be changed on this pop-up during Validation.



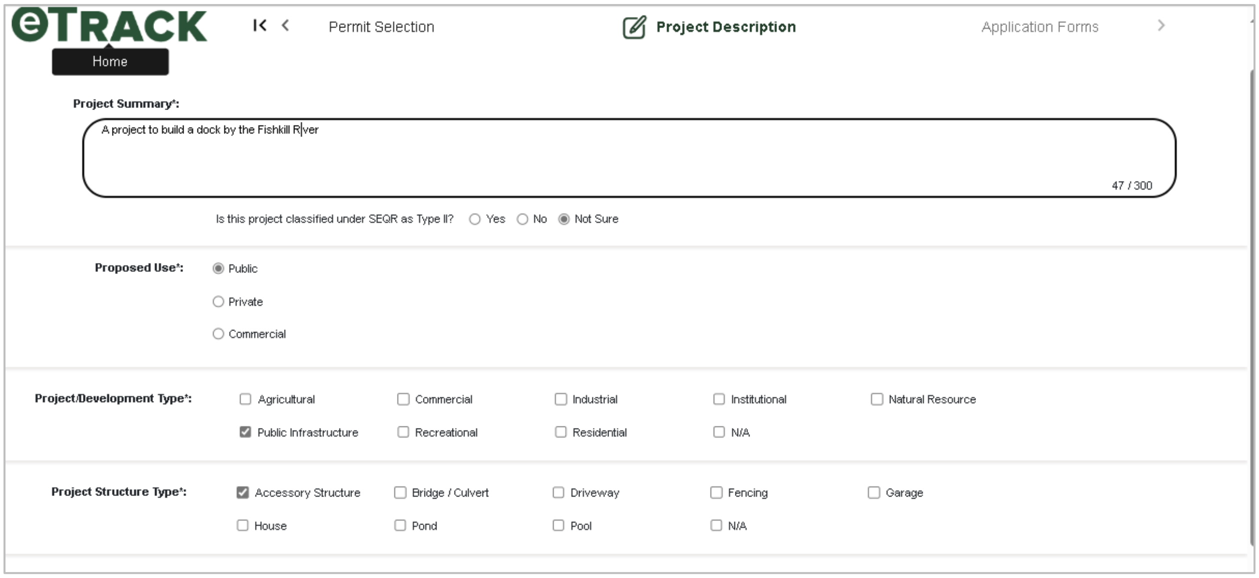
Back on the Summary Screen, existing permit selections (by Batch) can be directly deleted by clicking on the ‘X’. and a pop-up will confirm.



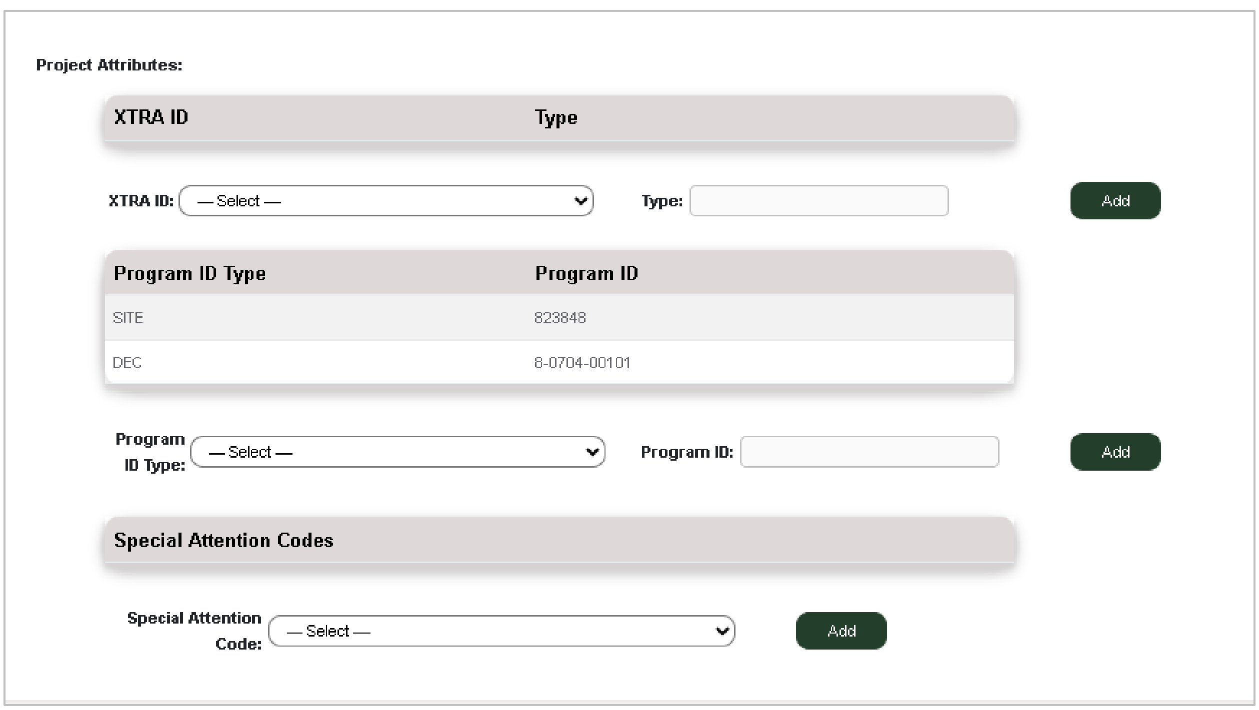
A new permit can be added by clicking on the link at the bottom of the screen.

At the bottom of the screen is the Validated checkbox. Once the Validated checkbox is checked, the screen functionality is greyed-out and disabled, except for the Next and Close buttons.

Clicking Next takes the user to the Project Description sub-step, where that information can be reviewed and/or modified before being validated. Here, as elsewhere, the sub-steps in the top navigation bar assist with quick navigation and review.



The Project Attributes section will also be seen here, with any selections made during data entry (or prepopulated from eFind) present in the results grids.

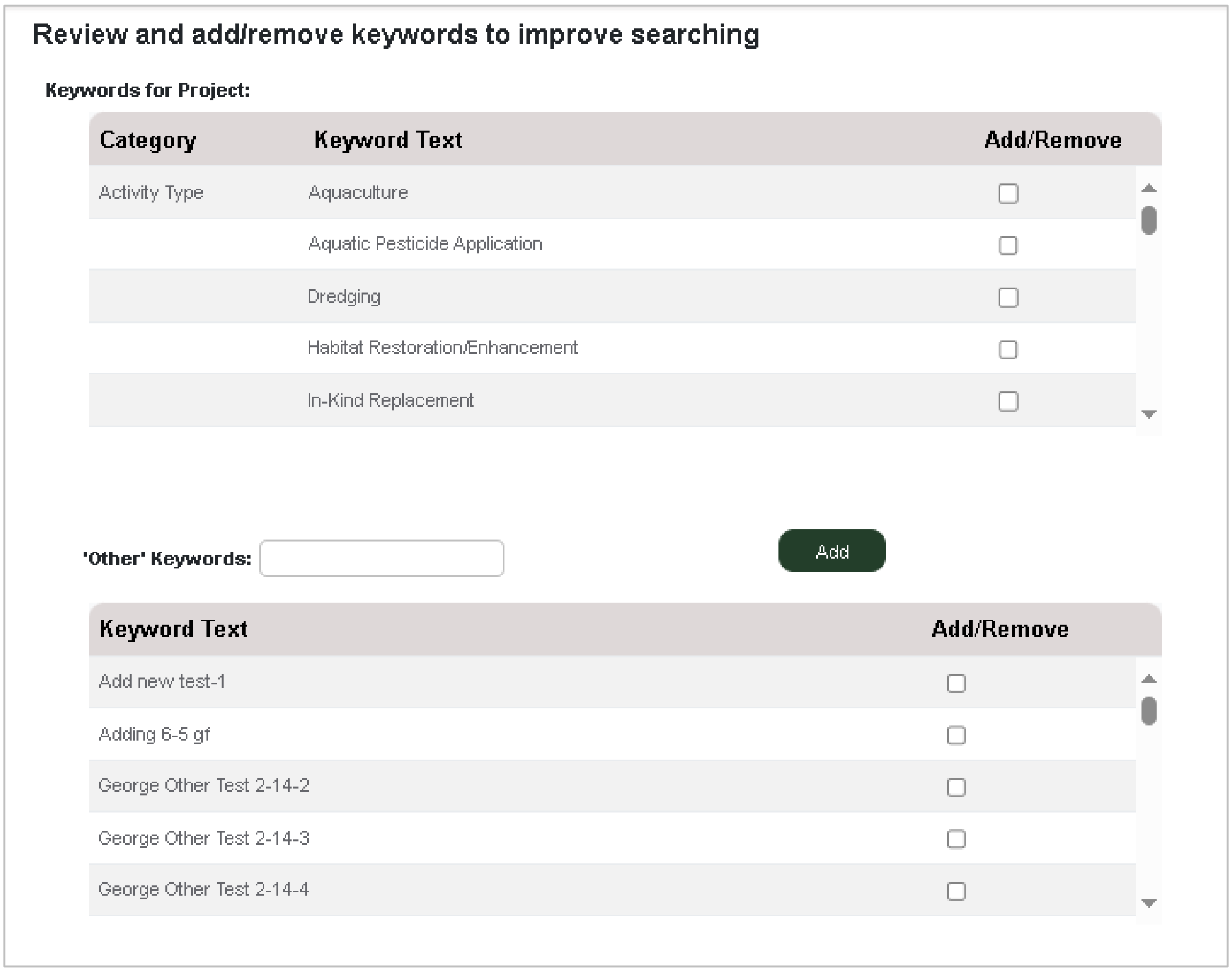


Keyword Validation

At the bottom of the Project Description screen in Validate Mode is a section for keywords, with an additional results grid that is not present during data entry.

The ‘Keywords for Project’ data entry grid is present and appears and functions the same way as in data entry mode. Keywords for Project should contain same selections made in data entry mode and function the same. When they are Validated here they will be added to the project.

Beneath it is the 'Other' (Candidate Keywords) grid with a search bar and an 'Add' button. Other (Candidate) Keywords may be added here. They will appear on the Other keywords grid on the VW.

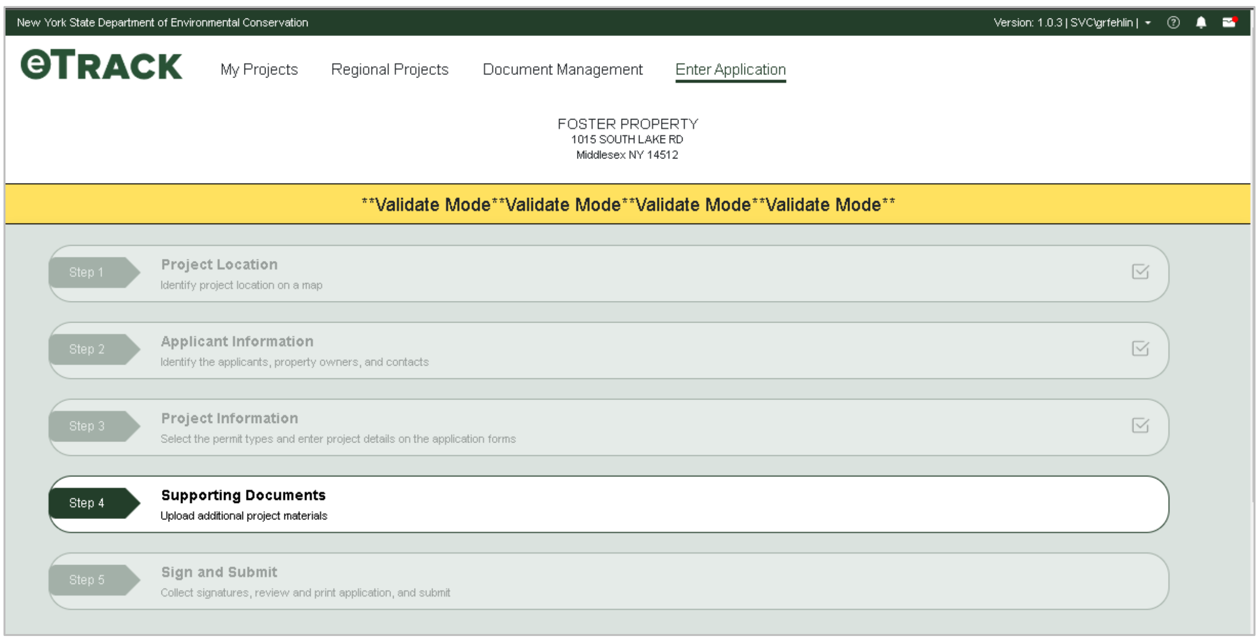


Moving forward, clicking on the Validated checkbox greys-out and disables the screen, except for the Next and Close buttons.

Validate Mode – Application Forms

If more than one Contact was selected in Step 2, clicking Next will take the Analyst to Step 3, sub-step 3, Application Forms. This is where the Analyst will assign a single Contact to each application form. If a Contact is not assigned to an application form, the Analyst will see a pop-up prompting them to either correct the assignment(s) on the screen, or have the system remove the unassigned Contact.

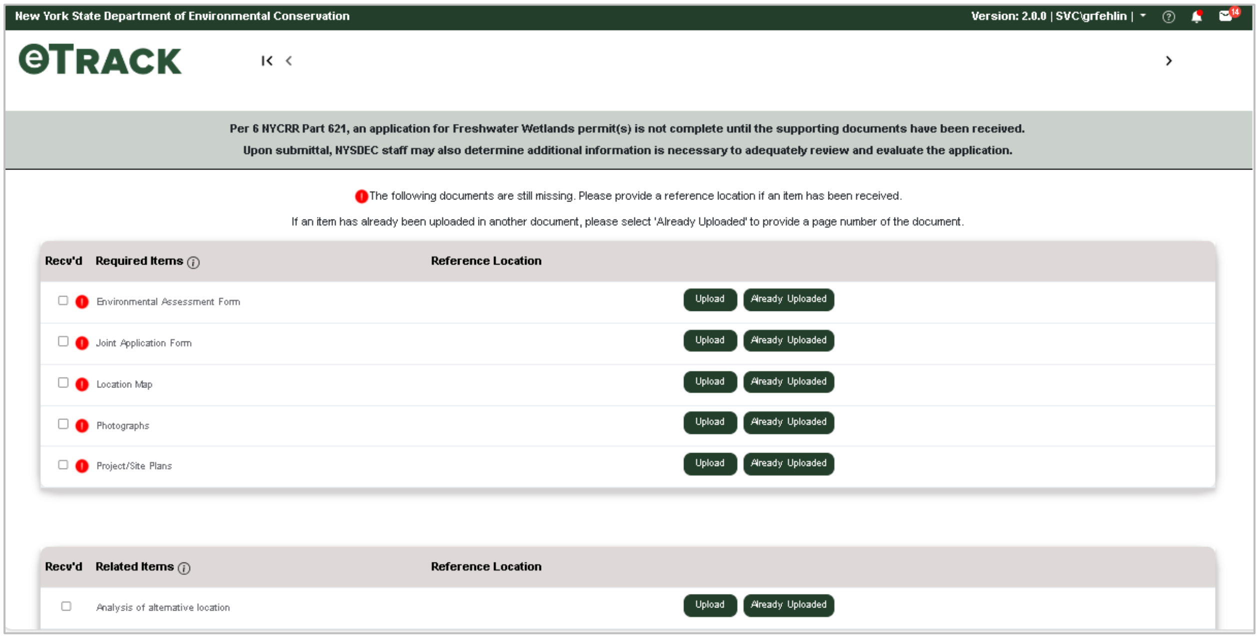
If only one Contact was selected in Step 2, clicking Next will take the Analyst to the Main Navigation Screen in Validate Mode, with Step 4 enabled. Even though the Analyst does not see the assigned Contact, the Contact will automatically be assigned to all applicable application forms.



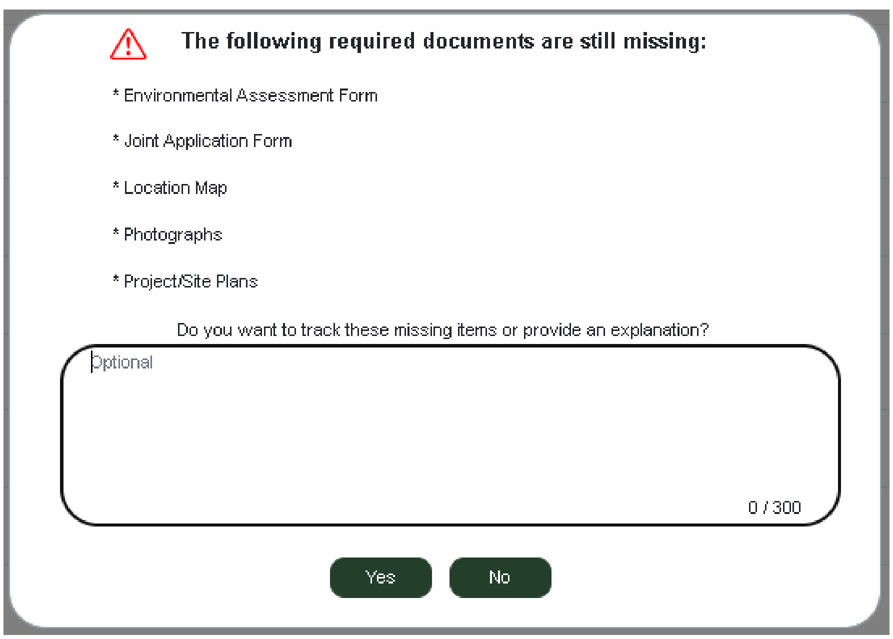
11.10.7 Validate Mode – Step 4

Clicking Step 4 takes the user to the screen where the supporting documents can be validated. The user will review the selected documents and confirm that all required and related items needed for the analyst to Validate are accounted for. If not, the user can add the documents as necessary.

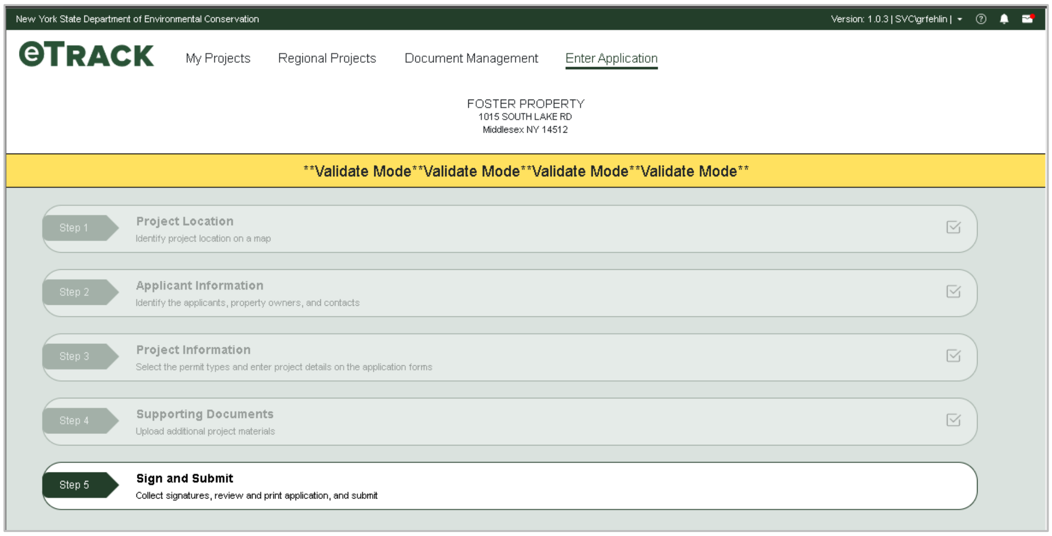
Any Required documents not yet provided will be flagged on Step 4 Validation Mode with an icon and unique text at the top.



Note: In PI 3, it is not required that ALL documents be accounted for. However, clicking Next will generate a pop-up to remind the Analyst that documents have not been uploaded, with an option to track the missing the missing items or provide an explanation:

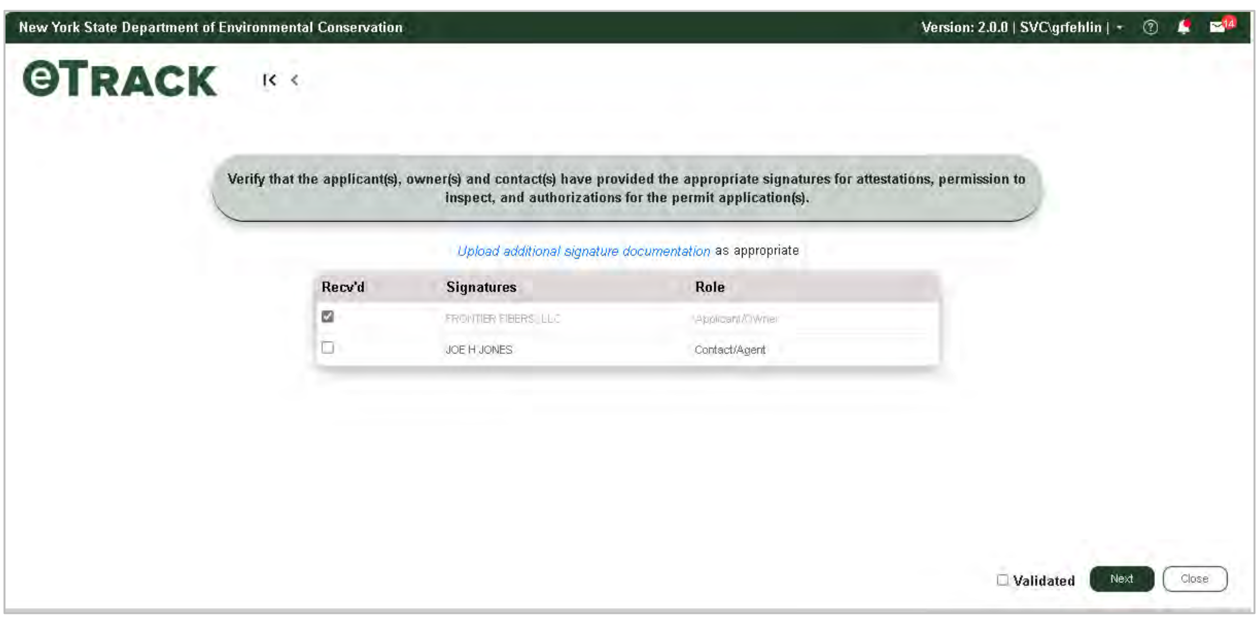


If the Analyst does wish to track the missing item, they must enter the text before clicking 'Yes'. The note will be saved under 'Project Notes' on the Virtual Workspace. Clicking either Yes or No will move the user forward to the Main Navigation Screen in Validate Mode where Step 5 is enabled.



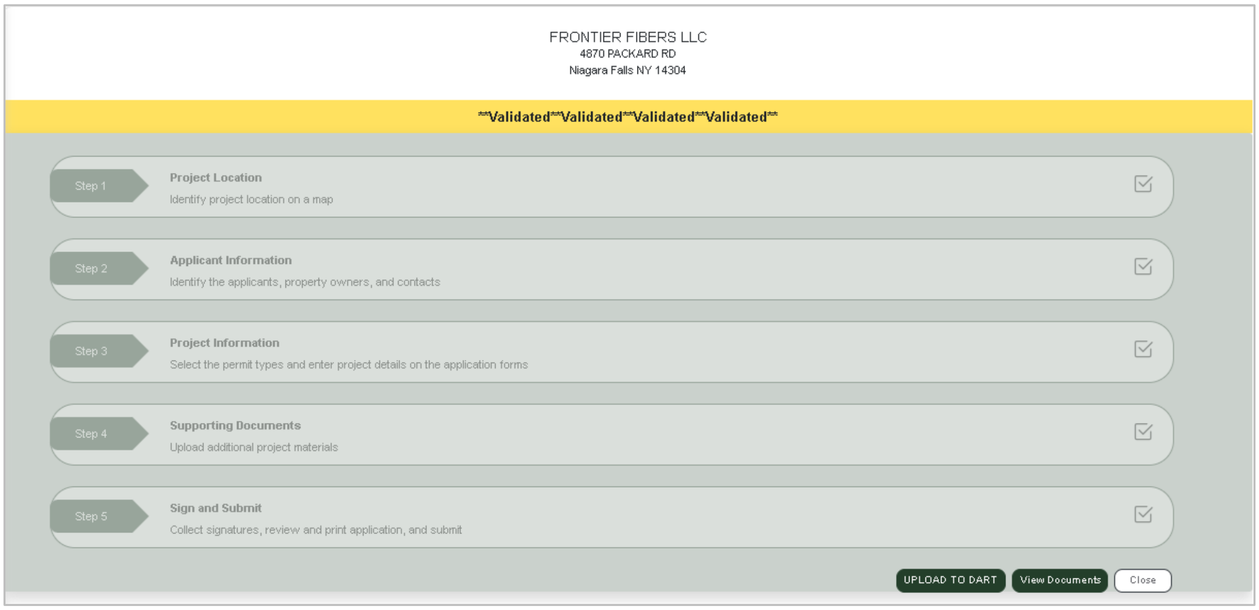
11.10.8 Validate Mode – Step 5

Clicking on Step 5 takes the user to sign and submit screen in Validate mode. The user can click the Recv'd checkbox beside an applicant(s) name, or upload additional signature documentation before clicking the Validated checkbox.



As with the previous steps, clicking the Validated checkbox greys-out and disables the screen data and functionality, except for the Next and Close buttons.

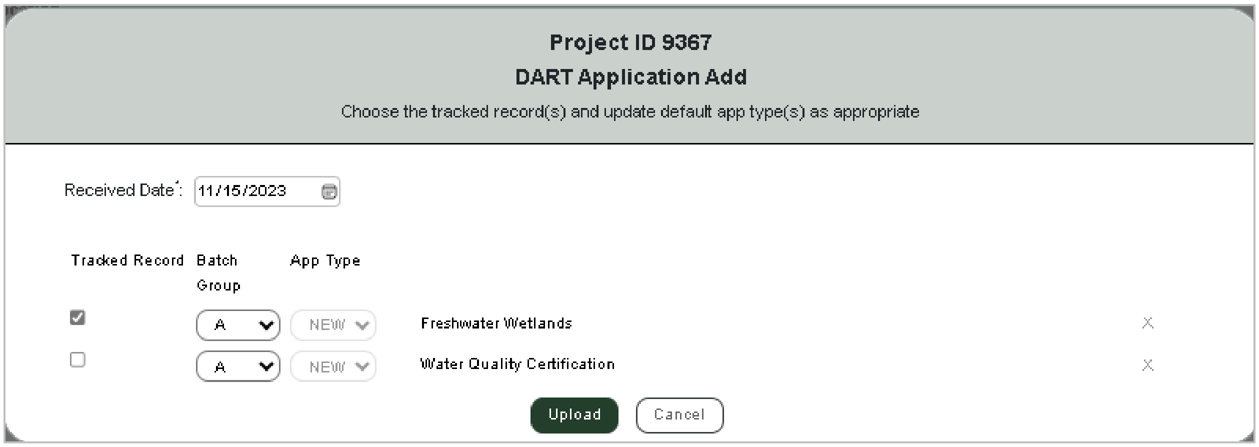
Clicking Next completes the Validation process, brings the user back to the Main Navigation Screen, and displays the Upload to DART button.



11.10.9 Upload to DART

After clicking on Upload to DART, the Analyst will be presented with a confirmation popup to confirm that the Analyst wishes to proceed with uploading to DART. Clicking 'Yes' takes the user forward.

The DART Application Add pop-up will now appear. Here the Analyst will be able to Batch new Permits by Group, choose App Types (Transaction Types), and assign or remove the Tracked Record for each Batch. The Received Date is pre-populated based on the information entered at the beginning of the Enter App process, but can be changed.



On the left side of the screen is a Tracked Record checkbox (the default is the first record). For existing permits, when the App Type is changed and submitted, the permit type will be regrouped. For new permits, the user can choose from up to five new groups (A-E). For new permits, the default Batch Group selection will be A.

Note: General Permits must be uploaded to DART as individual batch groups or an error message will be generated.

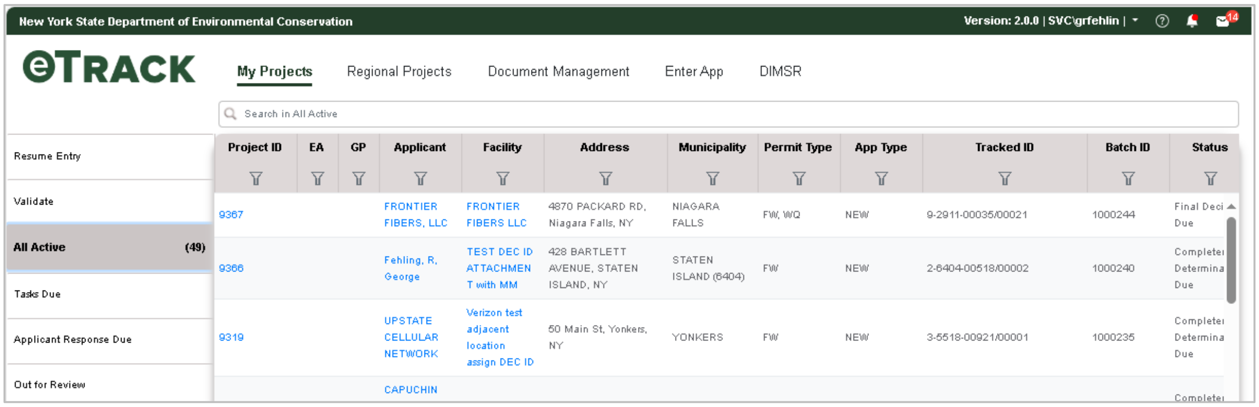
The Analyst clicks Upload to upload the application to DART, with the Tracked Record and Batch information displayed on this screen.

A successful upload to DART will generate a confirmation message.

12. Virtual Workspace - Analyst

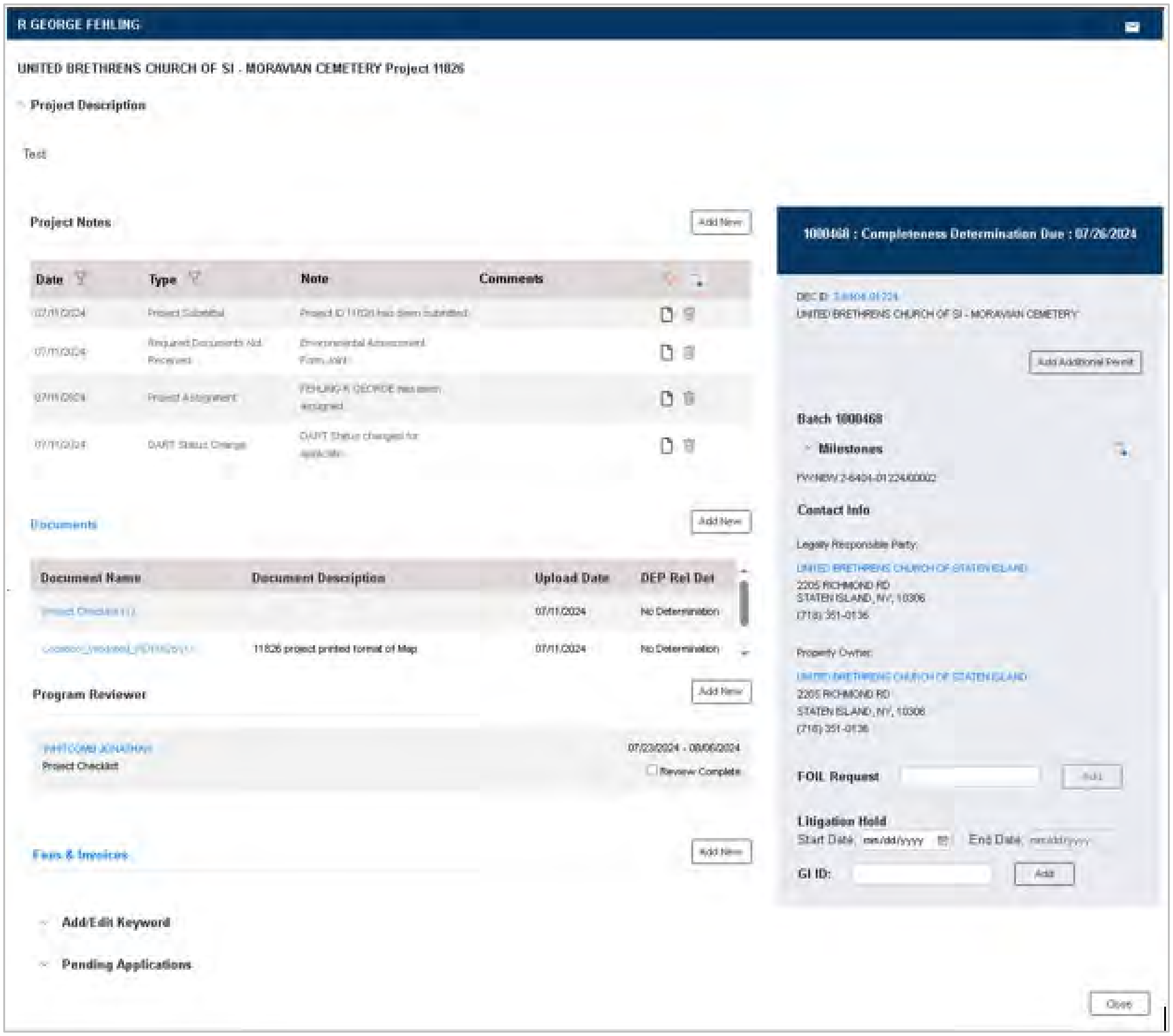
After uploading a Project to DART, a ‘Virtual Workspace’ is created specifically for that Project. The Virtual Workspace provides the Analyst with an overview of a Project and its multiple components, with the ability to view, assign reviews for program staff, upload related documents, navigate to information about the project, project location, and contact information, and more.

Once a Project is uploaded to DART, the Project will move from the Validate results grid on the Analyst Dashboard, and the Unvalidated grid on the Analyst Dashboard/Regional Projects, to the All Active results grid. Clicking on the blue, hyperlinked Project ID in either, will take the Analyst to the Virtual Workspace for that specific project.



The Virtual Workspace screen contains information, labels, text boxes, results grids, communication tools, and links, separated into a main work area to the left and a sidebar column to the right. It is a dynamic screen, with information changing as it is updated, both here and in DART.

When first arriving at the Virtual Workspace, only some of the information will appear. The screen will "fill out" as the Project is managed through to completion.

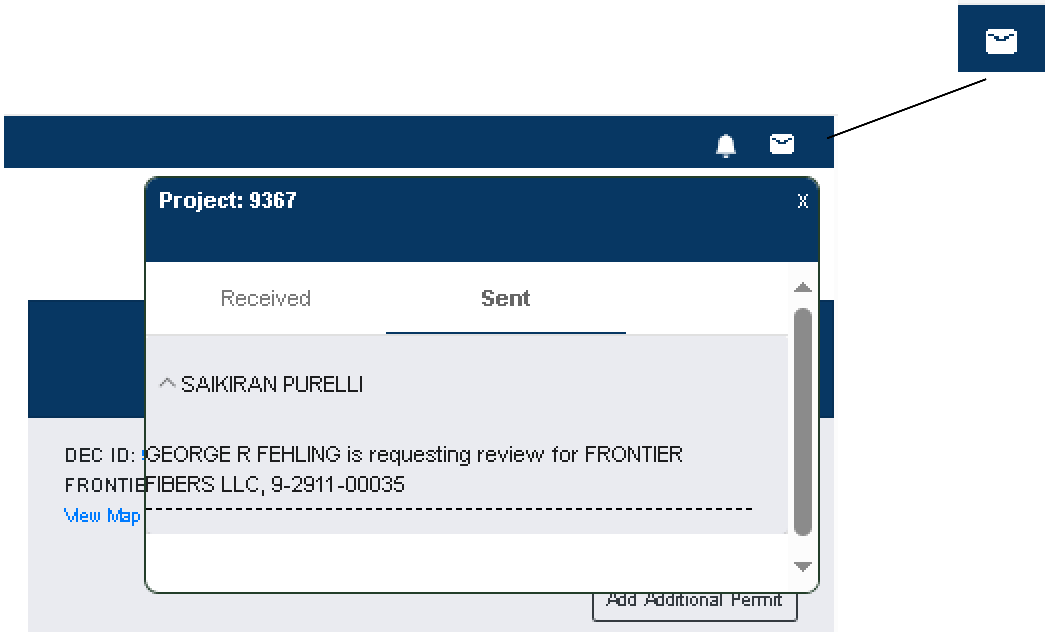


12.1 VW - Assigned Project Manager Name

The Assigned Analyst's name appears at the top of the screen in the blue banner. This is the name of the individual assigned via the Analyst Dashboard/Regional Projects/Unvalidated results grid.

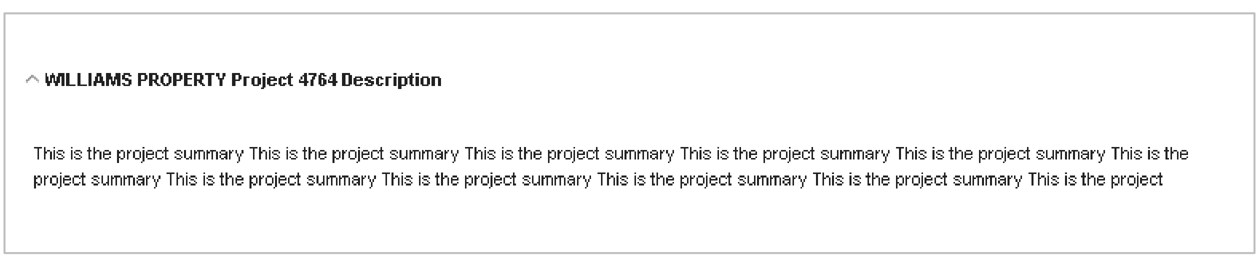
12.2 Message icon

Clicking on the message (envelope) icon produces the correspondence history with the Program Reviewers assigned to this project, organized by Received and Sent. (See Communications Flow Section 13.2 for more details).



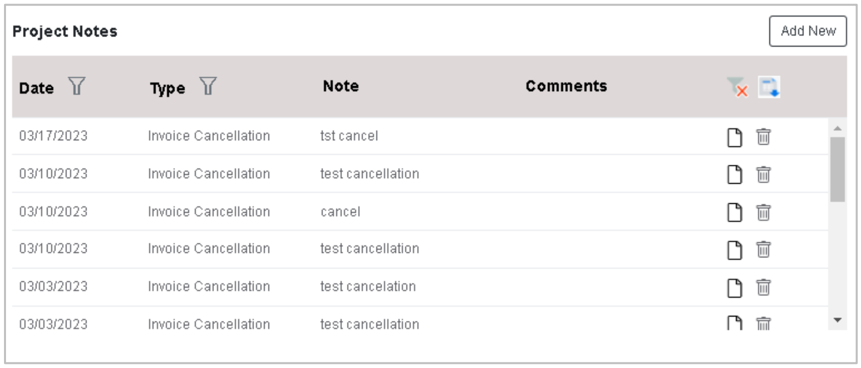
12.3 VW - Project Description

The Project Description is located at the top of the screen, below the name of the Analyst. The title begins with the name of the Facility, followed by the Project ID. The description is identical to what was entered on the Project Description screen in Step 3, sub-step 2, and cannot be changed. Clicking on the arrow beside the Facility Name will collapse or expand the description box.



12.4 VW - Project Notes

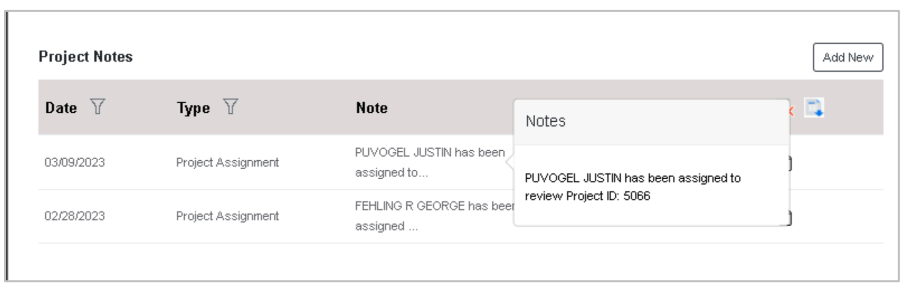
A Project Notes results grid helps the Analyst keep track of the project and the work performed. It can contain both System-Generated and Manually Generated Notes.



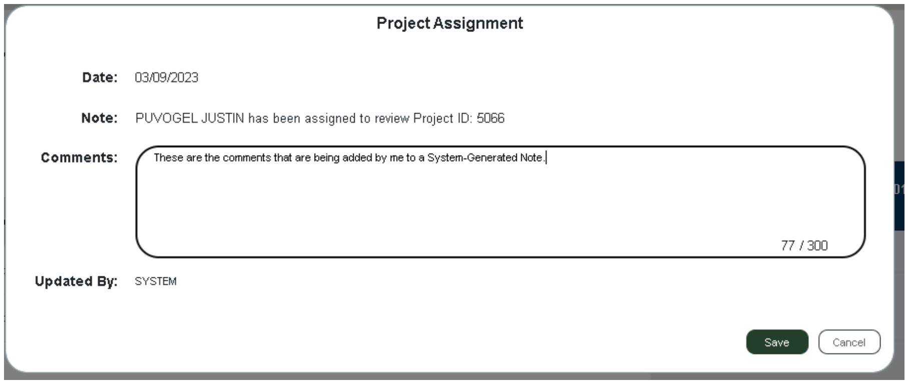
The Project Notes label appears at top left, an Add New button is at top right. The header contains the following information, from left to right: Date; Type; Note; and the Date and Type columns have filters and there is a clear filter icon at the upper right, beside an export table icon.

For Analysts, the System Generated Notes have results grid an edit icon beside them but no trash can, as an Analyst does not have the right to delete System Generated Notes (only System Admins can). Manually Generated Notes listed have both an edit icon and a trash can.

Hovering over the Note and the Comments displays the contents of each.



Clicking on the edit icon displays the full note, with the type at top, the date, the note itself, the comment box (which can be edited), and the label, 'Updated by', which reads SYSTEM if a system-generated note, and the Analyst name if manually entered. The Analyst can enter comments in a text field in the System Generated Note. When Comments are modified by the Analyst, the date and time of that change is noted.



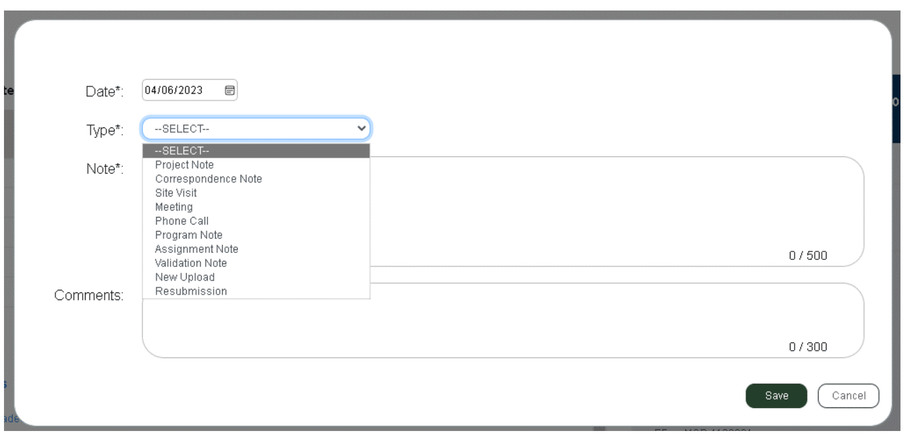
Clicking Save will save the Note to the results grid.

12.4.1 VW - Pop-up - Add Project Notes

Clicking the Add New button opens a pop-up where it is possible to add Project Note information. The data fields are Date* (calendar tool); Type*; Note*; Comments.

Date, Type, and Note are mandatory (*). The character limit for the Note is 500; the character limit for Comments is 300.

Clicking Cancel generates the Pending Changes pop-up. Selecting OK will close the pop-up without saving the Note in the results grid. The Date (calendar tool) default is set to the current date. All Types in the dropdown can be used to create a Note.



The Types are: Project Note; Correspondence Note; Site Visit; Meeting; Phone Call; Program Note; Assignment Note; Validation Note; New Upload; Resubmission.

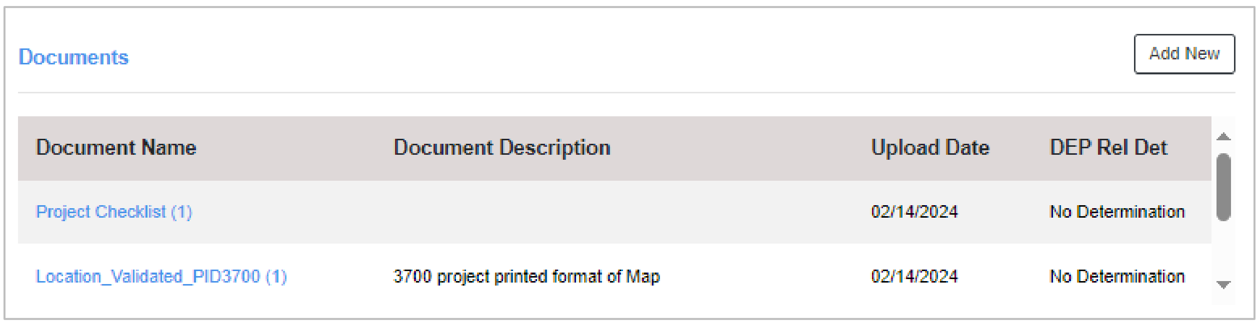
All Notes entered appear in the results grid. The edit icon opens the Note for editing and clicking the trashcan icon deletes the Note. Manually entered Notes can be deleted by the user.

Only System Administrators can delete System Generated Notes.

12.5 VW - Documents Results Grid

This section contains the previous 12 documents that have been uploaded to DMS through the eTrack screen for this project. The files are sorted with the most recent on top; the older ones "fall off" the list. Additional files can be uploaded from the Virtual Workspace by clicking on the Add New button.

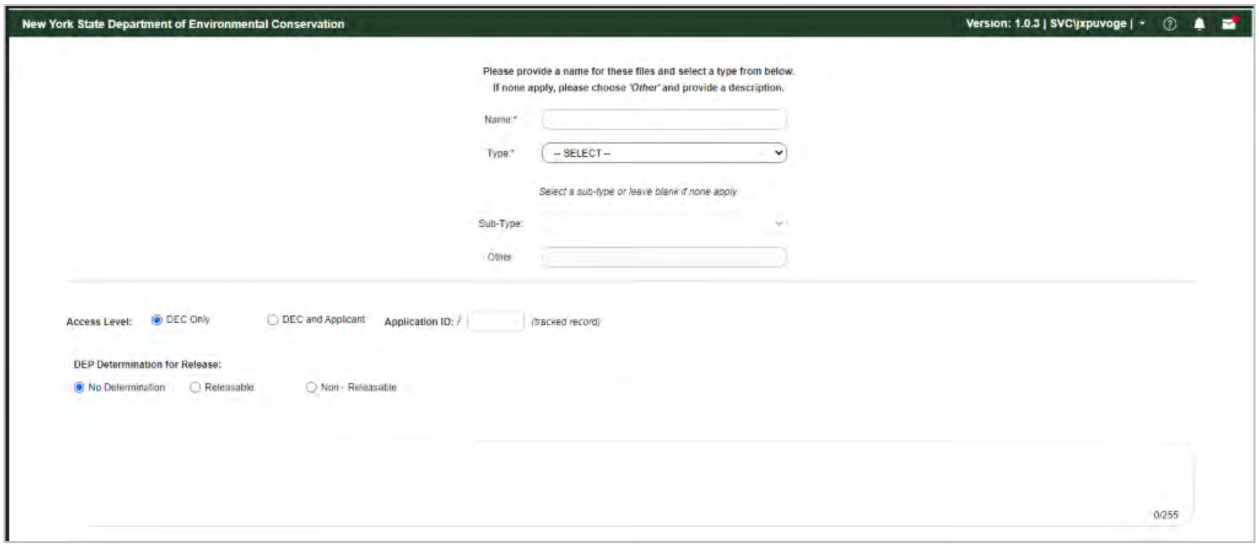
Hovering over the Documents label displays the label, 'See all Project ID XXXX documents'. Clicking on the Documents header will launch the full DMS for that Project, where all documents associated with the project can be viewed or downloaded.



The categories are, from left to right: Document Name, Document Description, Upload Date; and DEP Determination.

12.5.1 VW - Documents Results grid - Add New

Clicking the Add New button will launch the VW Document Upload screen, which is similar to the DMS upload feature, but has the benefit of associating the upload specifically to the project.

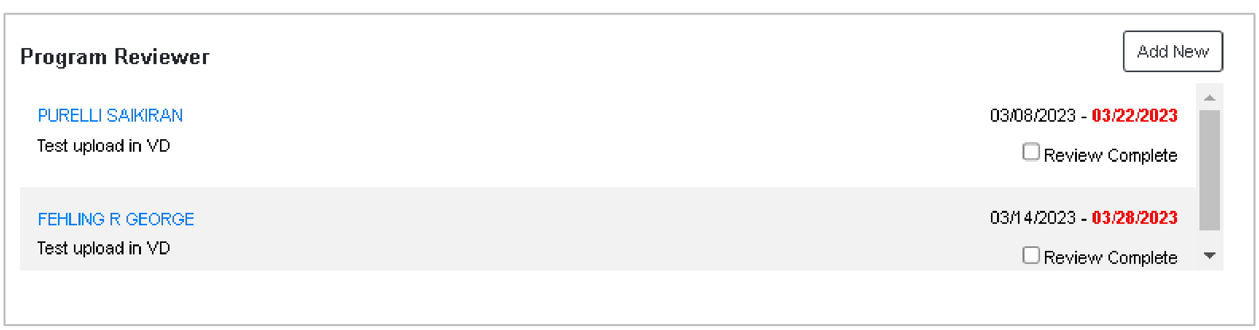


After uploading the Document and File(s), the Documents results grid will display the uploaded Document. The name of document appears in blue. Clicking on the document name displays the Select to View pop-up. The uploaded document should be visible in the document upload results grid for this project in DMS.

12.6 VW - Program Reviewer Results Grid

The Program Reviewer results grid enables the Project Manager to communicate with the Program Staff regarding the application review, and/or assign Program Staff to review a previously uploaded Document for the project. If no Program Reviewers are yet assigned, the header label Program Reviewer will appear to the left and an Add New button will appear to the right.

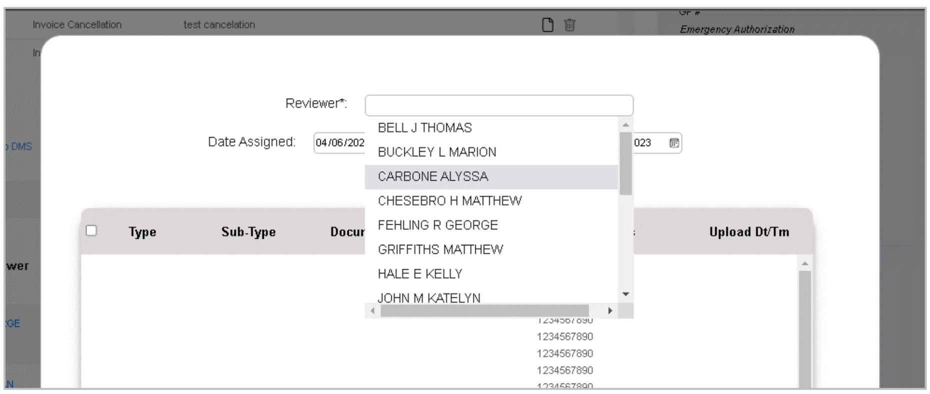
If a Program Reviewer has already been assigned, the results grid will appear as follows:



The Program Reviewer's name appears in blue. Clicking on the Name will display the correspondence the Analyst/Project Manager has had with the Reviewer. Below the Reviewer's name is the name of the Document(s) they were assigned to review. To the right, the Assignment Date and Due Date of the Review appears. If the Due Date has passed, it will appear in red. A checkbox sits beside the label Review Complete. Complete is determined by the Analyst. When marked, Review Complete, all correspondence between the analyst and the reviewer is uploaded to DMS. (See Communications Flow Section 13.2 for a full description of Communication process between the Analyst and the Program Reviewer).

12.6.1 VW - Program Reviewer – Add New

Clicking the Program Reviewer Add New button will display the assignment pop-up, which will enable the user to assign a program reviewer to specific documents. A dropdown list of available Program Reviewers appears, in alphabetical order, last name first. Typing in the last name or first name will present the name(s) of the Reviewer, if available, for selection.



The Program Reviewer assignment pop-up contains the following assignment tools, which are all required fields:

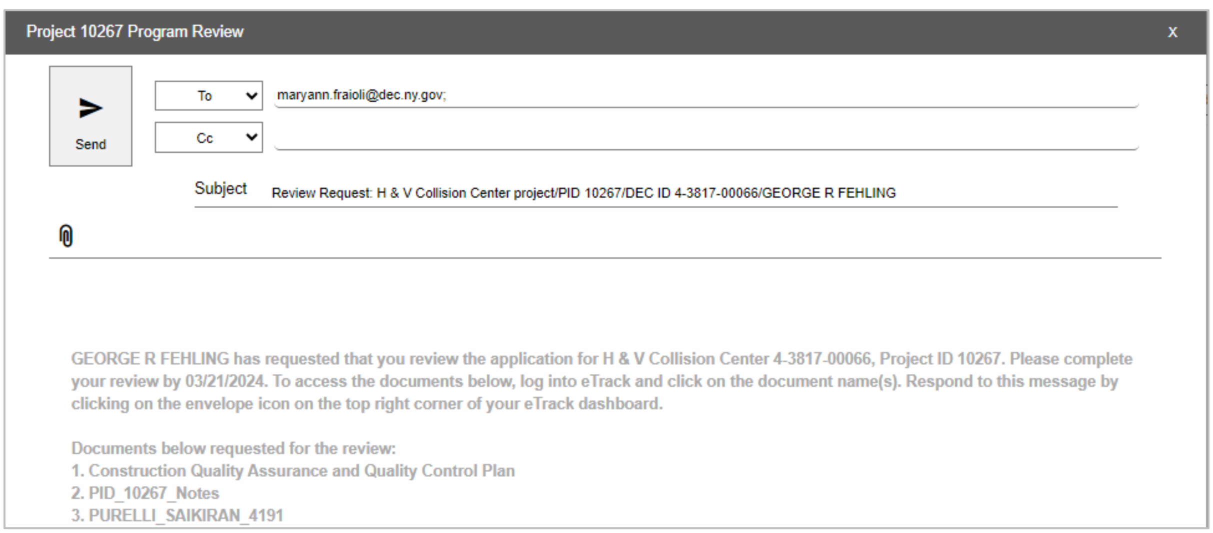
- Reviewer*: (dropdown list of names in alphabetical order, last name first)
- Date Assigned*: (calendar tool) which defaults to the current day
- Due Date*: (calendar tool) which defaults to 2 weeks later

Below this is a results grid with the header columns from left to right: (A select-all checkbox); Type; Sub-Type; Document Name; Description; #Files; Upload Dt/Tm). With documents already uploaded, the information will appear in the results grid.

By clicking on a checkbox beside the Document name, and clicking OK, a Program Reviewer will be assigned and a confirmation email generated.

12.6.2 VW - Program Reviewer Assignment Email Pop-up

After the Program Reviewer is assigned, the pop-up will be replaced with a message addressed to the Program Reviewer.



In the banner at the top, is the Project Number, as follows: ‘Project XXXX Program Review’. The selected Program Reviewer's email address is pre-populated in the ‘To’ field. The request appears in the Subject field (e.g., Review Request: H & V Collision Center project/PID 10267/DEC ID 4-3817-00066/GEORGE R FEHLING). An ‘attach’ paper-click icon enables one or more files to be attached. This attachment may be deleted using the ‘X’ beside the file name.

A further summation of the request in the body of the email appears in a light-grey font, with the deadline and the description of the request.

The ‘To’, ‘Cc’, and ‘Subject’ fields can be modified. Body text can be added to the message, above the system generated text, but the system generated text cannot be deleted.

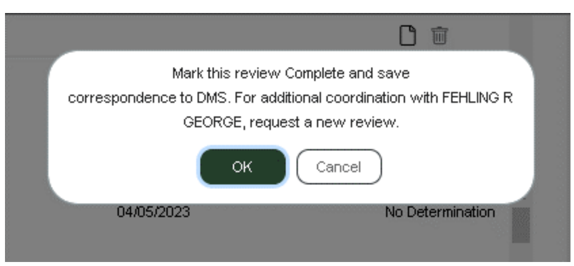
Note: Manually placing a space between multiple email addresses will generate an error message. Multiple people may be copied, but there can be no space between the addresses (Outlook automatically places spaces; eTrack does not).

After the email is sent, the correspondence history will be available. Clicking on the Program Reviewer name produces the correspondence history. The message can also be viewed by clicking on the envelope icon at the top right of the screen.

12.6.3 VW - Program Reviewer – Review Complete

After the email is sent, the Program Reviewer's name appears at left in the results grid. To the right is the Date Assigned and the Due Date, as entered. Below the Dates is a checkbox (blank by default) alongside a label: Review Complete.

By clicking on the checkbox, the page greys-out and a pop-up confirmation appears which reads: ‘Mark this review Complete and save correspondence to DMS. For additional coordination with (NAME), request a new review.’



Clicking OK, the correspondence will be uploaded to the DMS Facility with the Type: Correspondence; Sub-Type: and Program Comments.

12.7 VW - Fees & Invoices Results Grid

This feature provides the Analyst with a way to select the fees that apply to permits where required and to generate and track invoices. As of November 2023, the permit types that have fees associated with them are: 1) Tidal Wetlands, 2) Freshwater Wetlands and 3) Liquefied Natural Gas Facilities.

If one or more of the three permit types that have fees have been assigned to this project, the Fees & Invoices section will display on the VW with the 'Add New' button, and no results grid.

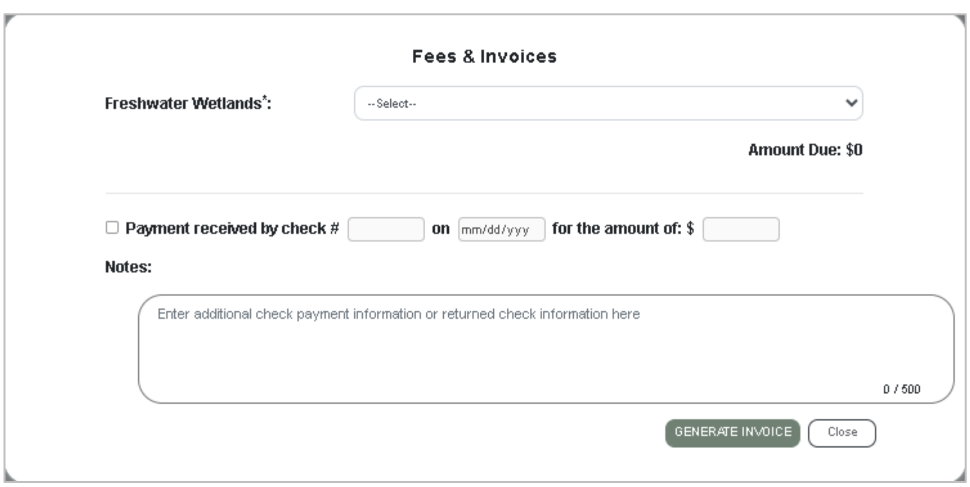
A Project with no fees or invoices will not display a Fees & Invoices results grid on the Virtual Workspace, and this section will be hidden. Emergency Authorizations and General Permits do NOT have fees, this section will also be hidden.

The Fees & Invoices header is a link that takes the user to the DEC Environmental Permits Forms and Requirements page at https://www.dec.ny.gov/regulatory/permits-licenses/environmental-permits/forms-requirements

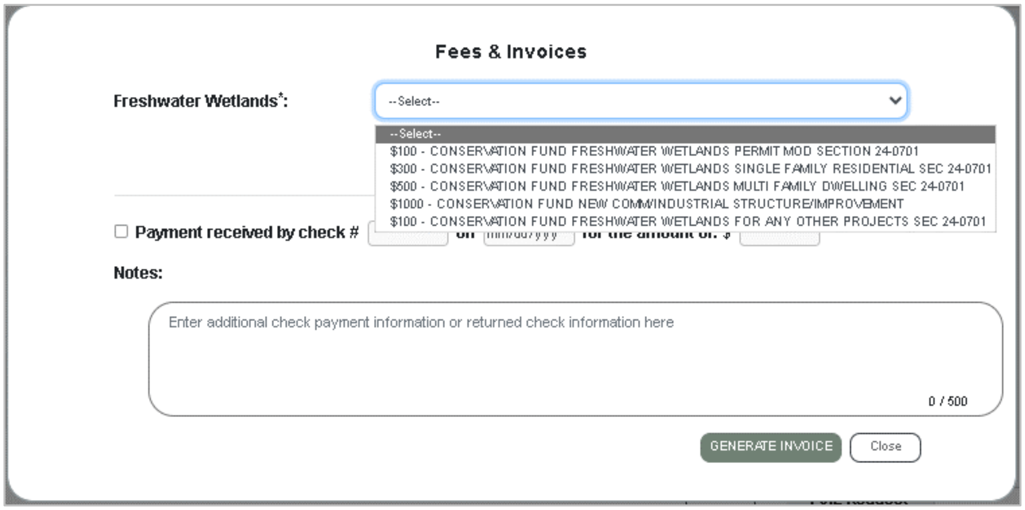
12.7.1 VW - Fees & Invoices - Add New Button

Clicking the Add New button will open a pop-up that will enable the user to select the proper fee for the permit types for the project and generate an invoice. The permit type(s) chosen for the Project (that have fees associated with them) appear at the top left, next to a dropdown menu.

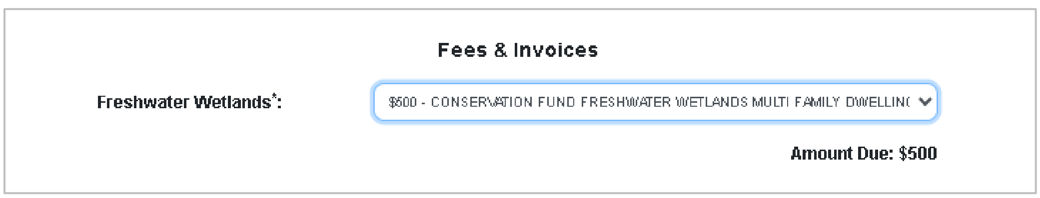
Beneath the Permit Type and fees dropdown is a section where the Analyst can enter information about a payment that may have been received with the application, and Notes. This section is enabled as soon as the popup has been opened.



The Permit type label(s) (e.g., Freshwater Wetlands*) is followed by dropdown with a selection of fees. When clicked, the dropdown menu will display all fees that are associated with that permit type.



The Analyst selects the appropriate fee(s). The Amount Due will auto-calculate the sum based on selections made.



When a value(s) is selected from the dropdown(s),the 'Generate Invoice' button will be enabled.

The Analyst will click the button to generate an Invoice.

The Invoice number is assigned and sent from FMIS at the time of Invoice generation. The Invoice information will now appear in the Fees & Invoices results grid on the VW.

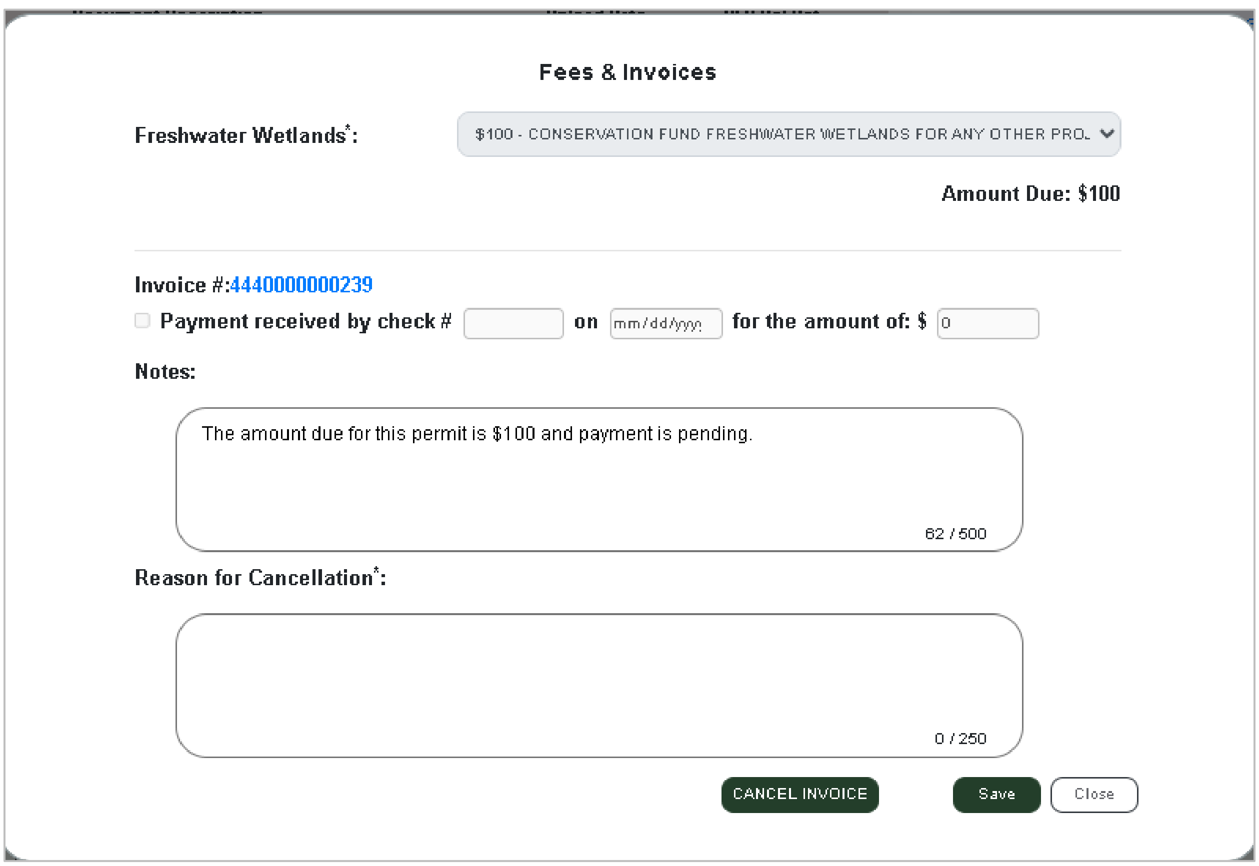
12.7.2 VW – Fees and Invoices – Populated Results Grid

Once an Invoice has been generated, it will appear in the Fees & Invoices results grid together with information that can help to track it.

From top left, moving from left to right, the labels are: Status; Due; and Invoice #. In a row beneath these labels, again moving from left to right, are the labels: Paid; Date; and Pay Reference #.

When an invoice is first generated, the Status will be listed as ‘Payment Pending’. Clicking on the Status link, will open a pop-up with the fee dropdown disabled and the Invoice number present as a hyperlink .

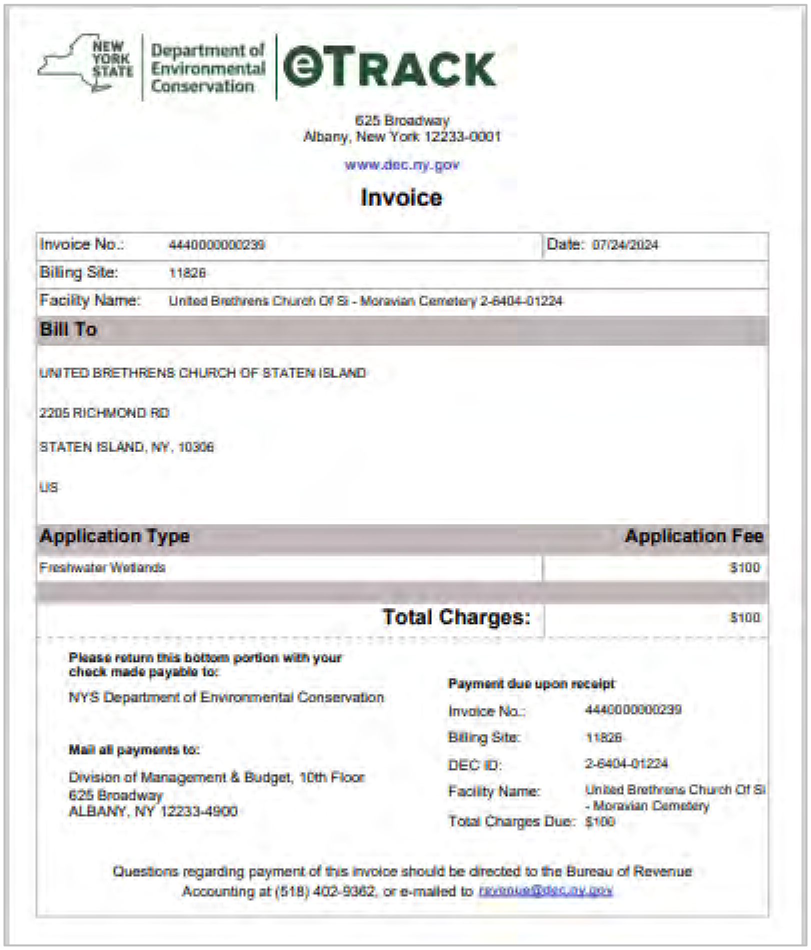
The view below is that of a System Admin, who along with an Override Admin, has the authority to Cancel an Invoice (providing no payment has been made and reconciled by FMIS). An Invoice cannot be cancelled on the same day it was generated. If cancelled, it will still remain visible on eTrack – not deleted, and the Status will read ‘Cancelled’.



Note: The eTrack system allows an invoice to be created without check details (if a check was provided with the application). Once the invoice is generated, the check #, the date, or the amount, cannot be amended as there is no invoice update between eTrack and FMIS.

Clicking on the Invoice # link will display a pdf of the Invoice itself.

The Invoice is stored in DMS. An eTrack Invoice appears as follows:



NEW YORK STATE | Department of Environmental Conservation | eTRACK

625 Broadway
Albany, New York 12233-0001
www.dec.ny.gov

Invoice

Invoice No.:	4440000000239	Date: 07/24/2024
Billing Site:	11826	
Facility Name:	United Brethrens Church Of Si - Moravian Cemetery 2-6404-01224	

Bill To

UNITED BRETHRENS CHURCH OF STATEN ISLAND

2205 RICHMOND RD

STATEN ISLAND, NY, 10306

US

Application Type	Application Fee
Freshwater Wetlands	$100
Total Charges:	$100

Please return this bottom portion with your check made payable to:

NYS Department of Environmental Conservation

Mail all payments to:

Division of Management & Budget, 10th Floor
625 Broadway
ALBANY, NY 12233-4900

Payment due upon receipt

Invoice No.:	4440000000239
Billing Site:	11826
DEC ID:	2-6404-01224
Facility Name:	United Brethrens Church Of Si - Moravian Cemetery
Total Charges Due:	$100

Questions regarding payment of this invoice should be directed to the Bureau of Revenue Accounting at (518) 402-9362, or e-mailed to revenue@dec.ny.gov

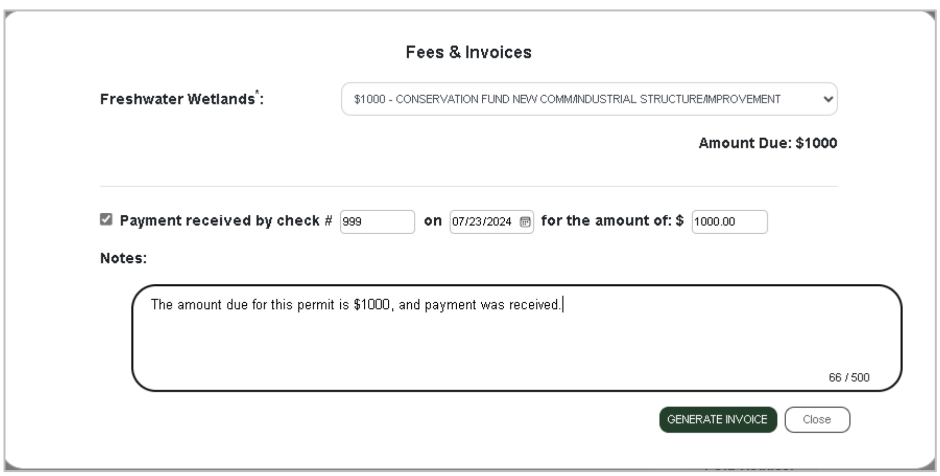
Returning to the VW, other information about the generated invoice can be seen. The amount is $100, as per the selection made, there is an Invoice # displayed as a hyperlink, which when clicked will display the generated Invoice as a pdf, the Paid amount is $0, the Date is the date the Invoice was generated, and the Pay Reference number is blank.

The Invoice # is assigned and sent from FMIS at time of generation.

eTrack will periodically check the status of the Invoices which is in Pending status, and if there are any changes in the status, then the Status will be updated in eTrack and displayed to the user the next time the VW is displayed. Status could be ‘Paid’ if paid, or ‘Cancelled’ if cancelled.

12.7.3 VW – Fees & Invoices - Payment Received by Check

Before an Invoice is generated, the Analyst can enter information about a payment received by check (if any). A checkbox appears beside the label: ‘Payment received by check #’ (data field) on mm/dd/yyyy (calendar tool) for the amount of: $(data field). This checkbox and the check information and notes are for the Analyst’s reference only. This information is not conveyed to the Division of Fiscal Management nor entered or tracked in any fiscal systems. If the application came by mail with a check, the payment information can be entered, regardless of full or partial amount. Any comments can be added to the Notes field at any time, however eTrack does not monitor or display partial payment information. So, if an Analyst wants to keep track of a partial payment, or additional payments that come in, they would enter the information into the Notes section (a manual process).



If a payment was received with the application, the Analyst will check the checkbox, enter the required check information (mandatory when the checkbox is checked) and any Notes (not mandatory). The checkbox and payment received information is not required in cases where a physical check has not been received with the application.

With information about the received check entered, clicking the Generate Invoice button will add the invoice to the results grid on the VW, at the top of the list. The status, regardless of whether full or partial payment was received, will remain as Payment Pending until that status is changed.

Once the Generate Invoice button is clicked, the check received information (whether filled-in or blank) cannot be changed.

Note: The Analyst should write the invoice number on the check received to assist the Division of Fiscal Management reconcile the payment.

Note: The FMIS system tracks the eTrack Project ID as the "BILLING_SITE_ID". In communications with FMIS, please use the same terms for describing the Project ID.

12.7.4 VW – Invoices & Fees – Payment Pending

A status of Payment Pending indicates that fees apply but no payment has been made, or that full payment has not been received (in other words, it has not been reconciled in FMIS).

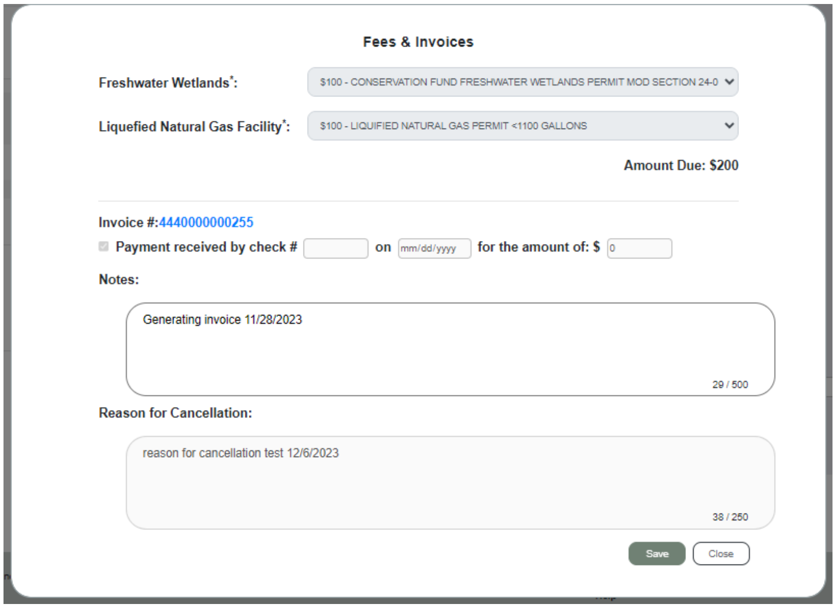
If a partial payment has been made, FMIS will send the amount paid back to eTrack where it will be displayed beside the ‘Paid’ label.

12.7.5 VW – Invoices & Fees – Cancelling an Invoice

Once the invoice is generated and is in Payment Pending status, and there is a special circumstance (error in fee determination), AND if no payment has been recorded, If a System Admin or Override Admin is given the option to Cancel the invoice. Clicking on Payment Pending, the System Admin or Override Admin will see the same detailed popup as the Analyst will see, however with an additional ‘Cancel Invoice’ button and ‘Reason for Cancellation’ field which is a required field.

Note: An invoice cannot be cancelled on the day the invoice was generated.

After the Cancel Invoice button has been clicked, the status will change to ‘Cancelled’ in the results grid. At this point, any user can click on the status and see the popup with the cancellation information. These fields will be disabled, as no one will be able to change or delete the reason for the invoice cancellation.



Note: If a check is received in the mail in error, it should be returned to the applicant and no invoice should be generated where no fee is due.

Note: If a check is received in the mail and deemed an overpayment, the check should be returned to the applicant. The Department does not issue refunds.

After cancelling the invoice, a System Generated Project Note will appear under Project Notes.

12.7.6 VW – Invoices & Fees – Paid Status

A status of ‘Paid’ indicates that full payment has been made and reconciled in FMIS. FMIS will then send to eTrack a payment reference number. The Paid amount will display and a Reference # will appear in the results grid.

Clicking on the Paid link will open the Fees and Invoices popup as read only.

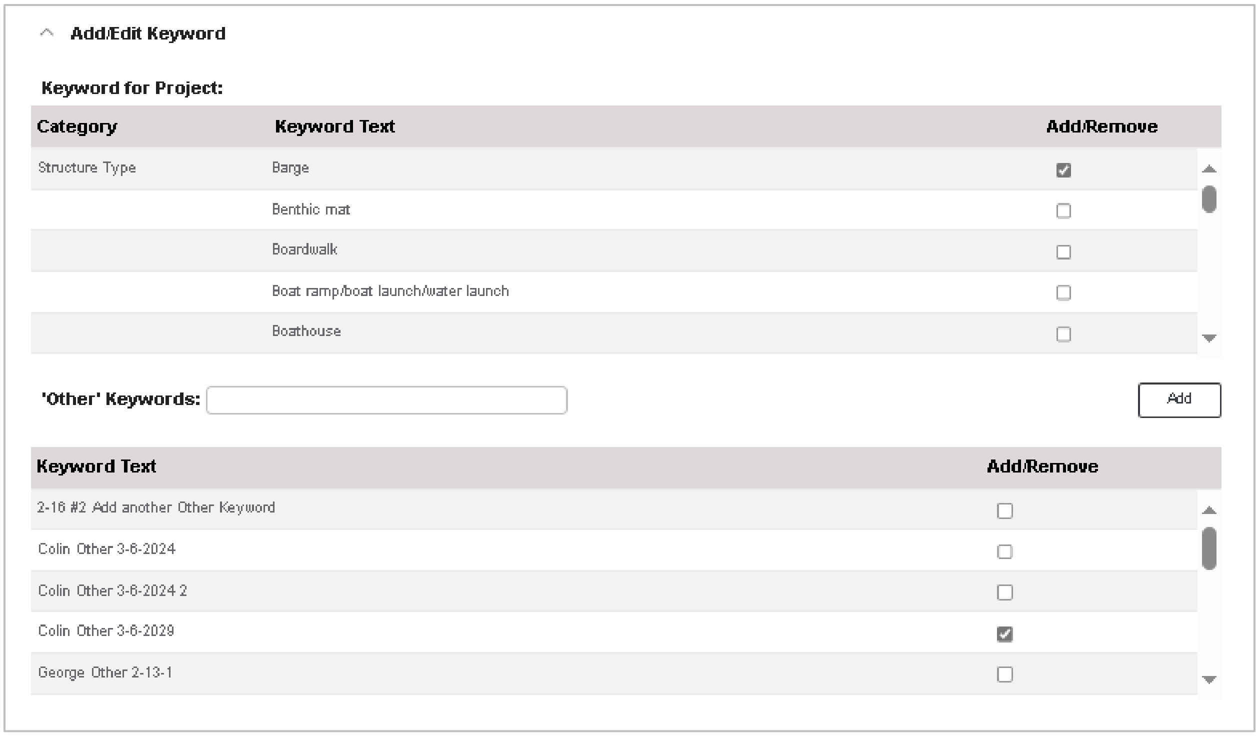
A System Generated Note ‘Payment Received Date’ will also appear on the VW under Project Notes.

There could be multiple payments, and therefore multiple Payment numbers.

12.7.7 VW – Keywords

The Keyword section on the VW is collapsed by default. Clicking the arrow will open this section.

There are two grids: 'Keyword for Project' and 'Other Keywords'. These function the same as on the Project Description screen in Step 3 of Validate Mode.



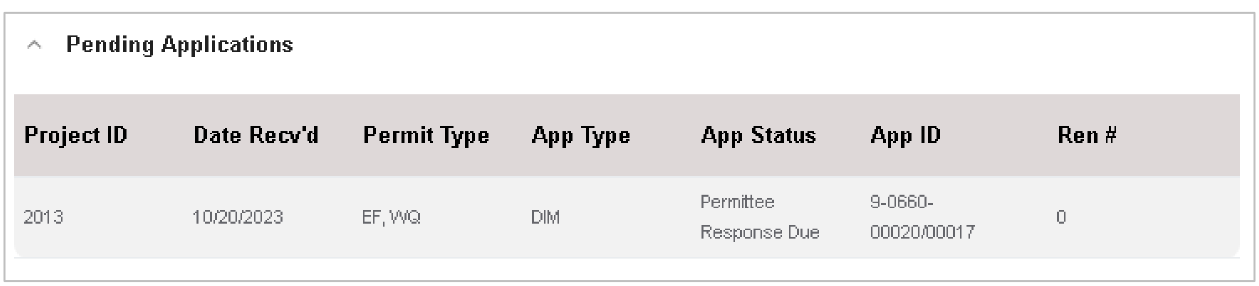
System Detected Keywords selected in Validate mode will be added to the bottom of the Keyword for Project grid. 'Other' Keywords added here will appear on the Other Keywords grid in Validate Mode.

The 'Other keywords' grid contains all keywords that have been entered for approved permits.

12.8 VW - Pending Applications

Header columns, from left to right, are: Project ID; Date Recv'd; Permit Type; App Type; App Status; App ID; and Ren #.

The Pending Applications information results grid references all pending applications at the facility.



12.9 VW - Active Authorizations

Header columns, from left to right, are: Project ID; Permit Type; App Type; App ID; Ren #; Mod #; SAPA Deadline; and SAPA Extended.

The Active Authorizations information results grid references all active permit authorizations at the facility.

Active Authorizations

Project ID	Permit Type	App Type	App ID	Ren #	Mod #	SAPA Deadline	SAPA Extended
	WQ	REN	9-0660-00020/00007	1	0	09/03/2003	Y
	EF	REN	9-0660-00020/00005	1	0	09/03/2003	Y

12.10 Virtual Workspace - Sidebar section

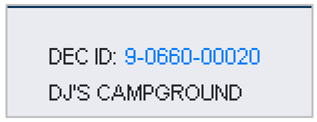
The Virtual Workspace sidebar column contains information, labels, results grids, and tools. Information appears in the following order from top to bottom:

12.10.1 VW Sidebar - Status

Project status message displays. Information comes from DART.

12.10.2 VW Sidebar - DEC ID (link)

The DEC ID for the Facility associated with the Project, appears below the Status section and is a hyperlink in blue. The DEC ID should match the Facility to which the Project has been associated. The DEC ID hyperlink responds and takes user to eFind (an additional login may be necessary). The Facility matches the DEC ID in the Virtual Workspace.



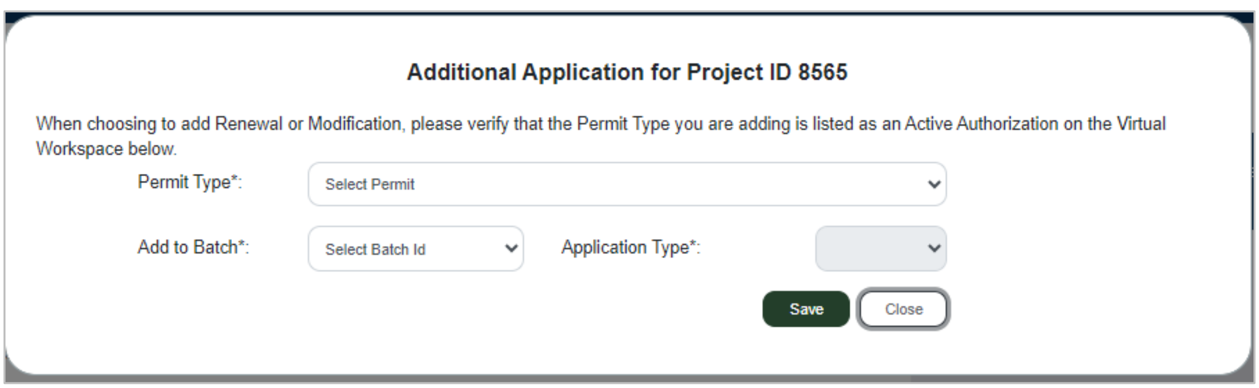
12.10.3 VW Sidebar - Facility Name

Facility Name matches the Project information entered during data entry in Step 1. If the facility name changes after submittal and validation, (i.e., change in enterprise), it will display the edited name.

12.10.4 Add Additional Permit

In the Virtual Workspace, an Analyst or System Admin can add an additional permit to an existing Project ID by using the Add Additional Permit button at the top of the blue sidebar. Clicking on the button will open a popup with options for creating a new permit. Once completed, the application will be uploaded to DART and will persist in eTrack.

Clicking on the Add Additional Permit button opens a popup with the Project ID in the headline:

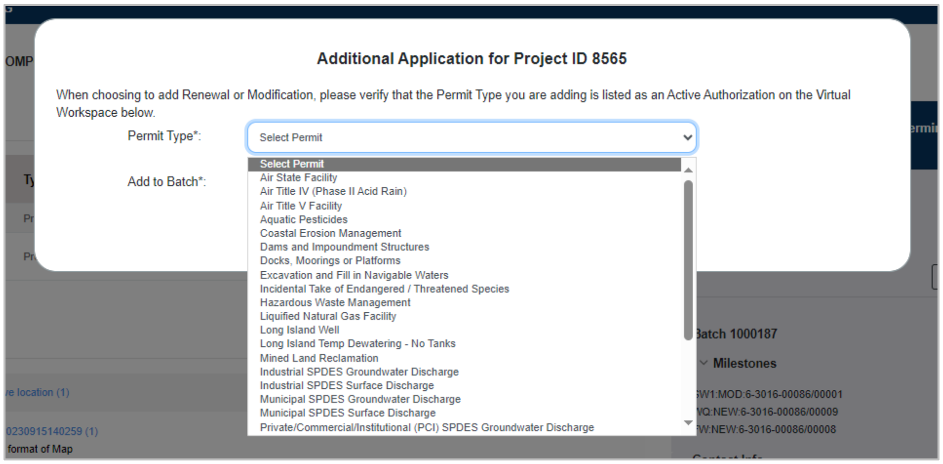


The Permit Type, Add to Batch, and Application Type are all mandatory selections.

The user is reminded that when choosing to add a Renewal or Modification, they should verify that the Permit Type they wish to add is listed as an Active Authorization on the results grid on the Virtual Workspace.

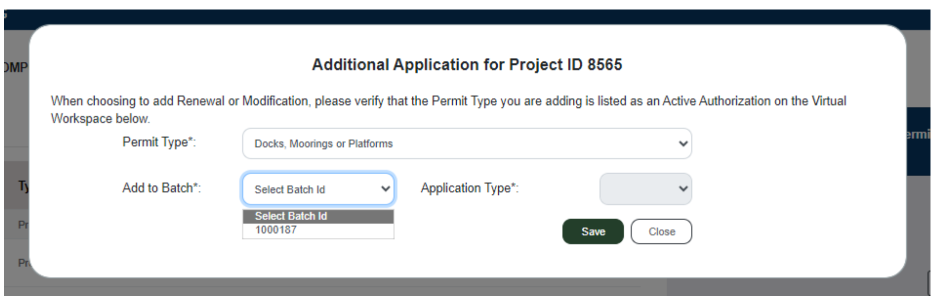
Select Permit Type

Clicking the Select Permit dropdown arrow will present a list of available permit types. Permit types already selected for the Project will not be displayed in the dropdown.



Add to Batch

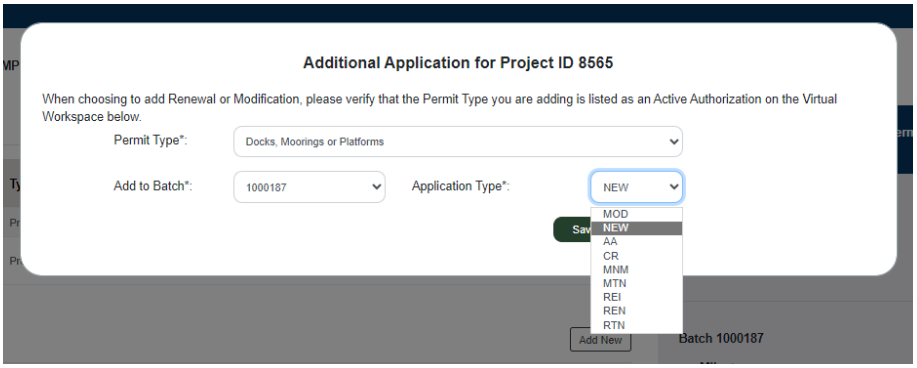
Clicking the Select Batch Id dropdown arrow will display the available Batch number. The additional permit will appear underneath that specific Batch heading in the sidebar.



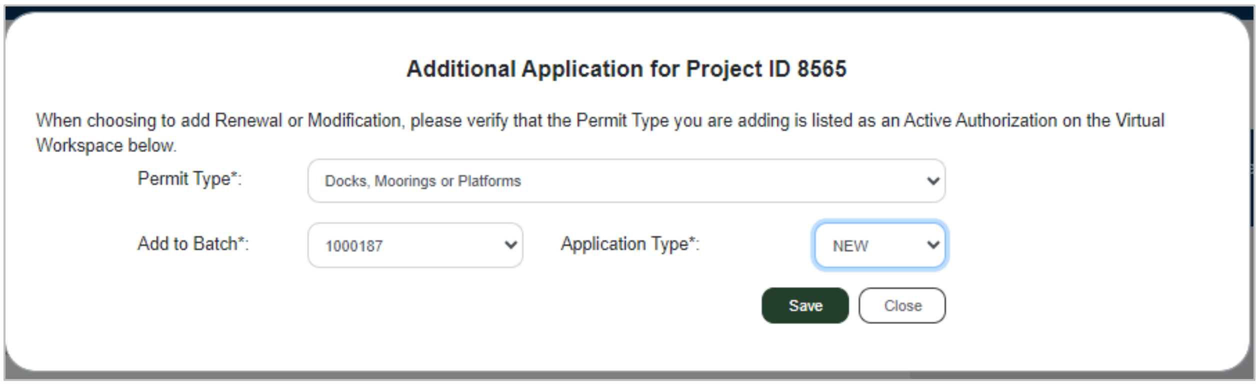
Add Application Type

Clicking the Application Type dropdown arrow will display the list of types available. Refer to Appendix for full list.

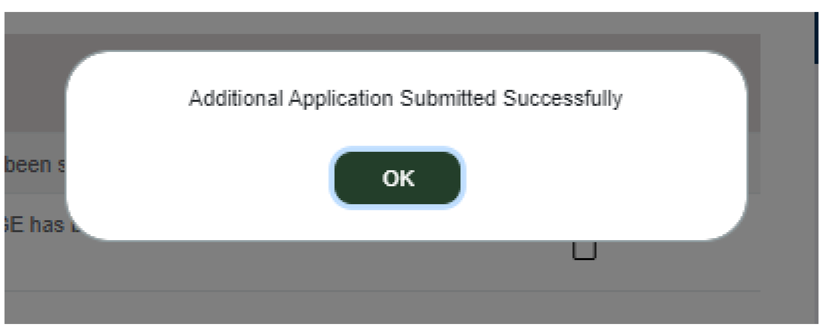
Note that the DIMSR App Types are not available.



Save Button



With the allowable selections made, the Save button will display a confirmation message that the permit has been successfully submitted.



If selections have been made in the popup that are not allowed, the appropriate error messages will display.

Sidebar Display of Added Permit

After submission (upload to DART), the additional permit added will display beneath the Batch ID, at the top of the list, with the App Type appended to the Permit Type, and followed by the Tracked ID.

Appearance on Pending Applications Results Grid

Following submission, the additional permit will appear in the Pending Applications results grid alongside the Project ID and with the other Permit Types.

Pending Applications

Project ID	Date Recv'd	Permit Type	App Type	App Status	App ID	Ren #
8565	09/15/2023	AT4, DO, FW, SW1, WQ	NEW	Completeness Determination Due	6-3016-00086/00011	0

12.10.5 VW Sidebar – Batch

Permits selected for Project appear by Batch, with Milestones and Permit information displaying below the Batch label. The Batch Number of the Permits appears in bold above the Permit information. It is possible for a single project to have multiple batches.

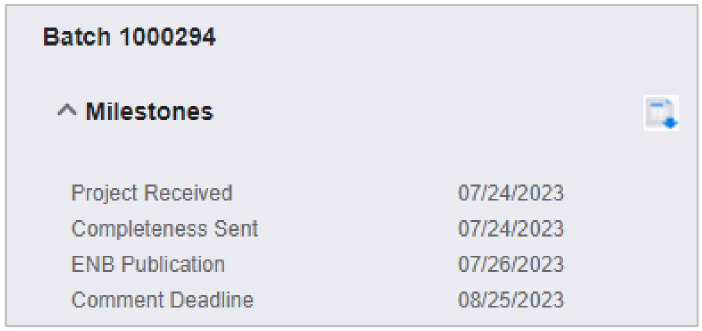
Batch 1000175

Milestones

P3G:NEW:4-3899-00043/00012
P2G:NEW:4-3899-00043/00011
FW:NEW:4-3899-00043/00010
WQ:NEW:4-3899-00043/00013

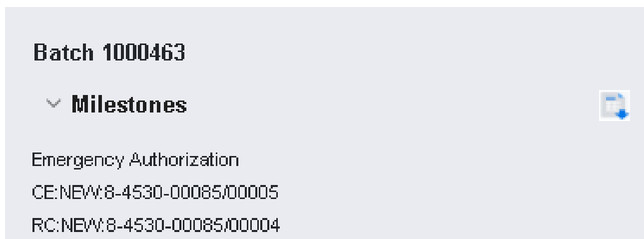
12.10.6 VW Sidebar - Milestones (by Batch)

Milestones display by Batch and can be downloaded to an Excel file.



12.10.7 VW Sidebar - Emergency Authorization

An Emergency Authorization indicator will display below the Milestones and above the permit type list if selected for the Project in Step 3.



A Project for which the Emergency Authorization was NOT chosen will not display the EA indicator.

12.10.8 VW Sidebar - GP (General Permit)

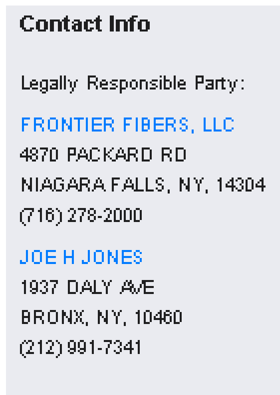
General Permit indicator present when selected. If a General Permit was selected for this Project in Step 3 of data entry mode, the GP indicator should appear in the Virtual Workspace sidebar.

12.10.9 VW Sidebar – Permit List

The permits selected for the Project appear beneath the Milestones and the EA and GP indicator labels, if any. The order of the Permit display is: Permit Code (2-letter abbreviation); App Type (MOD, etc.); Appl ID

12.10.10 VW Sidebar - Contact Info - LRP

The Legally Responsible Party (LRP) name and contact information should match that of data entered in Step 2 of data entry mode (also visible on Analyst Dashboard). Clicking the hyperlinked name of the LRP will take the user to the LRP's information in eFind (additional login may be necessary). Beneath the name is the street address, city, state, zip code, and telephone number. Clicking the email address (if included) opens a blank email in Outlook, with the address of the recipient pre-populated. If there is more than one LRP, they will be displayed here.

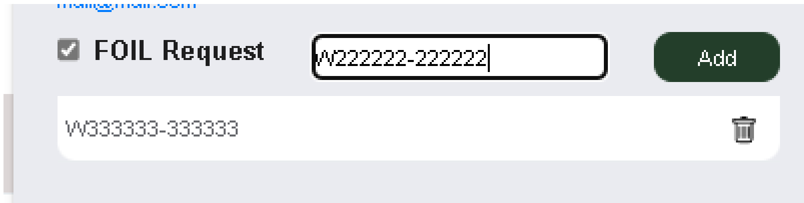


12.10.11 VW Sidebar - Contact Info - Property Owner

The Property Owner name and contact information should match what was entered in Step 2 of data entry mode (also visible on Analyst Dashboard). Clicking the hyperlinked name of the Property Owner will take the user to the Property Owner's information in eFind (an additional login may be necessary). Clicking the email address (if any) opens a blank email in Outlook, with the address of the recipient pre-populated.

12.10.12 VW Sidebar - FOIL Request

Clicking on the FOIL Request checkbox enables a data field with the character "W" at the beginning. The FOIL Request number is highly recommended. Only numbers may be entered in the data field. The Add button will not enable until 12 numbers are entered. These are added to the W and the dash to equal 14 characters.

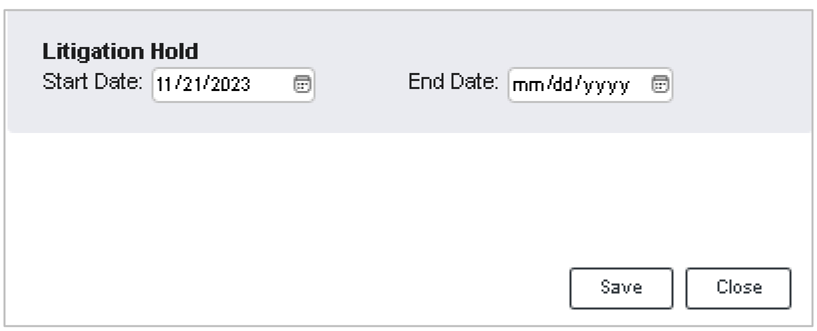


The data field auto-formats when the number of required characters is entered, placing a dash after the first six numbers added. Clicking the Add button, the FOIL Request number is added to a results grid; the data entry box becomes empty, there is a trash can beside the results grid row, and the suggestion about adding a FOIL number reappears. Clicking Save at the bottom of the screen will generate a confirmation pop-up. Returning to this page will display the information entered.

12.10.13 Litigation Hold

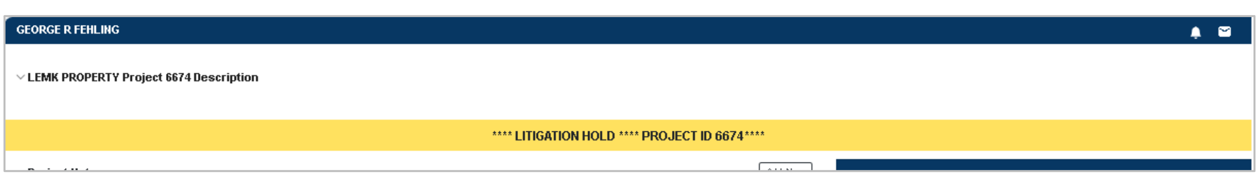
A Litigation Hold feature is situated below FOIL Request, with selections for Start Date and End Date. Calendar tools enable the date selections. Dates may be chosen by calendar or by manual entry. Entering an End Date that is before the Start Date will generate an error message.

Entering a Start Date triggers the appearance of a ‘Save’ button at the bottom of the screen and enables the End Date field.

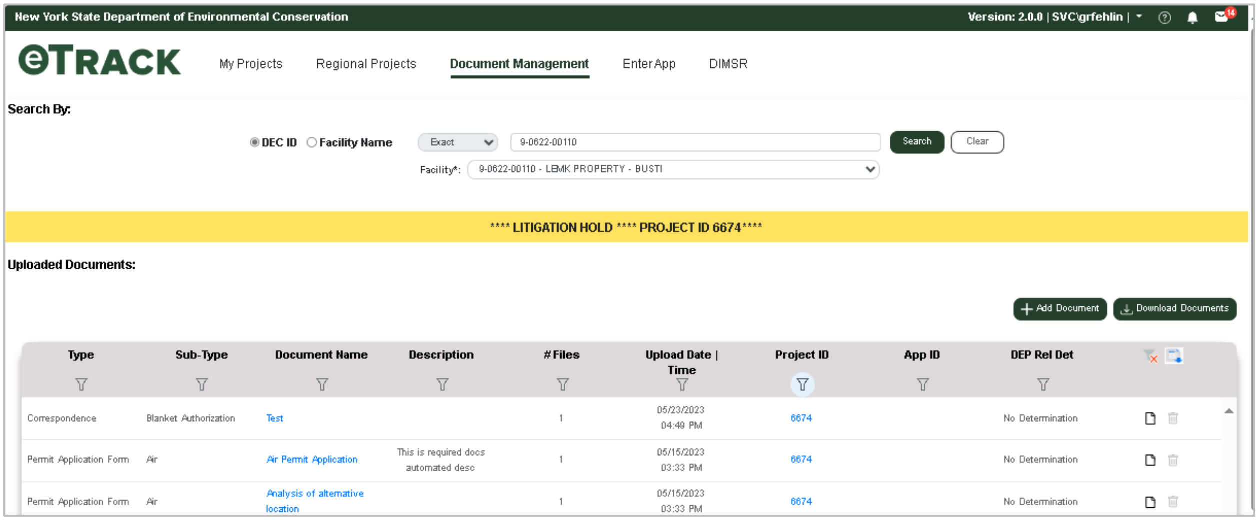


Clicking Save at the bottom of the VW will save the data and generate a ‘Save was successful’ popup, and if the Start Date is the current date or earlier (and there was no End Date, or an End Date that is in the future), a yellow Litigation Hold banner will appear at the top of the screen, with the Project ID inside the banner. The banner will be visible when returning to this screen. Clicking the Close button without clicking Save generates a "Pending Changes" pop-up.

When saving a Litigation Hold, a banner will appear both at the top of the VW…

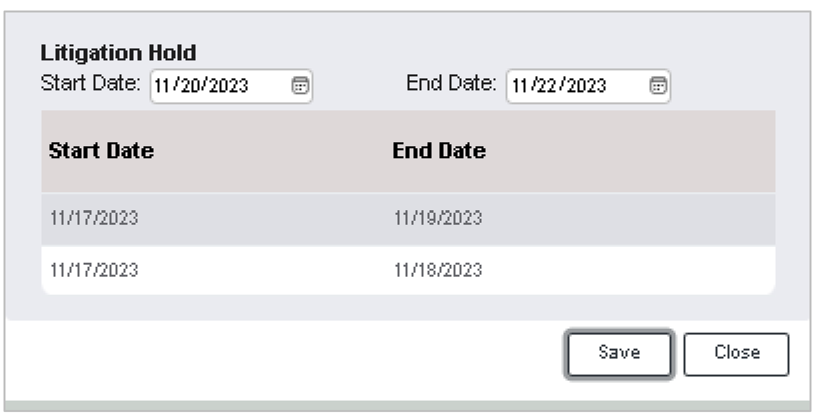


and on the DMS screen for the facility, where the Project ID will also appear in the banner.



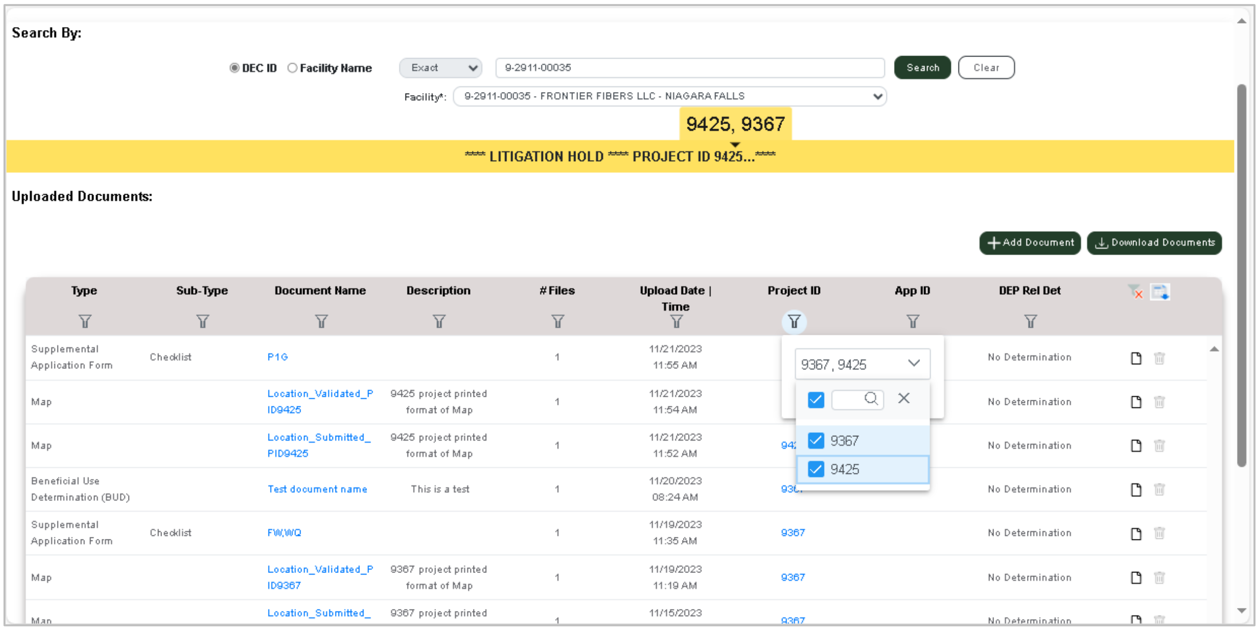
In DMS, the delete (trashcan) icons will be disabled for the Project that is subject to the Litigation Hold. Documents that are not subject to the Litigation Hold (i.e., that belong to a different project) may be deleted.

If more than one Litigation Hold has been applied to the project, the history will appear in a grid. When the End Date is entered and Save clicked, the Litigation Hold will get moved to the grid, the Start Date and End Dates fields will be cleared, and the End Date becomes disabled. The most current/active Litigation Hold Start Date will remain in the enterable field, encouraging the user to end one before starting another.



Entering an End Date that is prior to the current date and clicking Save will end the Litigation Hold and the banners will also disappear from the VW and DMS.

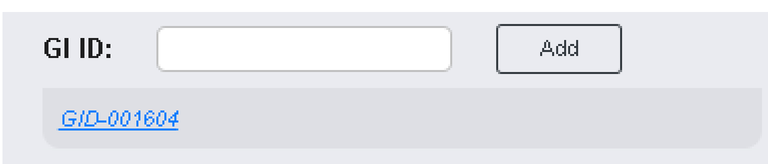
If a facility is related to more than one Project, and more than one Project is subject to a Litigation Hold, the DMS screen for the facility will display all relevant Project IDs in the top banner, with the user hovers over the ellipsis (three dots) after the first Project ID number.



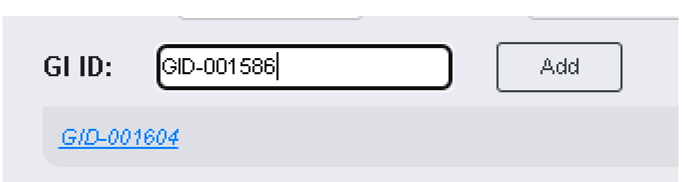
A Project Note will be generated when a Litigation Hold is created. Adding an end date to a Litigation Hold will also generate a Project Note.

12.10.14 VW – GID List

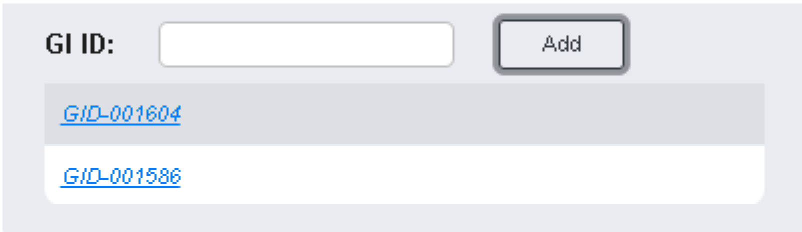
A GID added to a Project during Step 1 Validation will appear at the bottom of the sidebar, with a hyperlink that will take the user to the VW for that GID.



A valid GID can also be added in the field above. Begin typing the number and the GID- prefix will auto-populate.



Clicking Add will add it to the list.



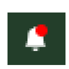
13. Communications

eTrack has several mechanisms to notify Analysts and Program Reviewers when tasks are waiting for their attention. For example, when an Analyst is assigned to Validate a Project, an Alert will appear within the bell in the banner at the top of their screen and remain there until either the Alert or the Assignment Note it contains is read.

When an Analyst assigns a Program Reviewer to review a Project or Project documentation from the Program Reviewer grid in the Virtual Workspace, an email will be sent to the Program Reviewer's Outlook email box. From that point forward however, all communications between the Analyst and the Program Reviewer occur within the eTrack application itself.

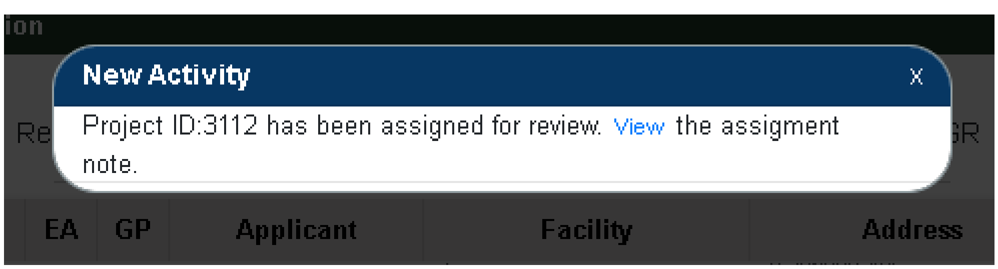
13.1 Analyst Alerts

When an Analyst is assigned to be a Project Manager, an alert will be generated specific to that person. A notification (red dot) will appear within the Alert bell in the top navigation bar.



The individual assigned as the Project Manager clicks on the bell to display the Alert. This will display the alert pop-up, with the header: New Activity.

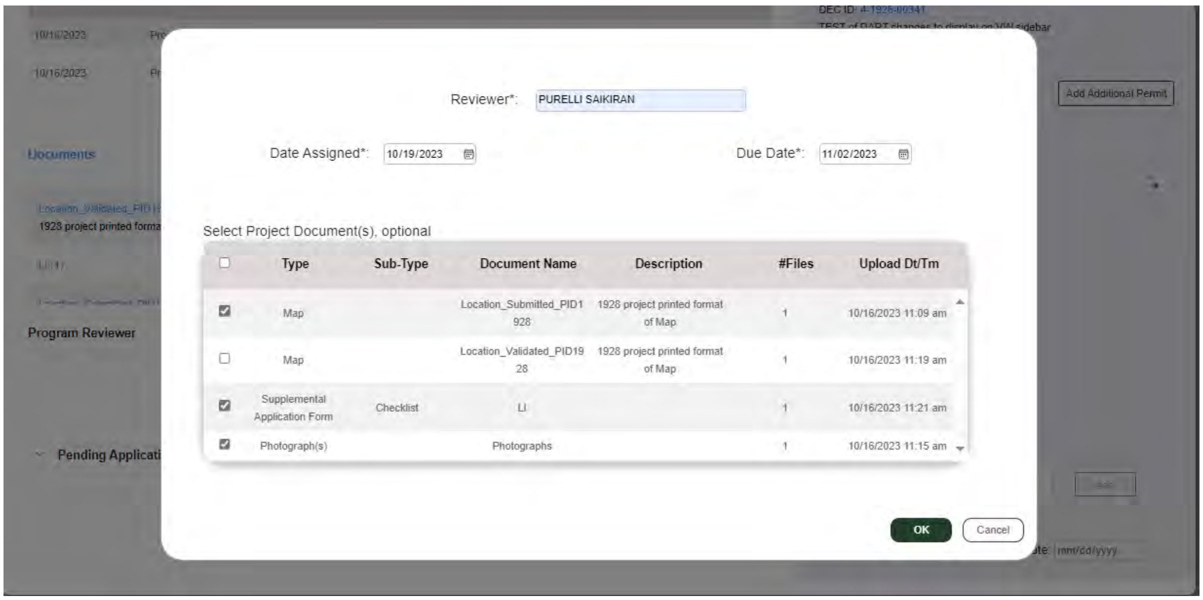
An alert should appear in the pop-up that reads: Project ID XXXX has been assigned for review. View (link) the assignment note.



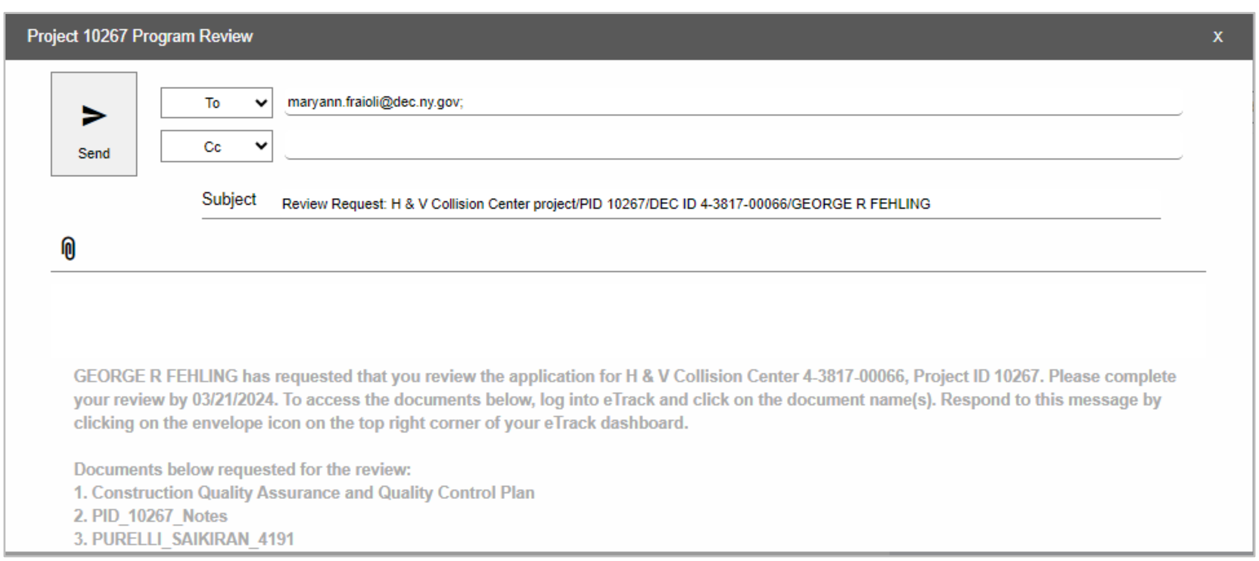
Clicking on the link opens up a second line, where the Assignment Note (if provided) can be viewed. Returning to the Analyst dashboard, the red dot should no longer be visible in the bell. The alert, having been read, is no longer visible, and the pop-up reads, No New Activity.

13.2 Communications Flow for Assigning a Program Reviewer and Ongoing Correspondence

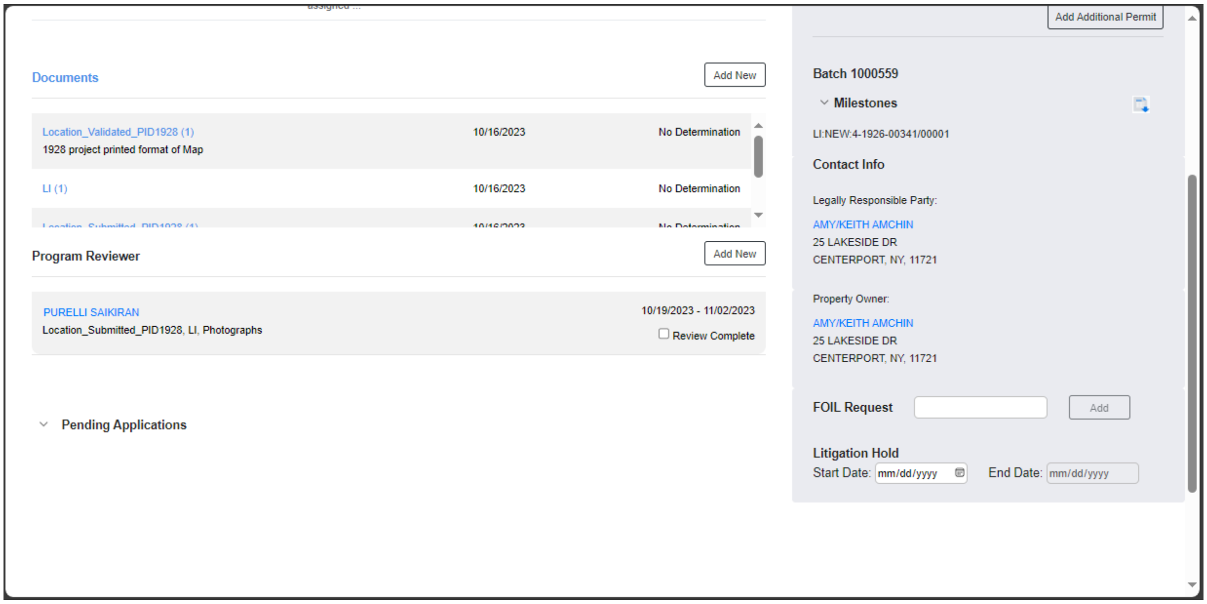
To begin a Program Review, from the Analyst Virtual Workspace, the Analyst will click on the "Add New" button in the Program Reviewer section, choose a reviewer name from the dropdown list, an assignment and due date (which are pre-populated but may be changed), and select the project documents for review (selecting documents is optional).



An email message box appears, with the Program Reviewer email address and the Subject pre-populated. Documents selected (if any), appear in the body of the email, with the request date for completion.



After the email is sent, the Reviewer's name will appear under the Program Reviewer section of the Analyst VW, with the documents and dates listed.

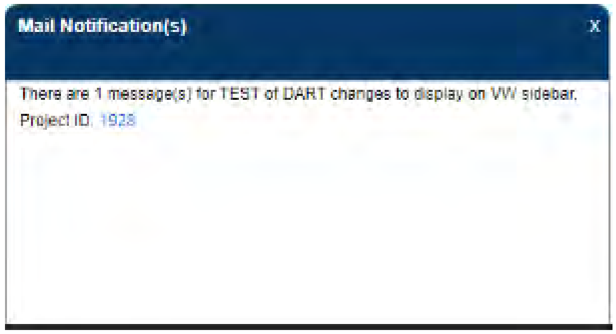


The Program Reviewer will receive the email in MS Outlook. The documents requested for review are all included in one email.

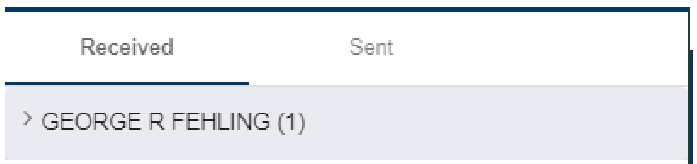
In addition to the email, the Program Reviewer will also see a red dot above the envelope icon on their dashboard, informing them that a message notification is waiting for them.

Clicking on the envelope will display the notification, with a link to the Program Reviewer Virtual Workspace (the Project ID is a hyperlink).

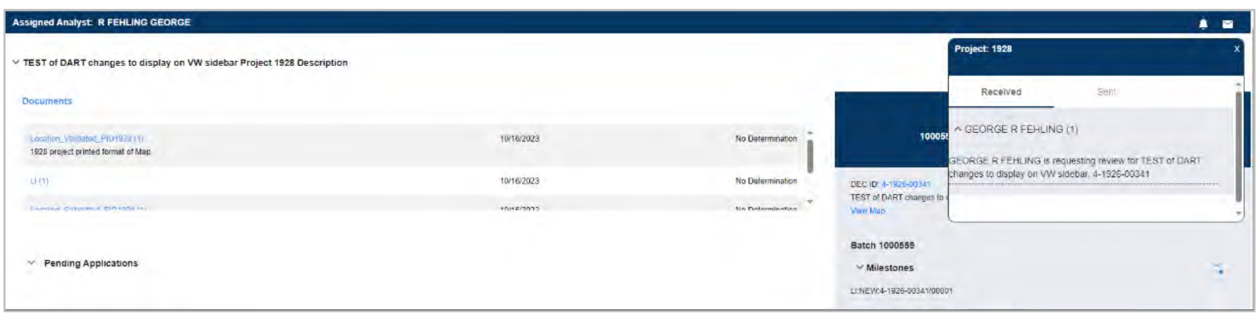
Note: All further correspondence between the Analyst and the Program Reviewer will occur within the eTrack application.



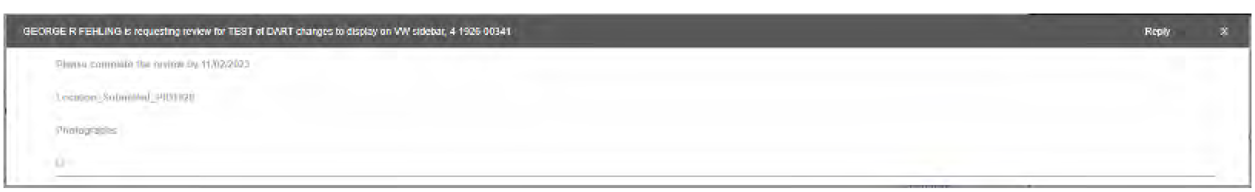
Clicking on the Project ID hyperlink brings the Program Reviewer to the Virtual Workspace for that Project. Clicking on the envelope icon on the Virtual Workspace reveals that a message has been received. A number indicator displays how many messages there are from that sender, e.g. (1).



Clicking on the sender's name displays the Subject of the message.



Clicking on the Subject opens the message, with the documents selected for review listed.

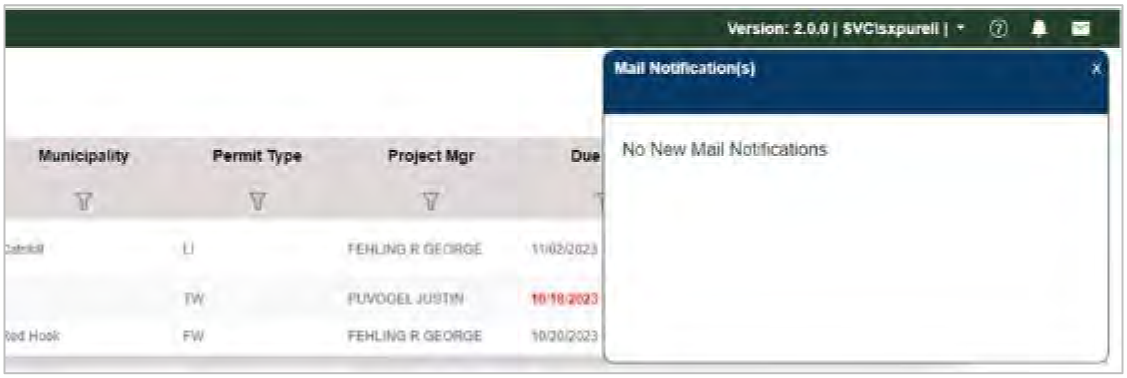


Messages received and sent will be retained under the envelope after they are read.

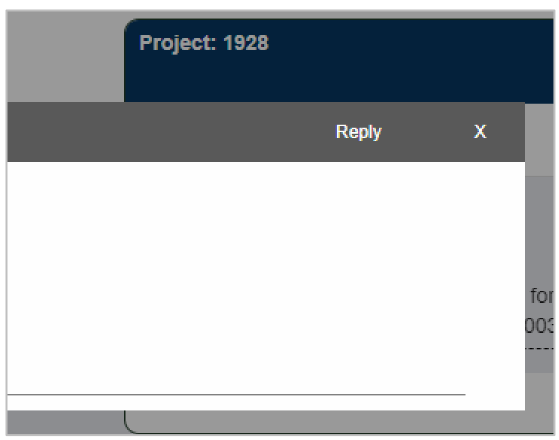
Note: The number next to the sender's name will not decrease until the message notification has been closed and re-opened.

Having read the message, when the Program Reviewer returns to their dashboard, the message notification will have disappeared, and the red notification dot will have vanished (or the number decreased, if there was more than one message waiting).

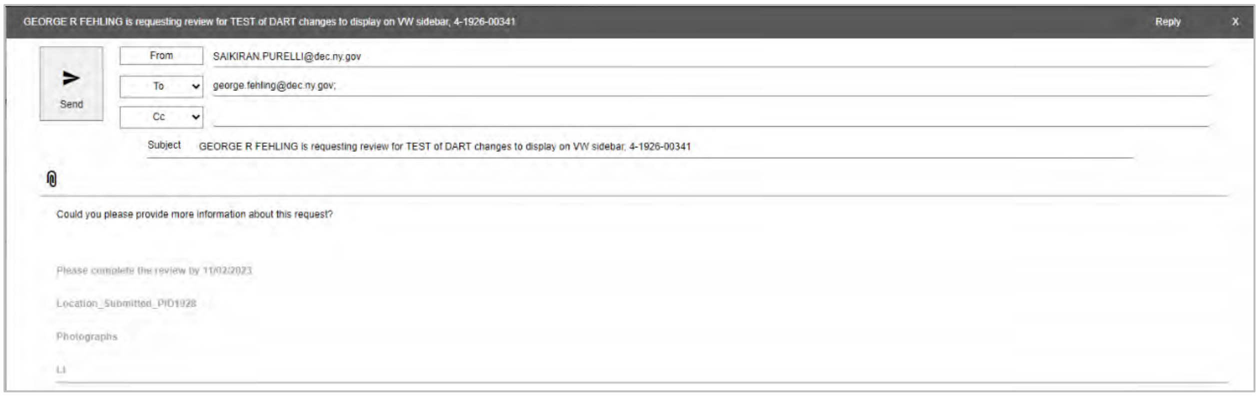
The message will read "No New Mail Notifications".



If the Program Reviewer wants to send a message back to the Analyst about the review request, they can click on Reply at the top of the message they just viewed on the Virtual Workspace.



This will open a message, with the email addresses of both sender and recipient pre-populated.



Note: To enable a Program Reviewer to attach a file to be sent to an Analyst, an Outlook message must be generated and sent to the Analyst's Outlook email. A copy of the message will appear in the message icon, but without the attachment.

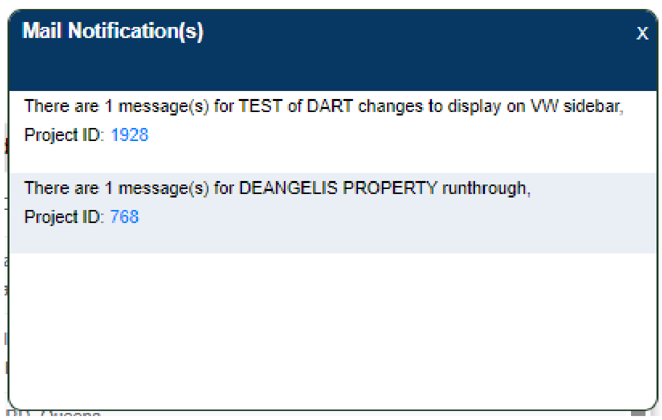
After the message is sent, clicking on the envelope again will display the Analyst's name under the Sent category. Sent messages do <u>not</u> display a number next to the name.

Clicking on the name will reveal the Subject.

Clicking on the Subject will display the message that was sent.

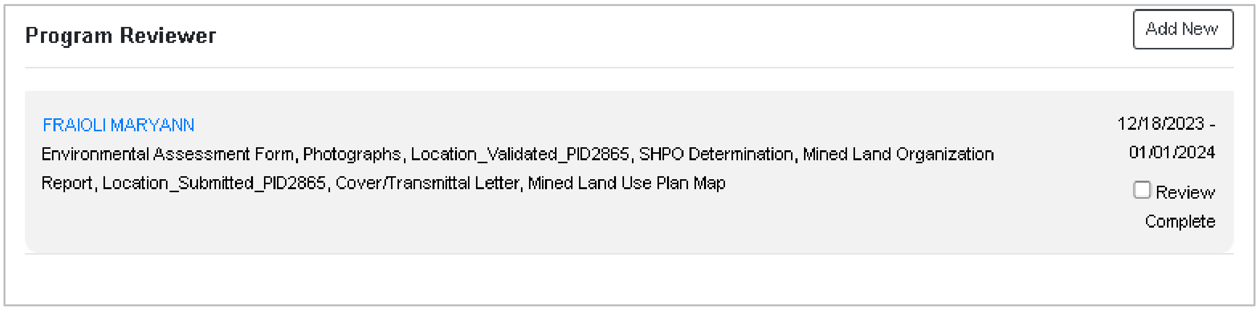
Returning to the Analyst, back on the Analyst dashboard, the Analyst will see an indicator (red dot) informing them that a message is waiting (the total number of UNREAD messages will display).

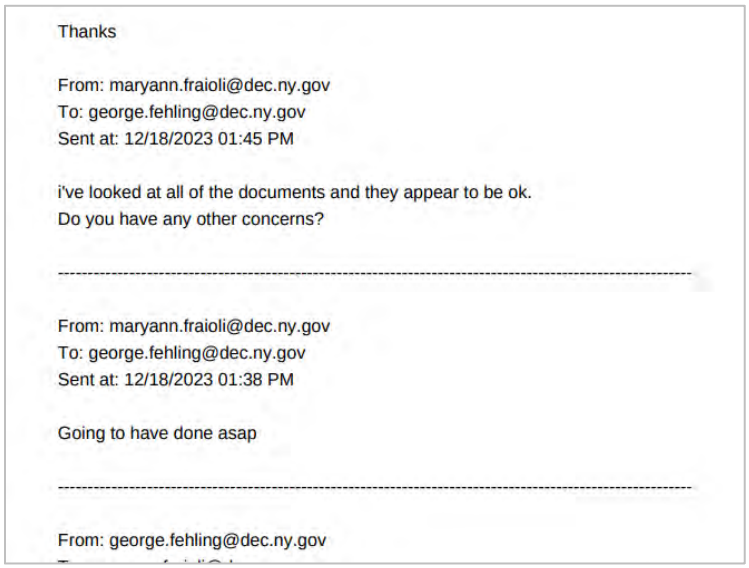
Clicking on the envelope icon will display the message notifications awaiting attention.



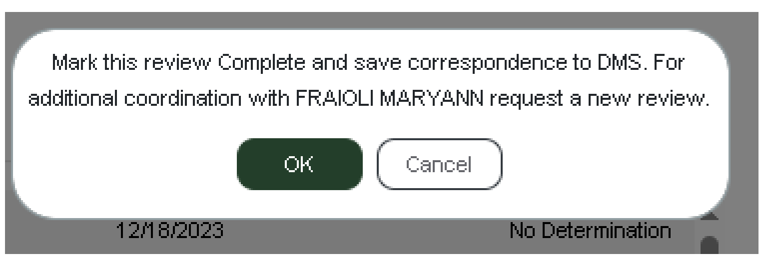
The Analyst repeats the process described above to read the message from the Program Reviewer by clicking on the Project ID hyperlink, going to the Virtual Workspace for that Project ID, clicking on the message icon, clicking the name and the subject, and reading the message. Only <u>after</u> the message is read, will the number in the red dot on the Analyst dashboard reduce (this may require a page refresh if the Analyst returns to their dashboard right away).

At any time, the Analyst can click on the name of the Program Reviewer on the Virtual Workspace, and the full message history with that person will display.

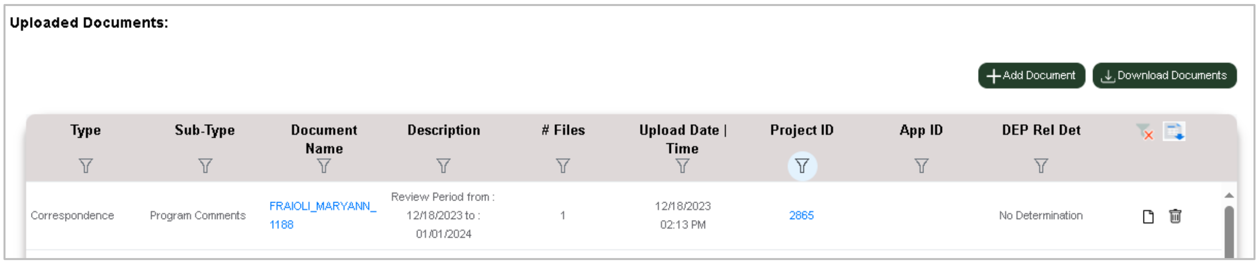




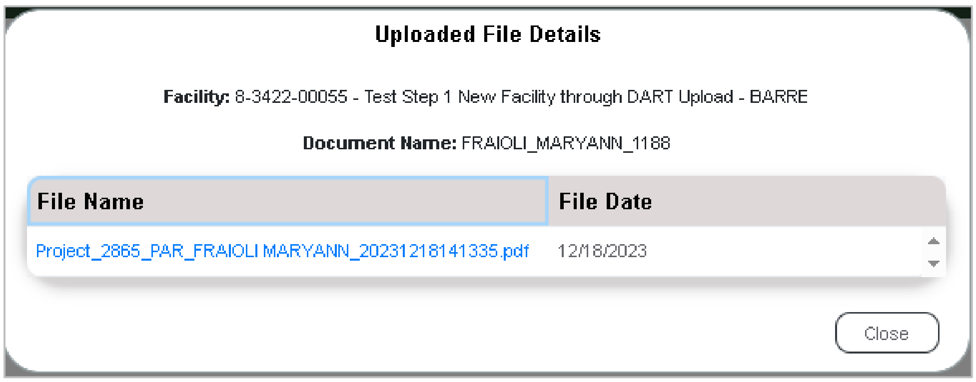
When the Program Reviewer has completed their review, the Analyst will click on the Review Complete checkbox. This will generate a confirmation popup.



Clicking OK will save a record of the Correspondence to the Document Management Service page for this facility, under the Correspondence/Program Comments Type and Sub Type.

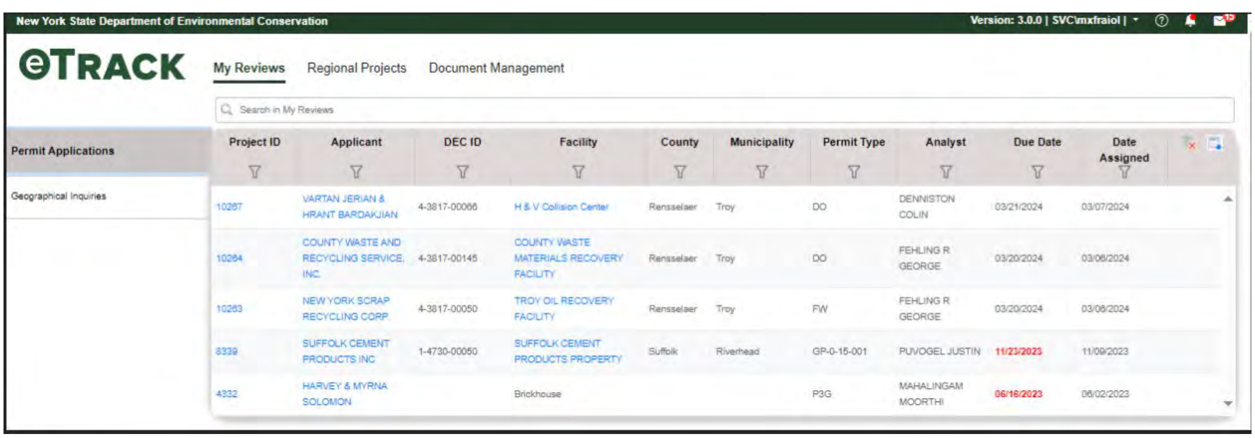


Clicking the Document Name hyperlink will display the popup where the correspondence history file can be downloaded or viewed.



14. Program Area Reviewer Dashboard

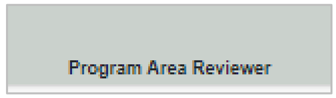
The Program Area Reviewer dashboard results grid displays information for that role. Rather than arriving at the Analyst Dashboard, the Program Area Reviewer sees a more limited version of the dashboard, with fewer options. The links at the top are My Reviews; Regional Projects; and Document Management.



The results grid columns, from left to right, are: Project ID; Applicant; DEC ID; Facility; County; Municipality; Permit Type; Analyst, Due Date and Date Assigned.

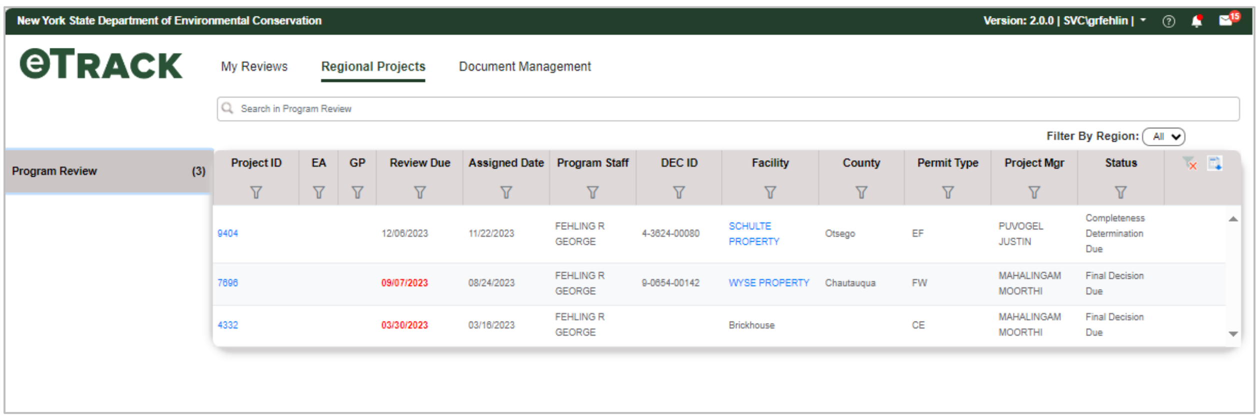
In the Due Date column, a date that is past-due will appear in red.

In the screen footer, the role of the Program Area Reviewer will appear at the lower right.



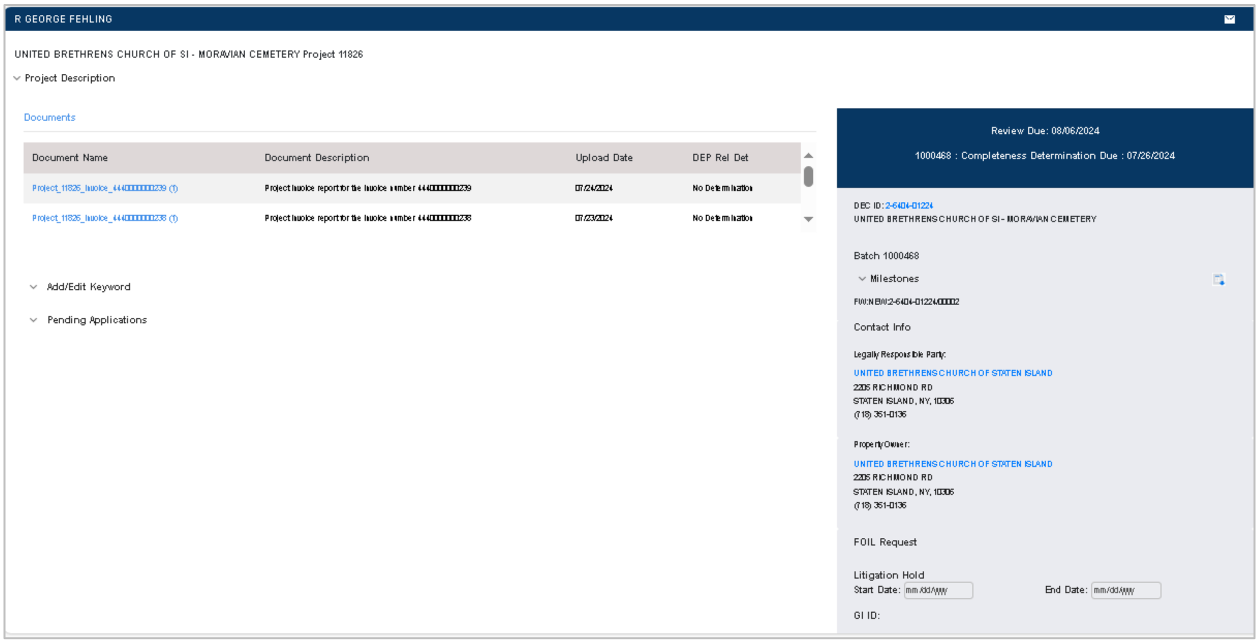
14.1 Program Reviewer Regional Projects Dashboard

On the Regional Projects dashboard, there is only one tab: Program Review. Columns are, from left to right: Project ID; EA; GP; Review Due; Assigned Date; Program Staff; DEC ID; Facility; County; Permit Type; Analyst; Status. Filter by Region dropdown is disabled.



15. Program Area Reviewer Virtual Workspace

The Program Area Reviewer is presented with a different view of the Virtual Workspace than Analysts.



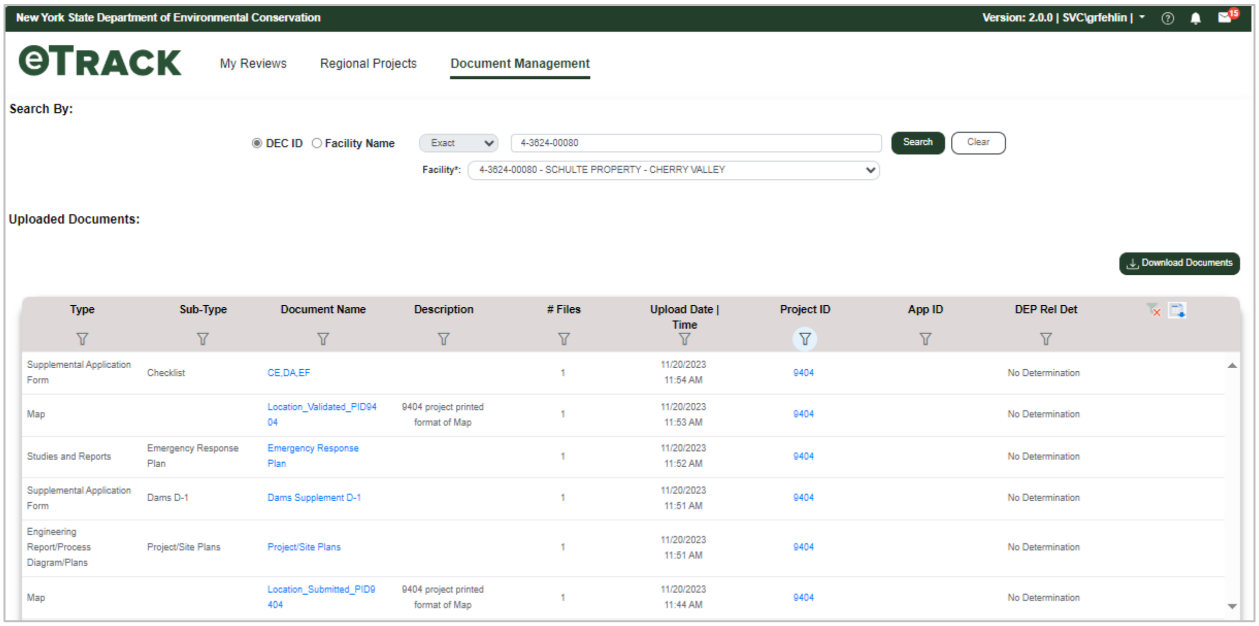
In the top banner to the left is the name of the assigned Analyst. In the top banner to the right, is an envelope with message history for this project.

There is a Documents results grid, an Add/Edit Keyword grid, a Pending Applications results grid, and an Active Authorizations results grid (if populated).

The sidebar column, from top to bottom, is the same as that for Analyst, except the FOIL, Litigation Hold, and GI ID features are View Only.

16. Program Reviewer View of DMS

Program Area Reviewers can access DMS for a project from the VW, by clicking on the Documents header. Program Area Reviewers cannot upload documents to DMS and are limited to the ability to Download Documents for review.



17. Search

System Admins and Analysts can perform extensive, detailed searches of eTrack data using the Search feature. To enable this robust Search capability, by design, there are fewer restrictions, warnings, and error messages than exist in the rest of eTrack. Some SQL knowledge is helpful when using this feature.

System Admins have additional rights when using Search than do Analysts. System Admins can view all Searches conducted, by both System Admins (Global searches) and by all Analysts, and can edit and delete all Searches in the grid.

Analysts can access and run the Global searches conducted by System Admins, but cannot see the searches created by other Analysts. Analysts can only edit and delete their own searches.

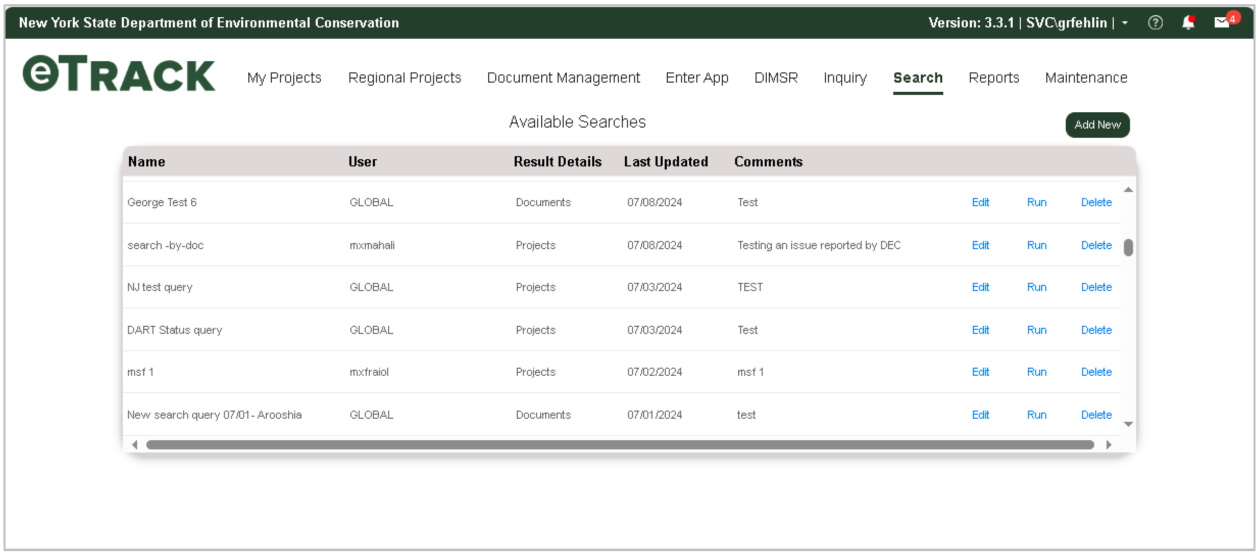
However, using the Save As button, searches can be amended and then saved as a new search, both by System Admins and Analysts (Analyst searches edited and saved by System Admins will continue to display the Analyst's username).

17.1 System Admin Use of Search

As a System Admin, go to the eTrack dashboard and click the Search link at the top of the screen.

A results grid appears, with the title 'Available Searches.' There is an 'Add New' button to the right, and a results grid below, displaying searches that have been conducted previously, both by System Admins and Analysts.

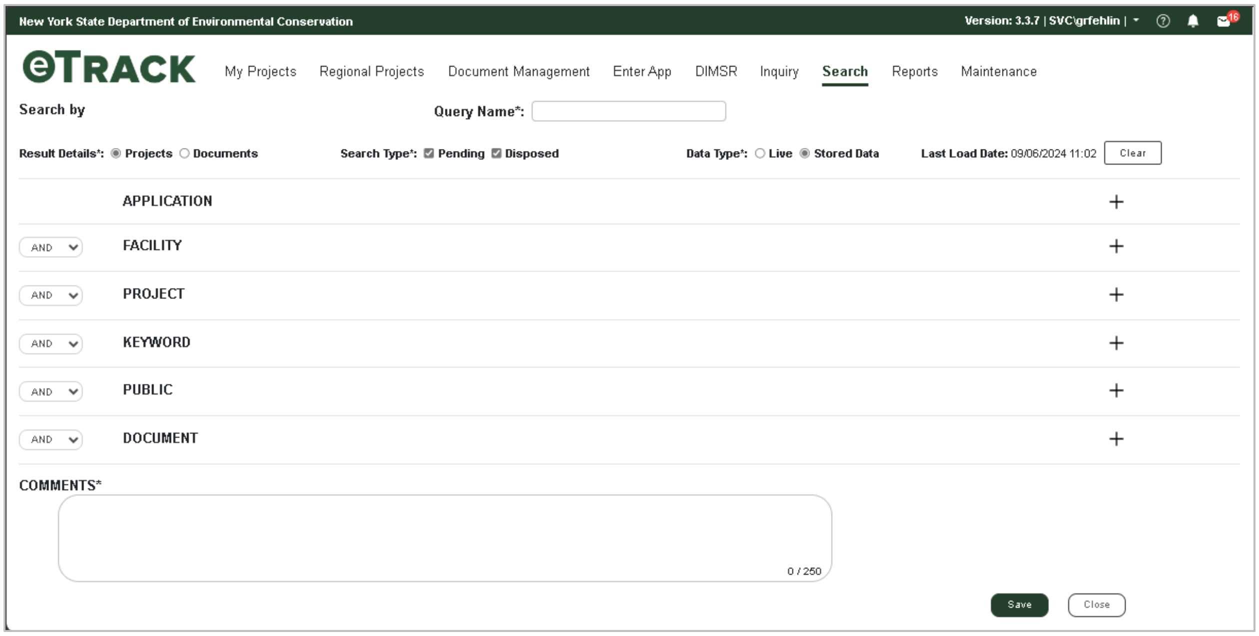
The results grid contains columns with headers from left to right as follows: Name; User; Result Details; Last Updated; Comments. To the right are three columns without headers that contain hyperlinks for: Edit; Run; Delete.



If there are more than six records displayed, scroll bars will be available on the right (vertical) and across the bottom (horizontal) of the results grid.

A System Admin can see GLOBAL searches (created by System Admins) and all searches saved by Analysts. Clicking the Edit link will open the ‘Search by’ screen and enable changes to be made to the Search before running it. Clicking the Run link will run the existing Search and display the results in a new grid below the current view. Clicking Delete will delete the Search, after confirming that intention on a confirmation popup.

To create a new Search, click the Add New button. The ‘Search by’ screen will appear, identified by the label, ‘Search by’, at the top left of the screen.



At the top center is the label: 'Query Name:*' with a data entry field. The next row below contains the label: 'Results Details:*' followed by two radio buttons: Projects (default); Documents. Further to the right is the label: 'Search Type': followed by two checkboxes: ‘Pending’ and ‘Disposed’, both selected by default. Next is a label: 'Data Type*' with two radio buttons: ‘Live’ and ‘Stored Data’ (default). Next is a label: 'Last Load Date:' (mm/dd/yyyy) followed by a time stamp. There is a Clear button at the far right of this row.

NOTE: The Stored Data selection produces much faster search results. This process of saving data to be discoverable by the Search feature using Stored Data takes place automatically on a schedule determined by DEC (several times a day).

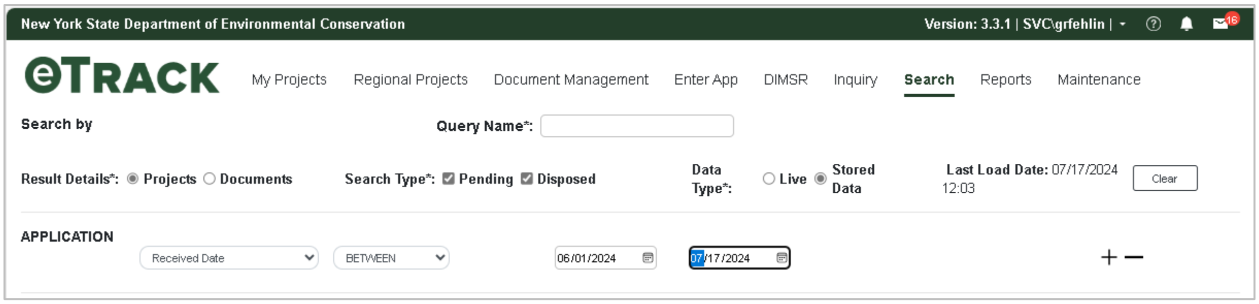
The center of the screen displays a series of rows with Search categories. Each row is opened by clicking on the '+' (plus) symbol, and closed by clicking the '-' (minus) symbol. The rows from top to bottom are: Application; Facility; Project; Keyword; Public; Document. At the bottom is a section for Comments* (mandatory) with a data entry field (max 250 characters).

Each Search category has a dropdown with an option for ‘And/Or’. Selecting ‘And’ (default) will filter the Search results so that only the results that match all criteria entered are presented. Selecting ‘Or’ will produce the Search results for every category selected in the same grid.

Search by Projects

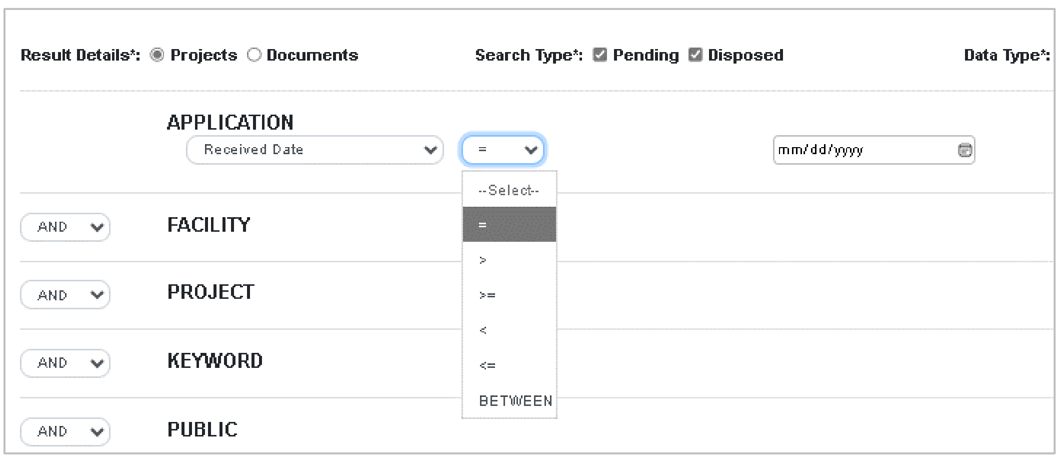
A System Admin can use the Search by Projects feature to search for Projects.

As a System Admin, on the Search By screen, enter a Query Name in the text field at the top of the screen. Click the plus sign beside one of the Search by types to conduct a search for a project.



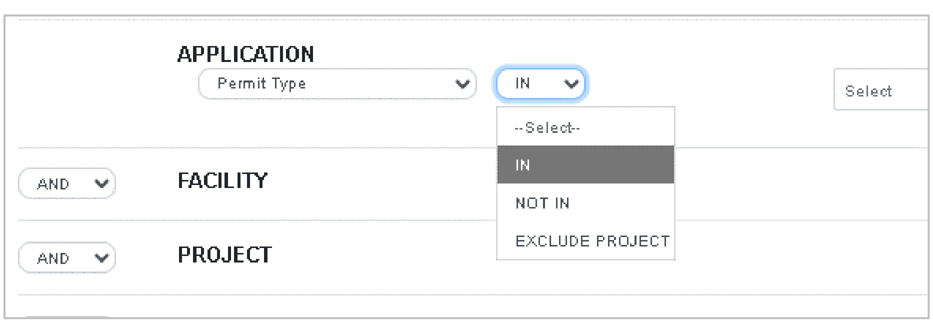
There are various options for search criteria. If dropdowns are presented, the selection in the dropdown to the left will present related options in the dropdown to the right. If the option in the left dropdown is followed by a question mark, options to answer are presented (e.g. Yes/No radio buttons). If the option requires a value to be manually entered, a text box is presented (e.g. Facility Name).

Some selections will present an "Operator" dropdown. For parameters such as dates, the Operator will display options such as =, >, BETWEEN (etc.)



For parameters using a Text Box or Dropdown selection, the Operator will display as follows:

- IN, NOT EQUAL , and EXCLUDE PROJECT for text box inputs
- IN, NOT IN, and EXCLUDE PROJECT for dropdowns



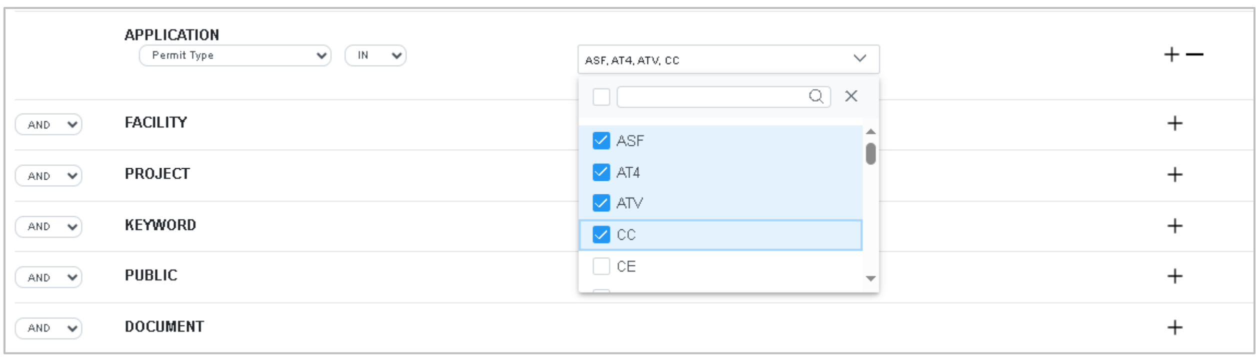
IN – will include the search criteria

NOT IN / NOT EQUAL – will exclude the search criteria (BUT ONLY IF THE RESULTS CONTAIN A SINGLE PARAMETER). For example, a search for a project with the permit FW using NOT IN, will exclude the project from the search results. However, if there is an additional permit in that project, the project will appear in the search results even if it does contain FW.

EXCLUDE PROJECT – will exclude the selected parameter, even if there is an additional parameter (e.g. more than the permit(s) selected).

17.1.1 Tips for Using Search

- When searching for a project with multiple permit types, select the permit types from the dropdown in the search field to create a string separated by commas, rather than creating additional search rows.

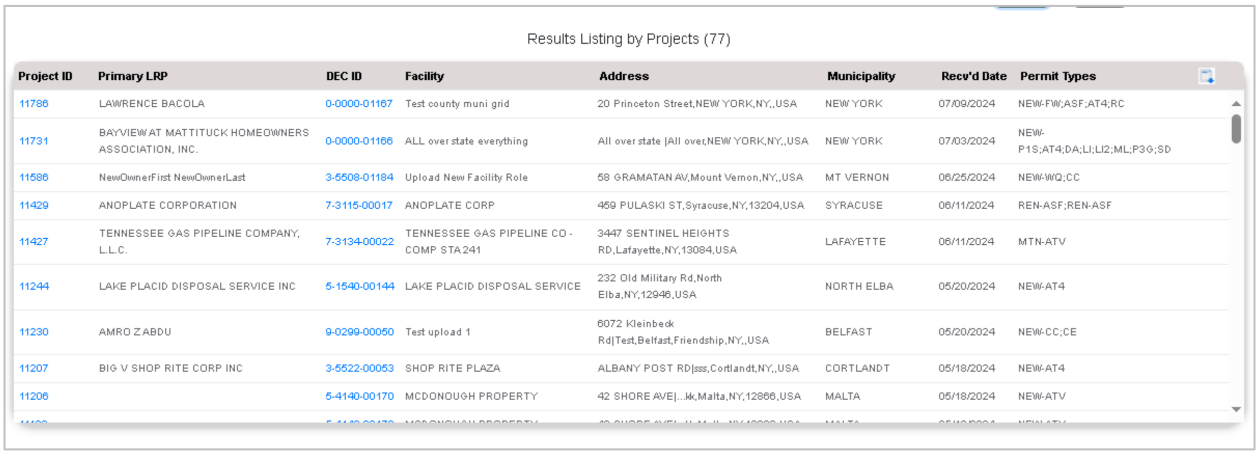


- The user can toggle from Projects and Documents, click Save and Run, and the search parameters originally entered will be retained. This way, both Projects and Documents may be found using the same criteria, without having to re-enter the information.

- Selecting everything from a dropdown is equivalent to not including that attribute in the criteria

With the Search parameter defined, and with all mandatory fields complete (including Comments) and with correct search parameters entered, clicking Save will generate a popup that reads, 'Saved successfully'.

Clicking the Run button displays the results grid with search results at the bottom of the screen.


Results Listing by Projects (77)

Project ID	Primary LRP	DEC ID	Facility	Address	Municipality	Recv'd Date	Permit Types
11786	LAWRENCE BACOLA	0-0000-01167	Test county muni grid	20 Princeton Street,NEW YORK,NY,,USA	NEW YORK	07/09/2024	NEW-FW;ASF;AT4;RC
11731	BAYVIEW AT MATTITUCK HOMEOWNERS ASSOCIATION, INC.	0-0000-01166	ALL over state everything	All over state |All over,NEW YORK,NY,,USA	NEW YORK	07/03/2024	NEW-P1S;AT4;DA;LI;LI2;ML;P3G;SD
11586	NewOwnerFirst NewOwnerLast	3-5508-01184	Upload New Facility Role	58 GRAMATAN AV,Mount Vernon,NY,,USA	MT VERNON	06/25/2024	NEW-WQ;CC
11429	ANOPLATE CORPORATION	7-3115-00017	ANOPLATE CORP	459 PULASKI ST,Syracuse,NY,13204,USA	SYRACUSE	06/11/2024	REN-ASF;REN-ASF
11427	TENNESSEE GAS PIPELINE COMPANY, L.L.C.	7-3134-00022	TENNESSEE GAS PIPELINE CO - COMP STA 241	3447 SENTINEL HEIGHTS RD,Lafayette,NY,13084,USA	LAFAYETTE	06/11/2024	MTN-ATV
11244	LAKE PLACID DISPOSAL SERVICE INC	5-1540-00144	LAKE PLACID DISPOSAL SERVICE	232 Old Military Rd,North Elba,NY,12946,USA	NORTH ELBA	05/20/2024	NEW-AT4
11230	AMRO Z ABDU	9-0299-00050	Test upload 1	6072 Kleinbeck Rd|Test,Belfast,Friendship,NY,,USA	BELFAST	05/20/2024	NEW-CC;CE
11207	BIG V SHOP RITE CORP INC	3-5522-00053	SHOP RITE PLAZA	ALBANY POST RD|sss,Cortlandt,NY,,USA	CORTLANDT	05/18/2024	NEW-AT4
11206		5-4140-00170	MCDONOUGH PROPERTY	42 SHORE AVE|...kk,Malta,NY,12866,USA	MALTA	05/18/2024	NEW-ATV

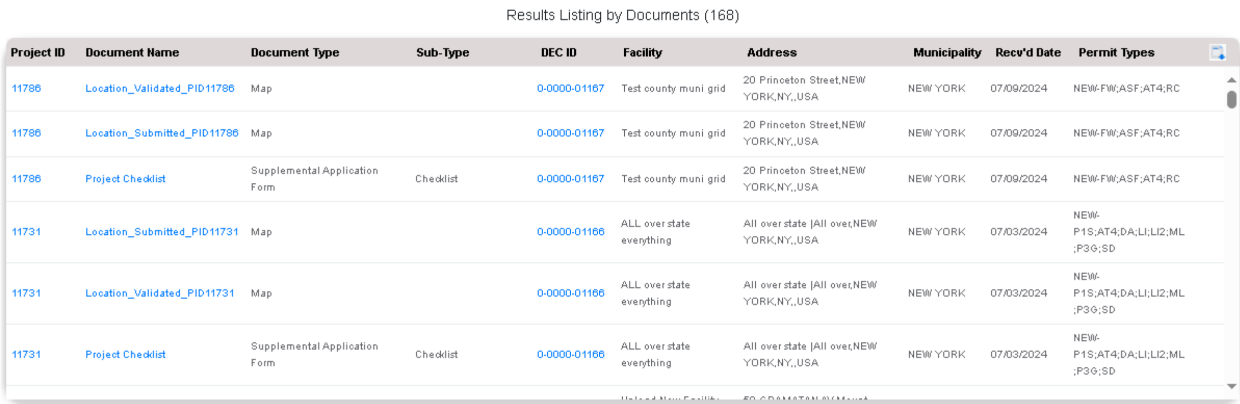
Above the grid is the title: 'Results Listing by Projects (X)' with X being the number of projects displayed. The column headers from left to right are: Project ID; Primary LRP; DEC ID; Facility; Address; Municipality; Recv'd Date; and Permit Types.

Clicking the Project ID hyperlink will take the user to the Virtual Workspace for the Project. Clicking the DEC ID hyperlink will take the user to the eFind record for the facility.

Search by Documents

Searches conducted using the Documents option produces a results grid displaying individual Documents.

The Documents results grid has column headers from left to right, as follows: Project ID; Document Name; Document Type; Sub-Type; DEC ID; Facility; Address; Municipality; Recv'd Date; Permit Types (this includes Transaction Types and Permit Types for each Batch, separated by semi-colons.



Results Listing by Documents (168)

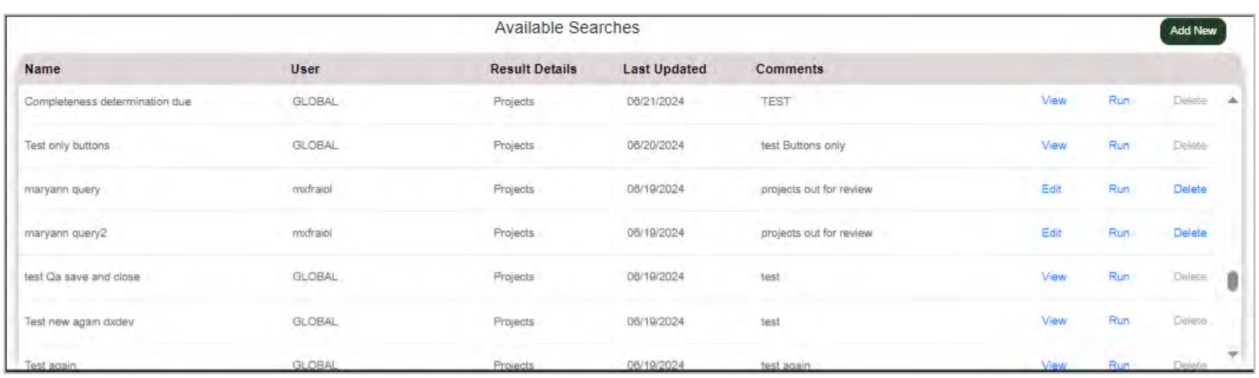
Project ID	Document Name	Document Type	Sub-Type	DEC ID	Facility	Address	Municipality	Recv'd Date	Permit Types
11786	Location_Validated_PID11786	Map		0-0000-01167	Test county muni grid	20 Princeton Street,NEW YORK,NY,,USA	NEW YORK	07/09/2024	NEW-FW;ASF;AT4;RC
11786	Location_Submitted_PID11786	Map		0-0000-01167	Test county muni grid	20 Princeton Street,NEW YORK,NY,,USA	NEW YORK	07/09/2024	NEW-FW;ASF;AT4;RC
11786	Project Checklist	Supplemental Application Form	Checklist	0-0000-01167	Test county muni grid	20 Princeton Street,NEW YORK,NY,,USA	NEW YORK	07/09/2024	NEW-FW;ASF;AT4;RC
11731	Location_Submitted_PID11731	Map		0-0000-01166	ALL over state everything	All over state |All over,NEW YORK,NY,,USA	NEW YORK	07/03/2024	NEW-P1S;AT4;DA;LI;LI2;ML;P3G;SD
11731	Location_Validated_PID11731	Map		0-0000-01166	ALL over state everything	All over state |All over,NEW YORK,NY,,USA	NEW YORK	07/03/2024	NEW-P1S;AT4;DA;LI;LI2;ML;P3G;SD
11731	Project Checklist	Supplemental Application Form	Checklist	0-0000-01166	ALL over state everything	All over state |All over,NEW YORK,NY,,USA	NEW YORK	07/03/2024	NEW-P1S;AT4;DA;LI;LI2;ML;P3G;SD

Clicking on the Document Name will open a popup so that the file(s) can be opened.

17.2 Analyst Use of Search

An Analyst can use the Search feature to find projects and documents using a robust search capability with an extensive list of options. As noted above, some SQL knowledge is helpful, and there are fewer restrictions in place compared to other features in eTrack.

When an Analyst arrives at the Search screen, they will see the same results grid as the System Admin, however, the searches performed by other Analysts will be hidden, and the Analyst can only delete their own searches. Global searches (created by System Admins) will display a hyperlink reading 'View' instead of 'Edit', since these cannot be edited by an Analyst, however an Analyst can View the Global search and then save it using the Save As button, creating a new Search in the process. They can also Run those searches.



Available Searches

Add New

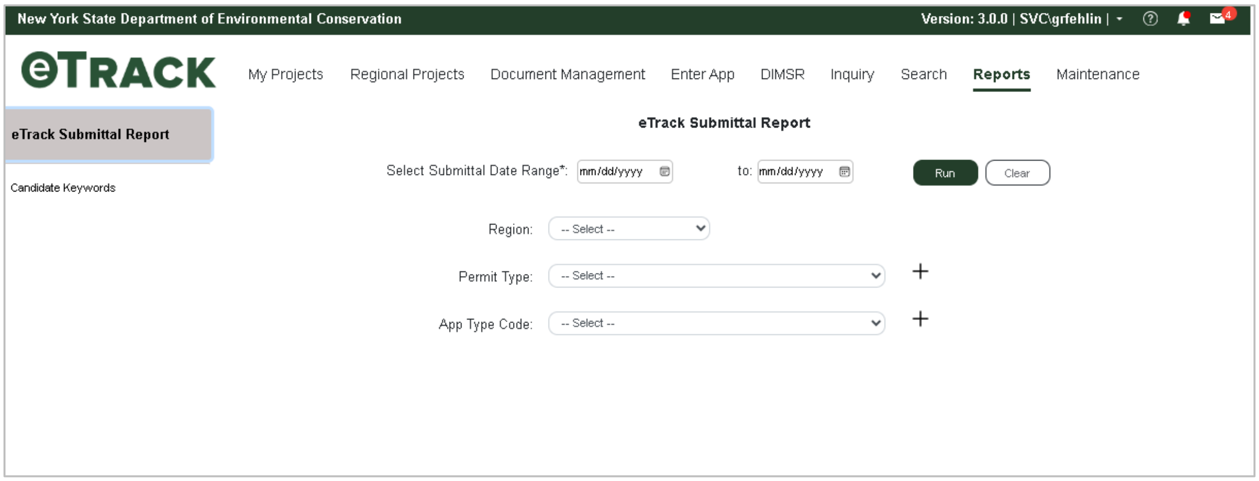
Name	User	Result Details	Last Updated	Comments			
Completeness determination due	GLOBAL	Projects	06/21/2024	TEST	View	Run	Delete
Test only buttons	GLOBAL	Projects	06/20/2024	test Buttons only	View	Run	Delete
maryann query	mxfraiol	Projects	06/19/2024	projects out for review	Edit	Run	Delete
maryann query2	mxfraiol	Projects	06/19/2024	projects out for review	Edit	Run	Delete
test Qa save and close	GLOBAL	Projects	06/19/2024	test	View	Run	Delete
Test new again dxdev	GLOBAL	Projects	06/19/2024	test	View	Run	Delete
Test again	GLOBAL	Projects	06/19/2024	test again	View	Run	Delete

Analysts can only delete their own searches.

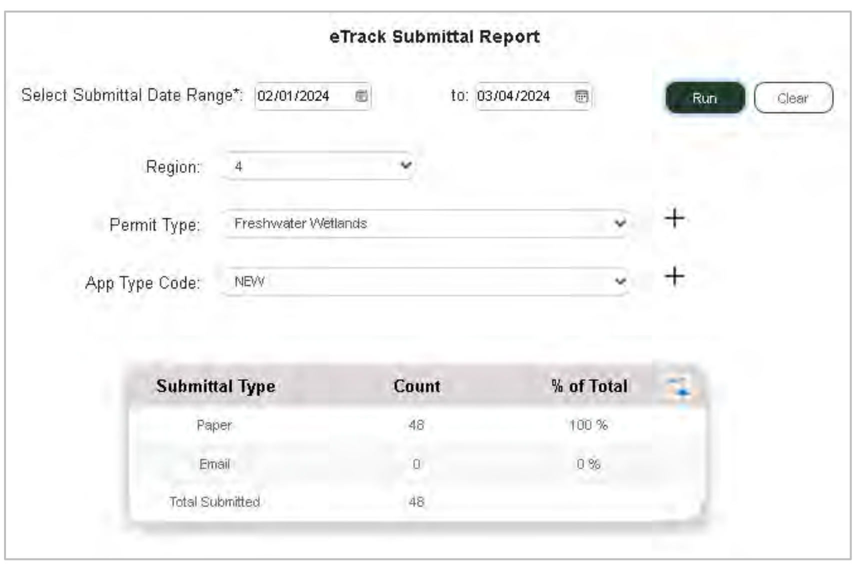
18. Reports

Clicking on the ‘Reports’ link at the top of the eTrack screen, a System Admin will immediately see the 'eTrack Submittal Report' screen, with its tab highlighted in the left-hand column.

18.1 eTrack Submittal Report

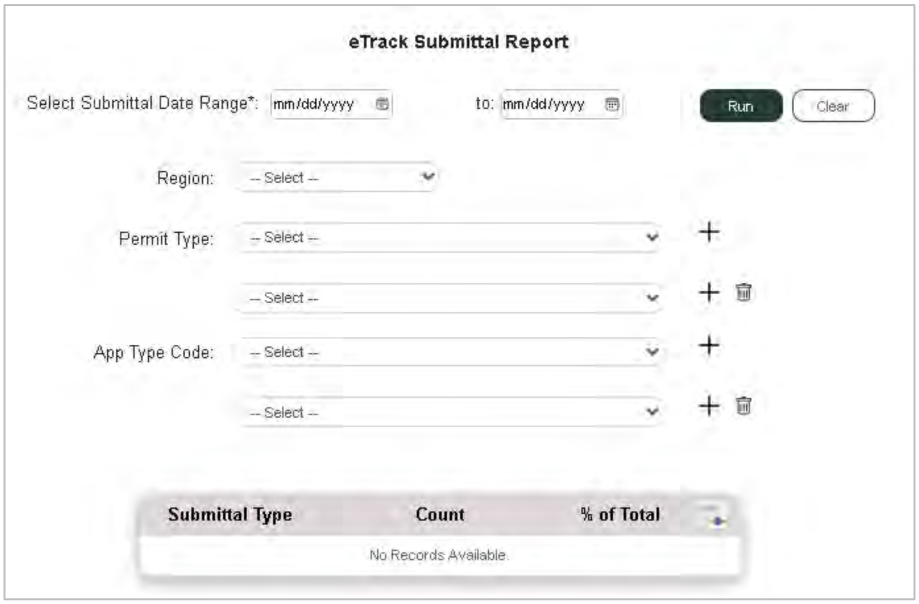


On this screen, a System Admin can select a Date Range (mandatory), Region, Permit Type, and/or App Type Code to view a submittal method report (applications submitted either by mail or email). Selecting data and clicking Run generates the report results.



Results are displayed by Submittal Type, Count, and % of Total. There is an export icon that will download the results to an Excel file.

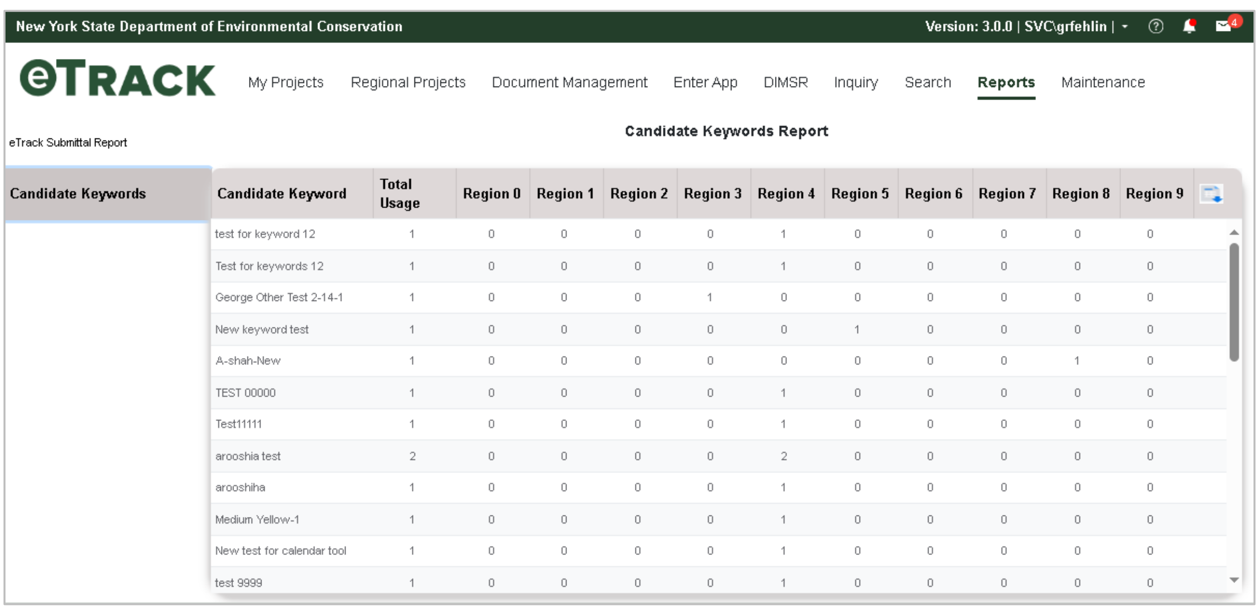
Clicking the Plus (+) symbols will enable an additional layer of detail as the search can further be refined by Permit Type and App Type Code.



These additional dropdowns can be removed from the search using the trashcan icons.

18.2 Candidate Keywords Report

Below the eTrack Submittal Report tab, a System Admin will see the 'Candidate Keywords' tab. Selecting this tab will display the Candidate Keywords report grid. A view of all the Candidate Keywords submitted can be seen, organized by Region.



Candidate Keyword	Total Usage	Region 0	Region 1	Region 2	Region 3	Region 4	Region 5	Region 6	Region 7	Region 8	Region 9
test for keyword 12	1	0	0	0	0	1	0	0	0	0	0
Test for keywords 12	1	0	0	0	0	1	0	0	0	0	0
George Other Test 2-14-1	1	0	0	0	1	0	0	0	0	0	0
New keyword test	1	0	0	0	0	0	1	0	0	0	0
A-shah-New	1	0	0	0	0	0	0	0	0	1	0
TEST 00000	1	0	0	0	0	1	0	0	0	0	0
Test11111	1	0	0	0	0	1	0	0	0	0	0
arooshia test	2	0	0	0	0	2	0	0	0	0	0
arooshiha	1	0	0	0	0	1	0	0	0	0	0
Medium Yellow-1	1	0	0	0	0	1	0	0	0	0	0
New test for calendar tool	1	0	0	0	0	1	0	0	0	0	0
test 9999	1	0	0	0	0	1	0	0	0	0	0

From this screen, the System Admin gets a full view of the Candidate Keywords. The grid will update when additions are made or when a Candidate Keyword is removed on a Project's Virtual Workspace. The report contents can be downloaded to an Excel file using the Export icon.

19. Maintenance

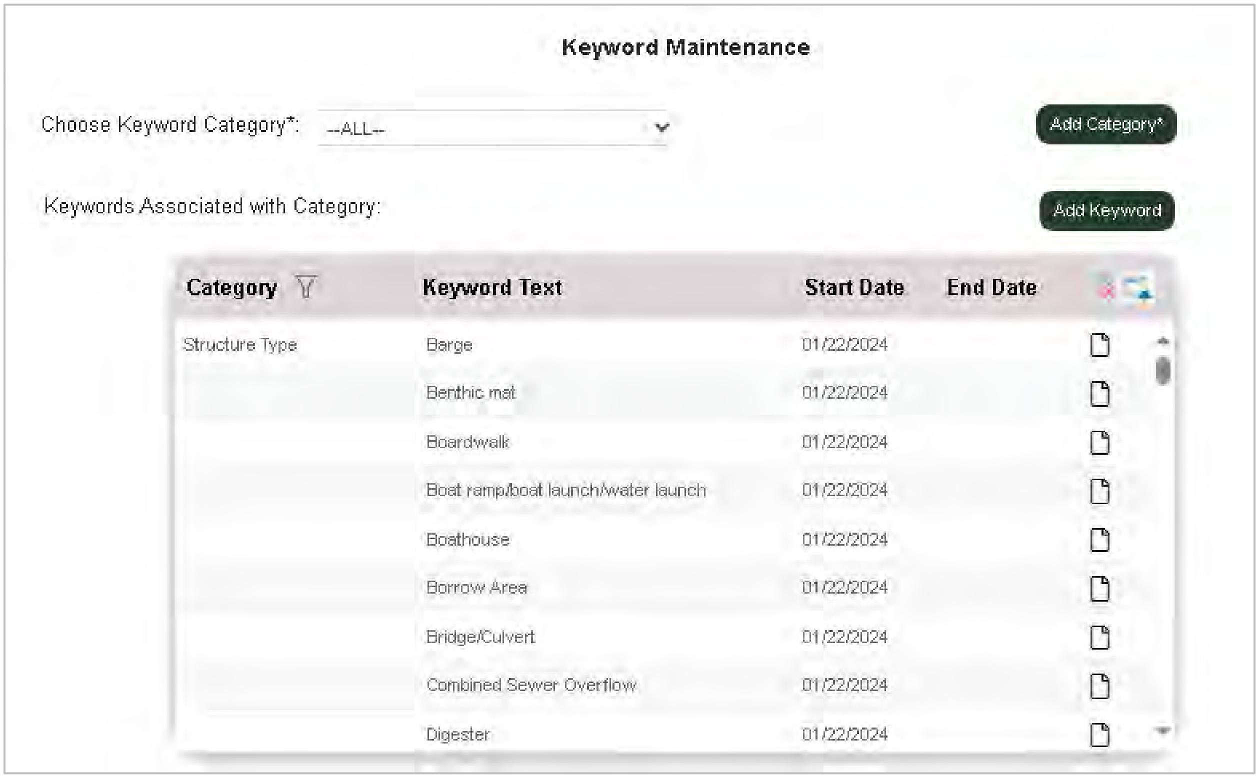
The Maintenance screen enables users to make changes to keywords, code tables and other specific sections of eTrack, and to generate usage reports. System Admins have more privileges and can view and make changes to more screens than Analysts and Override Admins.

A System Admin will see three tabs on the left: Keywords; Candidate Replacement; Code Tables; and Archive/Purge. An Analyst or Override Admin will see ONLY the Archive/Purge tab.

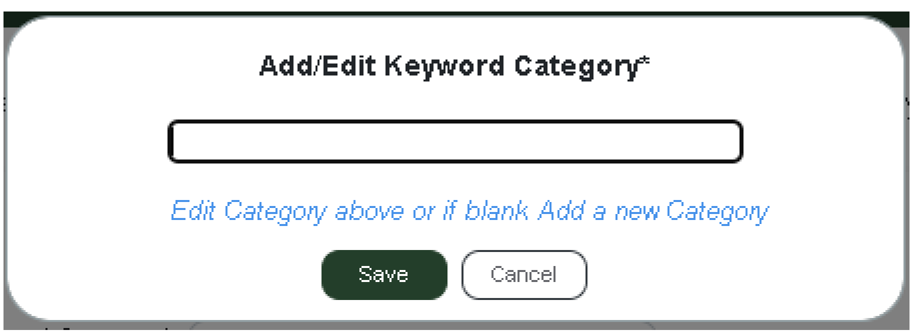
19.1 Keyword Maintenance

At the top of the screen is the title, 'Keyword Maintenance'. Beneath the title is the label 'Choose Keyword Category*' which is a mandatory field, and the default selection is 'All'. To the right is a button, 'Add Category'.

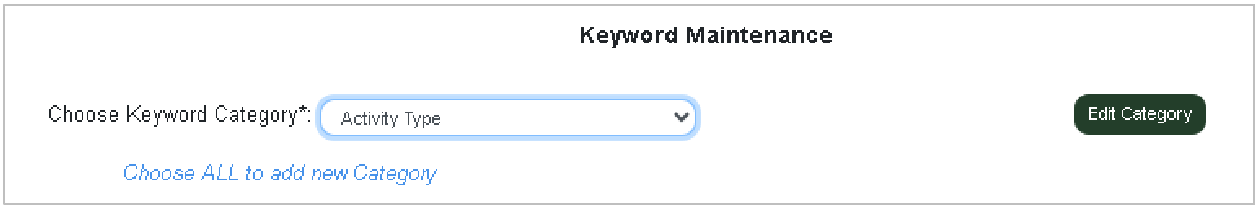
The section beneath this has the label: 'Keywords Associated with Category:', and to the right is a button, 'Add Keyword'. Beneath this is the results grid.



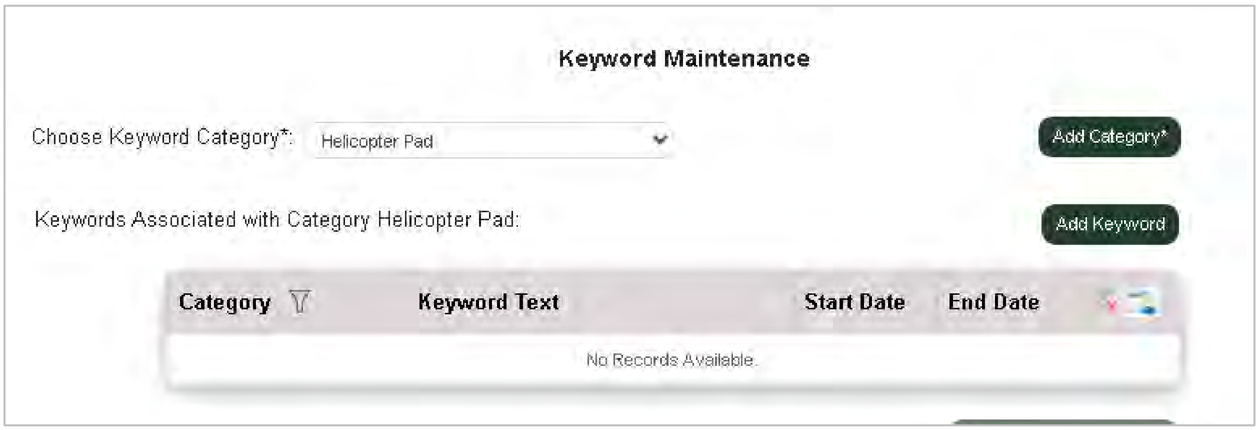
Selecting a Category from the dropdown will display all of the Keywords associated with the Category, in alphabetical order. Clicking the Add Category button will generate a popup where a new Category can be entered and saved ('All' must first be selected in the dropdown). Clicking Save will add the Category to the list that is visible in the dropdown, where it will be placed in alphabetical order.



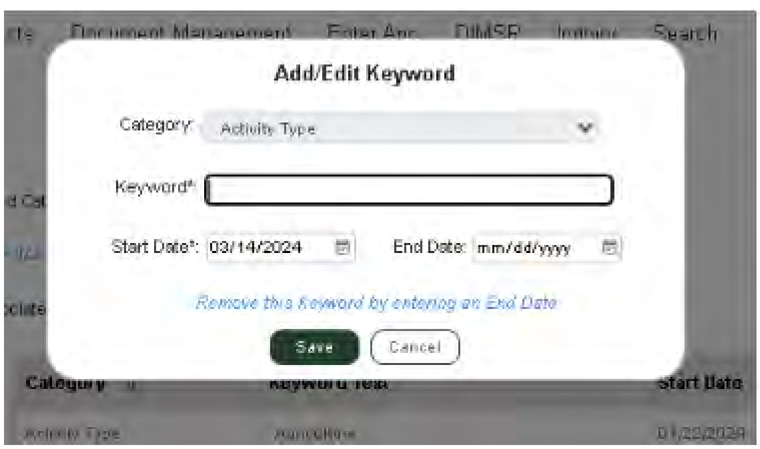
To edit an existing Category, select the Category name from the dropdown. The Add New button will be replaced with an Edit Category button and the value will be passed into the Category field on the popup.



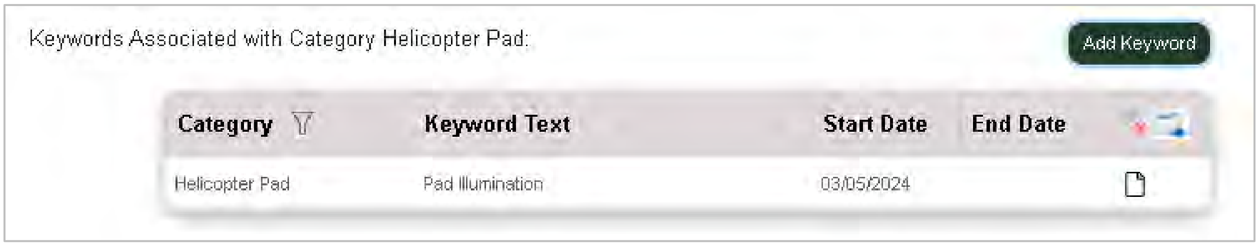
When the Category is created the label above the results grid will change to include the name of the new Category. The results grid will be blank since it is new.



To add a Keyword to the Category, click the Add Keyword button. A popup will appear, 'Add/Edit Keyword'. The Category will display the one chosen and the field will be disabled.

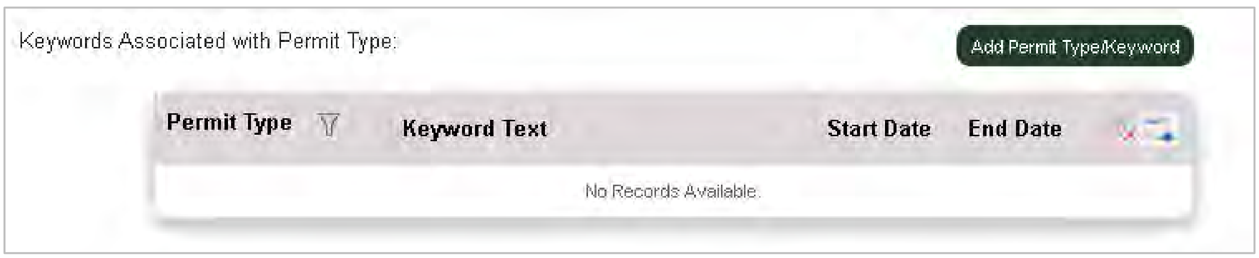


Add or Edit the Keyword in the Keyword data field and select a Start Date (mandatory) and an End Date if desired. Clicking Save will add the new or revised Keyword to the results grid. The Keyword can be removed by entering an End Date.

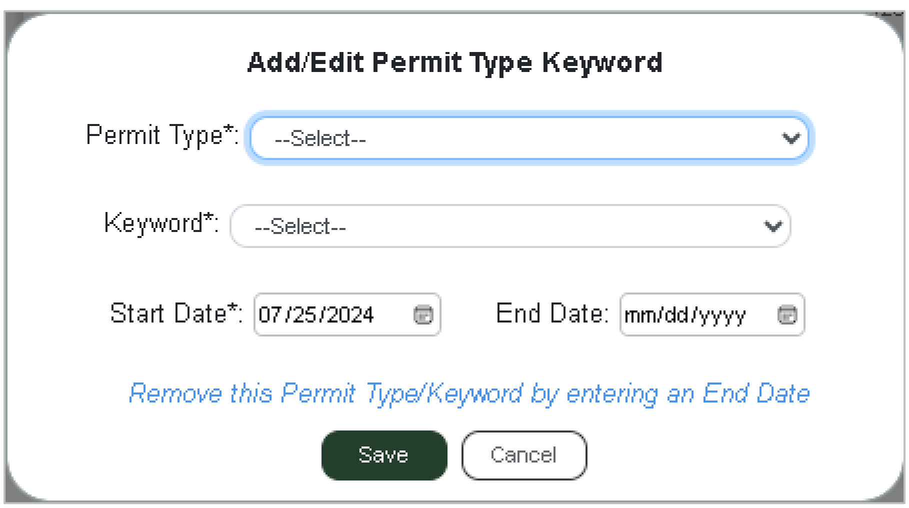


Keywords can be edited by clicking on the Edit icon in the right column.

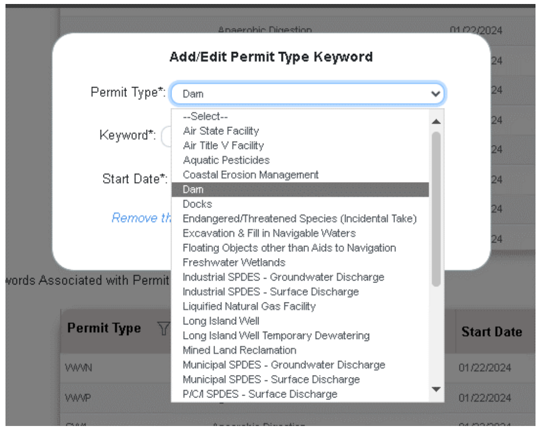
Beneath this section is a second grid, with the label: 'Keywords Associated with Permit Type:' and a button, 'Add Permit Type/Keyword'. (A Category must first be selected at the top of the screen to enable the button).



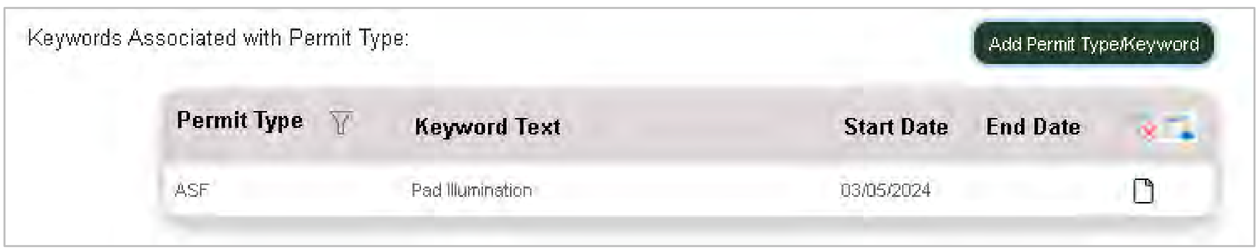
Clicking the button will display a popup.



In this popup, a System Admin can add or edit a Permit Type Keyword. Clicking on the Permit Type dropdown will display the full list of Permits.



A Permit Type can now be associated with the Keyword and Category.

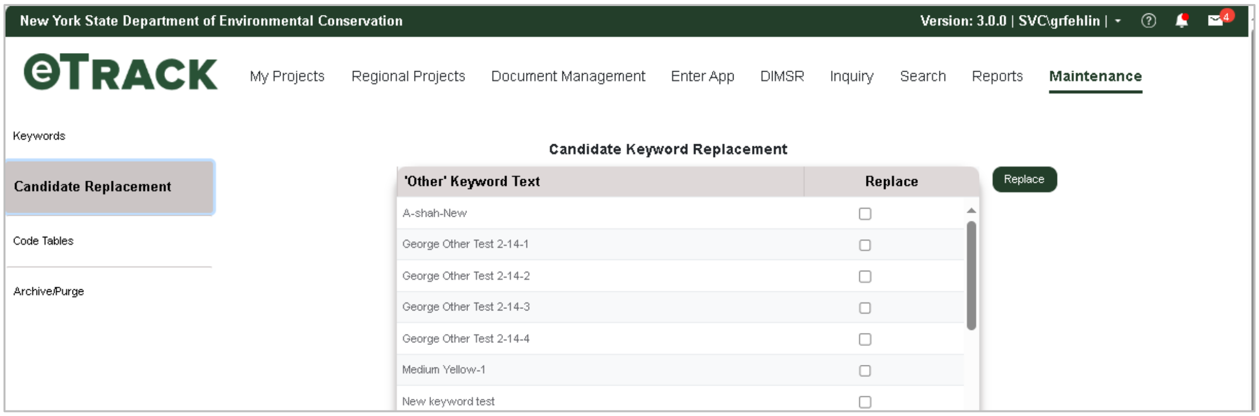


Note: On this screen, only the columns on the ‘Keywords Associated with Permit Type’ grid can be sorted.

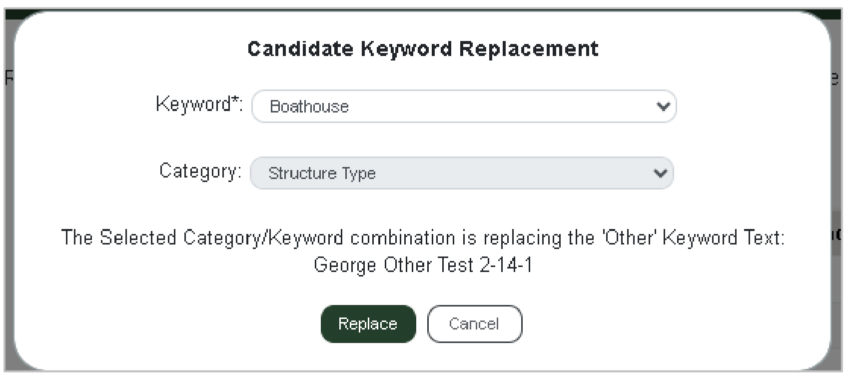
19.2 Candidate Keyword Replacement

The second tab visible to System Admins under Maintenance is ‘Candidate Replacement’. On this screen, keywords can be replaced with other keywords.

At the top of the screen is the title, ‘Candidate Keyword Replacement’. The results grid contains two columns: the first column, ‘Other Keyword Text’, contains keywords added by Analysts in the 'Other' grids in Validate Mode and on the Analyst Virtual Workspace. The second column contains checkboxes, which are unchecked by default. To the right of the grid is a 'Replace' button.



Selecting a checkbox and clicking the Replace button generates a popup with the title: 'Candidate Keyword Replacement'. There are two dropdowns: 'Keyword' (mandatory) and 'Category', which will change depending on the Keyword selected.



Clicking Replace will replace the selected 'Other Keyword Text' with the selected Category/Keyword combination. (Going to the Virtual Workspace and observing the Other results grid in the Keyword section will reveal that the Other Keyword added in Step 3 Validate Mode, has been removed).

19.3 Maintenance Code Tables

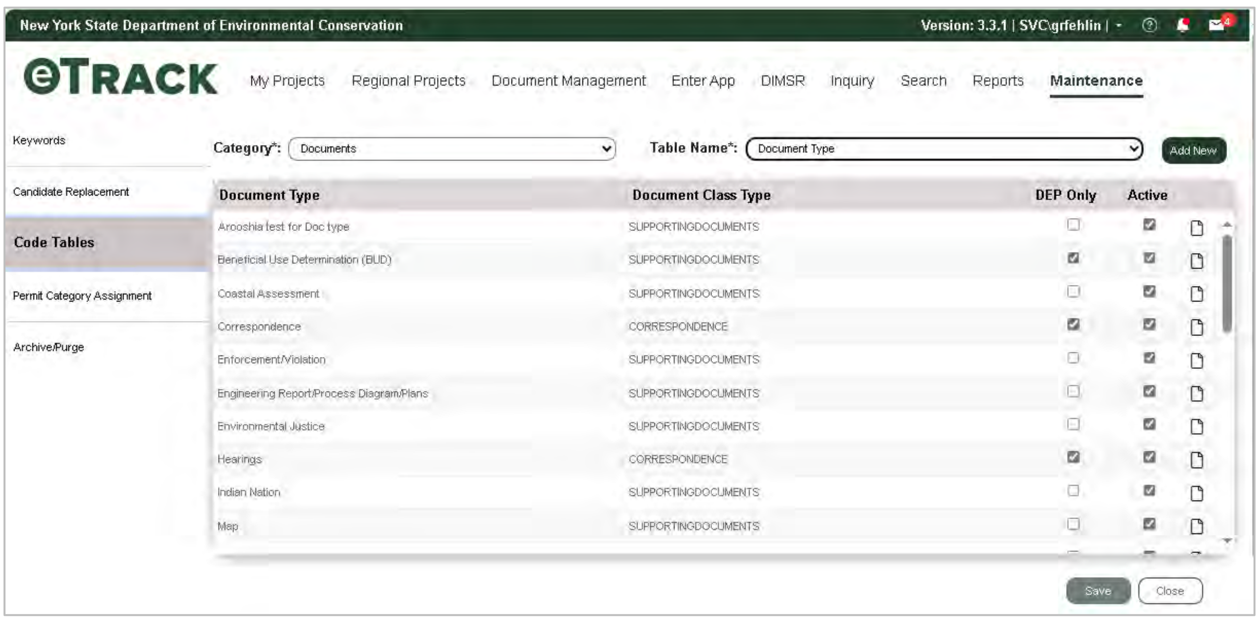
The Code Tables feature can be used to change the way data is defined and displayed throughout eTrack.

19.3.1 Document Type

Document Type parameters can be added or changed.

As a System Admin on the Code Tables screen, click on Category dropdown and select Documents. The Table Name dropdown contents from top to bottom are Document Type; Document Sub Type; Document Title; and Document Sub Type Title.

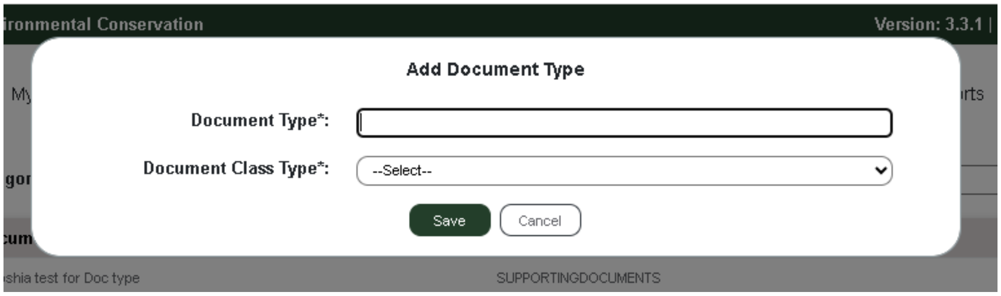
Click on the Table Name dropdown and select Document Type. The Document Type results grid appears, with an 'Add New' button to the right of the dropdowns. Column headers from left to right are: Document Type; Document Class Type; DEP Only; and Active. There is a final column containing edit icons. The grid is sorted by Document Type.



Checking or unchecking the checkboxes will enable the Save button.

Checking DEP Only will mean that only DEP will have access to the documents with this flag set.

To add a new Document Type, click the Add New button. This generates a popup with the title, 'Add Document Type'. There are two labels: Document Type and Document Class Type (both mandatory). Document Type has a data entry field; Document Class Type has a dropdown with the values: Application; Correspondence; Notices; Permit; and SupportingDocuments (one word).



Add a value to the Document Type field and select a Document Class Type from the dropdown, then click Save.

NOTE: Once a Class Type has been selected it cannot be changed.

After clicking Save, a confirmation popup appears. Upon clicking OK, the grid will display and the added Document Type will appear on the grid in alphabetical order, with the Active checkbox checked.

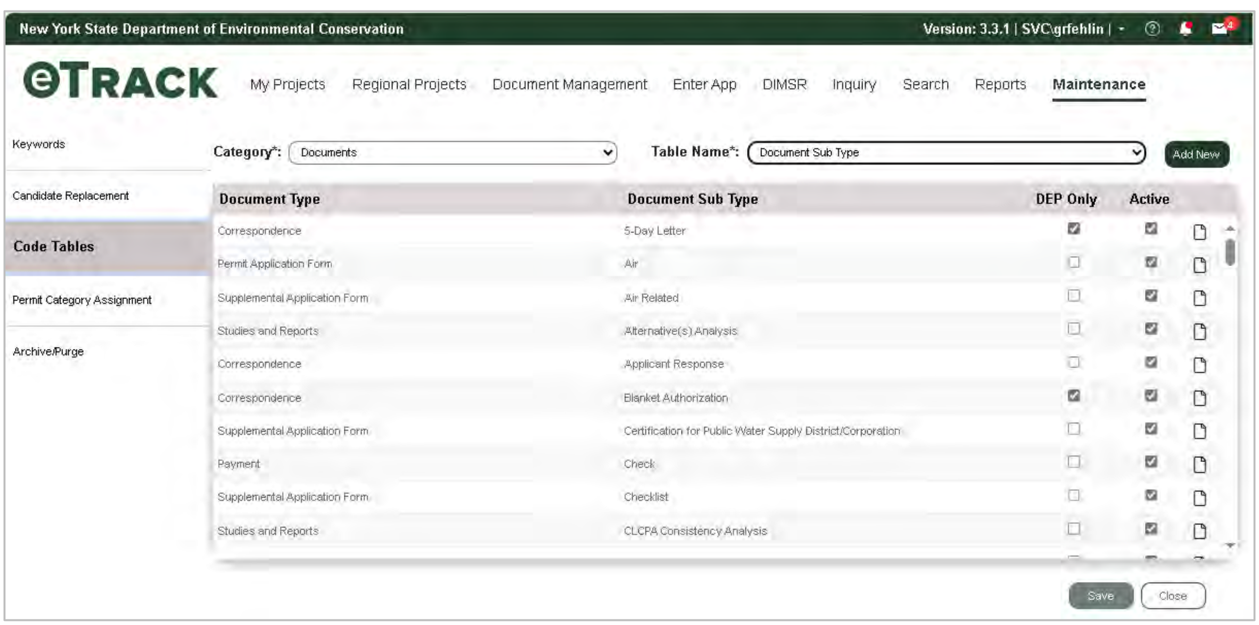
To edit a Document Type, click the edit icon, make the change, and click Save.

Click the Active checkbox and click Save to make a Document Type ‘live’ in eTrack.

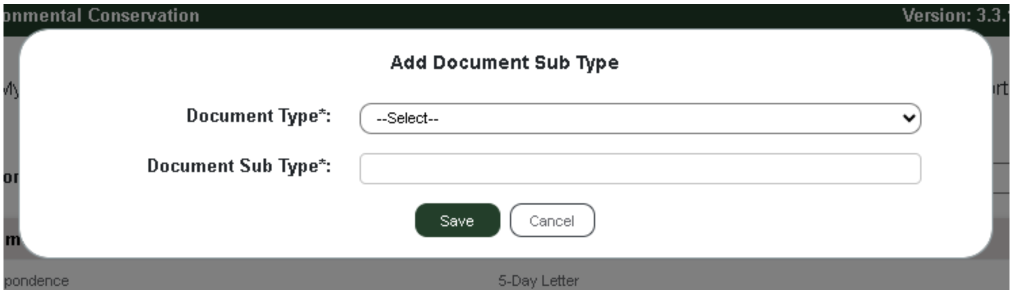
After making any changes, click the Active checkbox, click Save, then go to eTrack Step 4 or DMS, and upload a document with the new or modified Type.

19.3.2 Document Sub Type

Document Sub Type parameters can be added or changed, and the process for making changes to a Document Sub Type is identical to the process for Document Type, described above.



When adding a new Sub Type, select a Permit Type from the dropdown and then enter the new Sub Type in the data field.

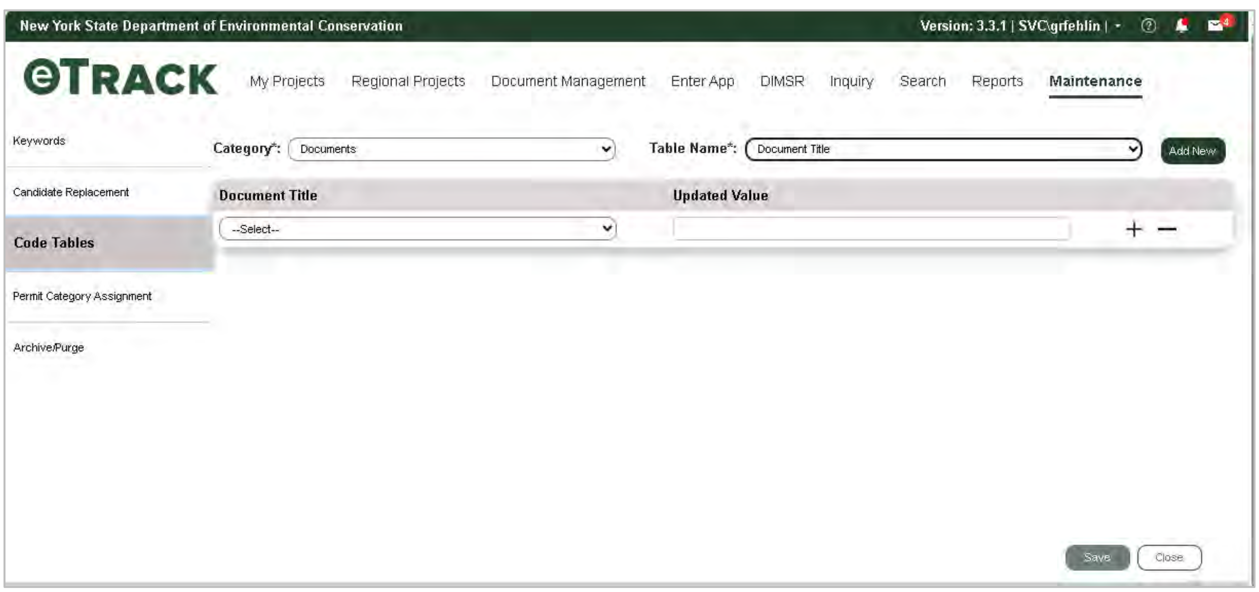


19.3.3 Document Title

A Document Title can be added or changed.

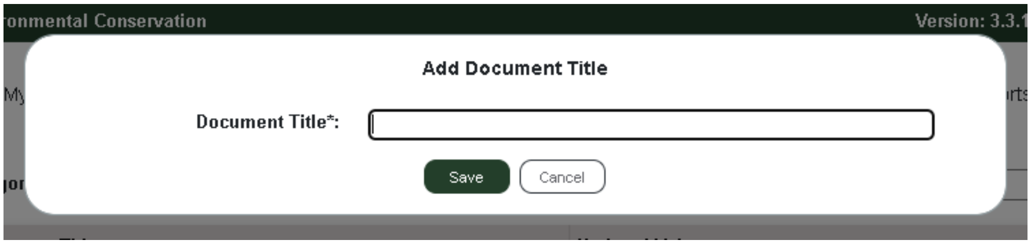
On the Table Name dropdown, selecting Document Title will display a results grid with column headers from left to right: Document Title (dropdown), and Updated Value (data entry field). There is an 'Add New' button to the right of the Table Name dropdown.

Clicking the plus and/or minus icon will add or remove additional rows.



To change a Document Title, select a Document Title from the dropdown, enter new text into the ‘Updated Value’ data field, and click Save.

To add a new Document Title, click the Add New button. This will generate a popup with the title, 'Add Document Title'. There is one label: Document Title (mandatory) with a data entry field.



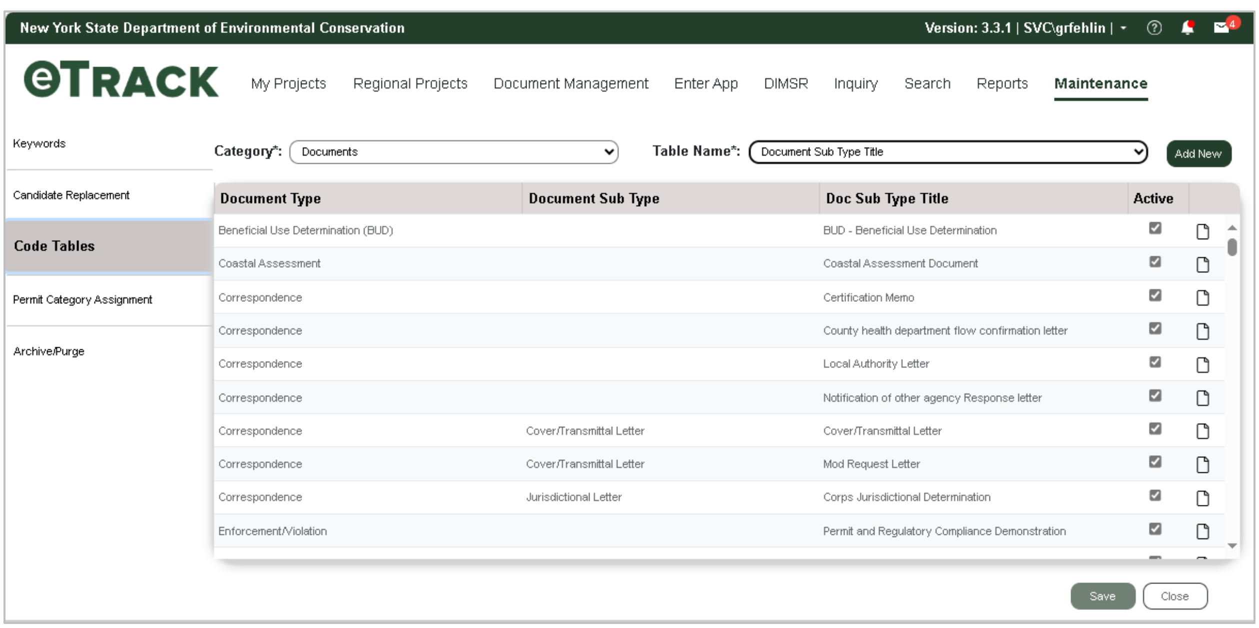
Adding a Document Title and clicking Save will add the new Title to the Document Title dropdown, where it will appear in alphabetical order.

To verify the change or the additional title, go to eTrack Step 4, and observe the document titles.

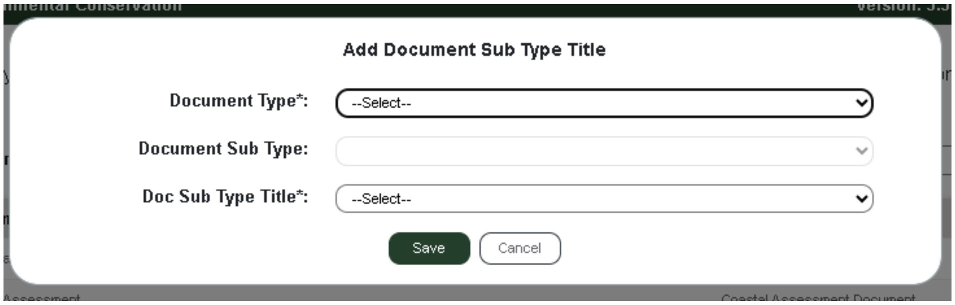
19.3.4 Document Sub Type Title

A Document Sub Type Title can be added or changed.

Selecting the Document Sub Type Title displays the Document Sub Type Title results grid, with an 'Add New' button to the right of the dropdowns. Column headers from left to right are: Document Type; Document Sub Type; Document Sub Type Title; Active



Clicking Add New button generates a popup with the title, 'Add Document Sub Type Title'. There are three labels with dropdowns: Document Type; Document Sub Type (NOT mandatory); and Document Sub Type Title.



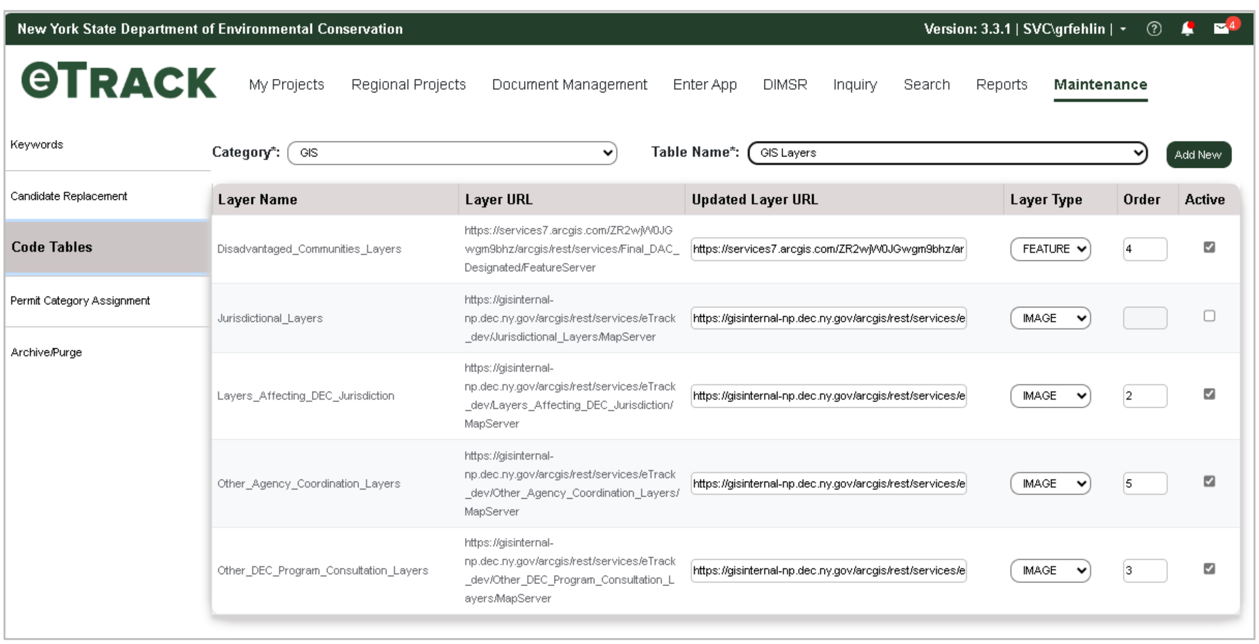
After making selections and clicking Save, a confirmation popup appears. The added Document Sub Type Title will appear in the list in alphabetical order.

To verify that the change has been saved, go to eTrack Step 4 and observe the document titles.

19.3.5 GIS

GIS links can be modified and layers changed in order.

In the Category dropdown, select GIS, then in the Table Name dropdown, select GIS Layers. A results grid appears, with column headers from left to right: Layer Name; Layer URL; Updated Layer URL; Layer Type; Order; Active.



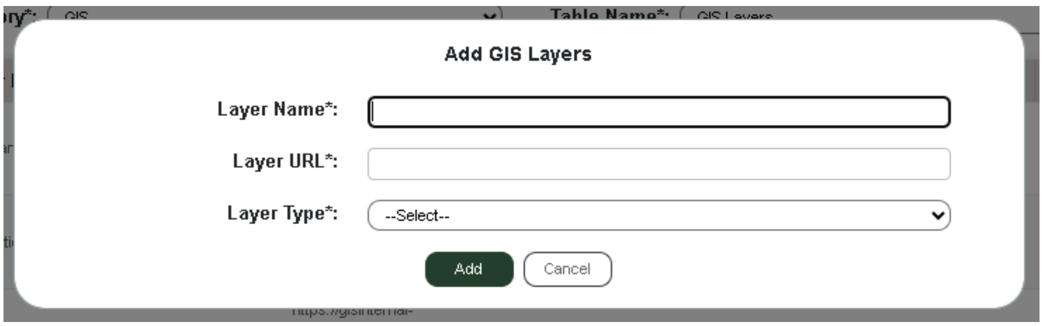
To change the Layer URL, edit the URL in the 'Updated Layer URL' column. Choose a Layer Type (Feature or Image), select the order in which the Layer appears in the Jurisdictional Layer popup, click the Active checkbox, and click the Save button. The Order number is required if Active. It cannot be a duplicate. The Order number does not have to be truly sequential.

Note about Layer Types:

When requesting a URL from the GIS Team, the type of layer will need to be identified.

- A ‘Feature’ is type of layer where the user has a significant (large) amount data Geometry.
- An ‘Image’ is the traditional type where images (e.g. GIF or PNG) will be served by a server.

To add a new Jurisdictional (GIS) Layer, click the Add New button. This will generate a popup with title: Add GIS Layers. There are three labels, and all are mandatory: Layer Name; Layer URL; and Layer Type. The first two labels have data entry fields, the third has a dropdown (Feature; Image).



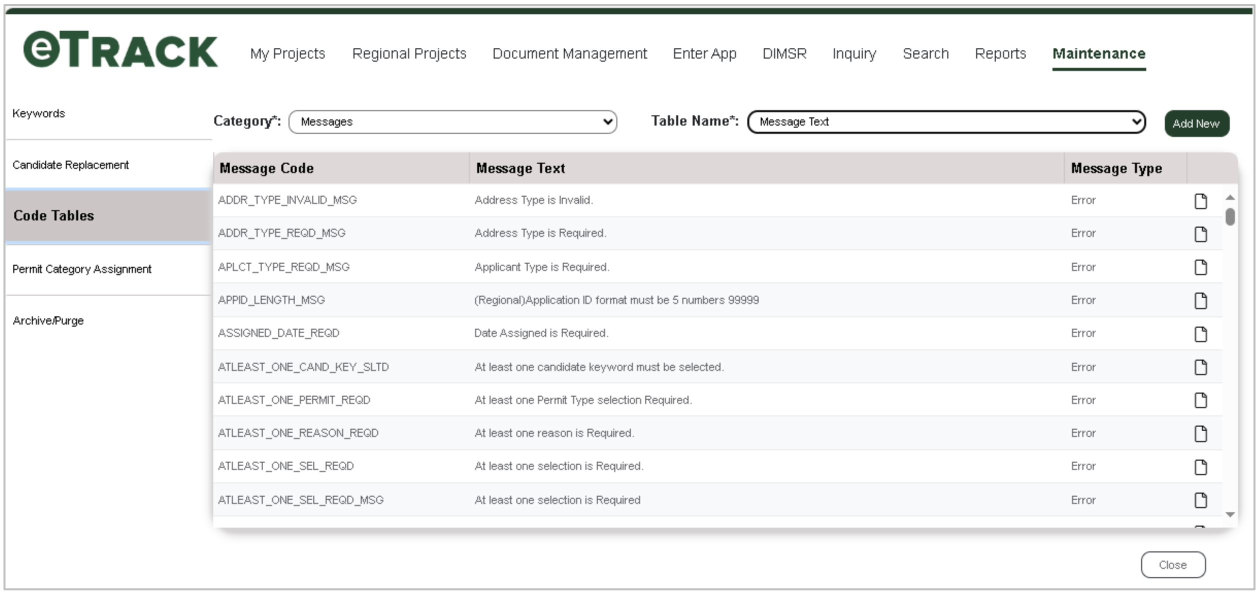
Making selections and clicking the Add button will result in a new layer appearing in the results grid.

To verify the changes, go to Step 1 Validate and click on the Jurisdictional Layer icon.

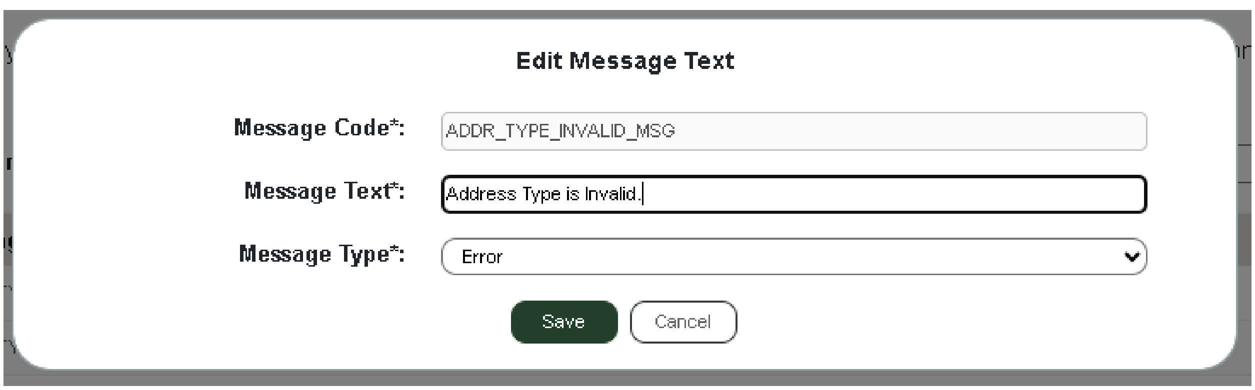
19.3.6 Messages

On-screen messages can be added or changed.

Click on the Category dropdown and select Messages. In the Table Name dropdown, select Message Text. A results grid appears. Column headers from left to right are: Message Code; Message Text; and Message Type.



To edit an existing message, click on the edit icon. A popup appears with the title: Edit Message Text and three labels that correspond to the column tables. Message Code is displayed but is greyed-out and disabled; Message Text is pre-populated and can be edited; Message Type has a dropdown with three values: Error; Info; Warning.



Clicking Save generates a confirmation popup, and the updated information appears in list, and in eTrack itself.

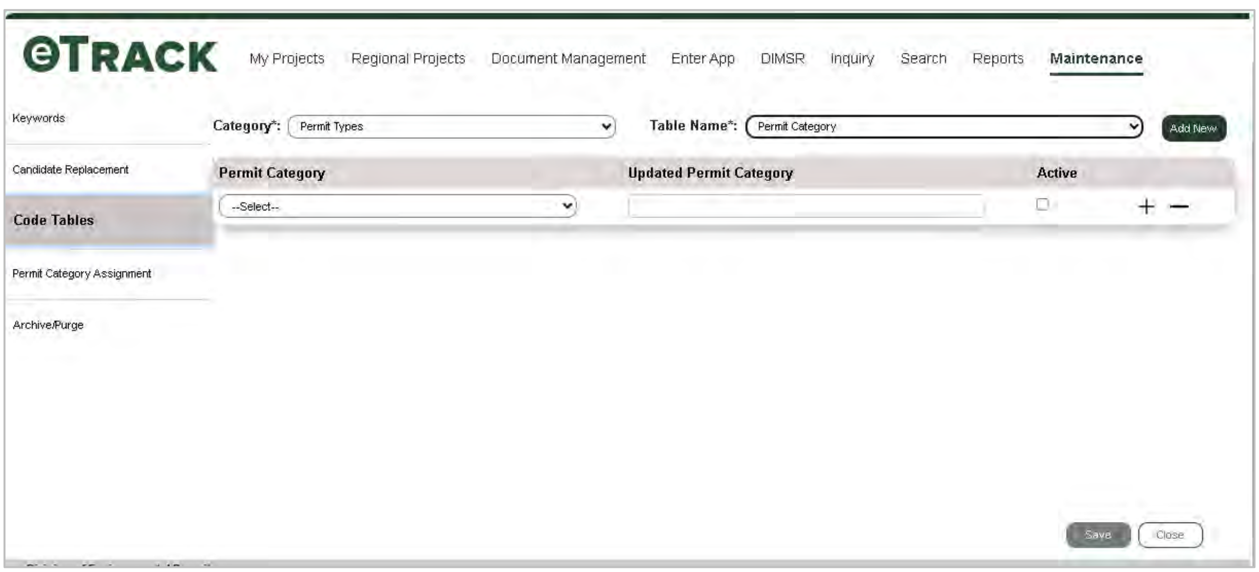
To add a new message, click the Add New button. This generates a popup that is similar to Edit Message Text, but has a different title: Add Message Text. Message Code and Message Text can be added, and Message Type is a dropdown.

Click Save, and the new message appears in the results grid. A software Developer must use code to generate the message in eTrack.

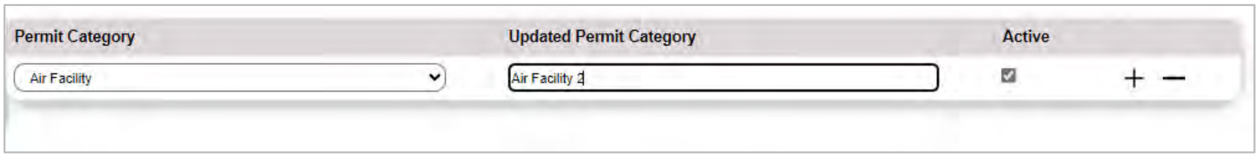
19.3.7 Permit Category

Changes can be made to Permit Types, starting with Permit Category.

As a System Admin, go to the Code Tables screen and click the Category dropdown. Select Permit Type, and in the Table Name dropdown, select Permit Category. A results grid appears with headers, from left to right: Permit Category; Updated Value; Active (checkbox) and a plus and minus sign (to add or remove additional rows). The Add New button will now be enabled.

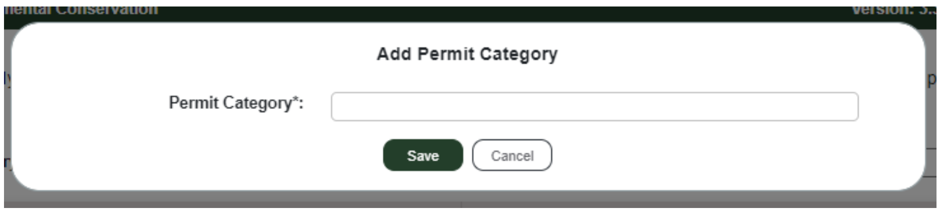


To update a Permit Category, select the Permit Category from the dropdown, then change the value in the Updated Permit Category dropdown. The Active checkbox will be automatically filled. Duplicate IDs are not allowed.



Click Save to update the Permit Category. Updating and Saving the updated value will result in the new value appearing in the Permit Category dropdown and on Step 3, Permit Selection.

To add a new Permit Category, click the Add New button. Clicking the Add New button generates a popup: The title is 'Add New Permit Category'. The label is 'Permit Category*' (mandatory), to the left of a data entry field. Buttons are Save/Cancel.



After adding a new category and clicking Save, a confirmation popup appears: 'Successfully Saved'.

The added Permit Category will appear in the dropdown, in alphabetical order. The Active checkbox will be checked.

NOTE: The added Permit Category will only appear on Step 3 Permit Selection AFTER permits are assigned to the category

To remove a Permit Category from the Step 3 Permit Selection screen, de-select the Active checkbox and click Save.

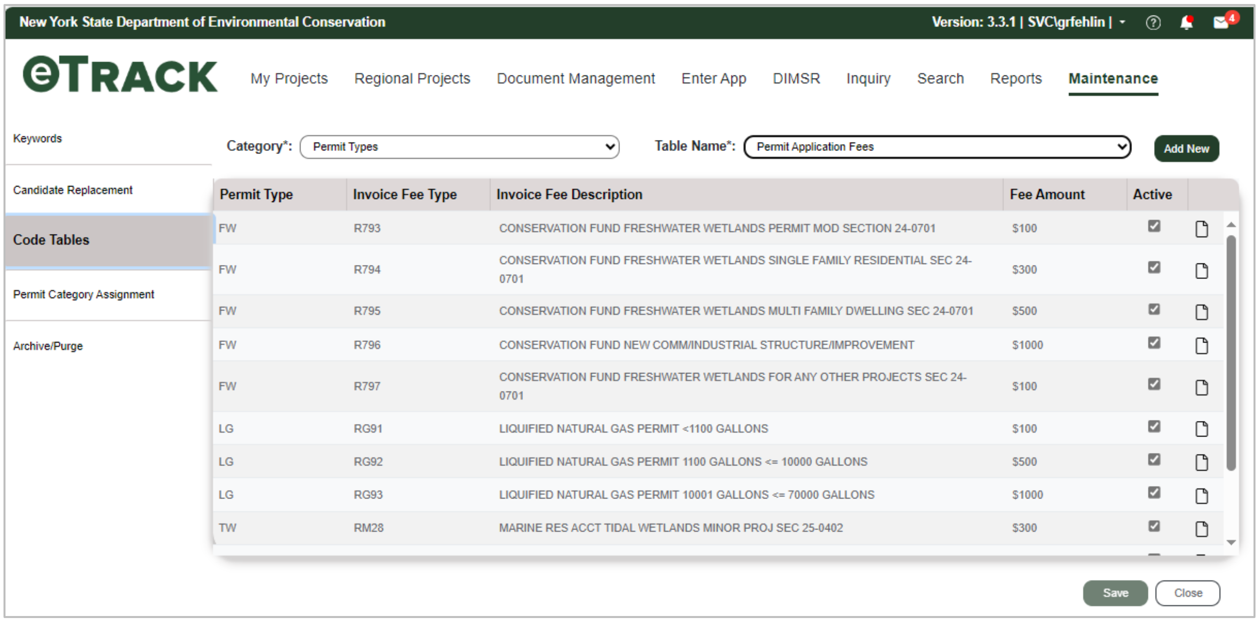
19.3.8 Permit Application Fees

An Invoice Fee Type can be added or edited.

As a System Admin on the Code Tables screen, click on Category dropdown and select Permit Type.

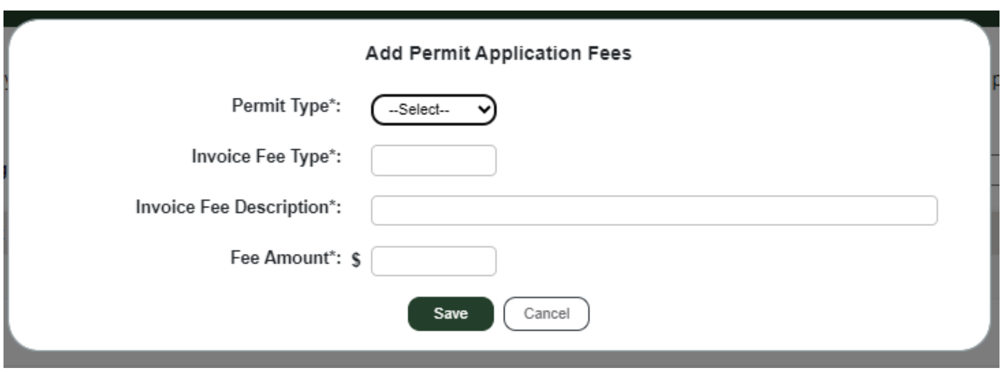
In the Table Name dropdown, select Permit Application Fees.

Selecting Permit Application Fees displays a results grid with column headers from left to right: Permit Type; Invoice Fee Type; Invoice Fee Description; Fee Amount. There is an Export to Excel icon to the right. Each row has an edit icon at the end of the row. There is an Add New button above the grid to the right.



Grid sorts by Permit Type, and Invoice Fee Type. All fields displayed on this screen are read-only.

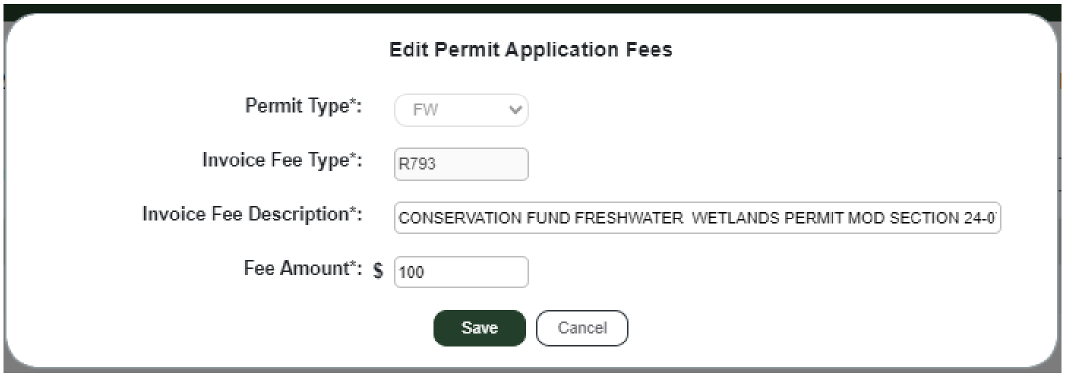
To add a new Permit Application Fee, click the Add New button. A popup will be generated with the title: Add Permit Application Fees. There are four labels, from top to bottom: Permit Type*; Invoice Fee Type*; Invoice Fee Description*; Fee Amount*.



Permit Type has a dropdown (FW, TW, and LG only). The other three labels are beside data entry fields.

Information can be selected and added. Clicking Save returns the user to the screen where new the Permit Application Fee will be visible in the list.

Clicking the edit icon opens the same popup with the same labels and fields, however the title is Edit Permit Application Fees.



There are some other differences:

- Permit Type – passed in from selection on list, disabled
- Invoice Fee Type – passed in from the selection on list; disabled
- Invoice Fee Description – passed in from the selection on list; enabled
- Fee Amount – passed in from the selection on list; enabled

Changes made are saved on the results grid and visible on the eTrack VW in the Invoice section. Clicking the Active checkbox on the results grid will enable or disable the specific fee.

19.3.9 Transaction Type Rules

Based on the eTrack application transaction types that have been selected on the screen, this table shows the translation to DART terms.

Selections are NEW, MOD, EXT, XFER and REN. If there were material changes from the initial project plan, this could change a small MOD to a big MOD.

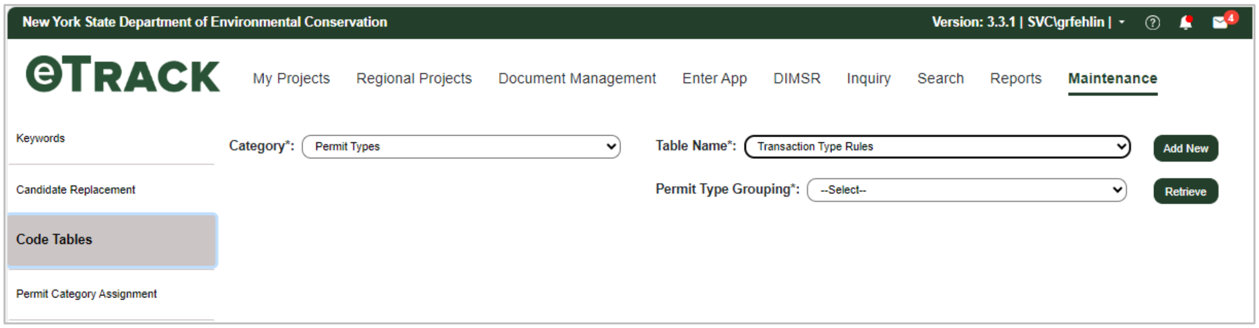
The Supporting Document Type determines which documents are going to display on Step 4.

MOD/EXT form is a separate standard form that is used with certain MODs or MOD combinations.

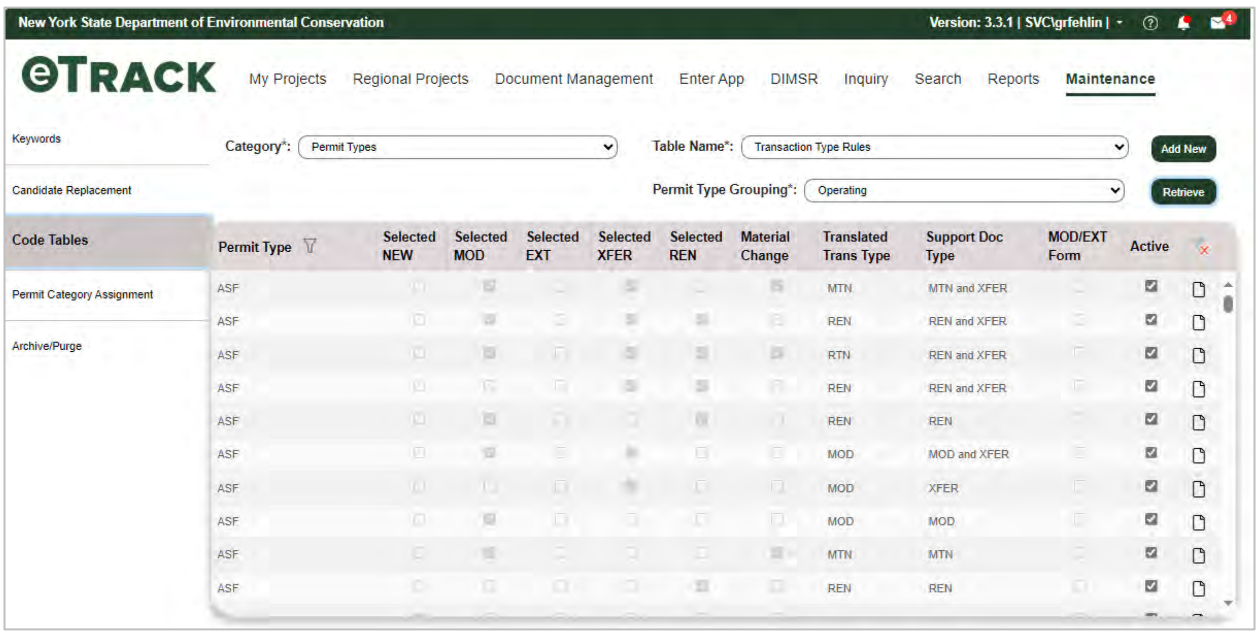
Transaction Types can be added or edited.

As a System Admin, go to the Code Tables screen. In the Category dropdown select Permit Types, and in the Table Name, select Transaction Type Rules.

A new row will appear beneath the Table name with the label 'Permit Type Grouping*:' beside a dropdown with permit type groupings (Operating, Construction, General Permit). To the right of the dropdown is a 'Retrieve' button.



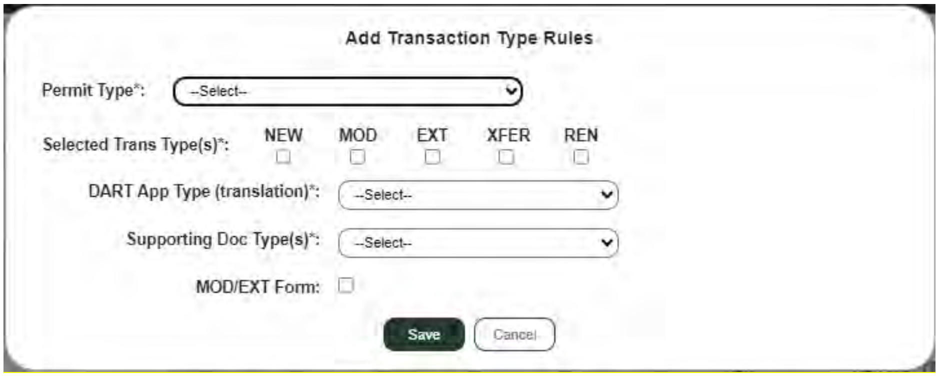
With a Permit Type Grouping selected from the dropdown, click the Retrieve button. This will display all the Permit Types associated with that grouping, alphabetically sorted by Permit Type.



The column headers, from left to right, are as follows: Permit Type; Selected NEW; Selected MOD; Selected EXT; Selected XFER; Selected REN; Material Change; Translated Trans Type; Support Doc Type; MOD/EXT Form; Active. There is a column that has a Reset Filter icon at top, and edit icons down below.

All columns contain checkboxes, except for Translated Trans Type and Support Doc Type, which will contain transaction types such as MOD, MTN, NEW etc. There is a Save and a Close button.

To add a new Transaction Type, click the Add New button. This will generate a popup with the header, 'Add Transaction Type Rules'.



The popup contains the following:

- Permit Type - drop down list; default value '---Select ---'
- Selected Trans Type – checkboxes; default unchecked (NEW, MOD, EXT, XFER, REN)

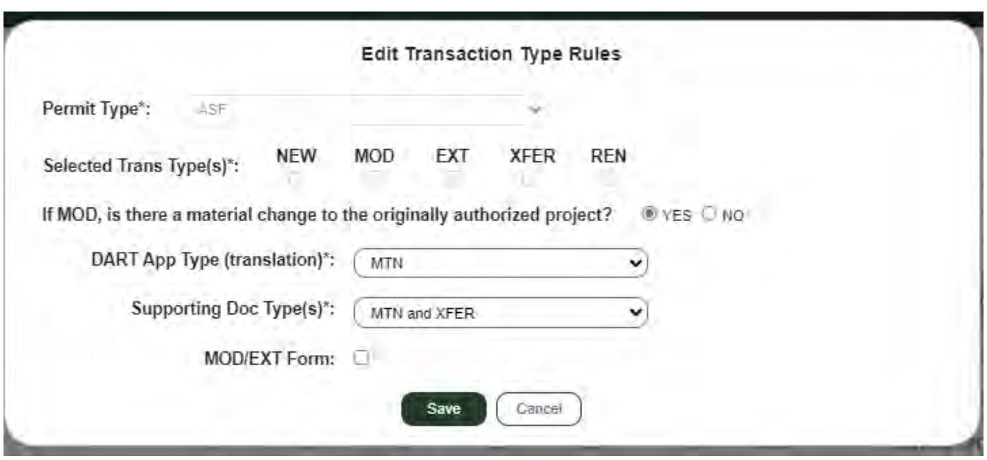
At least one is required.

If MOD is selected (even with another Transaction Type), this "material change" question will be both visible and enabled. There will be Yes/No radio buttons, and both will be unselected by default. If MOD is not selected, this will be hidden.

- The DART App Type (translation) is a dropdown, with the default value 'Select'
- Supporting Doc Types is a dropdown, with the default value 'Select'
- The MOD/EXT Form is a checkbox; default unchecked

Buttons are Save and Cancel. Clicking Save adds the row with the selections made.

To edit a Transaction Type, click the edit icon, which will generate a similar popup to the one above.



The popup contains the following:

- Permit Type – passed in from row selected; disabled

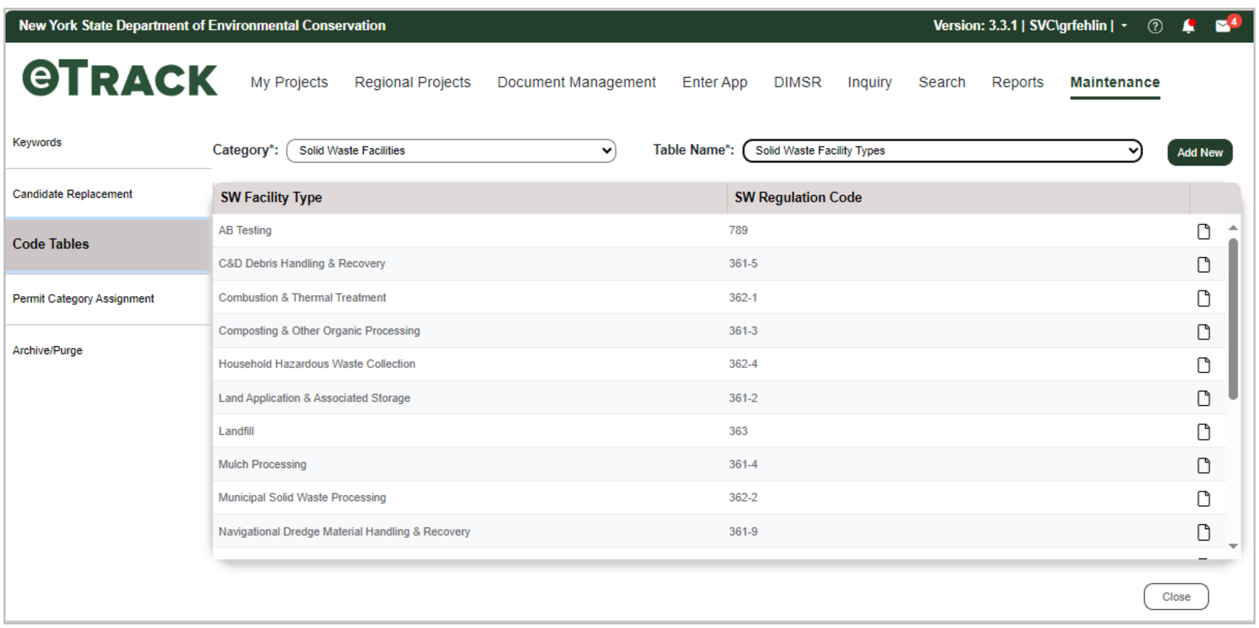
- Selected Trans Type – passed in from row selected; disabled
- Material change to original project – passed in from row selected; enabled, if applicable, or else hidden
- DART App Type – passed in from row selected; enabled
- Supporting Doc Types – passed in from row selected; enabled
- MOD/EXT Form – passed in from row selected; enabled

Buttons are Save and Cancel. Clicking Save returns the user to the results grid where the changes are visible.

19.3.10 Solid Waste Facility Types

As a System Admin on the Code Tables screen, click on Category dropdown and select Solid Waste Facilities. In the Table Name dropdown, select Solid Waste Facility Types.

A results grid will appear, with column headers from left to right: SW Facility Type and SW Regulation Code. The Add New Button is enabled.



To edit a Solid Waste Facility type, click the edit icon. This will generate a popup with the title: Edit Solid Waste Facility Types. There are two labels followed by data entry fields: SW Facility Type and SW Regulation Code, both mandatory.

Clicking Save will change the information in the results grid and in Step 3, Project Description, when a Solid Waste permit has been selected for the project.

To add a new Solid Waste Facility Type, click the Add New button. Clicking Add New button generates popup with title: Add Solid Waste Facility Types. There are two labels followed by data entry fields: SW Facility Type and SW Regulation Code, both mandatory.

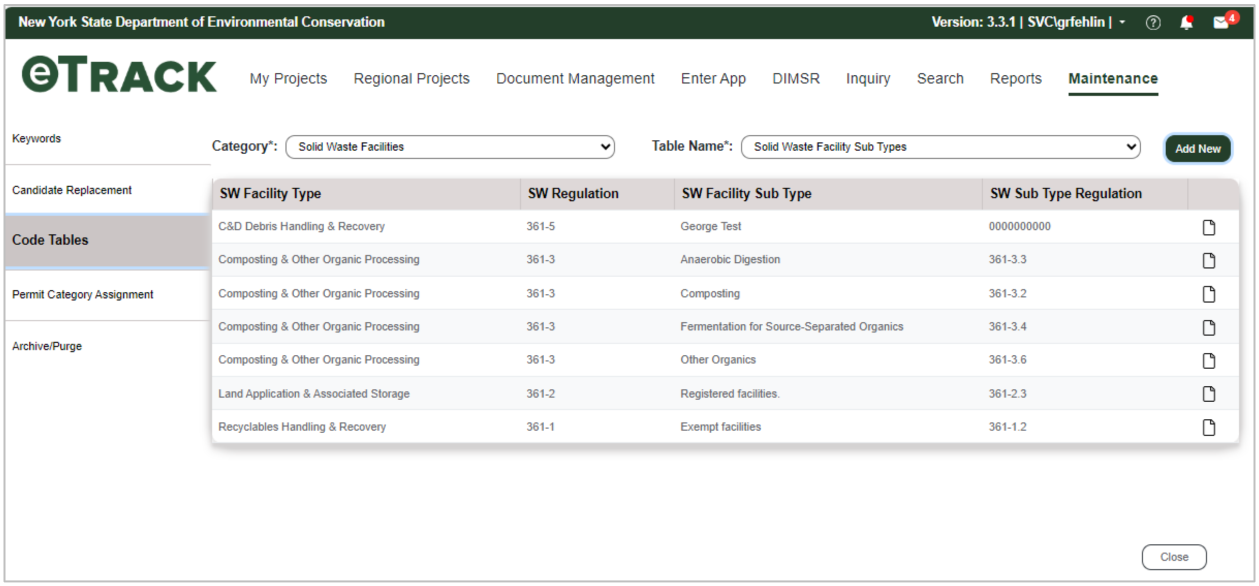
Clicking Save will display the new Solid Waste Facility Type on the results grid and in Step 3 Project Description.

19.3.11 Solid Waste Facility Sub Types

Solid Waste Facility Sub Types can be added or modified.

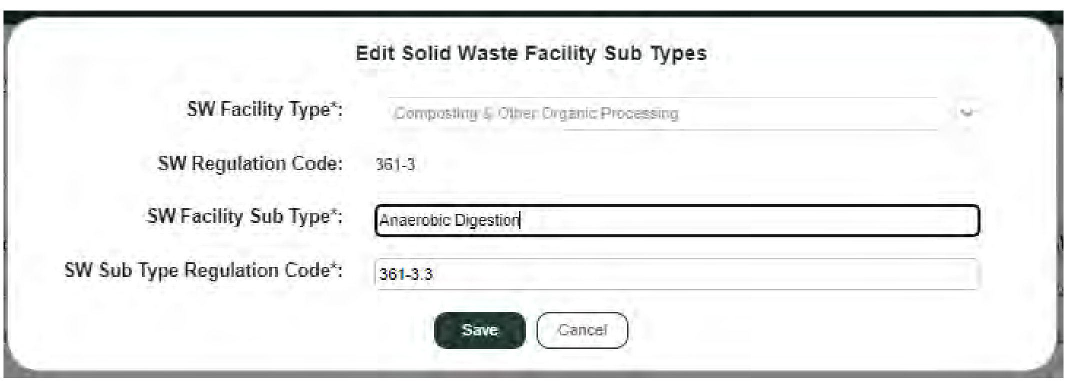
As a System Admin on the Code Tables screen, click on Category dropdown and select Solid Waste Facilities. In the Table Name dropdown, select Solid Waste Facility Sub Types.

A results grid appears. Column headers from left to right are: SW Facility Type; SW Regulation; SW Facility Sub Type; SW Sub Type Regulation. There is an edit icon to the right in each row.



To edit a SW Facility Sub Type, click the edit icon. This will generate a popup with the title: Edit Solid Waste Facility Sub Types. There are four labels followed by data entry fields, corresponding to the column headers on the screen. The SW Facility Type is greyed-out and disabled. The SW Regulation Code is prepopulated and cannot be changed. Only the SW Facility Sub Type and SW Sub Type Regulation code can be changed, and both are prepopulated.

Note: The SW Sub Type Regulation Code needs to begin with the entire SW Regulation Code.



Click Save, and the changes made will be visible in the results grid and Step 3 Project Description for a project with a Solid Waste Facility Sub Type.

To add a new Solid Waste Facility Sub Type, click the Add New button. This will generate a popup with the title: Add Solid Waste Facility Sub Types. The same labels appear as above, however the SW Facility Type has a dropdown from which values can be selected. The Regulation Code will appear once the Type is selected. The SW Facility Sub Type and SW Sub Type Regulation code have data fields where information can be added.

Click Save, and the new SW Facility Sub Type will appear in Step 3 Project Description, as described above.

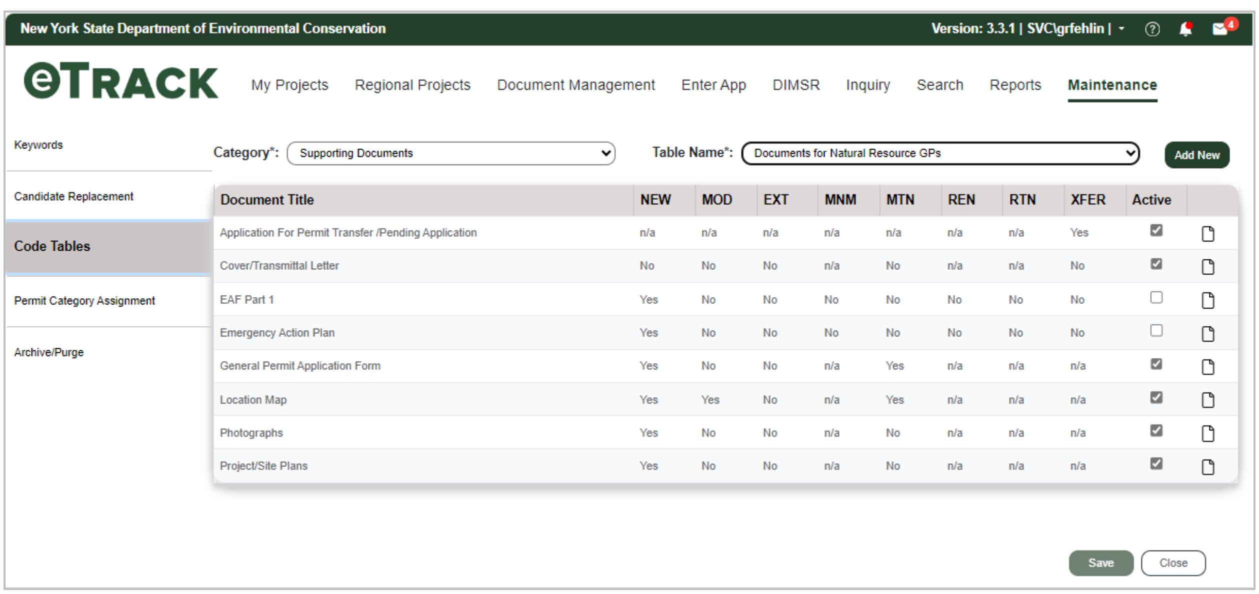
19.3.12 Supporting Documents for Natural Resource GPs

Supporting Documents for Natural Resource General Permits can be added and edited.

As a System Admin, click on the Maintenance link at the top of the screen and go to the Code Tables screen. In the Category dropdown, select Supporting Documents, and then, in the Table Name dropdown, select Documents for Natural Resource General Permits.

A results grid displays with an Add New button. Column headers from left to right are: Document Title; NEW; MOD; EXT; MNM; MTN; REN; RTN; XFER. These are followed by an Active column with checkboxes, and an edit icon.

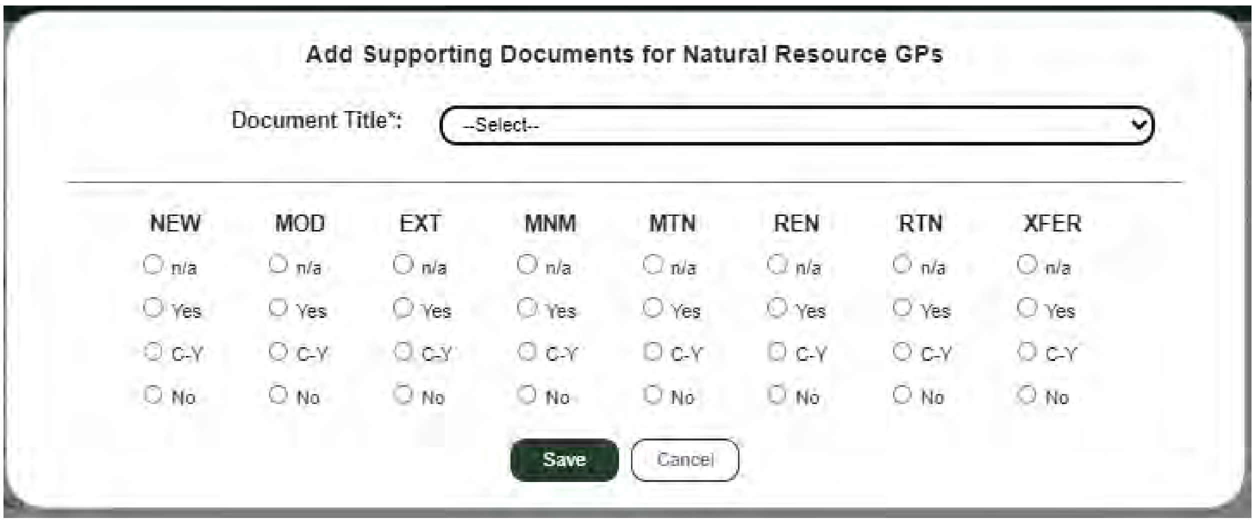
NOTE: At least one selection is Required for each App Trans Type.



Document Title	NEW	MOD	EXT	MNM	MTN	REN	RTN	XFER	Active
Application For Permit Transfer /Pending Application	n/a	n/a	n/a	n/a	n/a	n/a	n/a	Yes	☑
Cover/Transmittal Letter	No	No	No	n/a	No	n/a	n/a	No	☑
EAF Part 1	Yes	No	No	No	No	No	No	No	☐
Emergency Action Plan	Yes	No	No	No	No	No	No	No	☐
General Permit Application Form	Yes	No	No	n/a	Yes	n/a	n/a	n/a	☑
Location Map	Yes	Yes	No	n/a	Yes	n/a	n/a	n/a	☑
Photographs	Yes	No	No	n/a	No	n/a	n/a	n/a	☑
Project/Site Plans	Yes	No	No	n/a	No	n/a	n/a	n/a	☑

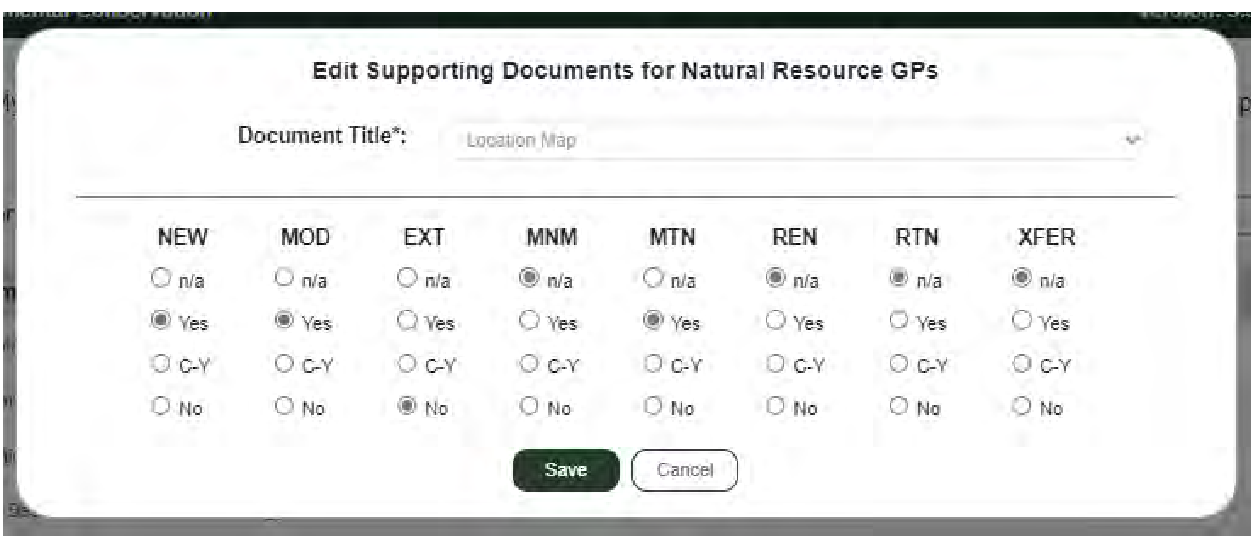
NOTE: Note: n/a – doesn't apply ; Yes – required ; C-Y – conditionally required ; No – not required.

To add a new supporting document for Natural Resource General Permits, click the Add New button. A popup will appear with the title: Add Supporting Documents for Natural Resource GPs. There is one label with a dropdown, Document Title*. The section below contains columns with the headers: NEW; MOD; EXT; MNM; MTN; REN; RTN; XFER. Each column has radio buttons from top to bottom: n/a; Yes; C-Y; No.



Clicking Save will put the new Document Title with the selections made on the results grid in alphabetical order.

When clicking the edit icon, the same popup appears as with the Add New button, however the popup title reads Edit Supporting Documents for Natural Resource GPs and the Document Title is passed in from selection on list.

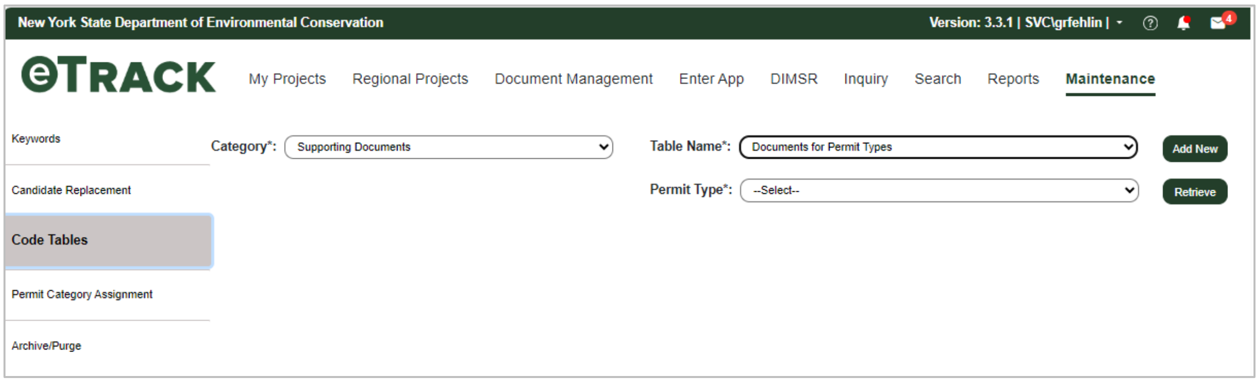


Going to a project that has a Natural Resource GP permit selected, and going to Step 4, will either display the required documents for it or not, depending on the Active checkbox selection.

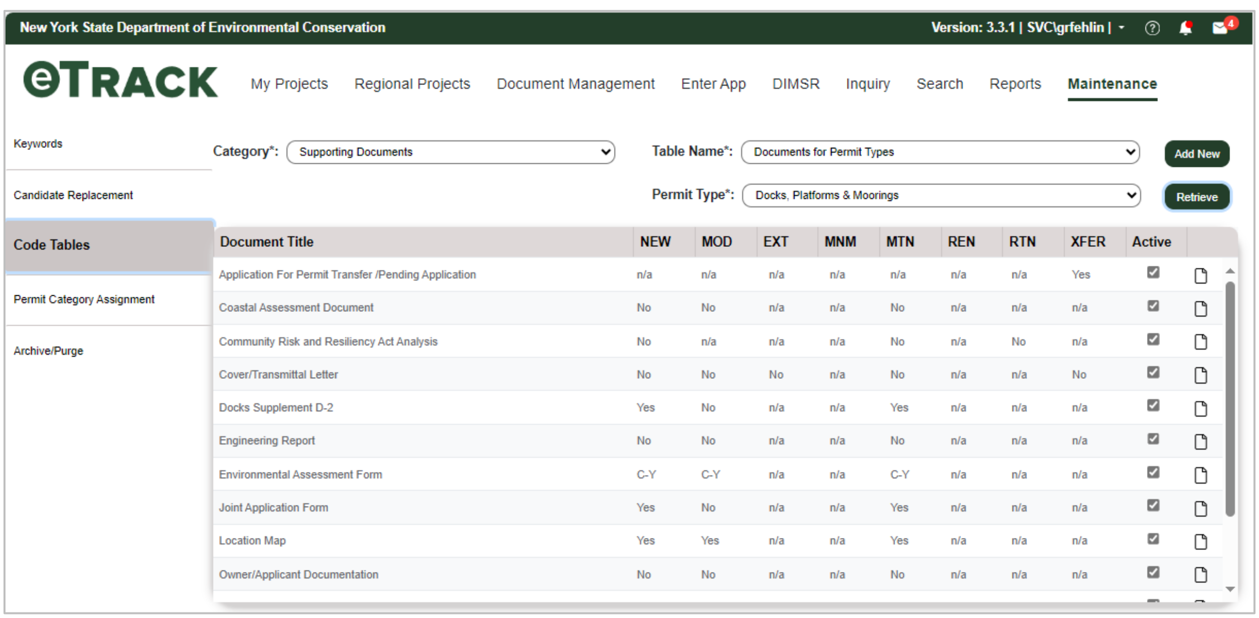
19.3.13 Supporting Documents for Permit Types

Supporting Documents for Permit Types can be added and changed.

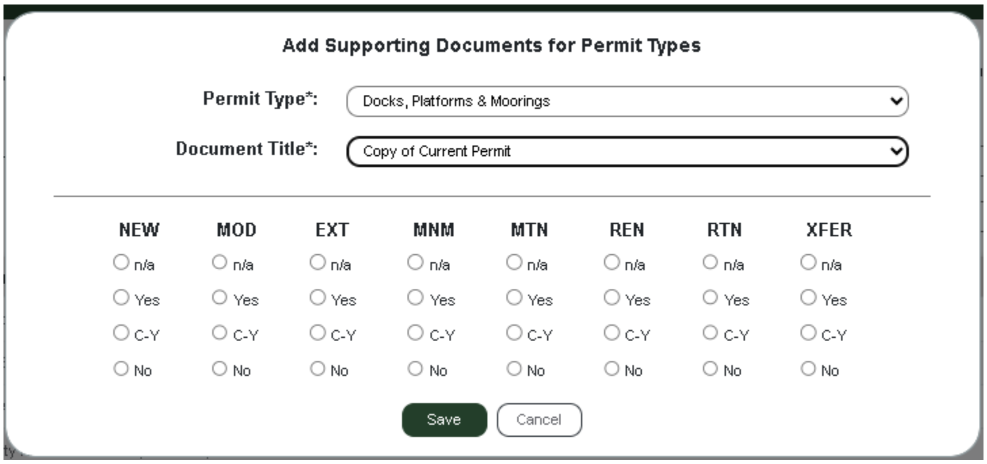
As a System Admin, click on the Maintenance link at the top of the screen and go to the Code Tables screen. In the Category dropdown, select Supporting Documents, and then, in the Table Name dropdown, select Documents for Permit Types.



Select a Permit Type from the dropdown menu and click the Retrieve button. An additional row appears with the label 'Permit Type' and a dropdown; and a Retrieve button. Column headers from left to right are: Document Title; NEW; MOD; EXT; MNM; MTN; REN; RTN; XFER. These are followed by an Active column with checkboxes, and an edit icon.

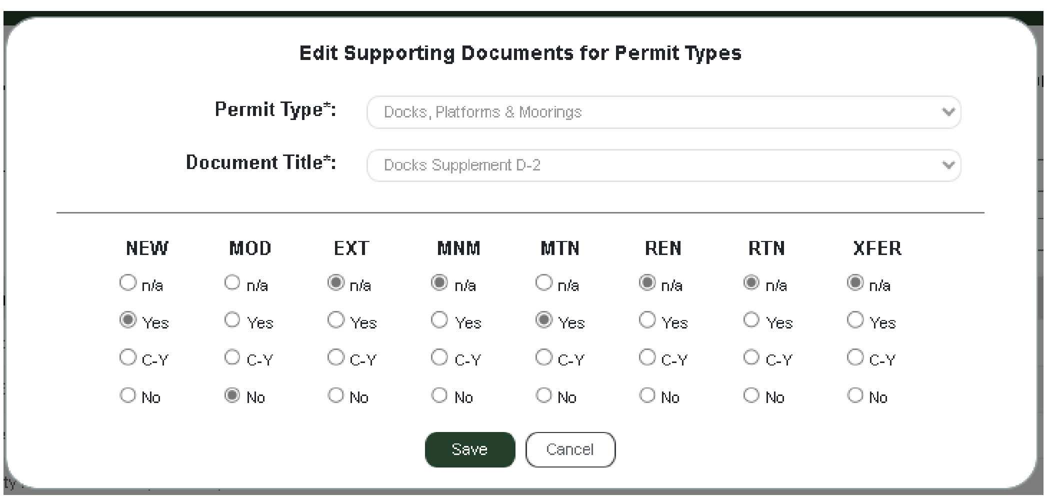


To add Supporting Documents for Permit Types, click the Add New button. A popup will appear with the title: Add Supporting Documents for Permit Types. There are two labels with dropdowns: Permit Type* and Document Title*. The section below contains columns with the headers: NEW; MOD; EXT; MNM; MTN; REN; RTN; XFER. Each column has radio buttons from top to bottom: n/a; Yes; C-Y; No.



Clicking Save will put the new Document Title with the selections made on the results grid in alphabetical order.

To edit Supporting Documents for Permit Types, click the edit icon. The same popup will appear as with the Add New button, however the Permit Type and Document Title are passed in from the selection on the list.



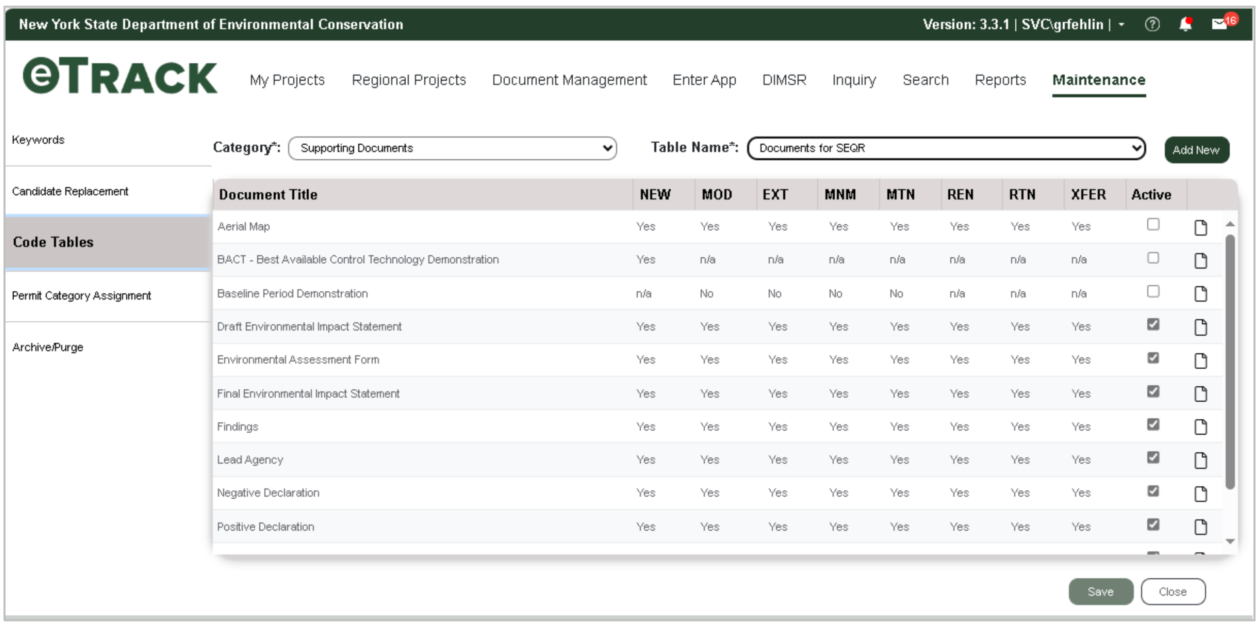
To enable the changes, in the results grid, change the Active value by clicking a checkbox, click Save, then go to eTrack Step 4 and view whether the Supporting Document for a Permit Type has been added or removed.

19.3.14 Supporting Documents for SEQR

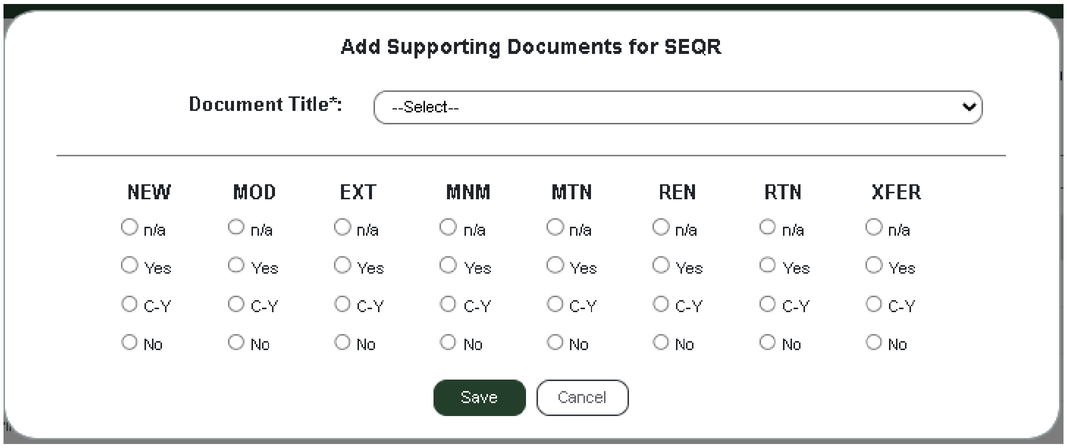
Supporting Documents for SEQR can be added or changed.

As a System Admin, click on the Maintenance link at the top of the screen and go to the Code Tables screen. In the Category dropdown, select Supporting Documents, and then, in the Table Name dropdown, select Documents for SEQR.

When the selection is made in the Table Name dropdown a results grid is displayed, along with an Add New button. Column Headers from left to right are: Document Title; NEW; MOD; EXT; MNM; MTN; REN; RTN; XFER. These are followed by an Active column with checkboxes, and an edit icon.

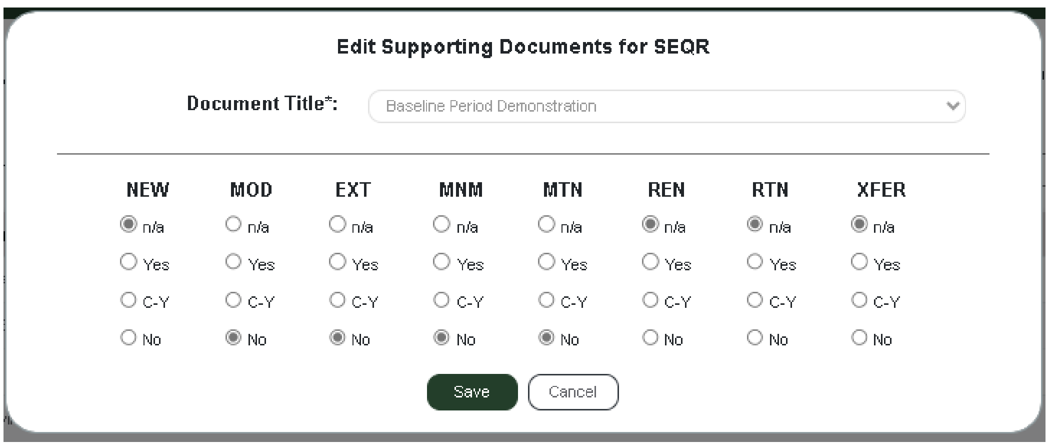


To add Supporting Documents for SEQR, click the Add New button. A popup will appear with the title: Add Supporting Documents for SEQR. There is one label (Document Title*) with a dropdown. The section below contains columns with the headers: NEW; MOD; EXT; MNM; MTN; REN; RTN; XFER. Each column has radio buttons from top to bottom: n/a; Yes; C-Y; No.



Clicking Save will put the new Document Title with the selections made on the results grid in alphabetical order.

When clicking the edit icon, the same popup appears as with the Add New button, however the Document Title is passed in from the selection on the list.



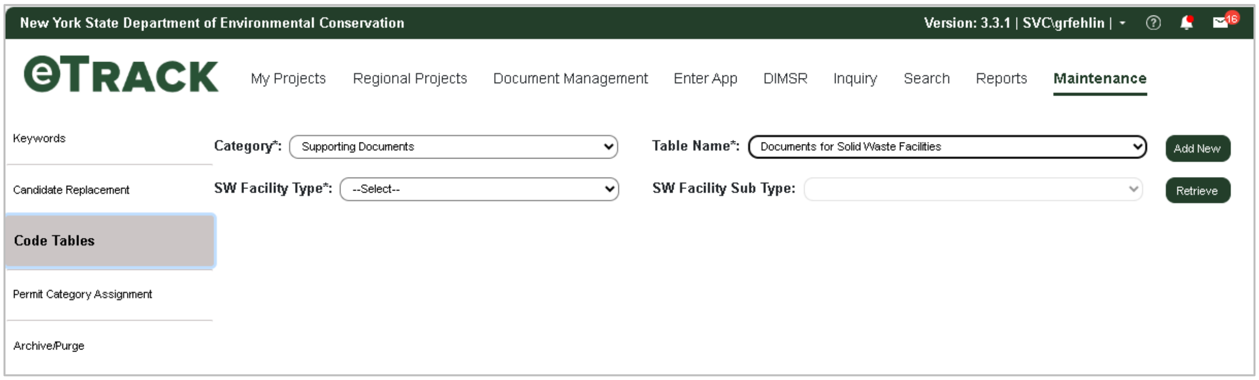
Navigating to a project that has the SEQR grid displayed on Step 4, will either display the required documents for it or not, depending on the Active checkbox selection.

19.3.15 Supporting Documents for Solid Waste Facilities

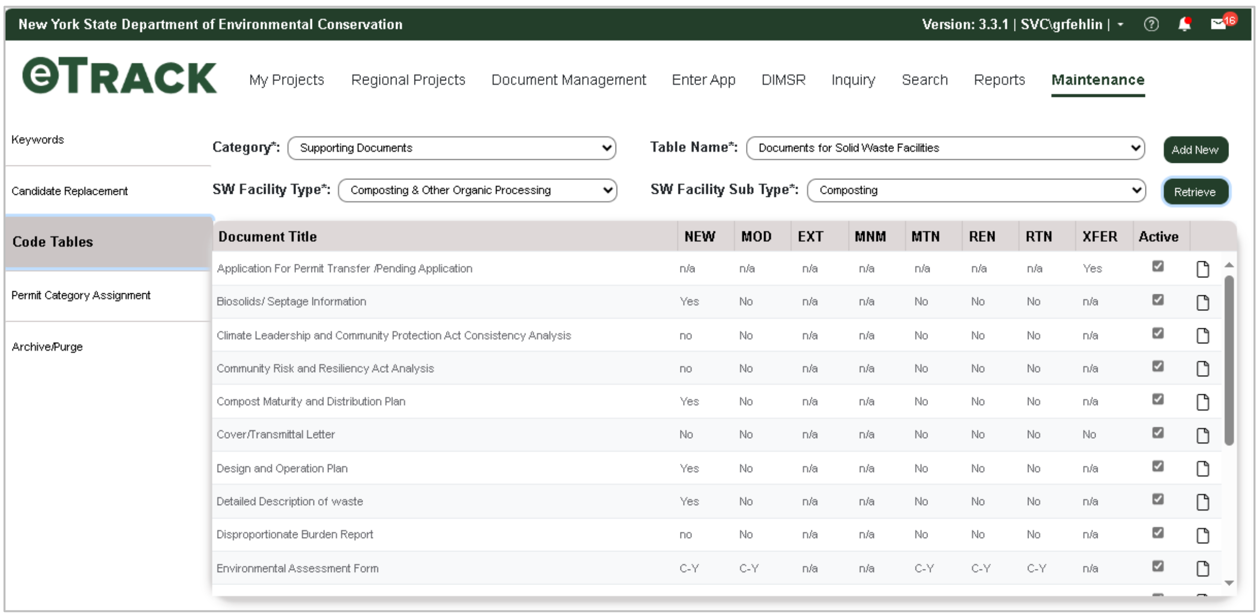
Supporting Documents for Solid Waste Facilities can be added or edited.

As a System Admin, click on the Maintenance link at the top of the screen and go to the Code Tables screen. In the Category dropdown, select Supporting Documents, and then, in the Table Name dropdown, select Documents for Solid Waste Facilities.

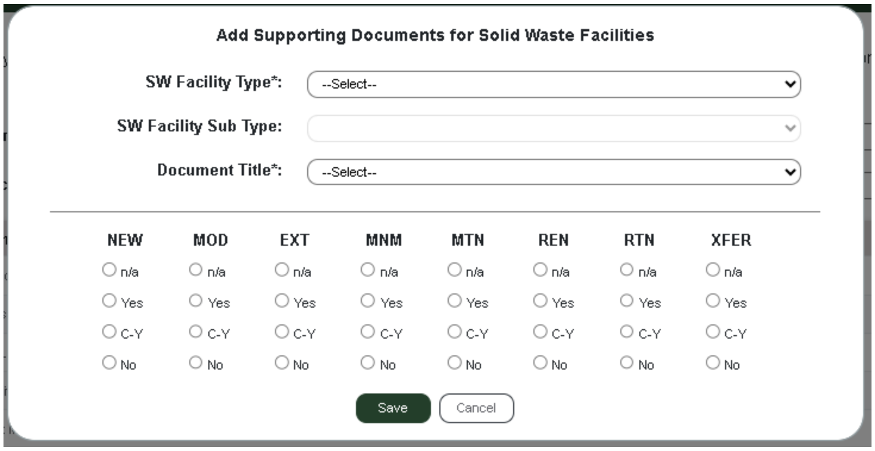
When the selection is made in the Table Name dropdown, an additional row appears with two labels and dropdowns: SW Facility Type (mandatory); SW Facility Sub Type; and a Retrieve button.



Making a selection in the dropdown(s) and clicking Retrieve displays a results grid. Column Headers from left to right are: Document Title; NEW; MOD; EXT; MNM; MTN; REN; RTN; XFER. These are followed by an Active column with checkboxes, and an edit icon.



To add a new document to Supporting Documents for Solid Waste Facilities, click the Add New button. A popup will appear with the title: Add Supporting Documents for SW Facilities. There are three labels with dropdowns: SW Facility Type*; SW Facility Sub Type; Document Title*. The section below this contains columns with the headers: NEW; MOD; EXT; MNM; MTN; REN; RTN; XFER. Each column has radio buttons from top to bottom: n/a; Yes; C-Y; No.



Clicking the edit icon displays the same popup as with the Add New button, however:

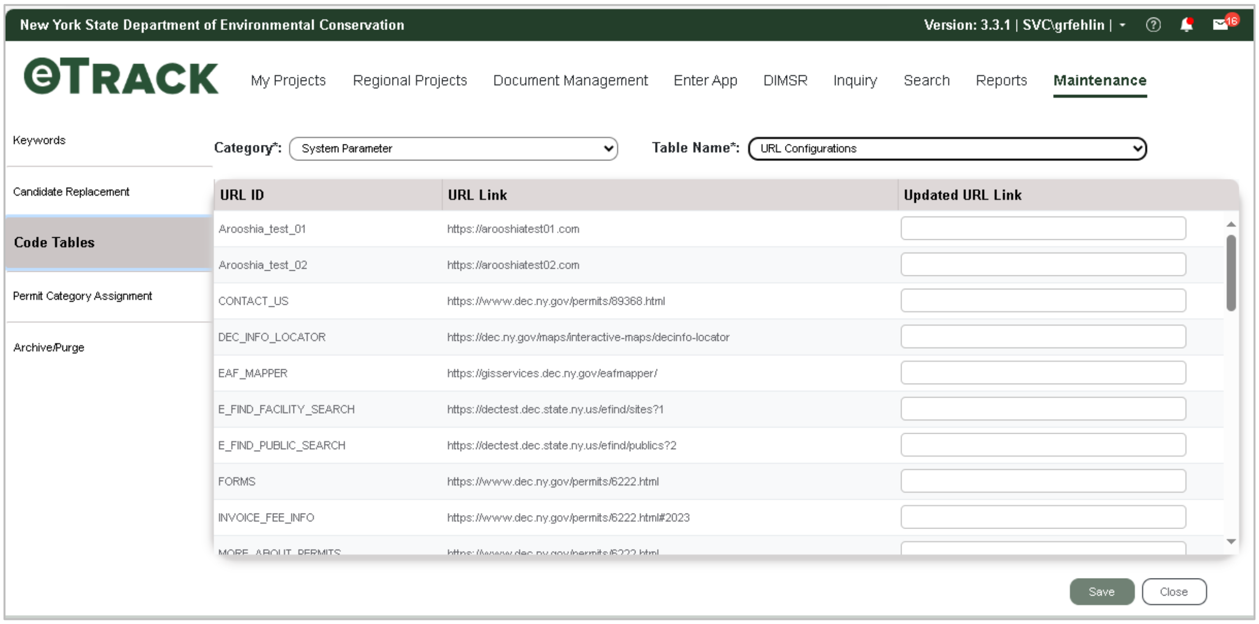
- SW Facility Type is passed in from selection on list; disabled
- SW Facility Sub Type is passed in from the selection on list; disabled
- Document Title is passed in from the selection on list; disabled

Navigating to a project that has a SW permit selected, and going to Step 4, will either display the required documents for SW or not, depending on the Active checkbox selection.

19.3.16 System Parameter

As a System Admin on the Code Tables screen, click on the Category dropdown and select System Parameter. In the Table Name dropdown, select URL Configurations.

A results grid appears. Column headers from left to right are: URL ID; URL Link; Updated URL Link.



To change a URL (e.g. in the screen footer), enter the revised URL in the selected data field and click Save. The URL Link will be updated and the link will change in eTrack.

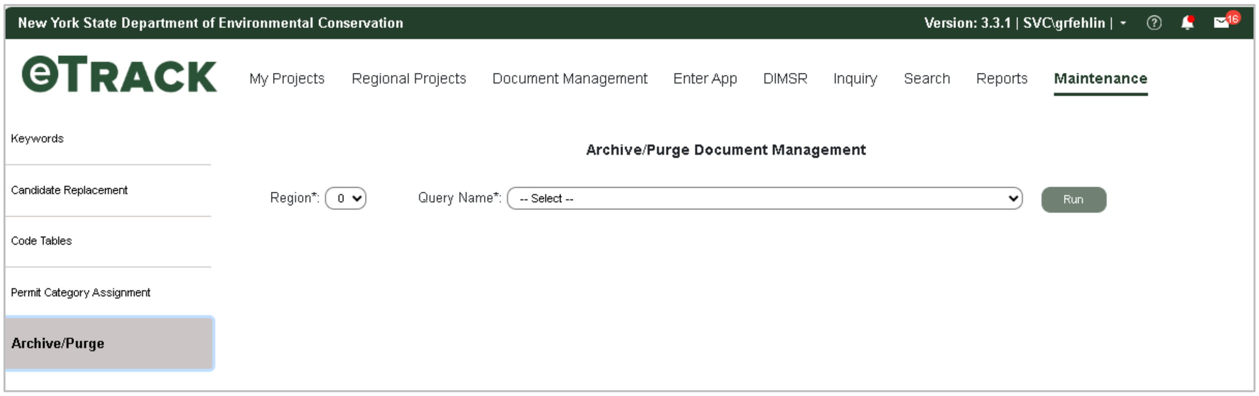
19.4 Archive/Purge

Archive/Purge takes place in three steps, in a coordinated process that involves both a System Admin and an Analyst. The System Admin executes a Query for candidate deletions or archival of documents, and then notifies an Analyst to conduct a review. The Analyst performs the review, making decisions about whether to archive, purge (delete) or do nothing to documents on an individual basis. When they have completed the review, the Analyst notifies the System Admin, who returns to the Query screen and concludes the process.

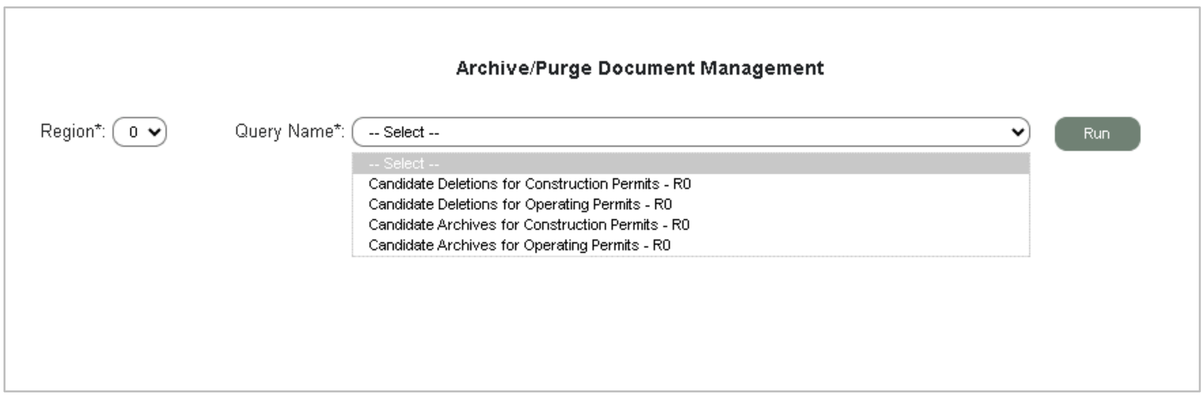
19.4.1 System Admin Process for Archive/Purge – First Step

To begin, as a System Admin, click on the Maintenance link at the top of the eTrack screen, then click the Archive/Purge link. The Archive/Purge Document Management screen appears. To the left is a Region dropdown (mandatory), with all Regions 0-9. Note that the default value for System Admins is ‘0’.

At the center of the page is a dropdown for Query Name* (mandatory), with a list of the queries available for possible archival or purge. At the right of the screen is a Run button (disabled).



Clicking on the Query Name dropdown displays the available options:



The list appears as below. Hovering-over the items in the dropdown list (AFTER selecting) will display the italicized text for each item:

- Candidate Deletions for Construction Permits – R<selected region number>

  Records Retention Query for Projects with ONLY Construction Permits Candidate Deletions

- Candidate Deletions for Operating Permits - R<selected region number>

  Records Retention Query containing Operating Permits Candidate (can contain construction permits within project) Deletions

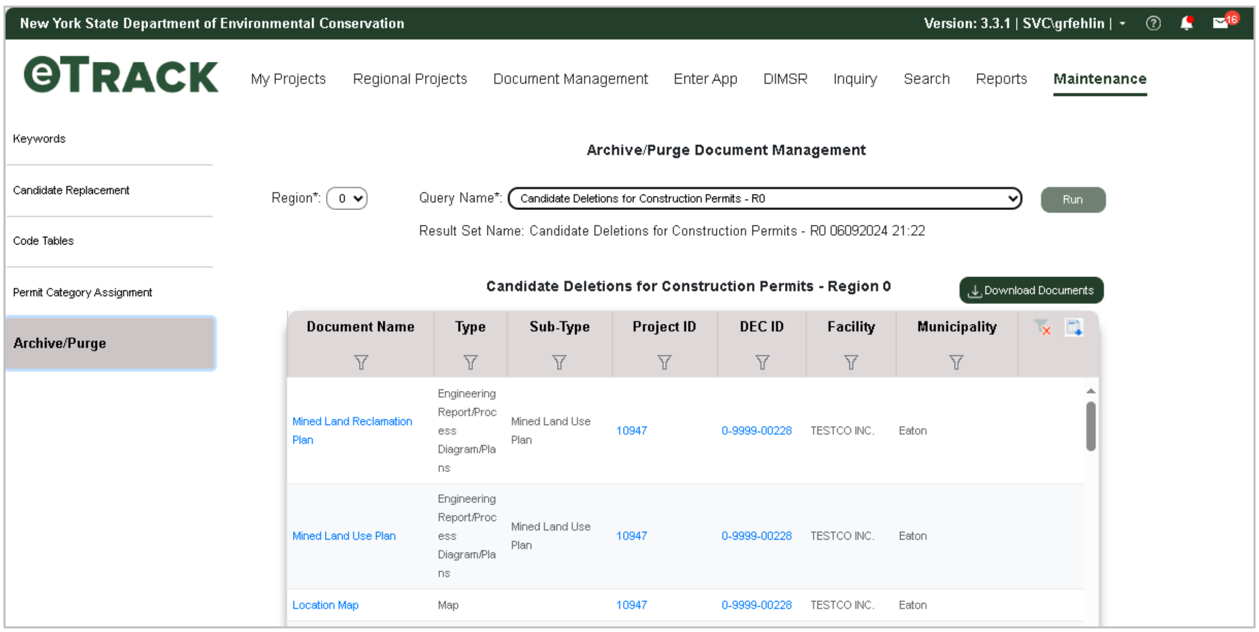
- Candidate Archives for Construction Permits - R<selected region number>

  Records Retention Query for ONLY Construction Permits Candidate for Archive

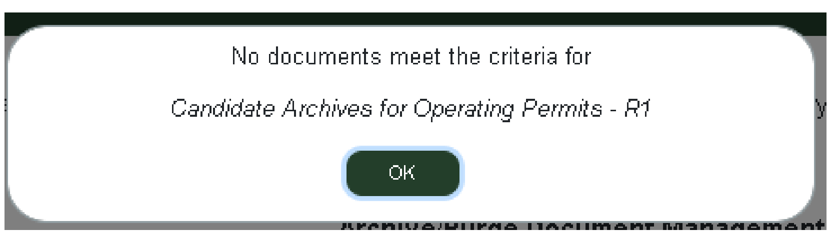
- Candidate Archives for Operating Permits - R<selected region number>

Records Retention Query for Operating Permits (can contain construction permits within project) Candidate Archive

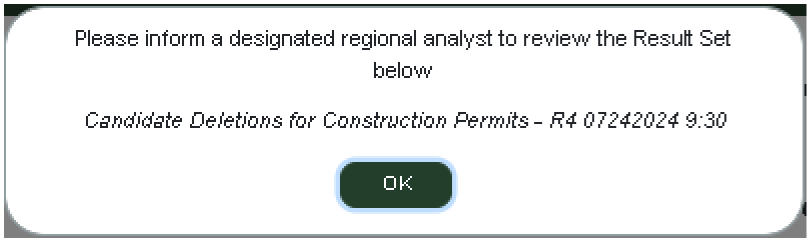
After selecting the Query, if there is not an existing result set, the Run button is enabled, and the System Admin runs the Query. If there IS an existing result set, it will display immediately with the Run button disabled.



If a Query is run, but there are no results, a popup appears that reads: 'No documents meet the criteria for (query/region)'.

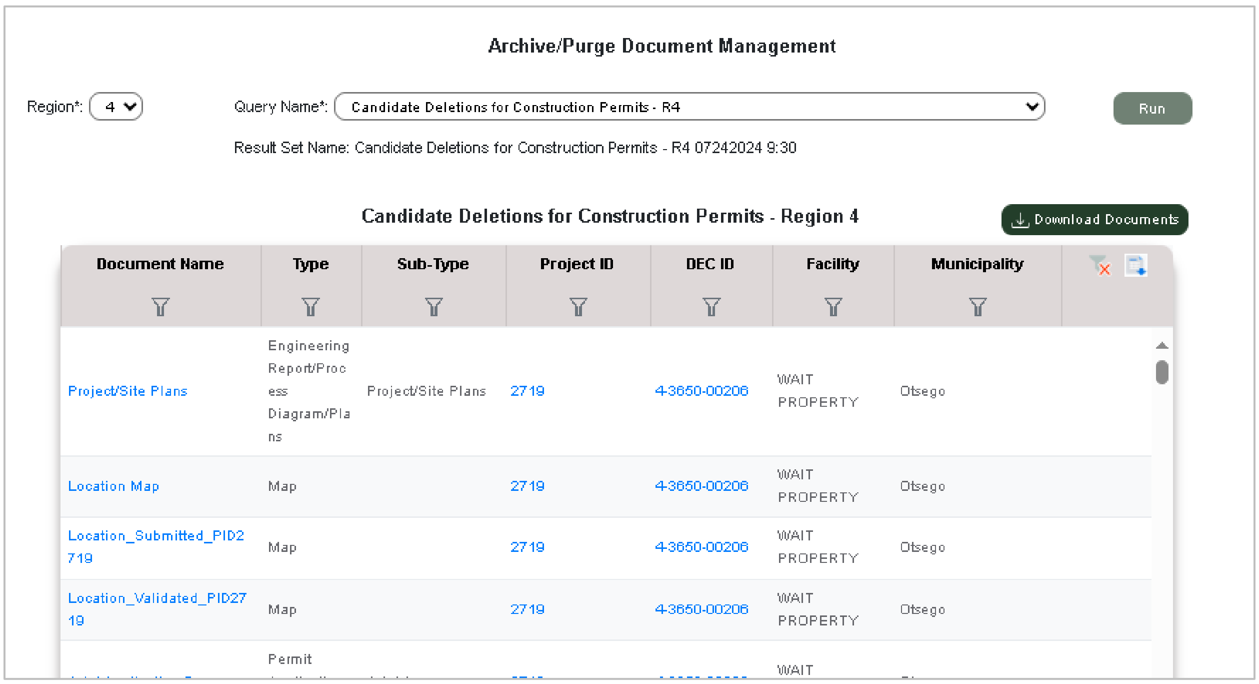


If there are results, a popup displays: 'Please inform a designated regional analyst to review the Result Set below', followed by the Query details.



The popup contains an OK button. The screen will be greyed-out until the OK button is clicked.

Above the results grid, is a title which matches the query that was run. To the right, above the results grid, is a Download Documents button (enabled).



The results grid column headers display as follows from left to right: Document Name; Type; Sub-Type; Project ID; DEC ID; Facility; Municipality; (reset filter icon); (export icon). Each column header is sortable, and has filter icons that function as elsewhere in eTrack.

In the grid, the Document Name, Project ID and DEC ID are all active hyperlinks to, respectively, the Uploaded File Details popup; DMS screen for the facility (filtered on the selected Project ID); and eFind Site Details.

The grid data default-sorts by Project ID.

NOTE: All documents returned in the result set, whether for an archive or a purge, cannot be deleted within DMS. The trashcan in DMS will be disabled, preventing any changes from being made during the entire review period.

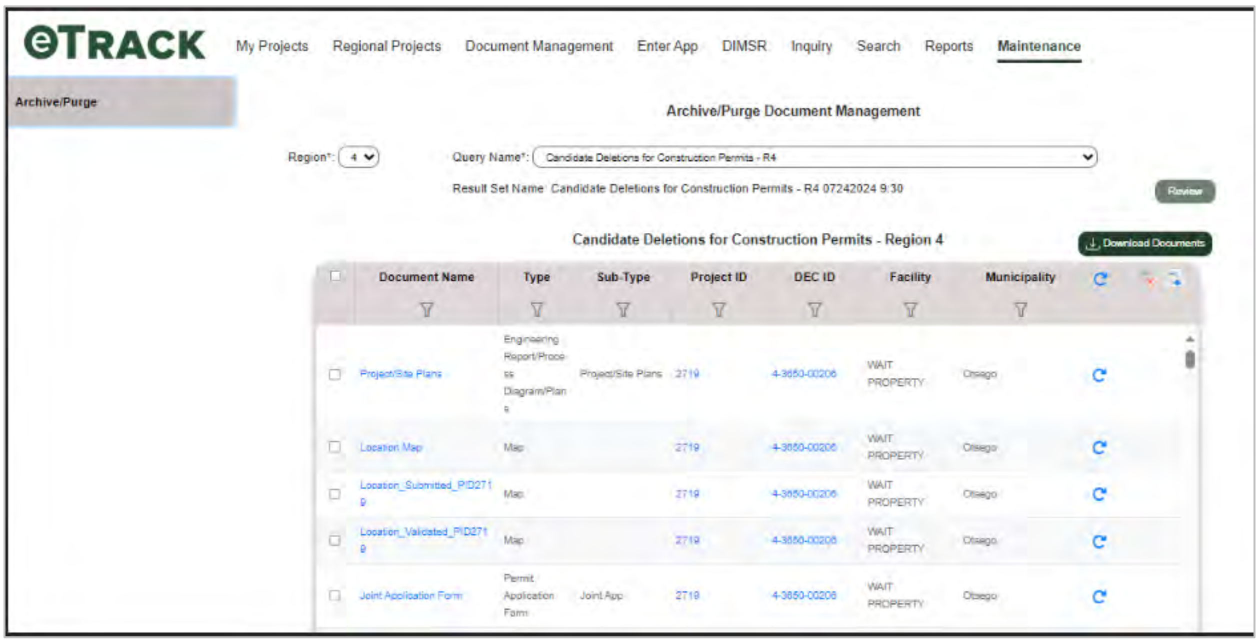
The System Admin now notifies the Analyst (by email or other manual means) that the Query is ready for review (it is best to include the Query details in the email so the Analyst can navigate to the query).

19.4.2 Analyst Process to Review candidate document list for Archive/Purge – Second Step

The Analyst goes to the Maintenance link at the top of the eTrack Screen, clicks on link at left that reads Archive/Purge, and navigates to the Result Set they have been assigned to Review.

The screen appears and functions similar to the System Admin view, except the Region filter defaults to the region that the Analyst is in, the Result Set name appears beneath the Query dropdown, and there is a Review button to the right of the Query name (enabled).

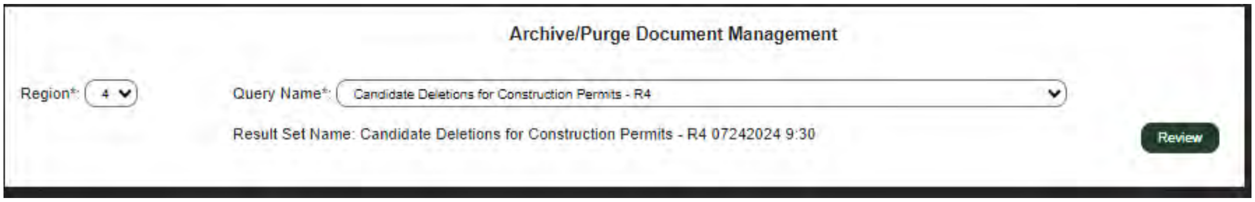
When the Review button is clicked, a results grid is displayed containing candidate documents retrieved for the Analyst to review and action. As changes are being made (either checkbox or blue arrow), the Review button is disabled, allowing only one person to work on the list at a time.



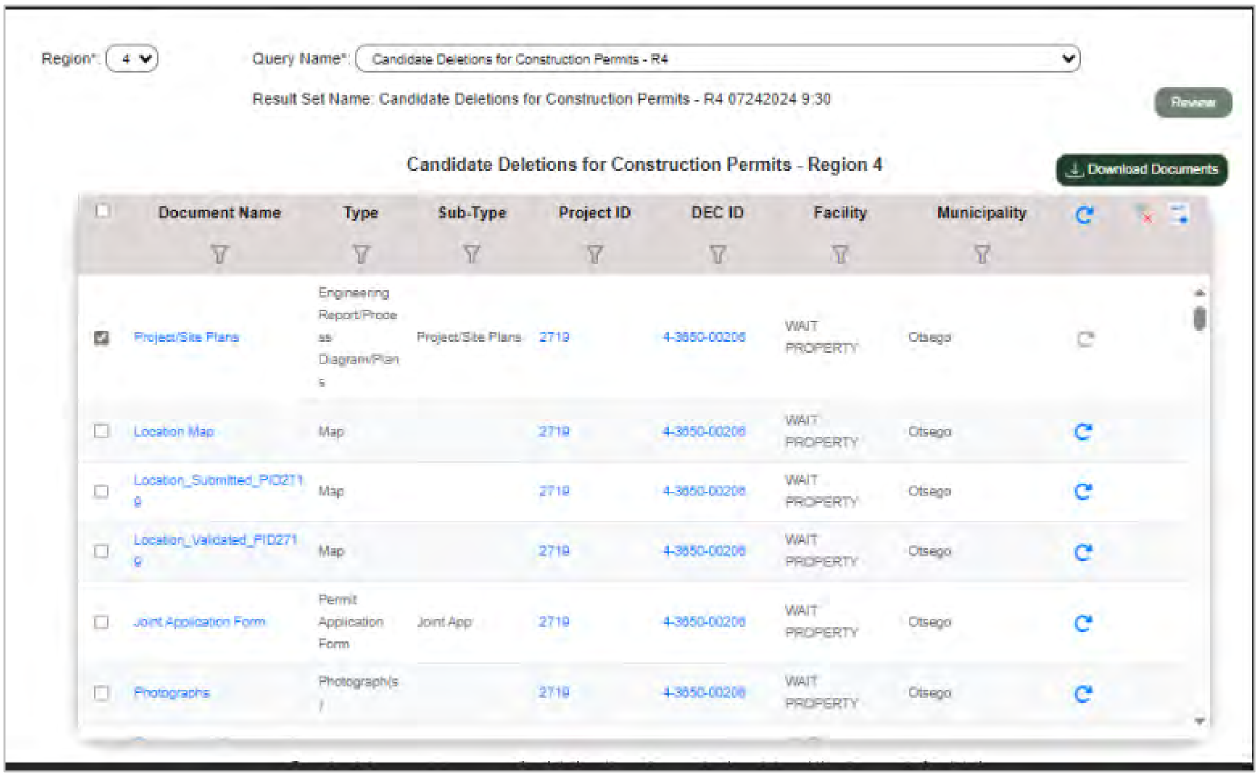
NOTE: Primary Municipality is displayed in the grid when there are multi-regions.

Analyst Assigned to Delete

An Analyst assigned a Results Set Review for a DELETION, navigates to the Result Set, and clicks the Review button.



Retrieved records in the list are sorted by Project ID. Grid columns sort and filter.



- Document Name - Displays the document name (hyperlinked to DMS if displayed)
- Type and Sub-Type - Displays Type and Sub-Type of document
- Project ID - Displays the Project ID associated with the document, hyperlink to DMS for the specific project, if one is displayed. (Documents listed may not have been associated with a project, and in that case, that column will be empty)
- DEC ID – DEC ID with hyperlink to eFind
- Facility Name - Displays the Facility Name
- Municipality – Displays the Primary Municipality
- Remove from List icon (circular arrow) - Immediately removes the document from the list right after being clicked. (This blue arrow just sets it aside and will show up the next the query is run)
- Checkbox ‘all’ (in the header) responds (allows for action on all of the rows in the grid)

Label text beneath grid reads: 'Download documents to prepare for deletion, then place a checkmark to set the documents for deletion OR Click the blue arrow to remove the document from this candidate deletion list and to retain in DMS.'

When an Analyst clicks on the blue 'remove' icon in a row at the right of the document grid, it indicates that the document is not eligible for Archive/Purge and should be removed from the result set. It is removed from the list at the time when clicked.

A document removed from the Review grid will have the delete trashcan re-enabled in DMS.

The Save button is visible and disabled until a change has been made. When enabled and clicked, it saves all decisions made by the Analyst. After a Save, this result set will not change, and returning to the same screen, the selected checkmarks will still remain on the screen.

Checking a checkbox and clicking Save will disable the 'Remove from List' icon. Documents with disabled Remove from List icons are not removed from the list when the header icon is clicked.

Clicking the Review Complete checkbox generates a confirmation message and the screen becomes disabled.

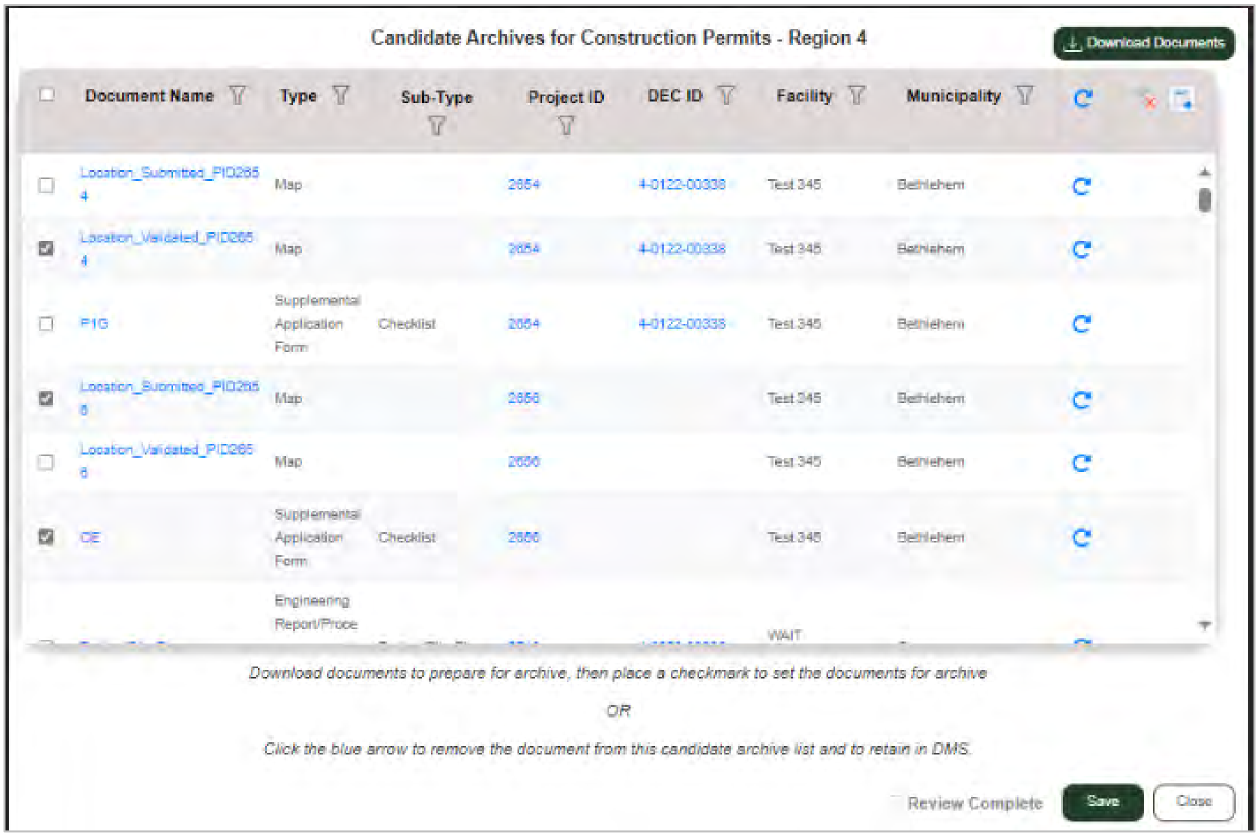
Clicking Cancel returns the user to the screen where the Review Complete checkbox is now UNchecked and additional changes can be made.

Clicking OK closes the pop up and returns to the screen.

Analyst Assigned to Archive

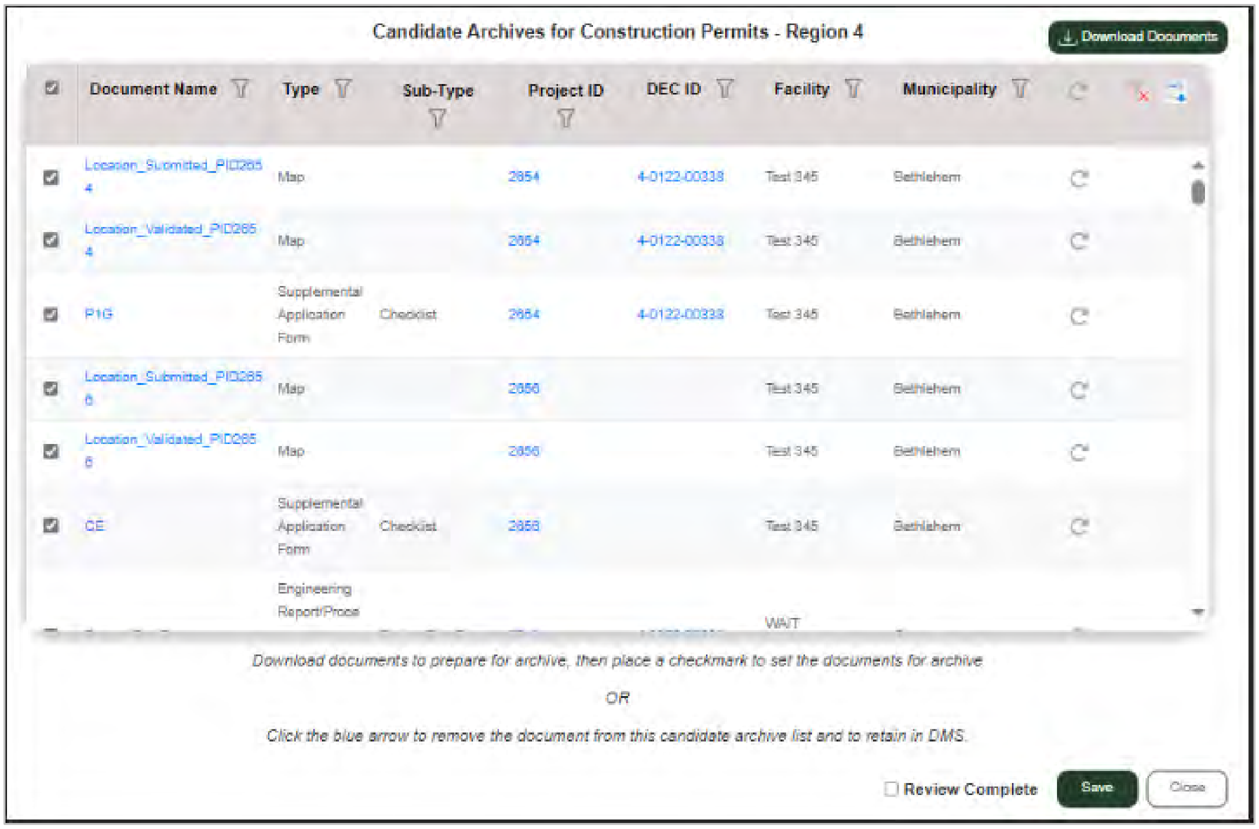
An Analyst assigned a Results Set Review for an ARCHIVE, clicks the Review button.

Retrieved records in the list are sorted by Project ID. Grid columns sort and filter.

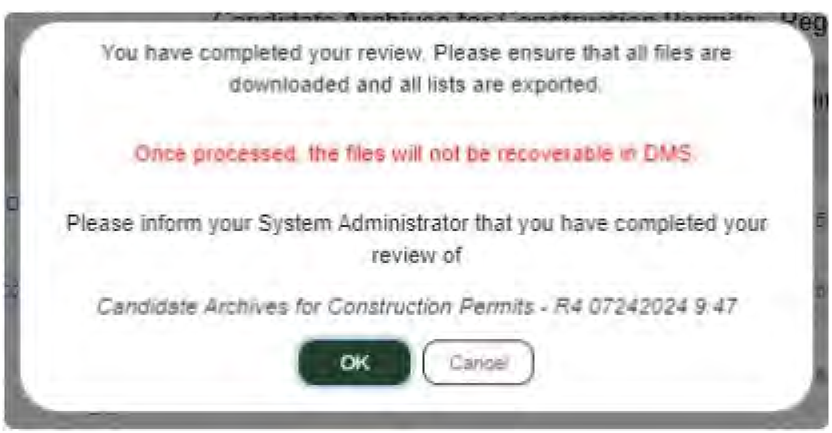


Label text beneath grid reads: 'Download documents to prepare for archive, then place a checkmark to set the documents for archive OR Click the blue arrow to remove the document from this candidate archive list and to retain in DMS.'

With all the checkboxes checked, the Analyst now clicks Save, and the blue arrows are disabled.



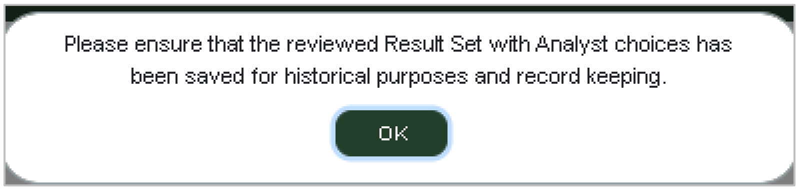
The Analyst clicks Review Complete, a popup is displayed, and the Analyst notifies the System Admin (manually) that the result set is ready for final processing.



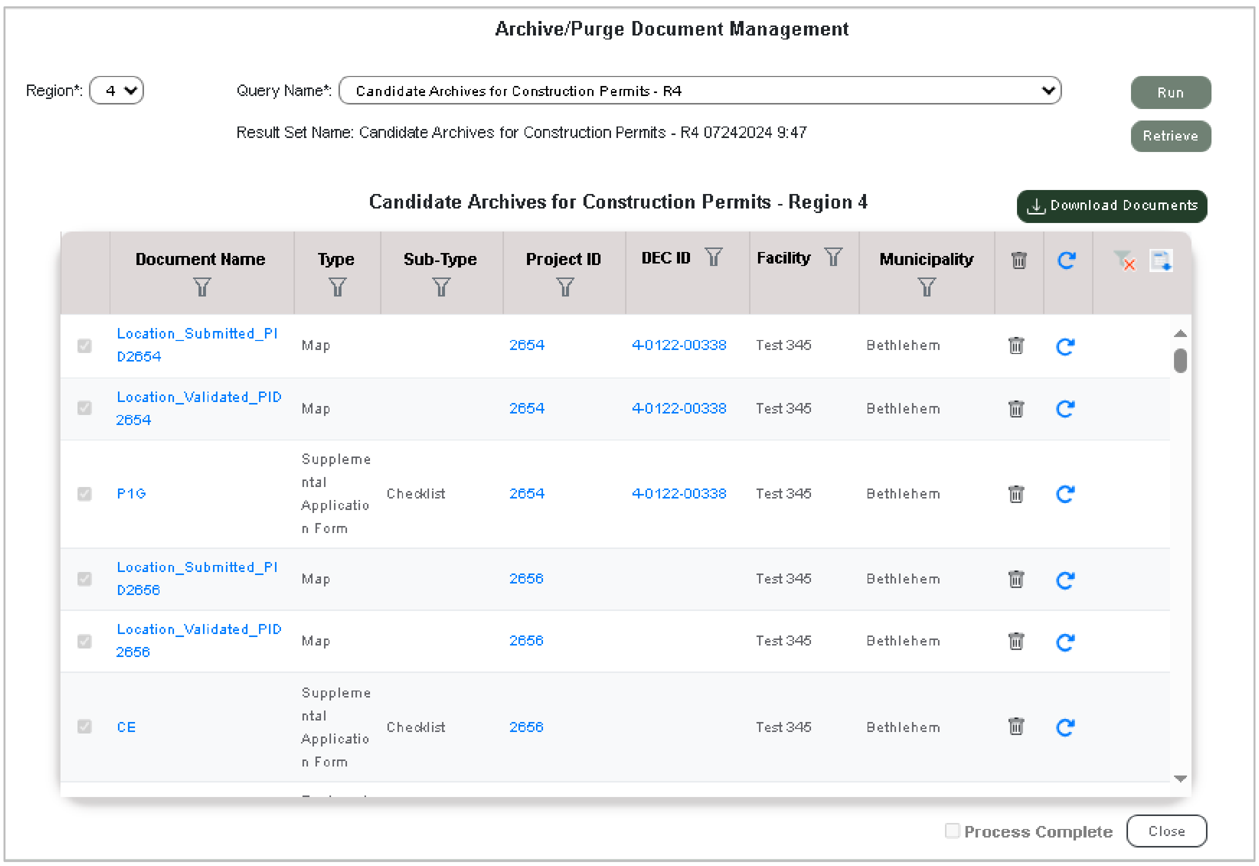
19.4.3 System Admin Completes Archive/Purge Process – Third Step

For a System Admin to complete the Archive/Purge process following Analyst review of an ARCHIVE QUERY, the System Admin returns to the Archive/Purge screen, selects the Region and the Query to produce the Result Set Name for selection, and clicks the Retrieve button to retrieve the result set that had been reviewed.

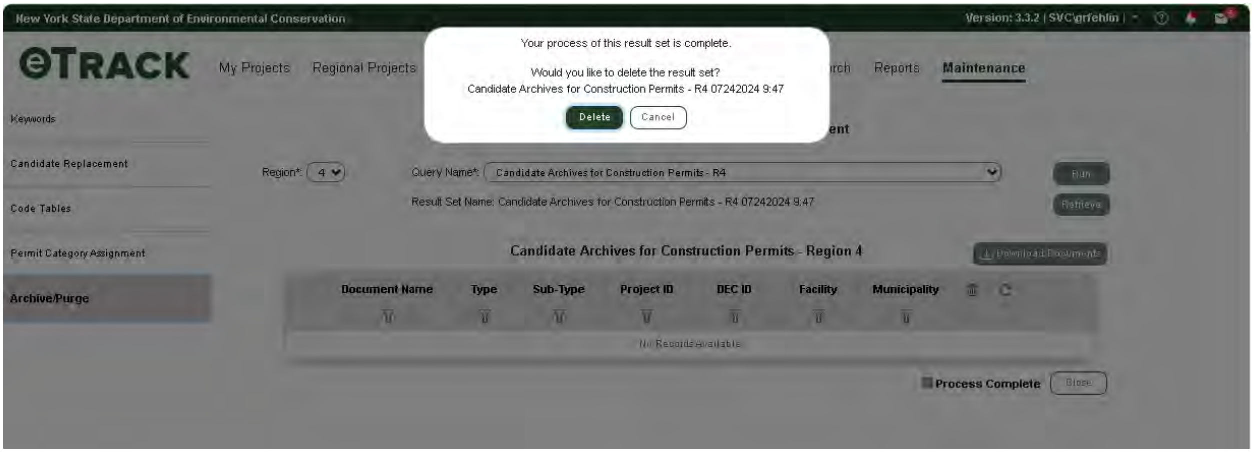
Clicking the Retrieve button generates a popup: 'Please ensure that the reviewed Result Set with Analyst choices has been saved for historical purposes and record keeping.'



The result set will display the Documents archived manually by the Analyst. The System Admin now deletes the documents from DMS that have been archived, or removes the document(s) from the list using the blue arrow. Only then will the Process Complete checkbox enable.



At the bottom of the screen is a checkbox that reads, Process Complete.



The process for a Purge/Deletion is the same as above. The result set will display the Documents selected by the Analyst. The System Admin is only allowed to delete or remove from list. They cannot change what the Analyst has marked with the selected checkboxes.

The Trashcan icon in the grid is available for deletion of one record at a time, and available in the header also to 'Delete All'. Clicking this will permanently delete the documents.

The checkmarks are displayed next to the Document, checked and disabled, and the 'blue arrow' icon is visible as well. In the event that a document marked for deletion may be a mistake, the System Admin has special authority to remove them from the list for further review. The arrow icon is available in header also for 'Remove All'.

Addressing all items in the grid will enable the Process Complete checkbox.

A popup appears, and the screen is reset for further work.

20. System Admin Role

System Admins have the highest level of authority within eTrack, and can perform all functions of an Analyst in addition to other tasks. System Admins can:

- Cancel Invoices
- Delete System Generated Notes
- Enter department-initiated changes to active authorizations (issued permits): DIMSR
- Maintain Tables
- Initiate and complete the Archive/Purge process

When the user is assigned to a System Admin role, a 'System Admin' label will appear in the eTrack footer on the lower right side.

21. Override Admin Role

An Override Admin has more authority than an Analyst or Program Reviewer, but not as much as a System Admin. An Override Admin can:

- Cancel Invoices
- Enter department-initiated changes to active authorizations (issued permits): DIMSR

When the user is assigned to an Override Admin role, an 'Override Admin' label will appear in the eTrack footer on the lower right side.

22. Appendix – Application Types

Application type describes under what circumstance an application is being processed, such as New or Renewal or Modification. There are 13 application types:

• AA – Administrative Amendment

• CR – Conceptual Review

• DIM – Department Initiated Modification

• DIR – Department Initiated Revocation

• DIS – Department Initiated Suspension

• DTN – DIM treat as New

• MNM – Minor Modification

• MOD – Modification

• MTN – Modification treat as New

• NEW – New

• REN – Renewal (operating permits only)

• RTN – Renewal treat as New

• REI – Reissuance (construction permits only)

The basis for all of these come out of 6 NYCRR 621. For example, the use of RTN or MTN is governed by 621.11(h).

23. Document Control

This User Guide will be reviewed periodically by the DEC Project Team and updated to reflect the potential modification and refinement of goals and deliverables as the project evolves. The updated document will then be republished and shared with the project participants to ensure that all updates and procedural changes are communicated and understood.