



E2 Reporting System Permittee Participation Package

**Alabama Department of Environment Management
P.O. Box 301463
Montgomery, Alabama 36130-1463
Tel: (334) 279-3049
Fax: (334) 271-7950
email: E2admin@adem.state.al.us**

Table of Contents

1	Introduction.....	4
1.1	Overview of the Electronic Environmental (E2) Reporting System	4
1.2	Reasons for Using and Benefits from Participation of E2 Reporting System	4
1.3	Contact Information	5
1.4	Overview of E2 Reporting System	5
2	Who Can Participate	6
3	Preparations for Electronic Reporting	6
3.1	Minimum System Requirements.....	6
3.2	Creation of Compatible XML Files	6
3.3	XML File Protocol.....	7
4	Application Process	8
4.1	Filing the Application	8
4.2	Acceptance and Use of a PIN	8
4.3	Acceptance as an E2 Reporting System Permittee	8
5	Procedures for e-DMR Submissions	9
5.1	Obtain Reporting Requirements	9
5.2	Submission Steps	9
5.2.1	Original DMR Submission	9
5.2.2	DMR Revisions.....	9
5.3	Receipt Notification	10
5.4	Checking Submission Status.....	10
6	Trouble Shooting	11
6.1	E2 Reporting System or Internet System Failure	11
6.2	Permittee Computer System Failure	11
6.3	System Error Messages.....	11
6.4	Additional Assistance for Trouble Shooting.....	11
7	Changes in Registration.....	12
7.1	Suspension of E2 Reporting System Status	12
7.2	Deactivation Procedures	12
7.3	Changing E2 Reporting System Accounts and PINs.....	12
8	Other Available Resources	14
8.1	XML Transmission Protocol.....	14
8.2	XML Conversion Utilities	14
A	Form ADEM-EDMR-1: Permittee Registration Form	15
B	Form ADEM-EDMR-2: Electronic Signature Application Agreement	21
C	Form ADEM-EDMR-3: Deactivation Request Form.....	29
D	Definitions and Abbreviations	30

1 Introduction

1.1 Overview of the Electronic Environmental (E2) Reporting System

The ADEM E2 Reporting System is a web-enabled information system that allows regulated facilities to send electronic Discharge Monitoring Reports (e-DMRs) to the Alabama Department of Environmental Management (ADEM). This system is designed to provide an alternative to submitting handwritten or paper-based DMRs that is faster, more efficient, and requires less processing for both regulated facilities and the ADEM. As a fully operational electronic reporting system, all of the necessary legal, security, and electronic signature functionality have been included for this system to serve as a completely paperless reporting system.

1.2 Reasons for Using and Benefits from Participation of E2 Reporting System

- Reduces the Permittee's compliance costs by offering a streamlined reporting method using readily available computer tools.
- Obtains “real-time” reporting requirements
- On-line availability of DMR requirements and processing status.
- Online Submission Options (rather than traditional “paper”):
 - Web data entry form,
 - Copy-and-paste of sampling data from Excel© file to Online Entry Form,
 - XML file submission
- Up-front validation of DMR report before submissions
- Ability to submit and certify reports; submit DMR revisions
- Uploads supporting documentation along with DMR submissions
- Obtains Email notifications for:
 - Submission,
 - Validation,
 - Processing,
 - Password/PIN changes,
 - etc.
- Tracks submission status & history of all submissions
- Reports may be saved in progress and completed later
- User authentication and security control
- Secured user authentication process
- Multiple Access Levels: Certifier, Preparer, Viewer
- Saves the ADEM implementation costs by reducing, and eventually better utilizing, resources required for managing paper-based DMR reports.
- Improves the overall effectiveness of the State’s wastewater discharge program with faster response for data analyses, compliance assessment, and decision-making.

1.3 Contact Information

The E2 Reporting System Coordinator can be reached at:

e-mail: E2admin@adem.state.al.us

Telephone: E2 Reporting System Coordinator at (334)279-3049

Address: E2 Reporting System Coordinator

Alabama Department of Environment Management
P.O. Box 301463
Montgomery, Alabama 36130-1463

1.4 Overview of E2 Reporting System

Because the E2 Reporting System is a web-enabled system, wastewater facilities will be able to access it at a minimal cost using existing Internet connections or Internet Service Providers (ISPs). The system provides wastewater facilities with the ability to retrieve up-to-date reporting requirements from the Department's centralized data system, submit original or revised DMRs, as well as review on-line or print their previously submitted reports. In essence, the system will serve as an electronic file cabinet, which will also help wastewater facilities manage their own reporting requirements and view previous reports.

Access to the E2 web server and information for specific wastewater facilities will be restricted by authorized user names and passwords for those wastewater facilities that register as E2 users with the Department. In general, users of the E2 Reporting System will be granted one of three types of user accounts.

A permittee can register any staff member either as a "Viewer", "Preparer", or "Certifier" for E2 Reporting System using the form in the Permittee Package. User rights and privileges are described below:

User Type	Account Privileges:
Viewer	<ul style="list-style-type: none">• Viewing and obtaining reporting requirements• Viewing the status of submitted e-DMRs• Viewing submitted data
Preparer	<ul style="list-style-type: none">• All Viewer privileges, plus...• Ability to fill out and save DMR forms
Certifier	<ul style="list-style-type: none">• All Preparer privileges, plus...• These users will be issued a PIN, allowing them to submit e-DMRs to ADEM

2 Who Can Participate

In order to participate in the e-DMR Program, permitted wastewater facilities will need Internet access and the ability to generate electronic DMRs (e-DMR) in a format that meets the specifications in the Department's XML file transfer protocol. The XML e-DMR submission files may be generated as follow:

- 1) Offline via participating Permittee's own application
- 2) Online via the E2 Reporting System's Online Data Entry Module

In addition, wastewater facilities will need to:

- Meet the minimum system requirements described in Section 3.1
- Complete and submit the required registration forms for the participating Permittee

3 Preparations for Electronic Reporting

3.1 Minimum System Requirements

Wastewater facilities will need to have the ability to access the Department's E2 Reporting System web site through the Internet. Typically, such access is available either through a dedicated connection through the wastewater facilities local area network or through a modem connection to an Internet Service Provider.

In addition to the Internet connection, the Permittee will need an Internet browser program. The E2 application is verified to work with Microsoft Internet Explorer Version 6.0 or greater, which can be downloaded for free from <http://www.microsoft.com/downloads>. Facilities may find that other Internet browsers may work but the Department cannot ensure that all of the features of the e-DMR web system will be available.

3.2 Creation of Compatible XML Files

An E2 Reporting System participating Permittee will need the ability to generate e-DMR files in a format that is compatible with the Department's XML transfer protocol specifications. The following options will enable a Permittee to generate these files:

Option 1: Online via the E2 Reporting System's Online Data Entry Module

A Permittee may want to use the E2 Reporting System's Data Entry Module to generate and submit the electronic Discharge Monitoring Reports (e-DMRs). This Graphic User Interface (GUI) utility is designed to assist wastewater facilities in the preparation of e-DMRs for regulatory submission by either filling out a online web data entry form that looks similar to the paper DMR, or in some cases, by converting the Permittee's raw DMR reporting requirements into the Microsoft Excel (or other similar spreadsheet program) format, and copying that data into the space available on the web form. Either approach will convert the DMR data to a XML compatible e-DMR submission file.

Option 2: Offline via participating Permittee's own application

A Permittee may want to modify their existing database applications or report generating software to generate XML compatible files as an alternative to a written or printed file output. Such an approach may involve reprogramming existing systems or developing a template that will translate information into the necessary XML format. A template is available for download from the E2 Reporting System.

A Permittee may purchase a vendor-provided software product that has the ability to generate XML compatible files. Currently, some software companies provide software or database systems that allow them to generate printed versions of wastewater discharge monitoring reports. Software vendors and environmental and engineering consulting firms may be interested in developing enhancements or software, which will provide XML compatible reporting features.

3.3 XML File Protocol

The XML file protocol is a set of instructions for formatting the current information found on the DMR into a text file. ADEM has adopted the national e-DMR XML file protocol. This file format was developed as part of a multi-State and EPA initiative to develop a national standard for Permittee reporting of wastewater discharge monitoring reports. More information about the e-DMR XML file protocol can be found at the EPA data registry at <http://www.exchangenetwork.net>.

4 Application Process

4.1 Filing the Application

Besides satisfying the Minimum System Requirements (section 3.1), a Permittee must fill out and submit two documents to the Department:

1. **Form ADEM-EDMR-1: Permittee Registration Form**, which indicates the Permittee's desire to participate in the e-DMR Program and should be completed by the permit applicant. This form is also used to indicate what Permittee personnel should have Viewer, Preparer, and/or Certifier accounts within E2 Reporting System.
2. **Form ADEM-EDMR-2: Electronic Signature Application Agreement**, which is a formal agreement between each PIN holder and the Department regarding the responsibilities and use of their PIN. The person requesting electronic signature authorization must sign form ADEM-EDMR-2 in accordance with ADEM Administrative Code.

4.2 Acceptance and Use of a PIN

Only individuals registered with a certification account are issued a PIN and will be allowed to transmit electronic DMR files. Each person will have a unique PIN that should not be shared with others. By accepting a PIN, the user agrees to be legally bound and responsible for all uses of the electronic signature as if it were a hand-written signature. It must be kept confidential. Failure to maintain confidentiality of the PIN may result in suspension or deactivation of E2 Reporting System privileges.

Obtaining a working PIN is a two-step process. An initial PIN will be delivered to the applicant via return mail upon acceptance of the Electronic Signature Application Agreement. Before the first submittal, a Certifier with an initial PIN must generate a working PIN when prompted by E2 Reporting System. The Certifier must enter the initial PIN in order to generate the working PIN. The initial PIN will no longer be useable once the working PIN has been assigned. This extra step is intended to enhance the confidentiality of the PIN in the event that someone other than the intended recipient views the initial PIN during mailing.

To obtain a PIN, a person must be the permittee or an officially authorized representative of the Permittee. ADEM Administrative Code includes a section for the permittee to designate individuals who can serve as authorized representatives for specific wastewater facilities.

4.3 Acceptance as an E2 Reporting System Permittee

After receiving and processing Form ADEM-EDMR-1: Permittee Registration Form and Form ADEM-EDMR-2: Electronic Signature Application Agreement, the Permittee will be notified by email if they have been accepted as an E2 Reporting System Permittee. If so, the website login names and passwords will be delivered via email and all authorized PIN users will receive their initial PIN via email.

5 Procedures for e-DMR Submissions

5.1 Obtain Reporting Requirements

Each e-DMR Permittee's reporting requirements will be available through the Department's E2 Reporting System website. The requirements are available in three formats:

- Online viewable & printable format
- XML format for reporting requirements download and integration with a Permittee's IT systems
- Excel format

5.2 Submission Steps

5.2.1 Original DMR Submission

Facilities have two options for submitting data:

- **Online Entry Forms:** The Permittee will select the appropriate date range for its discharge from the "Create a New Report" screen and select the "Online Entry" option. The Permittee will then fill out the Web DMR form. The Permittee may refer to the E2 Users Guide or Webpage-specific online help for further submission instructions.
- **XML File Upload:** Should the Permittee choose to upload DMR results, data required to be reported must be entered into a text file using the XML format. Each XML submission must include the reporting requirements followed by the reported data set. Each file must be given a unique submission ID by the reporting Permittee to identify each submission. Each submission or file may contain all required DMRs for the reporting period and will be considered to be one file requiring only one submission number. Any subsequent transmission or resubmission will require a different submission number; the file will then be transmitted by a certified PIN holder through the E2 Reporting System Website to the ADEM. The Permittee can refer to the E2 Users Guide or online help for further submission instructions.

5.2.2 DMR Revisions

Should a revision be required to the data that was previously reported, the Permittee must follow the proper resubmission procedure:

- **Online Entry Forms:** Should the user be utilizing the Online data entry forms to enter and submit DMR result, he or she will need to browse for the original submission by going to the "Submittals/Revisions" screen, then edit the data and resubmit the report.

- **XML File Upload:** Should the user be uploading XML files, he must create a new text file in XML format. All data, not just the corrected numbers, must be included in the revised submittal. The XML format includes provisions for indicating that the submission is a revision, and will indicate the submission ID of the previously submitted information. The revised file is sent in the same manner as an original submission, with its own unique submission ID. The E2 Reporting System tracks each transaction by creating a chronology of submissions for each Permittee.

When making a revision, the system will ask the user to enter in a reason for the revision. The Permittee is encouraged to clearly state the reason for the revision, and for multi-page or multi-outfall DMRs should describe which pages or outfalls have revisions.

5.3 Receipt Notification

Confirmation of the “Received” status will be provided through E2 Reporting System after the DMR is submitted. Additionally, the system will email a receipt message to the Certifier’s email account. Once the submission has been processed, the Permittee may view the submission status at the E2 Reporting System website. It is the Permittee’s responsibility to verify receipt of the data submission.

5.4 Checking Submission Status

The E2 Reporting System website includes a method for tracking the submissions from the wastewater facilities. The following information will be available:

Status	Explanation
Received by E2 Reporting System	The E2 Reporting System server has received and successfully stored the e-DMR submission. This does NOT indicate whether or not the submission meets the necessary reporting requirements for the Permittee.
Accepted by E2 Reporting System	The E2 Reporting System has successfully processed the information and submission and the e-DMRs are available for viewing or printing.
Rejected by E2 Reporting System	The E2 Reporting System server did not accept the e-DMR submission. A system message will be provided which explains the reason the submission could not be interpreted or accepted by the E2 Reporting System Server. The report must be resubmitted.

6 Trouble Shooting

6.1 E2 Reporting System or Internet System Failure

The ADEM's E2 Reporting System Server has been designed with fail-over protections to provide reliable service on a continual basis. However, if the E2 Reporting System server is not responding, the Certifier should try again at a later time. There could be a temporary problem with your local Internet service provider, the Internet connection, unusually heavy Internet traffic, or with the E2 Reporting System server itself. A temporary inability to transmit data to the E2 Reporting System server does NOT relieve the Permittee of its obligation to report DMR data to the Department within the time frames required by the permit. In such a situation, please contact the Department's E2 Reporting System Coordinator for further instructions.

6.2 Permittee Computer System Failure

Should the Permittee's Internet Service provider or connection, XML conversion utility, or other hardware or software not work, the Permittee's internal system support staff should be contacted. Such difficulties are **not** a valid reason for a failure to submit required data. Routine "best practices" should be followed so that the DMRs may be submitted before the reporting deadline, so any computer problems can be corrected before the submission deadline. Should a Permittee is unable to submit the required DMRs through the E2 Reporting System server, contact the E2 Reporting System Coordinator to review reporting requirements and to determine options for reporting information to the Department.

6.3 System Error Messages

A current list that includes up to date information is available at the E2 Reporting System web site.

6.4 Additional Assistance for Trouble Shooting

A feature to allow easy access to frequently asked questions (FAQ) is included in the E2 Reporting System Website. This page will be updated as needed to include current questions and information on E2 Reporting System. Technical Support questions or comments can also be submitted to the E2 Reporting System Administrator using the email address provided by E2 Reporting System.

For difficulties with commercial XML translation utilities or other software problems, please contact the vendor or supplier of the software.

7 Changes in Registration

The Department reserves the right to suspend or terminate a Permittee's status as an E2 Reporting System Permittee as needed, in order to manage and preserve the integrity of the reporting system. The Permittee has the right to request that its E2 Reporting System account, or the associated user accounts, be made inactive. Electronic signatures may be suspended, inactivated, or changed in accordance with Form ADEM-EDMR-2: Electronic Signature Application Agreement, if required.

7.1 Suspension of E2 Reporting System Status

The Department reserves the right to suspend or revoke a Permittee's privilege in using E2 Reporting System. Reasons for suspending a Permittee's privileges include, but are not limited to:

- Repeated failure to submit data in the correct format
- Failure to meet record keeping requirements
- Submitting data files infected with a computer virus or otherwise threatening the integrity of the reporting system

The Permittee will be notified by mail that its privileges have been suspended, the reason for the suspension, and what actions are required from the Permittee to be reinstated. During the period of suspension, the Permittee must submit all required monitoring data through paper DMR submissions on the required reporting frequency.

7.2 Deactivation Procedures

A Permittee may choose, at any time, to no longer participate in the e-DMR Program. If a Permittee so chooses, the Permittee should notify ADEM and agree upon a deactivation date, using the following process:

1. Submit Form ADEM-EDMR-3: Deactivation Request Form to request deactivation of its E2 Reporting System status.
2. The Permittee may change to paper submission of DMRs after the agreed upon date. During the transition interim, all reporting requirements of the permit remain in effect and must be met.

7.3 Changing E2 Reporting System Accounts and PINs

Should any Viewer, Preparer, or Certifier accounts require modifications or updates, a Form ADEM-EDMR-1: Permittee Registration Form must be completed and submitted to the Department. In order to ensure that the new Certifier has been separately designated as an authorized representative for the Permittee, Form ADEM-EDMR-1 should specifically identify the individual as an authorized representative. In order to receive a PIN for electronic signature purposes, the authorized representative must complete a signed Form ADEM-EDMR-2: Electronic Signature Application Agreement.

The Department will issue a new PIN for current Certifiers upon written request, and submittal of a revised electronic signature agreement. If the security of the PIN number has been compromised, PIN holders should immediately contact the E2 Reporting System

Coordinator to request that the PIN be deactivated. A new PIN will be issued after ADEM receives the written request.

The following items require that the Department be notified and the Permittee E2 Reporting System registration or PIN authorization be changed:

- The Permittee's authorized representative(s) has changed
- The Permittee has a reason to believe that the PIN security has been compromised

8 Other Available Resources

In addition to contacting the Department as indicated in Section 1.3 of this document, further assistance or guidance may be obtained as discussed below, from the E2 Reporting System Coordinator.

8.1 XML Transmission Protocol

A complete copy of the data format required by ADEM is available from EPA's national XML schema registry at <http://www.exchangenetwork.net>. The registry link at this website includes the complete e-DMR XML schema.

8.2 XML Conversion Utilities

In order to submit the e-DMR data to the Department using the XML transmission protocol, wastewater facilities may choose to use the web based utility on the E2 Reporting System website provided by the ADEM, or develop software in house to generate compatible XML data files, or purchase commercial software from an outside source. It is the wastewater discharge Permittee's responsibility to ensure that the e-DMR file complies with the XML protocol's data standards.

The choice of software and its ability to meet the XML protocol and Department requirements rests solely with the Permittee and/or its vendor. The Department cannot officially review, approve, or endorse any software that may be acquired or developed by the permittee to capture and transmit the DMR data.

A Form ADEM-EDMR-1: Permittee Registration Form

Form ADEM-EDMR-1: Permittee Registration Form

INSTRUCTIONS: Complete this form to register a Permittee for electronic reporting, including any changes to permit requirements that may be necessary to allow the identified Permittee to submit Discharge Monitoring Reports electronically. This form should also be used to identify or change authorized representatives who may be assigned an electronic signature for the ADEM E2 Reporting System. Note: The person requesting electronic signature authorization must sign form ADEM-EDMR-2 in accordance with ADEM Administrative Code. Please check the appropriate boxes on the form below.

Part A. Permittee Information

Facility ID:	
Permittee Name:	
Mailing Address:	Street: _____ City, State, Zip: _____
<input type="checkbox"/> New Application <input type="checkbox"/> Revised Permittee or Account information <input type="checkbox"/> Request for Reactivation	

Part B. User Account Information (* indicates required information)

Account Action: <input type="checkbox"/> Add <input type="checkbox"/> Update <input type="checkbox"/> Delete		Account Type: <input type="checkbox"/> Viewer <input type="checkbox"/> Preparer <input type="checkbox"/> Certifier	
General Information			
*Last Name:		Suffix:	
*First Name:		Middle Name/Initial:	
Title:	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr.		
*Last 4 SSN#:	(Note: An alternate 4-digit number may be provided. Please retain for future reference.)		
Job Title:			
Employer's Name:			
Contact Information			
*e-mail:			
*Mailing Address (street):			
(city, state, zip):			
*Phone Number(s):			

Account Action: <input type="checkbox"/> Add <input type="checkbox"/> Update <input type="checkbox"/> Delete		Account Type: <input type="checkbox"/> Viewer <input type="checkbox"/> Preparer <input type="checkbox"/> Certifier	
General Information			
*Last Name:		Suffix:	
*First Name:		Middle Name/Initial:	
Title:	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr.		
*Last 4 SSN#:	(Note: An alternate 4-digit number may be provided. Please retain for future reference.)		
Job Title:			
Employer's Name:			
Contact Information			
*e-mail:			
*Mailing Address (street):			
(city, state, zip):			
*Phone Number(s):			

Part B (continued)

Account Action: <input type="checkbox"/> Add <input type="checkbox"/> Update <input type="checkbox"/> Delete		Account Type: <input type="checkbox"/> Viewer <input type="checkbox"/> Preparer <input type="checkbox"/> Certifier	
General Information			
*Last Name:		Suffix:	
*First Name:		Middle Name/Initial:	
Title:	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr.		
*Last 4 SSN#:	(Note: An alternate 4-digit number may be provided. Please retain for future reference.)		
Job Title:			
Employer's Name:			
Contact Information			
*e-mail:			
*Mailing Address			
(street) :			
(city, state, zip):			
*Phone Number(s):			

Part C. Permittee Registration

I request that the above identified Permittee be registered for electronic reporting and request any Department initiated minor permit revisions (where no fee is required) that may be necessary to allow use of the ADEM E2 Reporting System. As the permittee, I agree that authorized representatives for this Permittee will follow permit requirements and the procedures for the electronic submission of DMR forms, as described in the Permittee Participation Package.

Please establish or revise the above user accounts in accordance with the information provided for each identified User Account. That person's who are indicated to receive Certifier accounts are hereby designated as Authorized Representatives for this Permittee for all reporting purposes. I understand that each person to receive a Certifier account on E2 Reporting System must submit a completed Electronic Signature Application Agreement.

I certify under penalty of law that I have personally examined and am familiar with the information submitted in this application and all attachments and that, based on my inquiry of those persons immediately responsible for obtaining the information contained in the application, I believe that the information is true, accurate and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.

Permittee Name (type or print)

Permittee Signature

Date

Official Title (type or print)

For Office Use Only:

	Name	Date
Received by:		
Approved by:		
CEDS updated:		
e-DMR updated:		

	Date
Trial Start:	
Full e-DMR:	

Part B (continued – supplemental page)

Account Action: <input type="checkbox"/> Add <input type="checkbox"/> Update <input type="checkbox"/> Delete		Account Type: <input type="checkbox"/> Viewer <input type="checkbox"/> Preparer <input type="checkbox"/> Certifier	
General Information			
*Last Name:		Suffix:	
*First Name:		Middle Name/Initial:	
Title:	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr.		
*Last 4 SSN#:	(Note: An alternate 4 digit number may be provided. Please retain for future reference.)		
Job Title:			
Employer's Name:			
Contact Information			
*e-mail:			
*Mailing Address			
(street) :			
(city, state, zip):			
*Phone Number(s):			

Account Action: <input type="checkbox"/> Add <input type="checkbox"/> Update <input type="checkbox"/> Delete		Account Type: <input type="checkbox"/> Viewer <input type="checkbox"/> Preparer <input type="checkbox"/> Certifier	
General Information			
*Last Name:		Suffix:	
*First Name:		Middle Name/Initial:	
Title:	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr.		
*Last 4 SSN#:	(Note: An alternate 4 digit number may be provided. Please retain for future reference.)		
Job Title:			
Employer's Name:			
Contact Information			
*e-mail:			
*Mailing Address			
(street) :			
(city, state, zip):			
*Phone Number(s):			

Account Action: <input type="checkbox"/> Add <input type="checkbox"/> Update <input type="checkbox"/> Delete		Account Type: <input type="checkbox"/> Viewer <input type="checkbox"/> Preparer <input type="checkbox"/> Certifier	
General Information			
*Last Name:		Suffix:	
*First Name:		Middle Name/Initial:	
Title:	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Dr.		
*Last 4 SSN#:	(Note: An alternate 4-digit number may be provided. Please retain for future reference.)		
Job Title:			
Employer's Name:			
Contact Information			
*e-mail:			
*Mailing Address			
(street) :			
(city, state, zip):			
*Phone Number(s):			

B

C Form ADEM-EDMR-2: Electronic Signature Application Agreement

TERMS AND CONDITIONS AGREEMENT FOR REPORTING REGULATORY DATA (DMR'S) USING ELECTRONIC DATA INTERCHANGE TO ADEM USING E2

REPORTING SYSTEM (the "Agreement"), by and between the ADEM, Montgomery, Alabama, a State governmental agency, and reporting party ("Certifier") who has signed and returned the Terms and Conditions Agreement (TCA) Memorandum, included in today's notice referenced above, is effective on the date on which ADEM issues the initial PIN(s), in response to receipt and acceptance of Certifier's signed TCA Memorandum.

1. **RECITALS.** The intent of this agreement is to create legally binding obligations upon the parties using EDI and E2 Reporting System, to ensure that (a) use of any electronic functional equivalent of documents referenced or exchanged under this agreement shall be deemed an acceptable practice in the ordinary course of Certifier-to-ADEM environmental reporting and (b) such electronic records shall be admissible as evidence on the same basis as paper documents. The parties intend to be legally bound by them.

2. VALIDITY AND ENFORCEABILITY

2.1 This Agreement has been executed by the parties to evidence their mutual intent to create binding regulatory reporting documents using electronic transmission and receipt of such records.

2.2 Any records properly communicated pursuant to this Agreement shall be considered to be a "writing" or "in writing"; and any such records which contain or to which there is affixed, a Signature, as defined by paragraph 8 of this Agreement, ("Signed Documents") shall be deemed for all purposes (a) to have been "signed" and (b) to constitute an "original" when printed from electronic files or records established and maintained in the normal course of business.

2.3 The conduct of the parties pursuant to this Agreement, including the use of Signed Records properly communicated pursuant to the Agreement, shall, for all legal purposes, evidence a course of dealing and a course of performance accepted by the parties in furtherance of this Agreement.

2.4 The Certifier agrees not to contest the validity or enforceability of Signed Documents under the provisions of any applicable law relating to whether certain agreements are to be in writing or signed by the party to be bound thereby. Signed Documents, if introduced as evidence on paper in any judicial, arbitration, mediation or administrative proceedings, will be admissible as between the parties to the same extent and under the same conditions as other business records originated and maintained in documentary form. Neither party shall contest the admissibility of copies of the Signed Documents under the Alabama Rules of Evidence as inadmissible nor in violation of either the business records exception of the rule on hearsay, or the best evidence rule, or on the basis that the Signed Documents were not originated or maintained in documentary (paper) form.

3. **RECEIPT.** A Document shall be deemed to have been properly received by ADEM when it is accessible by ADEM, can be fully processed by the translator at the E2 Reporting System server, and is syntactically correct to the XML protocol as modified by ADEM. No Document shall satisfy any reporting requirement or be of any legal effect until it is received.
4. **VERIFICATION.** Upon receipt of a Document, the E2 Reporting System server shall process the Document to make it accessible to ADEM. The status of each submission is available for review by the Certifier on the E2 Reporting System website. If the submission has been rejected, the Certifier is responsible for resending the Document
5. **DATE OF RECEIPT.** ADEM will consider an electronically filed report received when it can be fully processed by the translator at ADEM's EDMR server, i.e., when the document is retrievable from the electronic mailbox by ADEM, syntactically conforms to applicable XML protocol as modified by ADEM, and is able to be successfully translated by the E2 Reporting System server.
6. **RE-TRANSMISSION.** If the Document is rejected by the E2 Reporting System server, then the Certifier must re-send the document and follow any recovery procedures stated in the applicable ADEM E2 Reporting System Permittee Participation Package. If the E2 Reporting System website does not indicate that the Document has been received within 48 hours, the Certifier should re-transmit the Document.
7. **INABILITY TO TRANSMIT.** Circumstances, both foreseeable and unforeseeable, may prevent a reporting party from conducting EDI. Nevertheless, no Certifier will be excused from the requirement to file reports with the Agency by the appropriate regulatory deadline. If a party is unable to electronically file a required report by such deadline, it must notify ADEM of the situation and proceed as outlined in the ADEM E2 Reporting System Permittee Participation Package.
8. **SIGNATURE.** The Certifier shall adopt as its signature an electronic identification consisting of symbols (i.e., the Personal Identification Number [PIN] that is affixed to or contained in each Document transmitted by the Certifier ("Signature"). The Certifier agrees that any such Signature affixed to or contained in any transmitted Document shall be sufficient to verify such party originated and possessed the requisite authority both to originate the transaction and to verify the accuracy of the content of the document at the time of transmittal. Unless otherwise specified in the TCA, affixing the Personal Identification Number (PIN) issued to the Certifier by ADEM to any transmitted Document constitutes a valid Signature. The Certifier expressly agrees that it will sign each and every report it submits by using its PIN, and that the use of the PIN(s) constitutes certification of the truth and accuracy, upon penalty of perjury, of the information contained in each such report. The Certifier also expressly agrees that each report it submits by using its PIN constitutes their agreement with the certification statement.
9. **DEFINITIONS.** Whenever used in this Agreement or any documents incorporated into this Agreement by reference, the following terms shall be defined as follows:
 - 9.1 **Compromise.** When the PIN is intentionally or unintentionally disclosed to individuals and organizations that are not authorized to know or use the PIN.

9.2 Data. Facts or descriptions of facts.

9.3 Document/Record. Information that is inscribed on a tangible medium or that is stored in an electronic or other medium and is retrievable in perceivable form.

9.4 Electronic Agent. A computer program designed, selected or programmed by a party to initiate or respond to electronic messages or performances without review by an individual. An electronic agent acts within the scope of its agency if its performance is consistent with the functions intended by the party who utilizes the electronic agent.

9.5 Electronic Message/Transaction. A record generated or communicated by electronic, optical or other analogous means for transmission from one information system to another. The term includes electronic data interchange and electronic mail.

9.6 Message. Data structured in accordance with the protocol specified in the Guidelines and transmitted electronically between the parties and relating to a Transaction.

9.7 Personal Identification Number (PIN). Assigned by ADEM, each PIN will consist of a sequence of alpha-numeric characters.

9.8 Receive/Receipt. To take delivery of a record or information. An electronic record or information is received when it enters an information processing system in a form capable of being processed by that system if the recipient has designated that information system for the purpose of receiving such records or information.

9.9 Date of Receipt. ADEM will consider an electronically filed report received when it is accessible to the receiver (i.e. ADEM) at its E2 Reporting System server. Upon the processing of any report, the E2 Reporting System will post on the website indication that ADEM has properly received a report and the established "Received Date". No document shall satisfy any reporting requirement until it is received and processed.

9.10 Report. The Self Monitoring Report required by the ADEM NPDES, SID, and UIC Permit Programs.

9.11 Signed. For the purposes of EDI, a transaction is "signed" if it includes a symbol and/or action that is adopted or performed by a party or its electronic agent with the present intent to authenticate or manifest assent to a record, a performance, or a message. Actions or symbols adopted or performed by an electronic agent serve to authenticate with present intent a record or message on behalf of a party if the party designed, programmed or selected the electronic agent with an intent that the agent produce the result and the electronic agent performs in a manner consistent with its intended programming. That a record or message is signed is conclusively presumed as a matter of law if the parties agreed to an authentication procedure and the symbol or action taken complies with that procedure. Otherwise, that a document is signed may be proved in any manner including by a showing that a procedure existed by which a party must of necessity have taken an action or executed a symbol in order to have proceeded further in the use or processing of the information.

9.12 Transaction. Any communication made or transaction carried out and identified as the communication or transaction to which a Message refers including but not limited to the filing of a specific report.

9.13 Transmission Log. Must be retained by all parties using E2 Reporting System for reporting purposes. The Transmission Log includes the date, time, and location of the file transmitted; it also documents the person who made the transmission. The Certifier shall ensure that an official Transmission Log of all transactions and is maintained without any

modifications, as described in the ADEM E2 Reporting System Guidance Document. The E2 Reporting System server will maintain a complete and unalterable record of all submissions made, submission date, and Certifier name and PIN.

9.14 User Manual. ADEM E2 Reporting System Permittee Participation Package

10. EDI TRANSACTION PARAMETERS. Each party may electronically transmit to or receive from the other party using the XML format set by ADEM. All Documents/Reports shall be transmitted in accordance with the standards set forth herein and in the ADEM E2 Reporting System Permittee Participation Package. The ADEM E2 Reporting System Permittee Participation Package is hereby incorporated herein by reference. Any transmission of data that is not a Document/Report (i.e., that is not one of the specified transaction sets) shall have no force or effect between the parties.

10.1 Implementation Guidelines. All Documents/Reports transmitted between the parties shall adhere to the Protocol established in the ADEM E2 Reporting System Permittee Participation Package, the ADEM Electronic DMR Transmission Protocol, and all modifications of these documents.

10.2 Modifications of Standards. Whenever ADEM intends to upgrade to a new version of the data exchange standard or modify the Guidelines, ADEM shall give notice of its intent and shall establish a conversion date. The Certifier shall have a minimum of sixty (60) days from the conversion date to upgrade to the new standard. ADEM may discontinue support of the previous standard no sooner than ninety (90) days after the conversion date.

11. SYSTEM AND OPERATION EXPENSES. Each party, at its own expense, shall provide and maintain the equipment, software, services and testing necessary to effectively and reliably transmit and receive Documents.
12. SECURITY. The parties shall take reasonable actions to implement and maintain security procedures necessary to ensure the protection of transmissions against the risk of unauthorized access, alteration, loss or destruction including, but not limited to: protecting the secrecy of passwords and PINs and transmitting only XML protocol text files.

12.1 Creation of PIN. Where ADEM requires certification to ensure the authenticity of electronically submitted documents, ADEM will require the Certifier to use a PIN assigned by ADEM. Should ADEM agree to enter into a trading partner relationship with a Certifier, ADEM will assign a PIN upon receipt by ADEM of the Certifier's signed TCA. ADEM will mail the PIN directly to each authorized representative identified in the PIN request. The Department will issue a new PIN at the written request, on company letterhead, of the PIN holder. If a PIN has been compromised, it will be suspended upon notification (by telephone or otherwise) from the PIN holder. In addition, ADEM will change PINs if the Certifier is no longer an authorized representative, or where there is evidence of compromise. Depending on the reporting cycle, ADEM will then cancel such authorized representative's individual PIN before the next reporting cycle to which the PIN applies, or no later than fourteen (14) business days of receiving such notice, whichever comes first. Newly authorized representatives are required to sign and have notarized a copy of this TCA.

12.2 Protection of PIN. Each party must protect the security of its PIN from compromise and shall take all necessary steps to prevent its loss, disclosure, modification, or unauthorized use. The Certifier shall notify ADEM immediately if it has reason to believe the security of any PIN has been compromised and must request a change. If ADEM has reason to believe that PIN security has been compromised, the Agency will consult with the Certifier and initiate PIN changes where necessary. Also, the Certifier is responsible for immediately notifying ADEM (in writing and on company letterhead and signed by an authorized corporate officer) of termination of employment, or reassignment, of any authorized representative, and of any new or newly assigned employee(s) who will act as authorized representative(s). Newly authorized representatives must sign a copy of this TCA.

12.3 Confidentiality. (If Applicable, program-specific clause.) Upon a showing satisfactory to the Director by any person that records, reports, or information, or particular parts thereof (other than emission, effluent, manifest, or compliance data) to which the Department has access, if made public, would divulge production of sales figures or methods, processes, or production unique to such person, or otherwise tend to affect adversely the competitive position of such person by revealing trade secrets, the Director shall consider such records, reports, or information, or particular portion thereof, confidential. Any showing of confidentiality must be based on statutory authority which empowers the Department to grant confidentiality for the particular program in question and must accompany the documents, records, reports, or information provided to the Department. If a claim covering the information is received after the information itself is received, efforts, as are administratively practicable can be made, will be made to associate the late claim with the copies of the previously submitted information in the file.

13. MISDIRECTED AND CORRUPTED TRANSMISSIONS. If ADEM has reason to believe that a Message is not intended for ADEM or is corrupted, the Department shall notify the Certifier and shall delete from the Department's system the information contained in such Message (where allowed by applicable law) but not the record of its receipt. Where there is evidence that a Message has been corrupted or if any Message is identified or capable of being identified as incorrect, ADEM shall notify the Certifier and it shall be retransmitted by the Certifier as soon as practicable with a clear indication that it is a corrected Message.

14. COMMUNICATIONS CONNECTIONS. Unless otherwise stipulated in program-specific notice, documents shall be transmitted electronically to each party through a third party service provider ("Provider") via the Internet. The Certifier assumes all risks associated with their interaction with third party service providers.

14.1 Third-Party Service Provider Liability Apportionment. Each party shall be responsible for ensuring the correctness of its transmission except as otherwise provided in this Agreement.

14.2 Records Transmitted Through Provider. The parties agree that either of them may have access to Providers' copies of the records, at the expense of the requesting party.

15. RECORD RETENTION AND STORAGE.

15.1 Transmission Log. The Certifier shall maintain the Transmission Log without any modification for as long as required for the paper record. Specific guidelines for this log are included in the ADEM E2 Reporting System Permittee Participation Package.

15.2 Record Retention. Nothing herein is intended to release the Certifier from or waive any requirement of law applicable to the Certifier pertaining to record or document retention, or to create new or additional requirements for retention of records or documents except as specifically noted herein or in the supporting documents. The sender shall retain all records, regardless of the medium on which they are recorded, used in the derivation of the Documents/Reports or information therein transmitted pursuant to this Agreement for the period, which would be required for functionally equivalent paper records.

16. **CONFLICTING TERMS AND CONDITIONS.** This Agreement, the ADEM E2 Reporting System Permittee Application Package, and the DEM Electronic DMR Transmission Protocol constitute the entire agreement between the parties. As the parties develop additional capabilities respecting EDI, additional addenda may be added to this Agreement. Upon the effective date, each Addendum shall be appended to this Agreement. If the Certifier does not agree to specified changes in the terms and conditions of this Agreement, as provided in the newly published Addenda, the Certifier must notify ADEM in accordance with paragraph 17 below.
17. **TERMINATION.** This Agreement shall remain in effect until terminated by either party with not less than 30 days prior written notice, which notice shall specify the effective date of termination; provided, however, that any termination shall not affect the respective obligations or rights of the parties arising under any Documents or otherwise under this Agreement prior to the effective date of termination. The process for Termination of the Agreement is detailed in the ADEM E2 Reporting System Permittee Participation Package. Termination of this Agreement shall not affect any action required to complete or implement Messages that are sent prior to such termination. Emergency temporary termination of computer connections may be made to protect data from illegal access or other incidental damage.
18. **SURVIVABILITY.** Notwithstanding termination for any reason, Clauses #2 (Validity and Enforceability), #12 (Security), #15 (Record Retention and Storage), #23 (Governing Law), #24 (Choice of Language), and #25 (Dispute Resolution) shall survive termination of this Agreement.
19. **ASSIGNABILITY.** This Agreement is for the benefit of, and shall be binding upon, the Certifier and their respective successors and assigns.
20. **SEVERABILITY.** Any provision of this Agreement, which is determined to be invalid or unenforceable, will be ineffective to the extent of such determination without invalidating the remaining provisions of this Agreement or affecting the validity or enforceability of such remaining provisions.

21. **NOTICE.** All notices or other forms of notification, request or instruction required to be given by a party to any other party under paragraphs 12, 16, and 17 of this Agreement shall be delivered by hand, or sent by first class post or other recognized carrier to the address of the addressee as set out in this Agreement or to such other address as the addressee may from time to time have notified for the purpose of this clause, or sent by electronic means of message transmission producing hard copy read-out including telex and facsimile, and shall be deemed to have been received:
- if sent by electronic means: at the time of transmission if transmitted during business hours of the receiving instrument and if not during business hours, one hour after the commencement of the next working day following the day transmission
 - if sent by first-class post or recognized carrier: 3 business days after posting exclusive of the day of posting
 - if delivered by hand: on the day of delivery
22. **INABILITY TO FILE REPORTS VIA EDI.** No party shall be liable for any failure to perform its obligations in connection with any EDI Transaction or any EDI Document, where such failure results from any act or cause beyond such party's control which prevents such party from transmitting or receiving any Documents via EDI, except that the Certifier is nonetheless required to submit records or information required by law via other means, as provided by applicable law and within the time period provided by such law.
23. **GOVERNING LAW.** This Agreement shall be governed by and interpreted in accordance with the State laws of Alabama and the Federal laws of the United States.
24. **CHOICE OF LANGUAGE.** The parties have requested that this Agreement and all Documents and other communications transmitted via the E2 Reporting System server or otherwise delivered with respect to this Agreement be expressed in the English language.
25. **DISPUTE RESOLUTION.** All disputes, differences, disagreements, and/or claims between the parties arising under or relating to this agreement that are not resolved by negotiation and that the parties cannot agree to submit for mediation or other procedure for the resolution of disputes, shall be subject to the jurisdiction of Alabama Courts.
26. **ENTIRE AGREEMENT.** This Agreement and the ADEM E2 Reporting System Permittee Participation Package constitute the complete agreement of the parties relating to the matters specified in this Agreement and supersede all prior representations or agreements, whether oral or written, with respect to such matters. No oral modification or waiver of any of the provisions of this Agreement shall be binding on either party. As the parties develop additional capabilities respecting EDI, additional Addenda may be added to this Agreement. ADEM does not intend to change guidelines without just cause or without consulting industry, however, as a practical matter it is too cumbersome to obtain formal agreements from each Certifier when technical or procedural changes are required, particularly to the Implementation Guidelines. Therefore, ADEM will publish notice of new Addenda appending this Agreement and their effective date. Upon the effective date, each Addendum shall be appended to this Agreement.

This Agreement is for the benefit of, and shall be binding upon, the parties and their respective successors and assigns.

The Alabama Department of Environmental Management and the Certifier have caused this Agreement to be properly executed on their behalf, as of the date the Certifier receives their PIN.

Certifier: Signature: _____ Date: _____
 Name: _____
 Title: _____

If the Certifier is an authorized agent other than the Permittee, the Permittee must sign below.

Permittee: Signature: _____ Date: _____
 Name: _____
 Title: _____

ADEM Signature: _____ Date: _____
 Name: _____
 Title: _____

D Form ADEM-EDMR-3: Deactivation Request Form**Form ADEM-EDMR-3: Deactivation Request Form**

This form is to be used if an E2 Reporting System Permittee is no longer able or does not desire to continue to operate as an E2 Reporting System Permittee as described in the ADEM E2 Reporting System Permittee Participation Package.

Facility ID:	
Permittee Name:	
Mailing Address:	Street: _____ City, State, Zip: _____
e-mail Address:	
<input type="checkbox"/> New Application <input type="checkbox"/> Revised Permittee or Account information <input type="checkbox"/> Request for Reactivation	
Requested Deactivation Date:	

If not pre-arranged with the E2 Reporting System Coordinator, please allow at least 30 days for processing.

I request that the above identified Permittee be inactivated for electronic reporting and request any Department initiated minor permit revisions (no fee required) that may be necessary to allow this reporting change.

I understand that I am obligated to continue to use E2 Reporting System to conclude any unfinished business (reporting or correcting E2 Reporting System) that involves reporting requirements that are during the time this Permittee was an active E2 Reporting System Permittee.

This request in no way changes the reporting requirements of this Permittee, all DMRs must continue to be submitted. This request is only an indication that the Permittee will no longer use E2 Reporting System.

I certify under penalty of law that I have personally examined and am familiar with the information submitted in this application and all attachments and that, based on my inquiry of those persons immediately responsible for obtaining the information contained in the application, I believe that the information is true, accurate and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.

Permittee Name (type or print)

Permittee Signature

Date

Official Title (type or print)

For Office Use Only:

	Name	Date
Received by:		
Approved by:		
CEDS updated:		
e-DMR updated:		

	Date
Deactivation Date:	

E Definitions and Abbreviations

Certifier: A Permittee or authorized representative who is authorized to submit a DMR through the E2 Reporting System website using his or her assigned Electronic Signature.

ADEM: Alabama Department of Environmental Management

E2: Electronic Environmental Reporting System

e-DMR: Electronic Discharge Monitoring Report

PIN: Personal Identification Number

Preparer: A Permittee representative who is authorized to fill out and save DMR forms for the Permittee but cannot certify and submit the reports to ADEM.

Viewer: A Permittee representative who is authorized to view the Permittee reporting requirements and the status of any DMR submissions that were made by the Certifier.

XML: A standardized format for electronically reporting data.