



## WISCONSIN DEPARTMENT OF NATURAL RESOURCES NOTICE OF FINAL GUIDANCE & CERTIFICATION

*Pursuant to ch. 227, Wis. Stats., the Wisconsin Department of Natural Resources has finalized and hereby certifies the following guidance document.*

### DOCUMENT ID

AM-19-0025

### DOCUMENT TITLE

Electronic Signature Submittal Instruction Book

### PROGRAM/BUREAU

Air Management

### STATUTORY AUTHORITY OR LEGAL CITATION

Cross-Media Electronic Reporting, 40 C.F.R. Part 3

### DATE SENT TO LEGISLATIVE REFERENCE BUREAU (FOR PUBLIC COMMENTS)

September 30, 2019

### DATE FINALIZED

October 28, 2019

No comments were received during the comment period 30SEP2019 to 21OCT2019

### DNR CERTIFICATION

*I have reviewed this guidance document or proposed guidance document and I certify that it complies with sections 227.10 and 227.11 of the Wisconsin Statutes. I further certify that the guidance document or proposed guidance document contains no standard, requirement, or threshold that is not explicitly required or explicitly permitted by a statute or a rule that has been lawfully promulgated. I further certify that the guidance document or proposed guidance document contains no standard, requirement, or threshold that is more restrictive than a standard, requirement, or threshold contained in the Wisconsin Statutes.*

October 23, 2019

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Signature

Date

## DNR GUIDANCE DISCLAIMER

This document is intended solely as guidance and does not contain any mandatory requirements except where requirements found in statute or administrative rule are referenced. Any regulatory decisions made by the Department of Natural Resources in any matter addressed by this guidance will be made by applying the governing statutes and administrative rules to the relevant facts.

WISCONSIN DEPARTMENT OF NATURAL RESOURCES

# Electronic Signature Submittal Instruction Book

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## Air Submittals

Air Program

Publication Number: AM-571-2019



For more information on the electronic submittal process, contact the facility-assigned compliance inspector.

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## Background / set-up options

### Electronic signature

Approval of DNR's e-Signature solution by the U.S. Environmental Protection Agency (EPA) was finalized in the Federal Register in August 2017. The DNR developed its "Digital Signature Service" to manage e-Signature for the agency. The Air Program is the first program at DNR to use the new service to accept electronic signatures for official reports. The facility's Responsible Official is the only one allowed to complete the e-Signature process.

### Requesting DNR Switchboard access to use Electronic Submittal System

The Switchboard is used to securely log in and access forms and reporting systems which are related to a specific company or municipality. The Switchboard can be located by typing "switchboard" into the search button on the DNR home page ([dnr.wi.gov](http://dnr.wi.gov)), or by navigating to it by hovering over the "business" button in the blue navigation bar on the DNR home page and clicking "Switchboard" on the drop down menu.

A Web Access Management System (WAMS) user ID is required for individuals to log into the Switchboard system. If a WAMS User ID is needed, follow the process to create one by clicking the "Create WAMS ID" button at the top of the Switchboard landing page (<http://dnr.wi.gov/topic/Switchboard/>). Those individuals with WAMS ID's already assigned can click on the "Log In" button on the Switchboard landing page to begin.

If a WAMS ID is already associated with an individual for other DNR reporting such as Water, Wastewater, or Air Emissions, the individual will **need to request access for the new air Compliance Actions Role** to be able to submit reports, plans and notifications electronically. If an individual already has access to the Air Compliance Actions Role, skip to Page 4 of this guide.

To request access, select the "Request Access" button on the Switchboard landing page or select Air Compliance Submittal Actions (see below).

The screenshot shows the DNR Switchboard landing page. At the top, there is a navigation bar with links for Business, Licenses & Regulations, Recreation, Education, Topics, Contact, and Join DNR. Below this, the page title is "DNR Switchboard - secure eBusiness portal". There are four main buttons: "Create WAMS ID" (with a "Help" link), "Request access" (with a "Help" link), "Log in" (with a "Help" link), and "Reset password" (with a "Forgot your WAMS ID or password? Try account recovery." link). Below the buttons, there is a welcome message and a "Contact information" section. The page is divided into three categories: Air, Water, and Waste. The "Air" category has a list of links including "Air emissions monitoring reports", "Air permit action", and "Air permit notification". The "Water" category has links for "Wastewater SCADA operations", "Wastewater permit applications", and "Wastewater and septic reporting forms". The "Waste" category has links for "E-codes database", "Section 103 & 105 reporting", and "Hazardous waste reporting". At the bottom left, there is a link for "Air Compliance Submittal Actions".

**Select: REQUEST**

**Or Select: AIR COMPLIANCE SUBMITTAL ACTIONS**

**Air Compliance Submittal Actions**

## Electronic Signature Submittal Guidebook

Next select “Show Roles” for the Air category:

Wisconsin Department of Natural Resources  
DNR Switchboard - Request Access

Select Roles

Select one or more roles for the on-line systems you need access. Then click on the "Next" button to save your information and continue.  
Note: Some roles may have already been selected for you.

Show Roles	<b>Financial:</b> Intent to Apply for the Clean Water Fund Program and Safe Drinking Water Loan Program
Show Roles	<b>Drinking Water:</b> Monthly Operating Reports (eMOR), Well Sealing Report
Show Roles	<b>Wastewater/Septage:</b> Permit Applications, Land Application, Discharge Monitoring Report (DMR), Compliance Maintenance Annual Report (CMAR)
Show Roles	<b>Waste:</b> Hazardous & Infectious Waste Annual Reports
Show Roles	<b>Air:</b> Air Permit, Compliance and Emission Inventory Reporting
Show Roles	<b>Recycling &amp; eCycling:</b> Recycling Grant Applications, Recycling Annual Report, and E-Cycling
Show Roles	<b>Laboratory:</b> Lab Drinking Water Results and Proficiency Testing

Next Clear Back Cancel

**Select: Show Roles for the Air Category**

Next click the checkbox for the Air Compliance Submittal and click the “Next” button.

Wisconsin Department of Natural Resources  
DNR Switchboard - Request Access

Select Roles

Select one or more roles for the on-line systems you need access. Then click on the "Next" button to save your information and continue.  
Note: Some roles may have already been selected for you.

Show Roles	<b>Financial:</b> Intent to Apply for the Clean Water Fund Program and Safe Drinking Water Loan Program
Show Roles	<b>Drinking Water:</b> Monthly Operating Reports (eMOR), Well Sealing Report
Show Roles	<b>Wastewater/Septage:</b> Permit Applications, Land Application, Discharge Monitoring Report (DMR), Compliance Maintenance Annual Report (CMAR)
Show Roles	<b>Waste:</b> Hazardous & Infectious Waste Annual Reports
Hide Roles	<b>Air:</b> Air Permit, Compliance and Emission Inventory Reporting
<input checked="" type="checkbox"/>	<b>Air Compliance Submittal</b> <a href="#">Hide Info</a> This allows authorized facility representatives to submit data and documents related to Compliance Certifications, Monitoring Reports, and Stack Tests.
<input type="checkbox"/>	<b>Air Emission Inventory Submittal</b> <a href="#">Hide Info</a> This allows compliance report reports, emissions...
<input type="checkbox"/>	<b>Air Permit Action Submittal</b> <a href="#">Hide Info</a> This allows authorized for initial operation po...
Show Roles	<b>Recycling &amp; eCycling:</b> Recycling Grant Applications, Recycling Annual Report, and E-Cycling
Show Roles	<b>Laboratory:</b> Lab Drinking Water Results and Proficiency Testing

Next Clear Back Cancel

**Click Checkbox Air Compliance Submittal**

**Select: Next**

If the individual is new to the Switchboard, a signature is required to be on file. Sign and date the Wisconsin Department of Natural Resources Electronic Signature Agreement and mail the original signed version to DNR at:

Switchboard Access Request – SS/7  
Department of Natural Resources  
PO Box 7921  
Madison, WI 53707-7921

The individual will receive e-mail notification that access has been granted within three business days. Access to a new role for those with existing Switchboard access should be granted within five days. Contact DNR if access is not granted within five days.

## Electronic signature process

### Login options

Once the individual completes Switchboard set-up, including obtaining a WAMS ID and access granted to the Air Compliance Submittal option, the individual can begin electronically submitting Air Compliance documents for signature.

Log in to the Switchboard using one of three options:

1. Click the “log in” button on the Switchboard landing page (<http://dnr.wi.gov/topic/Switchboard/>),
2. Select the “Air Compliance Submittal Actions” button on the bottom left of the Switchboard landing page.
3. Click the “log in” button on the Air Compliance Reporting Information landing page (<https://dnr.wi.gov/topic/AirPermits/ComplianceReports.html>)

### Electronic signature (e-Sign)

To complete the reporting submittal, a signature must be submitted. Once a submittal is uploaded, the “e-Sign” option button will appear ONLY if the Responsible Official is logged in. Only the Responsible Official (RO) can complete the e-Signature process using their login

The screenshot shows a web interface for compliance certifications. At the top, there are tabs for 'Compliance Certifications', 'Monitoring Reports', 'Stack Tests', and 'Other Reports, Plans, and Notifications'. Below the tabs is a table with columns 'Comp Cert ID', 'Due Date', and 'Status'. The first row shows 'NOTWI-CC-18-96261', '03/01/2018', and 'SNR'. To the left of the table is a 'Status Codes' section with a list: NEW: Awaiting Submittal, SNR: Submitted, but Not Reviewed by DNR, SR: Submitted and Reviewed by DNR, and DQ: Delinquent (Past Due; Not Submitted). A note states: 'Red Due Date indicates the Certification was received late or is currently delinquent.' To the right of the table is a detailed view for 'Compl Cert ID: NOTWI-CC-18-96261'. It includes sections for 'Comp Cert Detail:' (Reporting Period: 01/01/2017 to 12/31/2017, Due Date: 03/01/2018, Received Date: 02/12/2018, Deviation Reported?: N, Reported Status: C - In Compliance, Ext Comments:), 'DNR Review Section:' (Review Date, Reviewed By, Signature Received), and 'Document Information:' (View Document). At the bottom, there is a 'Digital Signature Service' section with 'Status: E-Signature not yet initiated' and an 'E-Sign Document' button. A yellow callout box with the text 'Select: e-Sign document' points to this button. Below the button is a note: 'Only the facility Responsible Corporate Official (RCO) may electronically sign this document. To complete the e-signature process, click 'E-Sign Document' above, which will initiate the process.'

information.

If the uploader is not the RO, they will see the message in the red box below and will need to notify the RO that the document is ready to be signed.

The screenshot shows a web interface with a navigation bar containing 'Compliance Certifications', 'Monitoring Reports', 'Stack Tests', and 'Other Reports, Plans, and Notifications'. The main content area is titled 'Comp Cert ID Due Date Status' and displays a table with columns for 'Comp Cert ID', 'Due Date', and 'Status'. The first row shows 'NOTWI-CC-18-96284', '04/01/2018', and 'SNR'. To the left of the table is a 'Status Codes' section with a list: NEW: Awaiting Submittal, SNR: Submitted, but Not Reviewed by DNR, SR: Submitted and Reviewed by DNR, and DQ: Delinquent (Past Due; Not Submitted). Below this list is a note: 'Red Due Date indicates the Certification was received late or is currently delinquent.' The right side of the interface shows 'Compl Cert ID: NOTWI-CC-18-96284' and a 'Comp Cert Detail' section with fields for Reporting Period (01/01/2017 to 12/31/2017), Due Date (04/01/2018), Received Date (03/20/2018), Deviation Reported? (N), and Reported Status (C - In Compliance). Below this is a 'DNR Review Section' with fields for Review Date, Reviewed By, and Signature Received. A 'Document Information' section contains a 'View Document' link. At the bottom, a red-bordered box contains the text: 'Digital Signature Service' followed by 'Only the facility Responsible Corporate Official (RCO) may electronically sign this document. Please notify the RCO that the document is ready to be signed.'

If the uploader is not the RO, AND there is no RO currently assigned in the system, the user will see the message in the red box below. The RO will need to obtain a WAMS ID and complete the login setup process before they are able to sign the document.

This screenshot is similar to the one above, but the message in the red-bordered box at the bottom is different. It reads: 'Digital Signature Service' followed by 'The RCO for this facility does not have a WAMS ID or does not have a completed Electronic Signature Agreement on file and cannot complete the e-signature process at this time. The RCO can register for a WAMS ID [here](#), and follow the steps to complete the e-signature process.'

When the RO is logged in, clicking the e-Sign button will generate an email that is sent to the

RO's email address on file. This email will contain a link to the Digital Signature Service, as well as a temporary PIN code for the service. Click the link and enter the Responsible Official's WAMS ID, password, and temporary PIN from the generated email.

Once the RO is logged in, click the "e-Sign" button to sign the document and complete the electronic signature process.



After clicking the button, the signature status changes to "signed" and an email receipt will be sent to the RO's email on file. This email is the signature confirmation for this document; retain this confirmation for the facility's records. Contact the facility-assigned compliance inspector with any questions.

## More information

Please visit the Air Compliance Submittal Actions Electronic Reporting webpage at <http://dnr.wi.gov/topic/AirPermits/ComplianceReports.html> or contact the facility-assigned compliance inspector.

*The Wisconsin Department of Natural Resources provides equal opportunity in employment, programs, services and functions under an Affirmative Action Plan. If you have any questions, please write to Equal Opportunity Office, Department of Interior, Washington, DC 20240. This publication is available in alternative format (large print, Braille, audio tape, etc.) upon request. Please contact the Bureau of Air Management, phone 608-266-7718, for more information.*



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