

# MCES INDUSTRIAL ONLINE REPORTING SYSTEM

*Enrollment Guide*



October 2019

The Council's mission is to foster  
efficient and economic growth for  
a prosperous metropolitan region





The Metropolitan Council is the regional planning organization for the seven-county Twin Cities area. The Council operates the regional bus and rail system, collects and treats wastewater, coordinates regional water resources, plans and helps fund regional parks, and administers federal funds that provide housing opportunities for low- and moderate-income individuals and families. The 17-member Council board is appointed by and serves at the pleasure of the governor.

## Table of Contents

1.0 Introduction .....	1
1.1 Overview of the MCES Industrial Online Reporting System.....	1
1.2 Benefits of Using the MCES Industrial Online Reporting System.....	1
1.3 Contact Information .....	2
2.0 Preparations for Electronic Reporting.....	2
2.1 Minimum System Requirements.....	2
2.2 Types of User Accounts .....	2
2.3 Preparing and Submitting Data.....	4
3.0 How to Participate .....	4
3.1 Getting Started .....	4
3.1.1 Enrollment .....	4
3.1.2 Setting Your Permanent Password .....	5
3.1.3 Use of Security Credentials.....	5
3.1.4 Granting Preparer Permissions to Consultant Account Holders .....	5
3.2 Changes to an Account Holder for an Industrial Customer .....	6
3.3 Compromised Security Credentials .....	6
3.4 Deactivation of Enrollment.....	6
3.4.1 Voluntary Deactivation of Accounts.....	6
3.4.2 Suspension/Revocation of Accounts by MCES .....	6
4.0 Troubleshooting .....	7
4.1 MCES Industrial Online Reporting System or Internet System Failure.....	7
4.2 System Failure at the Industrial Customer's Work Site .....	7
5.0 Appendices .....	8
5.1 Appendix A: Online Self-Registration Form .....	8
5.2 Appendix B. Facility Account Registration Form .....	11
5.3 Appendix C. MCES Electronic Signature Agreement.....	12
5.4 Appendix D. MCES Account Deactivation Request Form .....	16
5.5 Appendix E. How to Grant Preparer Permissions to a Consultant Account Holder .....	17

## 1.0 Introduction

### 1.1 Overview of the MCES Industrial Online Reporting System

The Metropolitan Council Environmental Services (MCES) Industrial Online Reporting System is a web-based application that allows industrial customers (Industrial Discharge Permit holders and dental clinics participating in the MCES Amalgam Recovery Program) to electronically submit the following documents to MCES:

Permit Type	Sampling Results SMR	Reporting Period Information SMR	Compliance Monitoring SMR	Annual SMR	Liquid Waste Hauler Discharge Report	Permit Renewal Application	Annual Certification Statement
Standard Industrial Discharge	X	X	Coming soon			X	
Special Discharge	X	X	Coming soon			X	
Liquid Waste Hauler					X	X	
Microbrewery and Brewpubs				X		X	
Water Treatment Plant				X		X	
Zero Discharge Categorical Industrial User				X		X	
Healthcare Facilities				X		Coming soon	
Sewer Cleaning Waste Hauler				X		Coming soon	
Dental Clinics							X

This system provides an electronic method to submit self-monitoring reports (SMRs), permit renewal applications, and annual certification statements that is fast, efficient and less burdensome for both MCES and its customers. This system follows guidelines of the U.S. Environmental Protection Agency (EPA) established in its electronic reporting rule, CROMERR (Cross-Media Electronic Reporting Rule). As a fully operational electronic reporting system, all the necessary legal, security and electronic signature functionality are included for this system so it can serve as a paperless reporting system.

### 1.2 Benefits of Using the MCES Industrial Online Reporting System

There are numerous benefits for both MCES and its industrial customers to use the MCES Industrial Online Reporting system, including:

- Easy access to reporting requirements in real time for upcoming submittals.
- Email notifications resulting from the following actions:
  - When a submission is completed successfully;
  - When a submission is accepted for review;
  - When a submission requires revision;
  - When a request for revision has been granted or denied;
  - When changes are made to your password and/or Personal Identification Number (PIN);
  - When your account has been locked and/or reactivated
- Improved data quality due to validation prior to submission and minimizing data entry by MCES.
- Easy mechanism to upload and attach supporting documentation
- Access to past submissions and, if need be, submit revisions to previous submissions.
- Ability to start and save submissions, and then to log back in to complete and submit later.

## 1.3 Contact Information

The MCES Industrial Online Reporting System Support Team can be reached at:

Email: [MCESIndustrialOnlineReporting@metc.state.mn.us](mailto:MCESIndustrialOnlineReporting@metc.state.mn.us)

Telephone: (651) 602-4789

Address: MCES Industrial Online Reporting Support Team  
Metropolitan Council Environmental Services  
390 Robert Street North  
Saint Paul, MN 55101

## 2.0 Preparations for Electronic Reporting

### 2.1 Minimum System Requirements

Industrial customers will access the MCES Industrial Online Reporting System website using the Internet. To use in the MCES Industrial Online Reporting System, industrial customers will need to:

- Provide their own Internet access;
- Use a commonly available Internet browser such as Microsoft Internet Explorer (version 6.0 or greater), Google Chrome or Mozilla Firefox. It is recommended that you use current versions of these browsers ensure all features of the system are available;
- Use of Microsoft Excel (version 97-2003 or higher) when uploading sampling data;
- Accurately complete and submit the required enrollment forms;
- Create at least one Responsible Official account in the system for each facility; and
- Pass MCES' verification that each Responsible Official account holder meets EPA's signatory authority criteria for certifying submissions or has been properly designated as such.

### 2.2 Types of User Accounts

There are two types of user accounts available in the MCES Industrial Online Reporting System. Each type and its associated privileges are described below:

Account Permission	Responsible Official (RO)	Consultant
Establish security credentials: <ul style="list-style-type: none"><li>• Security questions and answers</li><li>• Signing PIN</li></ul>	X	X
Use security credentials to certify and submit electronic submittals	X	
View and prepare electronic submittals	X	X
View all past submissions	X	X
Track the status of all submissions	X	X
Request to revise a submission	X	X
Receive all email notifications from the system	X	X

Facility representatives enrolling as a Responsible Official (RO) must meet EPA's signatory criteria or be designated by someone who meets these criteria.

EPA's signatory criteria are listed below:

1. For a corporation:
  - (a) a president, secretary, treasurer, or vice-president of the corporation in charge of a principle business function, or any other person who performs similar policy or decision-making functions for the corporation, or
  - (b) the manager of one or more manufacturing, production or operating facilities, provided, the manager is authorized to make management decisions which govern the operation of the regulated facility, including having the explicit or implicit duty of making major capital investment recommendations, and initiate and direct other comprehensive measures to assure long-term environmental compliance with environmental laws and regulations; can ensure that the necessary systems are established or actions taken to gather complete and accurate information for control mechanism requirements; and where authority to sign documents has been assigned or delegated to the manager in accordance with corporate procedures.
2. For a partnership or sole proprietorship: a general partner or proprietor, respectively.
3. For a public agency: a general manager, department manager, or supervisor of a public agency who performs policy or decision-making functions for the public agency.

Each Responsible Official must create their own user account in the system, and submit the required MCES Electronic Signature Agreement found in Appendix C. The MCES Electronic Signature Agreement is completed a different way depending on whether you meet the criteria for a signatory authority or are being designated by someone who does. Below are examples of the MCES Electronic Signature Agreements.

Example for an EPA signatory authority:



Example-ESA-Signatory-Authority.pdf

Example for a person designated by an EPA signatory authority:



Example-ESA-Designated-Signatory-Authority.pdf

It is recommended that an industrial customer enroll more than one person as an RO so that required submittals can occur should one RO be unavailable to submit on the due date. ROs, in turn, may grant viewer and/or preparer permissions to Consultant account holders. For example, preparer permissions would be granted to consultants, contract laboratories and facility employees that prepare but cannot certify, sign and submit per EPA's signatory criteria. Each person with preparer permissions must have their own Consultant account.

## 2.3 Preparing and Submitting Data

Submissions are completed using online data entry forms and attaching supporting information. For industrial customers required to report sampling data to MCES, analytical data may be manually entered into the form or uploaded using a Microsoft Excel template file. The template is used to quickly get data into the online form.

For instructions on how to use the system, please see the MCES Industrial Online Reporting training materials and help videos posted on MCES' Internet site at <https://metro council.org/Wastewater-Water/Services/Industrial-Waste/Industrial-Online-Reporting-System.aspx>.

## 3.0 How to Participate

### 3.1 Getting Started

#### 3.1.1 Enrollment

Besides satisfying minimum system requirements listed in Section 2.1, representatives from industrial customers must enroll in the MCES Industrial Online Reporting System by completing the following actions:

1. **Each user must create their own user account.** Each user must complete the online self-registration process in the system. The registration process requires each user to provide general contact information such as legal full name, mailing address, phone number, fax number, and email address. It also requires information about the facility for which the user will be reporting. Instructions on how to create a user account can be found in Appendix A.
2. **Each facility must submit a Facility Account Registration form.** This form is used to list all account holders for an industrial customer that will use the system. Each account holder should be listed on the form, along with his or her account type: Responsible Official or Consultant. This form must be signed by a Signatory Authority. MCES will use the information submitted on this form to manage account and their permissions. The Facility Account Registration form can be found in Appendix B.
3. **Each Responsible Official account holder must submit an MCES Electronic Signature Agreement (ESA).** The ESA is a formal agreement between each Responsible Official (RO) and MCES regarding the responsibilities and use of their account and security credentials (signing PIN and security questions/answers). Each RO account holder must submit their own ESA to MCES as a hard copy with a wet-ink signature. Upon receipt, MCES will perform verification of the RO's signatory authority prior to activating their account. The ESA can be found in Appendix C. Please refer to the signatory authority criteria outlined in Section 2.2 to determine which industrial customer representatives can enroll as an RO.

A hard copy of the enrollment documents must be sent to MCES. The wet-ink signatures are required for account verification and activation.



All enrollment forms should be mailed to:

**MCES Industrial Online Reporting Support Team  
Metropolitan Council Environmental Services  
390 Robert Street North  
Saint Paul, MN 55101**

Once we have received and verified your enrollment forms, the permissions on each RO account will be activated. Upon activation, the system will send you an email letting you know the account is active. Once the RO permissions are made active, you will be able to see upcoming requirements due for your industrial customer(s). Please note that Consultant account holders will not see upcoming requirements due until they have been granted the appropriate permissions by an RO account holder (see Section 3.1.4 below for details).

### **3.1.2 Setting Your Permanent Password**

After an account is created, the system will send the account holder a temporary password. The account holder must log into the system within 48 hours to set their permanent password. The permanent password must adhere to these requirements:

- Password must be between 8 and 15 characters in length;
- It must contain at least one uppercase letter;
- It must contain at least one lowercase letter;
- It must contain at least one number; and
- It cannot be a password that you have previously used in this system.

Please note that your password allows you to log into the system. Account holders will need to enter their security credentials (signing PIN and security question/answer each time you make a submission in the system.

### **3.1.3 Use of Security Credentials**

All account holders are required to establish their security credentials. The credentials are as follows:

- Security questions are selected, and their respective answers are established, at the time of account creation. Please note that the answer to each security question is case sensitive and must be unique.
- The signing PIN is established after account creation when logging into the system for the very first time. The PIN must be four-digits, numbers only.

Only account holders with a RO account type will use their security credentials when making submissions in the system. By signing and submitting the ESA, each RO account holder agrees to keep their security credentials confidential, meaning they will not share them with others. Furthermore, the RO account holder agrees to be legally bound and responsible for all uses of their electronic signature as if it were a hand-written signature. Failure to keep your security credentials confidential may result in suspension or deactivation of your account in the MCES Industrial Online Reporting System.

### **3.1.4 Granting Preparer Permissions to Consultant Account Holders**

Account holders registering for a Consultant account must be granted preparer permissions by at least one RO account holder for the industrial customer before they have access to upcoming submittal obligations and past submission history. To grant permissions to a Consultant account, the RO account

holder must manage those specific permissions for each submittal type in the My Account tab. Instructions on how to complete grant permissions is in Appendix E.

### 3.2 Changes to Account Holders for an Industrial Customer

If a new person needs to be added as an online submitter, that person must complete the online self-registration process outlined in Section 4.1 and submit an ESA. The ESA must be submitted as a hard copy to MCES with a wet-ink signature for account verification prior to account activation.

If an existing RO needs to add another permitted facility to their account, the RO must submit a new ESA listing all industrial customers they would like to submit documents for. Again, the ESA must be submitted as a hard copy with a wet-ink signature for account verification prior to account activation for the additional industrial customer(s).

### 3.3 Comprised Security Credentials

If your security credentials have been compromised, you should immediately contact the MCES Industrial Online Reporting System Support Team to request help in resetting them. Furthermore, if MCES has a reason to believe that a RO account holder's security credentials have been compromised, the affected account will be deactivated. MCES will contact the RO account holder and the industrial customer to determine next steps, which may include resetting the credentials and reactivating the account or keeping the account inactive.

### 3.4 Deactivation of Enrollment

MCES reserves the right to deactivate an RO's account within the MCES Industrial Online Reporting System as needed to manage and preserve the integrity of the system. The RO account holder also has the right to request that their account be deactivated. Electronic signatures may be suspended, deactivated, or changed in accordance with the MCES Electronic Signature Agreement.

#### 3.4.1 Voluntary Deactivation of Accounts

A RO account holder may choose, at any time, to no longer submit data electronically to MCES via the MCES Industrial Online Reporting System. In this instance, the RO must notify MCES using the following process:

1. Submit the MCES Deactivation Form to request deactivation of the RO's account. This form can be found in Appendix D.
2. Ensure that a new representative for the industrial customer creates a RO account in the system and submits the proper enrollment forms.

#### 3.4.2 Suspension/Revocation of Accounts by MCES

MCES reserves the right to suspend or revoke any account holder's permissions in the MCES Industrial Online Reporting System. Reasons for suspending or revoking an account include, but are not limited to:

- Repeated failure to submit data in the correct format;
- Failure to meet record keeping requirements for reporting;
- Submitting data files infected with a computer virus, malware, spyware, or otherwise threatening the integrity or security of the reporting system;
- Submitting data that are false or inaccurate; and
- Intentionally not keeping your security credentials confidential.

The RO will be notified by email that their account has been suspended. The notification will include the reason and what actions are required for the RO's privileges to be reinstated. During the period of suspension, the industrial customer must ensure that an alternate representative creates a RO account and completes the enrollment process. The alternate RO must submit any required submittals electronically by the due date.

## **4.0 Troubleshooting**

### **4.1 MCES Industrial Online Reporting System or Internet System Failure**

The MCES Industrial Online Reporting System server has been architected to ensure reliable service on a continual basis. However, if the server is not responding, the user should try to access the system later. There could be a temporary problem with the user's local Internet service provider, the Internet connection, unusually heavy Internet traffic, or with the MCES Industrial Online Reporting System server itself. If the problem persists, please contact the MCES Industrial Online Reporting System Support Team for assistance.

A temporary inability to transmit data to the server does NOT relieve the RO or the facility of its obligations to submit self-monitoring reports and/or permit renewal applications to MCES on or before the associated due date. In such a situation, please contact MCES Industrial Online Reporting Support Team for further instructions.

Please note that the system may be unavailable every Sunday night from 12 AM – 8 AM for routine maintenance.

### **4.2 System Failure at the Industrial Customer's Work Site**

If the RO's Internet Service Provider or other hardware/software is not working, the RO's internal system support staff should be contacted. Such difficulties are not a valid reason for not submitting required self-monitoring reports and/or permit renewal applications on or before their due date.

If a RO is unable to submit the required self-monitoring reports and/or permit renewal applications through the MCES Industrial Online Reporting System server, please contact the MCES Industrial Online Report System Support Team to review and determine if alternative procedures for submitting the required data to MCES can be identified.

## 5.0 Appendices

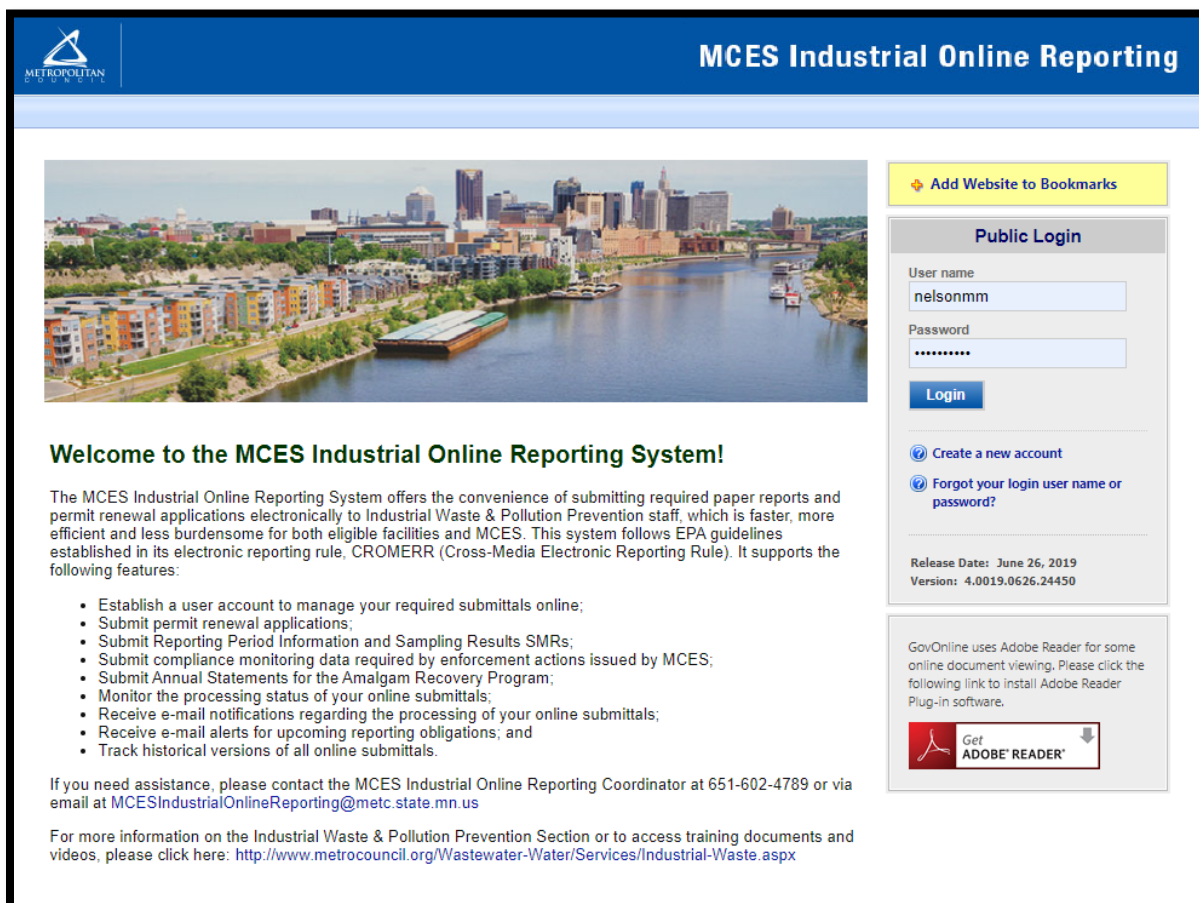
This section contains the following processes and forms used to manage your enrollment in the MCES Industrial Online Reporting System:

- Online Self-Registration Process
- Facility Account Registration Form
- MCES Electronic Signature Agreement (ESA)
- MCES Deactivation Form
- How to Grant a Consultant Account Holder Permission to Prepare Submittals

### 5.1 Appendix A: Online Self-Registration Process

To complete the online self-registration process, go to the MCES Industrial Online Reporting System website at: <https://www.govonlineaas.com/MN/SPL/Public/>. Please note that each person using this system must complete this self-registration process and create their own account.

**Step 1: Click on the “Create a new account” link to complete the registration process**



The screenshot shows the homepage of the MCES Industrial Online Reporting System. The header features the Metropolitan Council logo on the left and the title "MCES Industrial Online Reporting" on the right. Below the header is a large banner image of a city skyline along a river. The main content area is titled "Welcome to the MCES Industrial Online Reporting System!" and includes a paragraph describing the system's purpose and features. A list of features is provided, including account management, permit renewal, reporting, and monitoring. On the right side, there is a "Public Login" section with fields for "User name" (containing "nelsonmm") and "Password" (containing "\*\*\*\*\*"), a "Login" button, and links for "Create a new account" and "Forgot your login user name or password?". Below the login section, it shows the "Release Date: June 26, 2019" and "Version: 4.0019.0626.24450". At the bottom right, there is a section for "GovOnline uses Adobe Reader" with a link to "Get ADOBE READER".

**MCES Industrial Online Reporting**

**Welcome to the MCES Industrial Online Reporting System!**

The MCES Industrial Online Reporting System offers the convenience of submitting required paper reports and permit renewal applications electronically to Industrial Waste & Pollution Prevention staff, which is faster, more efficient and less burdensome for both eligible facilities and MCES. This system follows EPA guidelines established in its electronic reporting rule, CROMERR (Cross-Media Electronic Reporting Rule). It supports the following features:

- Establish a user account to manage your required submittals online;
- Submit permit renewal applications;
- Submit Reporting Period Information and Sampling Results SMRs;
- Submit compliance monitoring data required by enforcement actions issued by MCES;
- Submit Annual Statements for the Amalgam Recovery Program;
- Monitor the processing status of your online submittals;
- Receive e-mail notifications regarding the processing of your online submittals;
- Receive e-mail alerts for upcoming reporting obligations; and
- Track historical versions of all online submittals.

If you need assistance, please contact the MCES Industrial Online Reporting Coordinator at 651-602-4789 or via email at [MCESIndustrialOnlineReporting@metc.state.mn.us](mailto:MCESIndustrialOnlineReporting@metc.state.mn.us)

For more information on the Industrial Waste & Pollution Prevention Section or to access training documents and videos, please click here: <http://www.metrocouncil.org/Wastewater-Water/Services/Industrial-Waste.aspx>

**Public Login**

User name  
nelsonmm

Password  
\*\*\*\*\*

**Login**

[Create a new account](#)

[Forgot your login user name or password?](#)

Release Date: June 26, 2019  
Version: 4.0019.0626.24450

GovOnline uses Adobe Reader for some online document viewing. Please click the following link to install Adobe Reader Plug-in software.

[Get ADOBE READER](#)

**Step 2: Complete all required (red star) fields in the General Information section. Please include the business name and your job title.**

The screenshot shows the 'CREATE ACCOUNT' page for the MCES Industrial Online Reporting system. The page has a blue header with the Metropolitan Council logo and the title 'MCES Industrial Online Reporting'. Below the header, there's a yellow banner with instructions: 'For a public user to create a new user account. (\*) Denotes a required field. A username will be suggested to you when you enter your first and last name. You may change the suggested username in the **UserName** field below.'

The 'General Information' section is highlighted with a green border. It contains the following fields:

- First Name:** (required, red star)
- Middle Initial:**
- Last Name:** (required, red star)
- UserName:** (with a suggested username icon)
- Business Name:**
- Job Title:**
- Address Line 1:** (with a location pin icon)
- Address Line 2:**
- Country:** (dropdown menu, currently USA)
- State:** (dropdown menu, currently Minnesota)
- City:** (required, red star)
- Zip:** (required, red star)
- Primary Phone Number (555-555-5555):** (required, red star)
- Extension:**
- Mobile Phone Number (555-555-5555):**
- ☐ I want to receive SMS messages through a mobile phone. **Mobile Provider:** (dropdown menu)
- Fax Number:**
- Email:** (required, red star)

At the bottom, there are two buttons: 'Back To Login' and 'Next >>'.

**Step 3: Select the account type and group you will have:**

The screenshot shows the 'CREATE ACCOUNT' page for the MCES Industrial Online Reporting system, specifically the account group selection step. The page has a blue header with the Metropolitan Council logo and the title 'MCES Industrial Online Reporting'. Below the header, there's a yellow banner with instructions: 'For a public user to create a new user account. (\*) Denotes a required field. A username will be suggested to you when you enter your first and last name. You may change the suggested username in the **UserName** field below.'

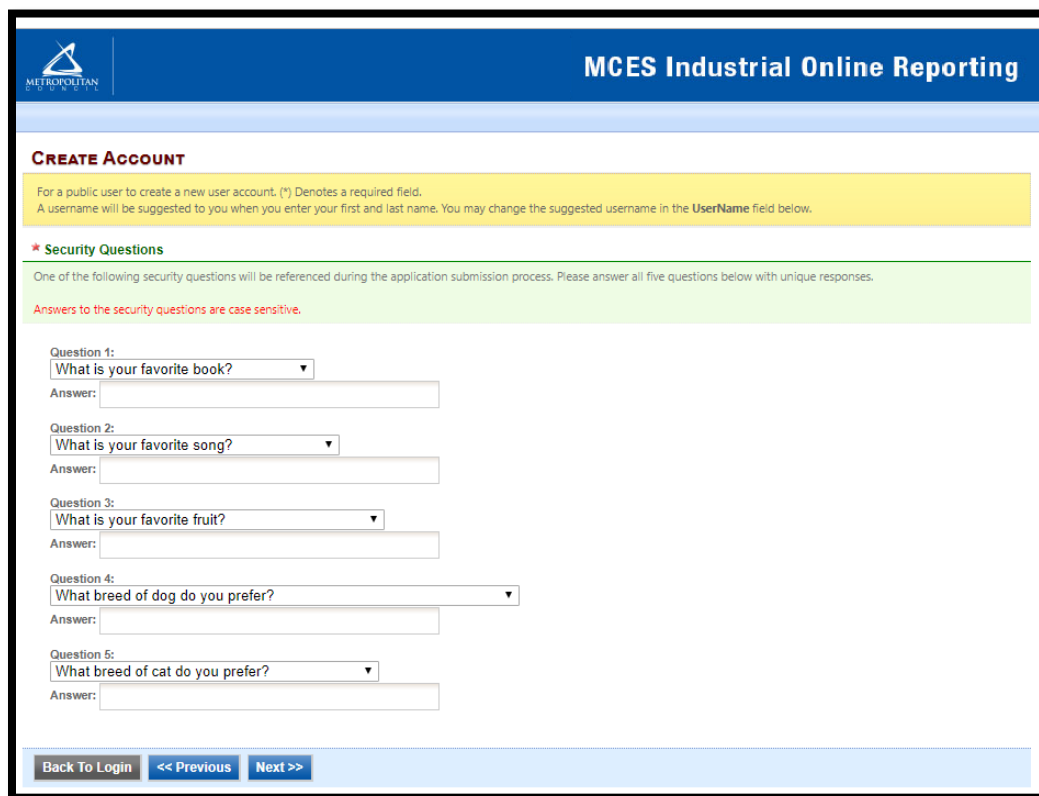
The account group selection section is highlighted with a light blue background. It contains the following fields:

- Account group:** (required, red star) with radio buttons for 'Consultant' and 'Responsible Official'.
- Submittal Group:** (required, red star) with checkboxes for 'Consultant' and 'Responsible Official'.

At the bottom, there are three buttons: 'Back To Login', '<< Previous', and 'Next >>'.

If you select Responsible Official, you will be able to associate your facility to your account, but this is not necessary. The MCES Industrial Online Reporting System Support Team will complete this step for you during account verification and activation.

**Step 4: Select and answer five security questions. Answers must be unique and are case sensitive. Be sure to remember your questions and answers, as you will be required to answer one of these questions correctly every time you make a submission.**



The screenshot shows the 'CREATE ACCOUNT' page of the MCES Industrial Online Reporting system. The page has a blue header with the Metropolitan logo and the title 'MCES Industrial Online Reporting'. Below the header, there is a yellow box with instructions for creating a new user account. The main section is titled 'Security Questions' and contains five questions, each with a dropdown menu and an answer field. The questions are: 1. What is your favorite book? 2. What is your favorite song? 3. What is your favorite fruit? 4. What breed of dog do you prefer? 5. What breed of cat do you prefer? At the bottom of the page, there are three buttons: 'Back To Login', '<< Previous', and 'Next >>'.

**CREATE ACCOUNT**

For a public user to create a new user account. (\*) Denotes a required field.  
A username will be suggested to you when you enter your first and last name. You may change the suggested username in the **UserName** field below.

**\* Security Questions**

One of the following security questions will be referenced during the application submission process. Please answer all five questions below with unique responses.  
Answers to the security questions are case sensitive.

Question 1:  
What is your favorite book?   
Answer:

Question 2:  
What is your favorite song?   
Answer:

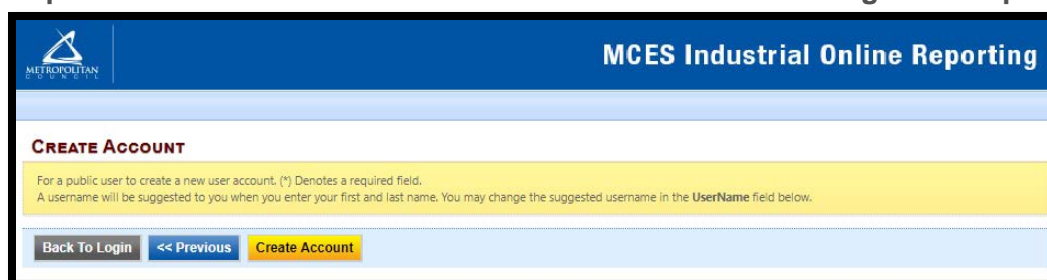
Question 3:  
What is your favorite fruit?   
Answer:

Question 4:  
What breed of dog do you prefer?   
Answer:

Question 5:  
What breed of cat do you prefer?   
Answer:

[Back To Login](#) [<< Previous](#) [Next >>](#)

**Step 5: Click the “Create Account” button to finish the self-registration process.**



The screenshot shows the 'CREATE ACCOUNT' page of the MCES Industrial Online Reporting system. The page has a blue header with the Metropolitan logo and the title 'MCES Industrial Online Reporting'. Below the header, there is a yellow box with instructions for creating a new user account. The main section is titled 'CREATE ACCOUNT' and contains a 'Create Account' button. At the bottom of the page, there are three buttons: 'Back To Login', '<< Previous', and 'Create Account'.

**CREATE ACCOUNT**

For a public user to create a new user account. (\*) Denotes a required field.  
A username will be suggested to you when you enter your first and last name. You may change the suggested username in the **UserName** field below.

[Back To Login](#) [<< Previous](#) [Create Account](#)

**Step 6: Print, sign and mail in MCES Electronic Signature Agreement.** Please note that after every account creation, the MCES Industrial Online Reporting System Support Team will contact the new account holder and send them pre-populated enrollment forms to make the enrollment process easier. If you prefer pre-populated forms be sent to you, please feel free to skip this step.



## 5.2 Appendix B. Facility Account Registration Form

### FOR USE OF MCES INDUSTRIAL ONLINE REPORTING SYSTEM

Use this Facility Account Registration Form to submit a list of users that will be enrolling to use the MCES Industrial Online Reporting System to electronically view, prepare and/or submit data to MCES. MCES uses this form to manage user accounts and privileges for each facility.

#### 5.2.1 Facility Information

Permit No: \_\_\_\_\_

Facility Name: \_\_\_\_\_

Facility Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

#### 5.2.2 User Information

The following users will enroll and use the MCES Industrial Online Reporting System:  
Designate each user as a Responsible Official (RO) or Consultant (CO). Only RO users can sign and submit reports.

Name	Title	Phone Number	Email Address	RO	CO
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>

**Each user designated as a Responsible Official must complete an MCES Electronic Signature Agreement (ESA) and send to MCES. Each ESA must be submitted as a paper copy with a wet-ink signature.**

Notes to MCES (optional):

#### 5.2.3 Signatory Authority Signature

Please activate the user account(s) identified above for the MCES Industrial Online Reporting System, which is associated with the above-listed facility.

By submitting this form to MCES, I certify under penalty of law that I have personally examined and am familiar with the information submitted in this form, and 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 fines and imprisonment.

\_\_\_\_\_  
Legal Full Name (type or print)

\_\_\_\_\_  
Official Title (type or print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Complete this form, save a copy for your records and mail to:**

MCES Industrial Online Reporting System Coordinator  
390 Robert Street North, St. Paul, MN 55101





### 5.3 Appendix C. MCES Electronic Signature Agreement

#### FOR USE OF MCES INDUSTRIAL ONLINE REPORTING SYSTEM

Use this Electronic Signature Agreement (ESA) to request Responsible Official (RO) privileges, which allow the user to electronically submit permitting and monitoring data to MCES.

#### 5.3.1 Responsible Official (RO) Information

User Name: \_\_\_\_\_

Legal Full Name: \_\_\_\_\_

Job Title: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Email Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

#### 5.3.2 Facility Information

Responsible Official (RO) privileges are requested for the following facilities:

Permit No.	Facility Name	Facility Location Address

#### Submittal Reason:

- ☐ **New:** This is the first ESA submitted for this user account to act as the RO for the above facilities.
- ☐ **Change:** This is an updated ESA submitted because the signatory authority at the facility has changed.

Specify the RO(s) to be replaced: \_\_\_\_\_

Note: Any RO requesting to discontinue electronic submissions must complete the MCES Account Deactivation Request Form (Section 6.4, Appendix D).

- ☐ **Reactivation:** This is a re-activation of a user account to act as the RO for the above facilities.

**Notes to MCES** (optional):



### 5.3.3 Terms and Conditions

1. **DEFINITION:** A Responsible Official (RO) refers to any signer of this document. An individual must meet EPA's signatory requirements in 40 CFR § 403.12(l) to be an RO.
2. **PURPOSE:** This agreement creates legally binding obligations for the parties using the specified data transmission protocols and the MCES Industrial Online Reporting System. The RO agrees to (i) maintain confidentiality and protect the electronic signature from unauthorized use or compromise, and follow all procedures specified by MCES for this purpose; and (ii) be as legally bound, obligated, and responsible by use of the RO's electronic signature as by hand-written signature.
3. **VALIDITY AND ENFORCEABILITY:** By this Agreement the parties agree to follow MCES procedures to create binding regulatory reporting documents using electronic transmission and receipt of such records, consistent with the provisions of 40 C.F.R. Part 3 (CROSS-MEDIA ELECTRONIC REPORTING Requirements, CROMERR). Acceptance and execution of this agreement by MCES is shown by the issuance of a personal identification number (PIN) to the Certifier. Consistent with 40 C.F.R. Part 3, electronic signatures under this agreement have the same force and effect as a written signature. Written signatures will remain on file with MCES.
4. **RECEIPT:** A submission is received when it is accessible by MCES, can be fully processed and complies with MCES' electronic transfer protocol which MCES may modify from time to time. A submission does not satisfy any reporting requirement in a facility's industrial discharge permit until it is received by MCES. For permit renewal and compliance reporting, the RO agrees that upon activation of the RO account for requested facilities, the MCES Industrial Online Reporting System will be expecting to receive electronic transmission of reports at the interval specified in the permit. If MCES does not receive the submissions from the RO at the expected time, the database will flag the required submissions as not received. If the RO chooses to discontinue using the MCES Industrial Online Reporting System and return to using paper forms, the RO must complete, sign, and submit an MCES Account Deactivation Form. If MCES does not receive this form, it is likely that the system will continue to produce "not received" flags (indicating reporting violations).
5. **VERIFICATION:** Upon receipt of a submission, MCES will process the submission to make it accessible. The RO is responsible for the content of each submission, and for reviewing the accuracy of the processed document, both in accordance with the associated certification statement, as made available by the MCES Industrial Online Reporting System.
6. **SIGNATURE:** The RO agrees that their personal identification number (PIN) will serve as their electronic signature following acceptance of this Agreement. The RO agrees that any such electronic signature affixed to or associated with any transmitted submission verifies (1) that the RO has the requisite authority to originate the transaction; and (2) the accuracy of the content at the time of transmittal. The RO also agrees that each submission the RO submits using their PIN constitutes their agreement with the certification statement in each transmission per 40 CFR § 403.6(a)(2).
7. **SECURITY:** The parties must 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 electronic signatures and only transmitting files in an acceptable protocol.
8. **USE OF PIN:** Each RO must be a person identified by the facility as someone who meets EPA's criteria of being an authorized representative. If a PIN is compromised or there is evidence of potential compromise, MCES will suspend the PIN and affected account. In addition, MCES will inactivate or revoke a PIN where the RO is no longer an authorized signatory. Each RO agrees that MCES may act immediately and unilaterally in any decision to suspend, inactivate, revoke, or otherwise disallow use of a PIN by any RO, where MCES staff believes that such action is necessary to ensure the authenticity, integrity or general security of transmissions or records, or where there are any actual or apparent violations of this agreement. Each RO also agrees to immediately report to MCES any compromise or potential compromise of a PIN.
9. **INABILITY TO TRANSMIT OR FILE REPORTS ELECTRONICALLY:** No party is liable for any failure to perform its obligations in connection with any Electronic Transaction or any Electronic Document, where the failure results from any act or cause beyond the party's control that prevents the party from electronically transmitting or receiving any document submissions. The RO is nonetheless required to submit records or information required by law by other means within the time period required by law, unless a written extension has been granted by MCES.

10. **CONTINUATION OF OPERATIONS:** In the event that electronic submission of data is not possible via the MCES Industrial Online Reporting System, it is the responsibility of the RO to submit paper copies in accordance with the requirements of the Permit, or written extension granted by MCES. Failure to submit data by the date required by the Permit or extension is a violation and will be enforced according to MCES' Enforcement Response Plan.
11. **SEVERABILITY:** Any provision of this Agreement which is determined to be invalid or unenforceable will be ineffective to the extent of that determination without invalidating the remaining provisions of this Agreement or affecting the validity or enforceability of the remaining provisions.
12. **TERMINATION AND RENEWAL:** This Agreement may be terminated by either party. Upon termination of this Agreement, the ability to submit electronic information through the MCES Industrial Online Report System will also terminate. This Agreement becomes effective upon notification of approval by the MCES to the RO (which may be an automated message from the MCES Industrial Online Reporting System or by separate notification). MCES will normally provide notification of the effective date, but if no date is provided, the effective date is the next reporting cycle following the notification. This Agreement will continue until modified by mutual consent or unless terminated with 60 days written notice by any party. This Agreement will be periodically reviewed and amended or revised by both parties as needed or when required. MCES reserves the right to approve or disapprove this subscriber agreement. This Agreement will be terminated if the facility's Permit is also terminated.
13. **GOVERNING LAW:** This Agreement is governed by and interpreted in accordance with 40 CFR 122, 40 CFR 3, and other applicable Minnesota State Law provisions.
14. **AGREEMENT:** I and the facilities listed in Section 6.3.2 agree:
- ☐ To protect my account and password from compromise, not allow anyone else to use my account, and not share my password with any other person;
  - ☐ To change my password if I believe it becomes known to any other person;
  - ☐ To promptly report to MCES any evidence of the loss, theft, or other compromise of my account or password within one business day;
  - ☐ To notify MCES in writing, if I terminate my employment, am reassigned or if any other change in my status causes me to cease to be an authorized signatory of any of the requested facilities listed in this Agreement. Notification should occur as soon as the change occurs.
  - ☐ To review, in a timely manner, the email and onscreen acknowledgements and copies of data submissions transmitted through my account to the MCES Industrial Online Reporting System;
  - ☐ To report discrepancy between the submissions and what the MCES Industrial Online Reporting System received;
  - ☐ That in no event will MCES be liable to me or the facilities I represent for any special, consequential, indirect or similar damages, including any lost profits or lost data arising out of the use or inability to use the software or of any data supplied therewith even if MCES or anyone else has been advised of the possibility of such damages, or for any claim by any other party. MCES disclaims all warranties, expressed or implied, including but not limited to warranties of merchantability and fitness for a particular purpose, with respect to the software and the accompanying written materials

I understand that I and the facilities I represent are as legally bound, obligated, and responsible by the electronic signature created as by a handwritten signature.

#### **5.3.4 Responsible Official Designation by the Signatory Authority**

The RO must meet EPA's signatory criteria of a signatory authority:

- A responsible corporate officer, if the facility is a corporation;
- A general partner or proprietor, if the facility is a partnership or sole proprietorship, respectively; or
- A duly authorized representative of an individual in 1) or 2), if such representative is responsible for the overall operation of the facility and/or the environmental matters for the facility.

In many cases, a signatory authority may wish to designate a person as an RO for the purpose of signing and submitting permit required documents electronically using the MCES Industrial Online Reporting System. If the signatory authority wishes to designate a person for this purpose, please complete this section of this Agreement. Please note the designated RO must have overall responsibility for the operations and/or the environmental matters of the facility.

**For Signatory Authority:**

I hereby designate (name) \_\_\_\_\_ as my designated RO for the purpose of signing and submitting data to MCES electronically using the MCES Industrial Online Reporting System for the above-listed facilities. I understand that this designation does not release me from responsibility or liability for any violations of the MCES Waste Discharge Rules that may occur at these facilities.

_____ Name of Signatory Authority	_____ Title of Signatory Authority
_____ Signature of Signatory Authority	_____ Date
_____ Email address of Signatory Authority	

**For designated Responsible Officials:**

I understand that as a designated signatory authority and RO, I am responsible for ensuring accurate collection and representation of all information submitted electronically in the MCES Industrial Online Reporting System for the above-listed facilities.

_____ Name of designated RO	_____ Title of designated RO
_____ Signature of designated RO	_____ Date
_____ Email address of designated RO	

**5.3.5 Responsible Official (RO) Signature**

The RO is the person who submits this Agreement to request the ability to electronically sign and submit data to MCES. The RO is given signatory authority to sign data submissions and other information under applicable regulations or is a delegated signatory authority by the individual(s) identified as the signatory authority in Section 6.3.4 of this Agreement.

**For Signatory Authority:**

For the above-listed facilities, I, \_\_\_\_\_, have the authority to enter into this Agreement under the applicable standards.

**For Designated ROs:**

For the above-listed facilities, I, \_\_\_\_\_, am authorized by the Signatory Authority named in Section 6.3.4 of this Agreement, who has the signatory authority under 40 CFR §403.12(l), to enter into this Agreement.

By submitting this Agreement to MCES, I have read, understand, and accept the terms and conditions of this Agreement. I certify under penalty of law that I have personally examined and am familiar with the information submitted in this Agreement and all attachments contained in the Agreement, 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 fines and imprisonment.

_____ Signature of RO	_____ Date
--------------------------	---------------

***This ESA form must be submitted to MCES as a paper copy with a wet-ink signature. When completed, print and sign this form, save a copy for your records and mail to:***

MCES Industrial Online Reporting System Coordinator  
390 Robert Street North, St. Paul, MN 55101.

***Once this form is reviewed and approved, MCES will issue the RO a formal PIN to use in the MCES Industrial Online Reporting System.***

For MCES Use Only	
Review Date: _____	Reviewed by: _____
Approved?    Yes    No	Approval Date: _____    Denial Date: _____
Denial Reason: _____	



## 5.4 Appendix D. MCES Account Deactivation Request Form

### FOR USE OF MCES INDUSTRIAL ONLINE REPORTING SYSTEM

Use this Account Deactivation Request Form to request discontinuation of data submittal through the MCES Industrial Online Reporting System.

#### 5.4.1 User Information

User Name: \_\_\_\_\_

Legal Full Name: \_\_\_\_\_

Job Title: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Email Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

#### 5.4.2 Deactivation Information

Requested Deactivation Date: \_\_\_\_\_

Deactivation is requested for the following facilities:

Permit No	Facility Name	Facility Location Address

#### 5.4.3 Responsible Official Signature

Please deactivate the user account identified above from the MCES Industrial Online Reporting System, which is associated to the above-listed facilities.

I understand that I am obligated to continue to use the MCES Industrial Online Reporting System to conclude any business (reporting, correcting or submitting data) during the time this user account is active.

I further understand that this request in no way changes the submission requirements of this facility. This request only provides notice that the user will no longer use the MCES Industrial Online Reporting System.

\_\_\_\_\_  
Name of RO (type or print)

\_\_\_\_\_  
Title of RO (type or print)

\_\_\_\_\_  
Signature of RO

\_\_\_\_\_  
Date

***Print this form, save a copy for your records and mail to:***

MCES Industrial Online Reporting System Coordinator  
390 Robert Street North, St. Paul, MN 55101

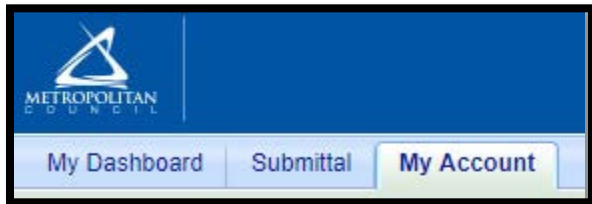
## 5.5 Appendix E: How to Grant Preparer Permissions to a Consultant Account Holder

Responsible Official account holders may grant preparer permissions to Consultant account holders to prepare submission on their behalf. Please note that the Consultant account holder cannot certify, sign or make a submission, and that each Consultant account holder must have their own account in the system.

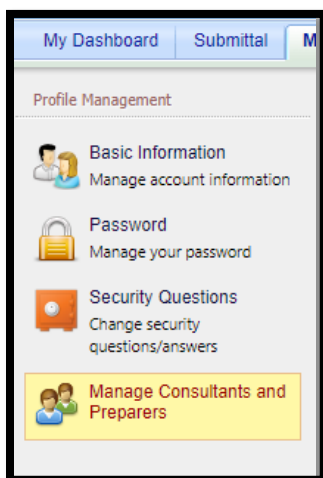
**Step 1: Log in into the MCES Industrial Online Reporting System using the following URL:**

**<https://www.govonlineaas.com/MN/SPL/Public>**

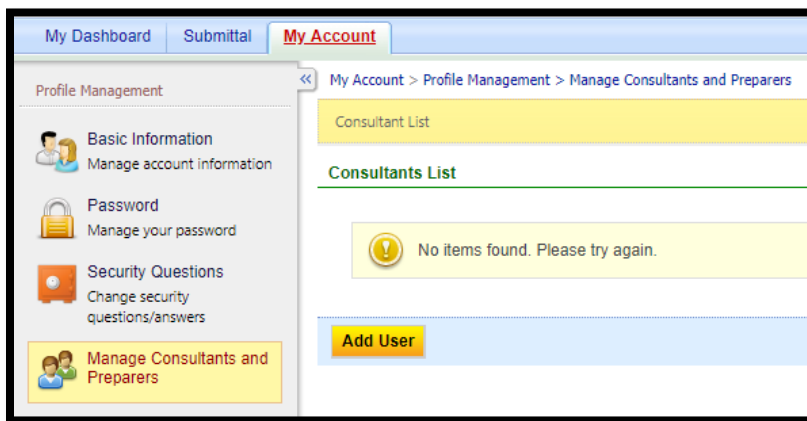
**Step 2: Click on the My Account tab on the upper left-hand side of your Dashboard.**



**Step 3: On the gray left-hand sidebar, click on 'Manage Consultants and Preparers'.**



**Step 4: Click on the 'Add User' button.**



**Step 5: Enter the Consultant account holder's email address. It must be the same email address they used to create their account in the system.**

**Step 6: Add the effective date and click the 'Validate & Associate' button.** We recommend that you leave the expiration date blank.

**Consultant Information**

★ Email  
john.doe@gmail.com

★ Effective Date 7/1/2016      Expiration Date

**Validate & Associate**

**Step 7: Scroll down and click on the 'Add Authorizations' button.**

**Authorized Submittal Types**

No items found. Please

**Add Authorizations**      Print

**Step 8: Pick and choose which facilities and submittal types the Consultant account holder can prepare on your behalf.** Please note that following:

- Check the box to the left of each submittal type (column labeled App Name).
- Check the box to the left of each facility with a submittal type.
- Check the 'Preparer' radio button in the Permission column for each facility and submittal type.
- **You must select all three – submittal type box, facility box and permission type radio button – in a single row for the permission to be successfully granted.**

<input checked="" type="checkbox"/>	Liquid Waste Hauler Discharge Report	IWPPS	<input checked="" type="checkbox"/> ##TEST - TINA LW Hauler	<input checked="" type="radio"/> Preparer <input type="radio"/> Viewer	
<input checked="" type="checkbox"/>	Permit Renewal Application - Liquid Waste Hauler	IWPPS	<input checked="" type="checkbox"/> ##TEST - TINA LW Hauler	<input checked="" type="radio"/> Preparer <input type="radio"/> Viewer	
<input type="checkbox"/>	Permit Renewal Application for Microbreweries & Brewpubs	IWPPS		<input type="radio"/> Preparer <input type="radio"/> Viewer	

**Step 9: Click the OK button.** Your screen should now have a row for each facility and submittal type combination in the Authorized Submittal Types table.

### Authorized Submittal Types

1 - 2 of 2 item(s)

	Submittal Type	Facility	Permission	Status
✗	Liquid Waste Hauler Discharge Report	##TEST - TINA LW Hauler	Preparer	Active
✗	Permit Renewal Application - Liquid Waste Hauler	##TEST - TINA LW Hauler	Preparer	Active

Add Authorizations
Print MCES Electronic Signature Agreement

If you authorize your signing and submission privileges to a consultant, both you and the consultant must print.

**Step 10 (Optional): Click on the 'Email Notify' button.** This will send the Consultant account holder an email lettering them know that they have been associated with and grant permissions for each facility-submittal type combination.

### Consultant Information

★ Effective Date

07/01/2016

Expiration Date

Save
Email Notify



390 Robert Street North  
Saint Paul, MN 55101-1805  
651.602.1000  
TTY 651.291.0904  
[public.info@metc.state.mn.us](mailto:public.info@metc.state.mn.us)  
[metro council.org](http://metro council.org)

Follow us on:  
[twitter.com/metcouncilnews](https://twitter.com/metcouncilnews)  
[facebook.com/MetropolitanCouncil](https://facebook.com/MetropolitanCouncil)  
[youtube.com/MetropolitanCouncil](https://youtube.com/MetropolitanCouncil)