KEES Applicant Abbreviated User Guide

Keystone Environmental ePermitting System (KEES)

Release 1

Version: 1.0

Work product: KEES Applicant Abbreviated User Guide

Prepared by: Office of Information Technology (IT) Project Development and Delivery (ITPDD)

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DEPARTMENT OF TRANSPORTATION

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DEPARTMENT OF ENVIRONMENTAL PROTECTION

Document History

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1.0 Introduction

The Keystone Environmental ePermitting System (KEES) is a collaborative effort between the Pennsylvania Department of Transportation (PennDOT) and the Department of Environmental Protection (DEP), with a goal of improving, extending, and streamlining the electronic process for obtaining environmental permits.

The purpose of KEES is to:

- Replace PennDOT's existing electronic system for the preparation of environmental permit applications - the Joint Permit Application Expert System 2 (JPA2)
- Expand on the functionality of the JPA2 system and modernize system architecture
- Automate DEP's application review and approval process
- Integrate application preparation, review and approval within a single, unified system
- Improve the interface with DEP's legacy Environment Facility Application Compliance Tracking System (e-FACTS)
- Add additional permit types to the electronic permit application process
- Allow other PA agencies (over time) to apply for environmental permits using KEES.

KEES was rolled out to users in a series of releases. The initial release in spring of 2017 gave PennDOT, ACOE and other commenting agencies the ability to create, submit, review, authorize and deny DEP permit applications for General Permit (GP)-8, GP-11, Standard and Small Project applications. The number and type of users granted access to create and submit all types of DEP permits grows with each KEES release.

This User Manual is available to KEES users to assist in interpreting and completing KEES screens. It will be updated and with each major release of new KEES functionality.

1.1 Purpose

This KEES User Manual aggregates all quick-tips from the KEES Applicant User Manual into a short, easy-to-use format.

This document covers the following major topics in KEES:

- Creating a KEES Project
- Managing a KEES Project
- Adding a Permit Application
- Managing a Permit Application
- Copying an Application
- Submitting an Application
- Resolving Deficiencies

1.2 Scope

Release 1 KEES functionality is in scope for this version of the KEES User Manual. Functionality to be introduced in later releases is not included.

1.3 Acronyms

Acronym	Term
ACOE	Army Corps of Engineers
BA	Business Analysis or Business Analysts
CCDs	County Conservation Districts
CRUD	Create, Read, Update, Delete
DCNR	Department of Conservation and Natural Resources
DEP	Department of Environmental Protection
E and S	Erosion and Sediment
eFACTS	Environment, Facility, Application, Compliance Tracking System
ESCP	Erosion and Sediment Control Permit
GP	General Permit
ITPDD	Bureau of Information Technology Project Development & Delivery
JPA2	Joint Permit Application Expert System 2
KEES	Keystone Environmental ePermitting System
NPDES	National Pollutant Discharge Elimination System
PEMT	Project Execution Management Team
PennDOT	Pennsylvania Department of Transportation
POC	Point of Contact
PM	Project Manager
PNDI	Pennsylvania Natural Diversity Inventory
PTC	Pennsylvania Turnpike Commission
ROD	Record of Decision
RTC	Rational Team Concert
SME	Subject Matter Expert
SOP	Standard Operating Procedures
SPGP	State Programmatic General Permit
UAT	User Acceptance Testing
WEOP	Water Obstruction and Encroachments Permitting
WO	Work Order

1.4 References

Based on a business decision, BA requirements for the KEES system are covered in the KEES Use Cases and Workflows work product. The basis for this decision was a need to this was to capture all documentation in one place, and group it by functionality. This KEES User Manual is based on the requirements documented in the Use Cases and Workflows work product.

1.5 Application Types

The following application types are currently supported in KEES:

- GP-8
- GP-11
- GP-8 and GP-11 Combination
- Standard
- Small Project
- PASPGP-5

2.0 Create a KEES Project

When an MPMS type project is created, KEES does not automatically save MPMS Background Project Data to the KEES database. The user must affirmatively save these associations before adding an application to the Project. If the user fails to save the background project at the project level, any new application associated with that project will not inherit the unsaved background project. That application must be deleted, the background project saved, and a new application created.

After a user clicks the Create button on the Create a KEES Project screen, KEES displays a project successfully completed message. Then, in the Project Info tab, the user must:

- Add new counties/municipalities, if necessary; and
- Click Save.

2.1 Search for MPMS or SAP Background Projects

At the Project level, KEES "background projects" provide activity and financial contexts for the KEES Project. When saved, these background projects are inherited by any Application associated with the Project. At the Application level, selected background projects are known as "related projects."

The only filter type that supports a search on partial data is Status. All other filters require that the full requested search value be entered.

- If a user selects Project Status as a filter and enters the text "Act", a search will return all projects with a status of Active.
- If a user selects County as a filter, and enters the text "Cumber", a search will not return any projects, even if though there are many projects in the MPMS system for Cumberland County.

3.0 Manage a KEES Project

3.1 Project Information: MPMS and SAP Background Projects

The KEES Project Information screen supports updates to two types of information:

- KEES Project information
- Background Project information

Background Project Data – MPMS and SAP

KEES cannot validate that legacy system data is current when it accesses it. For example, when the user associates a MPMS project to a KEES Project, the data copied from MPMS to KEES may not be entirely up-to-date. Since does not allow users to directly update MPMS, SAP, or other legacy systems, KEES uses an "Add Isolated Data" function to add County, Municipality and State Route/Local Road data to the KEES MPMS or SAP (background) project.

Three links on the KEES Project Information tab allow users to add isolated data to a project.

- Add new counties/municipalities (allows a user to add a new county to Background Project Isolated Data, with or without an associated Municipality)
- Add Municipalities
- Add State Route/Local Road

The links for "Add new counties/municipalities" and "Add Municipalities" invoke similar windows, with one minor difference. The county field is prepopulated for the Add Municipalities window, but is enterable for the Add new counties/municipalities window. Screen shots for these windows appear after the main KEES Project Information screen, below.

3.2 Project Information: Other Background Project

While KEES draws MPMS and SAP background project records from legacy systems, the user is required to manually enter Other background Project data.

3.3 Point of Contact

Required for the creation of a Project and inherited to an Application, the POC for either Project or Application may be updated a required throughout the lifecycle of either entity.

3.4 Related Projects

Background project information is entered at the Project level and is inherited to an application associated to that project. At the application level, background project information is labelled "related project" information because KEES allows the user to modify the inherited background project information to be more relevant to the application. For example, a project-level background project providing for the construction of three bridges over the Susquehanna River in three different municipalities is not entirely relevant to an application for permits for only one of those bridges. The user, then, may deselect the municipalities not relevant to the bridge at-hand. The edited version of the Background Project would, then, be the Application Related Project.

3.5 GIS Information

GIS data is entered/updated at the Project level. While no GIS data is required to create an application, latitude and longitude values *are* required to submit an application for review.

3.6 Project Participants

This screen is used to add participants at the project level to the project/application preparation team. A different screen is used to add participants to a DEP review team.

Three different tables are displayed on the Manage Project Participants screen.

- Add Participants is used to select participants from a list of values and add them to or delete them from the Application or Review team.
- Users assigned as Editors can further edit the participants list and may take actions consistent with the Editor privilege during the Application Preparation or Review processes.
- Users only assigned the Email Recipient privilege will receive event-specific KEES email notifications but will have only read-only access to the application.

Please see Roles and Privileges Summary for further user role and privilege information.

3.7 Coordination

Because PennDOT projects very rarely involve DEP programs other than the WEOP Program, all questions other than number 5 are defaulted to No.

3.8 PNDI

If a PNDI Project Environmental Review Receipt documents “Potential Impacts” to protected resources within the project area, DEP requires additional information/plans regarding mitigation or avoidance of the potential impacts.

PNDI receipts are valid for two years. If a PNDI receipt expires while a permit application is still pending, a new PNDI receipt must be obtained by the applicant.

KEES uses the data entered in the PNDI tab to track PNDI receipts, and alerts the application team that a receipt is set to expire.

3.9 Permit Application List

For Release 1, only the following applications and combinations are supported in KEES:

- GP-8
- GP-11
- GP-8 and GP-11 Combination
- Standard
- Small Project
- PASPGP-5

3.10 Project Details Summary

The KEES Project Details summary screen provides users with a high-level, read-only view of project information.

4.0 Manage an Application

4.1 Add an Application

Before a user can create a KEES Application, a KEES Project must be created and a background project primary county selected and saved.

4.2 Applicant Information

The fields on this screen are display only. The data is derived from the Project-level KEES profile for the applicant entity, and cannot be changed at the application level.

4.3 Point of Contact (POC)

A POC must be selected at the project level whenever a KEES Project is created. When an editor adds an application to the project, KEES copies the project-level POC to the application. If necessary, editors can use the application screen to designate a different POC for the application. Thus, in KEES, a project and an application associated to the project can have different POCs. When more than one application is associated to a KEES Project, each application could theoretically have a different POC, as well.

4.4 Permit Type

Users can select only one Permit Type option for a permit application. For Release 1, the Permit Type may not be changed after the Application is submitted. To change the Permit Type, the Applicant must submit a new Application specifying the desired Permit Type.

Apart from the Verify button, the data on this screen is display only, and cannot be updated.

4.5 Related Projects

When a new application is created, KEES takes the editor to the application-level Project Info screen.

When the Background Projects screen is initially presented to an editor, KEES only displays the Related Projects portion of the screen.

When only one county is listed for the related projects of the application, KEES makes that county the Primary County by default. If there is more than one county, an editor must manually designate a Primary County from a list counties.

An editor must save Related Project data before ACOE and DEP Region data can be viewed. Since ACOE and DEP Region data is derived from the Primary County, KEES cannot display ACOE and DEP Region data until a Primary County has been saved to the database.

It is possible that the primary county may not be associated to the county associated to the DEP team reviewing the application. Sometimes, for the purposes of workload balancing, the default DEP region review team may reassign responsibilities to reviewers in another DEP region.

4.6 GIS Information

Once an application is submitted the GIS information cannot be edited.

4.7 Application Participants

This screen is used to add participants at the application level to the project/application preparation team. A different screen is used to add participants to a DEP review team.

Three different functions are displayed on the Manage Application Participants screen, including:

- Add Participants is used to select participants from a list of values and add them to the team

- Editors allows users to view the editors assigned to the application and to delete
- Email Recipients allows users to view the email recipients assigned to the application, and to delete email recipients

4.8 Adjoining Property Owners

The Adjoining Property Owner tab is displayed when the permit type is Standard Application or Small Project Application.

The information displayed on the Adjoining Property tab is inherited by the application from the KEES project. To update the information in the application, open the KEES project, click the GIF tab and then click the Additional Info tab. Details can be found in the Additional Project Information area of the Manage KEES Project section of the user manual.

4.9 GIF (General Information Form)

4.9.1 Coordination

Coordination information can be updated at any time at the project level and can differ between applications.

4.9.2 Land Use

Land use information apply to counties and municipalities associated with the application and probes the consistency of the application with county and municipal land use plans and zoning ordinances. It is required.

4.9.3 Facilities

For Release 1, facility details are still maintained in DEPGreenPort. The Facilities tab provides users with a link to and interface with DEPGreenPort. The user must confirm that all facility and sub facility data has been entered into that system prior to submitting a KEES application.

4.9.4 Encroachments

The user is asked to provide information documenting the waterway obstructions and/or encroachments associated with the application.

4.9.5 Additional Information

The Additional Information tab displays for Standard and Small application types

The information displayed on the Additional Information tab is inherited by the application from the KEES project. To update the information in the application, open the KEES project, click the GIF tab and then click the Additional Info tab. Details can be found in the Additional Project Information area of the Manage KEES Project section of the user manual.

4.10 Attachments

KEES requires the Applicant to submit a variety of supporting documentation in the form of attached files. These requirements are grouped into Document Types related to the nature of the information included in the attachment. For example, the user may be required to provide supporting floodplain management information. This requirement may be satisfied by attaching one or more files to the Floodplain Management Document Type.

Document Types may be required or optional. The user may only change from Required to Optional (or *vice versa*) Document Types that are specified as Optional as a function of permit type.

All Document Types must be verified before the Attachments tab can be verified. NOTE: The QA/QC Checklist must be uploaded ("attached") and verified before the application can be submitted.

4.10.1 Uploading Attachments for an Application

When all required document types have been verified, a "global" Verify" button is displayed for use in verifying the Attachments screen as a whole.

The Attachments tab is not marked as verified in KEES until the global Verify button is clicked.

4.11 Application Details Summary

The KEES Application Details summary screen provides users with a high-level, read-only view of application information.

5.0 PennDOT Final Review and Submission

KEES does not support a dedicated screen for the Final Review and submission process. Instead, these functions are performed on the Application Summary screen.

- Each time an editor marks a screen as verified, KEES determines whether all application-level screens have been marked verified.
- When the last screen has been verified, the Summary screen displays functionality that allows users to attach and verify QA/QC documents. (The process for attaching QA/QC documents is the same as the one used on Attachment screen.)
- When all QA/QC documents have been attached and the QA/QC document type has been marked as verified, KEES displays a Submit button on the Summary Screen.
- All application-level tabs are locked for editing purposes whenever the Submit button is displayed.
- When an editor clicks the Submit button, the application status changes to Submitted and the application is sent to DEP to begin the review and approval process.
- To unlock the application tabs and update the application, an editor must click the Verified button displayed in the QA/QC section. This action will:
    - Change the status of the application to Unverified
    - Open the application for editing
    - Make the Submit button disappear

6.0 Manage Application Deficiencies

If the Review Team finds either completeness or technical deficiencies in a submitted application, it will be returned to the Applicant for revision and resubmission. An application returned as Incomplete may be resubmitted for Completeness Review with all KEES review clocks reset. An application returned as Technically Deficient may be resubmitted for Technical Review without first clearing another Completeness Review.

NOTE: KEES increments the cycle number when the Applicant first edits the returned application.

The processes governing Applicant response to a deficiency are very like those that guide the initial application preparation. The main difference is the lack of a Final Review status. The Application goes directly from In Preparation (Incomplete) or In Preparation (Tech Def) to Ready to Submit.

6.1 Request an Extension

For Release 1, extension requests must be coordinated between Applicant and Reviewer *outside* KEES. The KEES Request Extension functionality only places an informational message on the Application Details summary screen. Cancel Extension (enacted by either Applicant or Reviewer) only removes the message. No workflow or application timer actions are taken in either case.

7.0 Acknowledge Apprisal

To acknowledge permit conditions during Release 1, an Applicant must:

- Print a paper copy of the Acknowledgement of Apprisal document found in the Permit Issuance document section
- Manually complete the Acknowledgement of Appraisal document
- Click the Add Permit Response Document link displayed in the Add Permittee Response Documents section
- Upload the completed Acknowledgement of Appraisal document using the Upload Documents window

8.0 Delete or Withdraw an Application

8.1 Delete an Application

An application may only be deleted prior to the time it is first submitted. Copy an Application
Applications can be copied at any time throughout the application lifecycle. The copied information is pasted into a new application with a status of 'In Preparation' which can be edited, deleted or submitted.

8.2 Withdraw an Application

An application can only be withdrawn if it has been first submitted. Further, it may be withdrawn during an applicant's response to a deficiency (i.e., the application is in In Preparation (Incompleteness) or In Preparation (Tech Def)).

9.0 Common Functions

9.1 Purpose

Where process and/or functionality is mirrored in both Applicant and Reviewer contexts, KEES attempts to use the same technical and user interface designs to meet those needs. The "common functions" may be apparent to the user (e.g., document upload or PDF creation) or provide support behind-the-scenes (e.g., cycle accounting).

9.2 Scope

The common functions contained in this section of Helpful Hints is limited to those implemented in KEES Release 1.

9.3 Application Workflow

At its essence, KEES is a workflow engine that guides the Applicant through the Application creation, management, submission, and deficiency response processes; and the Reviewer through the Application review and permit authorization processes. The main states of a KEES Application are captured in the following figure.

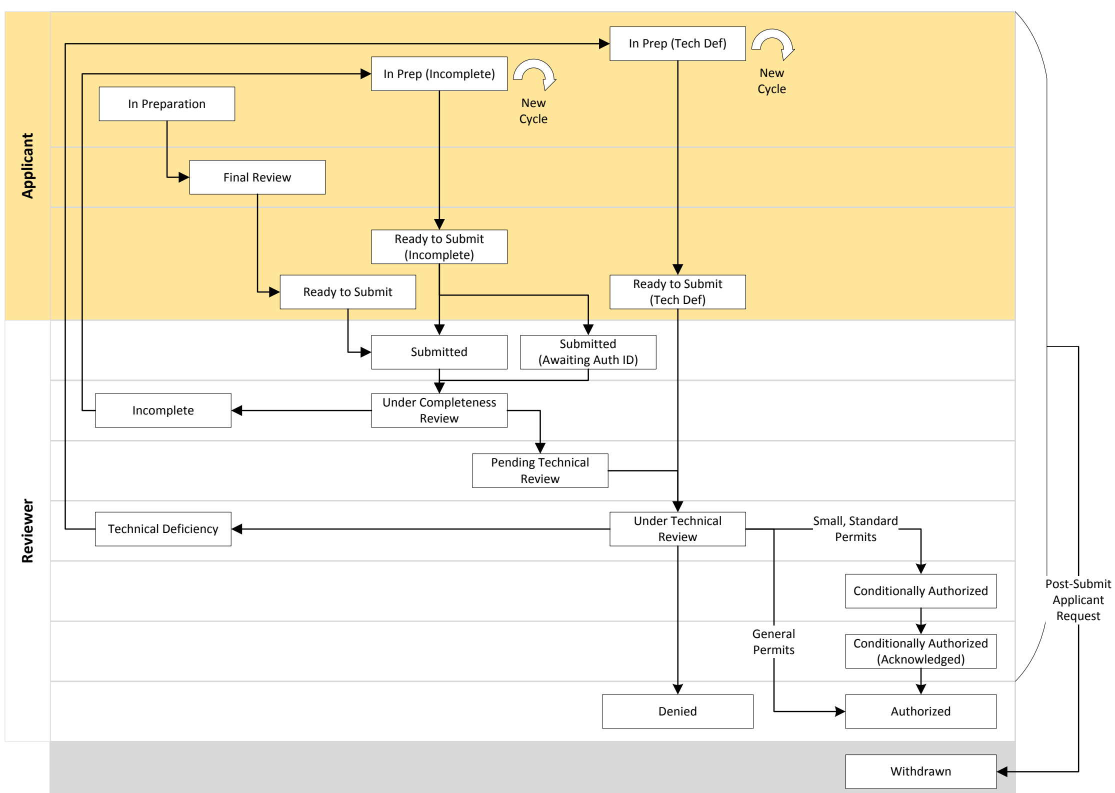

Figure 1. KEES Application Workflow

9.4 Application Cycles

The iterative interaction between Applicant and Reviewer is reflected in KEES "cycles." When an Applicant creates an Application, the cycle number is initialized to zero. If the Application passes

Completeness Review and Technical Review, both on the first pass, the cycle number is never incremented; the cycle number remains zero throughout.

Each time the Applicant edits an Application returned by the Reviewer because of a completeness or technical deficiency, the cycle number is incremented by one. Any subsequent changes made to the Application are associated with the incremented cycle number. For example, a newly submitted Application is submitted (cycle 0) and returned by the Reviewer as incomplete (still cycle 0). The Applicant opens the Application and edits. Therefore, if an Application is returned m times in Completeness Review and n times in Technical Review before the permit is authorized, the Application would have been through m+n+1 cycles and have a final cycle number of m+n.

All Application information is associated to a cycle. When an Application is submitted, all preparation information associated with that Application is rendered read-only. This means all information associated with the cycle number during which the Application (or the response to a deficiency) was prepared is frozen in KEES. By selecting the cycle number, an authorized user can view (but not edit) Application Detail summaries (and attachments) of Applications submitted in previous cycles.

Attachments associated with a cycle 0 Application that is returned as Incomplete are inherited by the Application revised and submitted in cycle 1. Since Attachments can only be deleted from KEES in the same cycle that they are attached, even if the Applicant deletes an attachment from cycle n+1, that attachment will be viewable for cycle n.

9.5 Application Statuses

The following Application status values are graphically represented in Figure 1. These states are aggregated, below, into Applicant and Reviewer contexts.

9.5.1 Applicant Related Statuses

- **In Preparation:** The Application Preparer has created a new KEES Application (associated with a preexisting KEES Project) and provides the information and attachments required by the selected Application Type.
- **Final Review:** The Application Preparer has satisfied all Required Fields and Attachments (except that the QA/QC document may not have been attached). All tabs and attachments have been verified (except, possibly, the QA/QC document type and Attachments tab).
- **Ready to Submit:** All Application tabs, the QA/QC Checklist, and Attachments tab are verified. Project Information and PNDI remain editable where Coordination displays the Unverify button.
- **Incomplete:** DEP designates the Application as Incomplete and returns it to the Applicant. The Applicant may then make any needed alterations and resubmit to DEP. New prioritizations/date calculations attach to the resubmitted Application.
- **In Preparation (Incomplete):** The Application Preparer responds to an Incompleteness deficiency identified by the Reviewer. (The Applicant opened the application and clicked Edit). Searching and Reporting functionality displays this Application as Incomplete.
- **Ready to Submit (Incomplete):** A submitted application deemed Incomplete by DEP has been amended and Verified by the Applicant. Searching and Reporting functionality displays this Application as Incomplete.
- **Technical Deficiency:** DEP has identified the Application as technically deficient and returned it to the Applicant. The Application appears in the Applicant's work queue.

- **In Preparation (Tech Def):** The Application Preparer responds to a Technical Review deficiency identified by the Reviewer. (The Applicant opened the application and clicked Edit). Searching and Reporting functionality displays this Application as Technical Deficiency.
- **Ready to Submit (Tech Def):** A submitted application deemed by DEP as technically deficient has been amended and Verified by the Applicant. Searching and Reporting functionality displays this Application as Technical Deficiency.
- **Conditionally Authorized:** This Standard or Small Application has been approved by DEP and is awaiting Applicant return of the Acknowledgement of Apprisal. The Applicant can download the Permit Issuance Documents provided by DEP.

9.5.2 Reviewer Related Application Statuses

- **Submitted:** Once a user with CWOPA credentials has submitted an application, KEES displays the application in "Submitted" status and starts all clocks and requirements associated to the Completeness Review. The Application appears in the DEP work queue though DEP has not started Completeness Review for the Application. A Submitted Application may not be Deleted; it may be Withdrawn.
- **Under Completeness Review:** DEP is in the process of reviewing the Application (manually, outside of KEES) and the Application no longer appears in the Applicant's work queue. If DEP approves the Application as Complete, KEES produces and sends a Completeness Letter and automatically promotes the Application into Technical Review.
- **Pending Technical Review:** The Application has been designated as Complete, but DEP has not begun the Technical Review for the application.
- **Under Technical Review:** Following a successful Completeness Review, DEP opens a Pending Technical Review Application and performs a Technical Review.
- **Conditionally Authorized (Acknowledged):** The Applicant has returned the Acknowledgement of Apprisal (for a Standard or Small Application). DEP may authorize the Application.

9.5.3 Final Disposition Statuses

- **Withdrawn:** The Applicant may withdraw an Application at any time following its initial submission and prior to its final disposition (Authorized, Denied, Withdrawn). DEP may withdraw and Application when it is Under Technical Review, Conditionally Authorized, or Conditionally Authorized (Acknowledge).
- **Denied:** The Application has passed Completeness Review and Technical Review but has not been Authorized. This is a Release 1 final status for the Application.
- **Authorized:** DEP has Authorized the Application, a final status. The Applicant can download and upload the Completeness Report and the PASPGP-5 Self Certification form.

9.6 Roles and Privileges Summary

While the KEES workflow guides the general progress of an Application through its creation, review, and authorization processes, interaction with KEES and a user's ability to conduct specific actions related to the Application are defined the Role and Privileges assigned to the user.

The user Role is assigned when the user establishes a KEES user account. This Role reflects both a user's organizational position/function (e.g., Application Preparer or Section Chief) and, also, the set of interactions the user is allowed with respect to a KEES entity (e.g., a Project, Application, or a work queue). The table, below, summarizes the roles that a user may be assigned.

Role	Designation	Description	Functionality
DEP Program Manager	Central Office Northwest Regional Northcentral Regional Northeast Regional Southwest Regional Southcentral Regional Southeast Regional	Complete the final review and validates that all SOP and regulations are met. Can assign any user in their region to a team.	Add DEP Reviewers, Completeness Review Workflow, Technical Review Workflow, Complete ACOE Status, Complete Bulletin Dates, Complete Permit Number, Upload DEP Documents, Work Queue, My Section Work Queue (Section Chief Only), All DEP Read Only
DEP Section Chief		Main SME for the Completeness and Technical Review. Manage the entire workflow process. Can assign any user in their region to a team.	
DEP Environmental Supervisor		Supervisor to the biologist - only involved in the Environmental Review Process.	Technical Review Workflow, Complete ACOE Status, Complete Bulletin Dates, Complete Permit Number, Upload DEP Documents, Work Queue, All DEP Read Only
DEP Reviewer		Includes Biologists or Engineers that are involved in compiling ROD package for the technical Review.	Technical Review Workflow, Complete ACOE Status, Complete Bulletin Dates, Complete Permit Number, Upload DEP Documents, Work Queue, All DEP Read Only
DEP Clerk		Administrative staff that assist with ancillary tasks.	Complete Bulletin Dates Complete Permit Number Work Queue All DEP Read Only
DEP READONLY		For any DEP read only user.	Project Summary

Role	Designation	Description	Functionality
			Application Summary In Process Review Screens, All Review Summaries (all comments and ROD) Searching Printing Reporting
PennDOT Application Preparer	Central Office Districts (1-6, 8-12)	PennDOT staff with a CWOPA account (includes state and consultant employees). Complete editing/review functionality for the application and associated project.	Create and Update Projects Add, Manage, Submit, Delete, and Withdraw Applications, Work Queue Respond to a Deficiency All PennDOT Read Only
PennDOT READONLY		For any PennDOT read only user.	Project Summary Application Summary Review Summaries Searching Printing Reporting
BP PennDOT Application Preparer	Entity Name	For Non-CWOPA users who complete work for PennDOT through a registered ECMS business partner.	Create and Update Projects Add and Manage Applications Respond to a deficiency Work Queue All PennDOT Read Only Cannot complete the QA/QC, Submit, Delete, or Withdraw an application
BP ACOE Reviewing Office Project Manager BP ACOE Reviewing Office Chief	Philadelphia, Baltimore, Pittsburgh	U.S. Army Corp of Engineers staff that reviews applications and provides feedback to the Applicant and to DEP in conjunction with issuance of the Federal permits PASPGP-5, Individual, and Nationwide.	Project Summary Application Summary All Review Summaries Searching Printing Reporting Downloading attachments

Role	Designation	Description	Functionality
			Email notifications
BP PFBC COMMENTER	Region 1 Region 2	Pennsylvania Fish and Boat Commission (State) that reviews applications and provide feedback to DEP.	Project Summary Application Summary All Review Summaries Searching Printing Reporting Downloading attachments Receive email notifications
BP PHMC COMMENTER	N/A	Pennsylvania Historical and Museum Commission (State) that reviews applications and provide feedback to DEP.	
BP PGC COMMENTER	N/A	Pennsylvania Game Commission (State) that reviews applications and provide feedback to DEP.	
BP DCNR COMMENTER	Bureau of Forestry Bureau of State Parks	Department of Conservation and Natural Resources (State) that reviews applications and provide feedback to DEP.	
BP FWS COMMENTER	N/A	U.S. Fish and Wildlife Service (Federal) agency that reviews applications and provide feedback to DEP.	
BP EPA COMMENTER	N/A	U.S. Environmental Protection Agency (Federal) reviews applications and provide feedback to DEP.	

Figure 2. KEES User Roles

While some privileges are assigned as a function of KEES user role (e.g., Editor or Read-Only), many privileges are dynamically assigned. For example, a KEES user may be assigned as an Application Preparer or an Environmental Review in the process of Application or Review Team constitution. During this process, users may also be assigned the privilege to receive KEES email notifications.

Please refer to the Common Functions section of the User Manual for more information on KEES roles and privileges.

9.7 Global Functions

9.7.1 Create a PDF

A user may create and download a PDF of an Application for any cycle number. (Note: The user must first select the KEES cycle number.) The PDF will contain the contents of the Application Details summary screen for that cycle as well as any user-selected application attachments.

KEES milestones are recorded in the Event History log. The user may make and download a PDF of this log.

9.7.2 KEES Work Queues

All participants in the KEES Application creation, submission, review, and authorization processes will have a Work Queue, which contains a link to the application when some action is required of the user/participant. If a user completes a task for which an Application appeared in his/her work queue, the application will generally disappear from that work queue and be moved to the work queue of the next participant in the workflow process.

For Release 1, only those entities that conduct work on an application *in KEES* have a KEES work queue. Thus, no Commenting Agency (e.g. USEPA or PHMC) has a work queue because they only provide comments to DEP regarding relevant applications. ACOE has a work queue in anticipation of its much-expanded role in the KEES workflow in future releases.

Absent a work queue, KEES users may be informed of the progress of Applications through the review process by event-driven email notifications.

9.7.3 Search

A user can view a project or application if any of the following is true:

- User's organization is the applicant for the project
- User has Central Office role and applicant is associated with their organization
- User has a DEP Reviewer, ACOE Reviewer, or Administrator role
- User has edit or view access to a project

9.7.3.1 Express Search

Express Search displays search results are based on the user's security role:

- Display KEES projects and applications in any district and any status where the application was submitted at least one time. The KEES Project does not appear in the search results if it is not associated to an application that was submitted at least one time.
- Display all KEES projects and all applications in all statuses and all districts.
- If assigned to the application as a participant, the creator, the Point of Contact, or permit coordinator: Display any status for all districts. If not, display only Approved or Denied statuses for all districts.

9.7.4 Reporting

For Release 1, only users with CWOPA credentials are authorized to generate either of the two reports available in KEES.

9.7.5 Email Notifications

Read-Only Commenting Agencies are automatically assigned the Email Recipient privilege. Specific KEES users may be assigned this privilege during application preparation and review team creation processes.

9.7.6 eFACTS Integration

Synchronization between KEES and DEP eFACTS is maintained through a series of event-driven messages traded between the two systems. These messages support non-KEES DEP business processes.

9.8 Administration

9.8.1 Log into KEES

The links displayed in the KEES landing page banner are persistent. They are replicated on KEES screens used in the application creation, review, and approval processes.

9.8.2 Manage User Profile

- Only user Title, phone number, and extension may be updated by the user in KEES. All other KEES user account information can only be updated by contacting the IT Service Desk.
- Titles, phone numbers, and extensions are not updated on letters generated prior to the User Profile update.

9.8.3 Event History

KEES maintains a history of milestones in the application creation, submission, review, deficiency response, and authorization processes in the Event History log. These entries contain a brief indication of the specific milestone, the status of the Application, and a date/time stamp. The user may create a PDF of the Event History log.

KEES writes to the Event History log in the following Application-specific circumstances:

- KEES status is changed
- Project-level data is updated
- Comments or responses to comments are recorded in an Application
- QA/QC Checklist document is verified.

9.9 KEES Functions

9.9.1 User Navigates Away from a KEES Screen Without Saving Entered Data

Aside from a very few exceptions (e.g., assigning an application preparation or review team participant), KEES requires that the user affirmatively save any data entered a KEES screen. Any data not saved when a user selects a different screen (e.g., when a user elects to move from the GIF tab to the GIS tab) will be lost and must be reentered.

IMPORTANT: A background project associated to a KEES Project will not be inherited by an associated KEES Application unless first saved to the KEES Project. That it, the user must save any background project linked to a KEES Project prior to creating an Application that will be associate with that background project.

9.9.2 User Opens a Tab for a KEES Project or Application Edited by Another User

KEES maintains data integrity by locking data tabs while they are being updated. Thus, if a user attempts to open a tab that is being edited by another user, KEES will a) issue a warning message to that effect, and b) prohibit the latter user from updating data in that tab.

9.9.3 User Session Times Out

KEES maintains a timer on user inactivity in the system and provides the user the option to continue to work in KEES ("stay logged in") or to log out of the system.

9.9.3.1 User Logs Out or Stays Logged Into KEES

The user may elect to log out of the KEES application. NOTE: Data entered KEES but not saved will be lost when the user logs out of KEES.

By selecting to continue working in the system, KEES returns the user to the system screen on which the user was working when the inactivity timer warning appeared.

9.9.3.2 User Does Nothing

The user may elect to do nothing. KEES will log the user out of the system when the inactivity timer expires. NOTE: Any data entered KEES but not saved will be lost when the user logs out of KEES.

9.9.4 Required Fields Not Completed; User Takes Save Action

Often KEES requires a minimum number of data elements be entered in order save a screen. These items are designated with a red asterisk. If the user attempts to save the screen without first having entered valid data for these limited number of fields, KEES will issue an informational message and highlight the required fields. NOTE: KEES will not save the data on the page unless the user completes at least the required fields.

9.9.5 User Saves KEES Data

9.9.6 KEES Attachment Versioning

When a user uploads a file with a filename identical to a previous uploaded file *in a specific document type*, KEES will assign the new file a sequentially incremented version number (e.g., the second document will have a version number of "2"; the original document will have a version number of "1").

Attachment versions may only be deleted one-at-a-time in reverse version number order.

A user may only delete an attachment (version) in the same cycle as it was uploaded. No attachment may be deleted in a specific cycle once the application is submitted.

No attachment uploaded in a previous cycle may be deleted. However, attachments uploaded in a previous cycle and copied to the current cycle may be deleted prior to application submission. Those attachments remain associated to previous cycles.

9.9.7 User Verifies Document Type

While KEES validates the user entered data, KEES requires that the application preparer vouch for the appropriateness and authenticity of uploaded documents by *verifying* the attachment prior to submission of an application. To submit an application, the user must validate all attachments and, ultimately, verify the QA/QC Checklist attachment.

9.9.8 Upload Documents

Up to three documents at-a-time can be associated to a KEES Application at any single upload.

KEES provides a document Description field that enables users to add identifying information to the uploaded document.

9.10 Other Functionality

9.10.1 Contact

The KEES *Contact Us* link provides users with contact information for:

- DEP Regional Offices
- PennDOT Engineering District Offices
- ACOE District Offices
- Requesting help with KEES issues

9.10.2 Help

The KEES *Help* link provides a variety of links to KEES user assistance information. These resources include user manuals, FAQ, and how-to video shorts.

9.10.3 Submit a Technical Service Ticket

An existing KEES user may encounter issues with, have questions regarding wish to update his/her profile in the KEES system. If this support is not first provided by the business entity (Applicant, Commenting Agency, or Reviewer), the user may contact the PennDOT IT Service Desk, which will create a tracking ticket and direct the inquiry to the appropriate KEES resource.

NOTE: All password- and most user profile-related issues must be addressed through the creation of a Service Ticket created by the Service Desk.