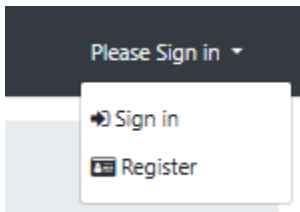


# Electronic Submittals of Construction Applications for Water and Wastewater Projects to the Division of Water

As of December 9, 2017, construction applications for water and wastewater construction projects must be submitted to the Division of Water for review and approval. All electronic submittals must be submitted via the EEC eForms website at <https://dep.gateway.ky.gov/eforms> via the “Engineering Section Electronic Submittal Form”. Submittals via email will no longer be accepted. To submit an application, follow the steps below.

## Creating an Account on the EEC eForms website

1. Navigate your chosen web browser to <https://dep.gateway.ky.gov/eforms>.
2. Click on the “Please Sign in” button located at the top right of the home page and click “Register”.



3. Fill out the New User Registration and Click “Register” at the bottom of the page and follow provided instructions to complete registration.

New User Registration

First Name :

Middle Initial :

Last Name :

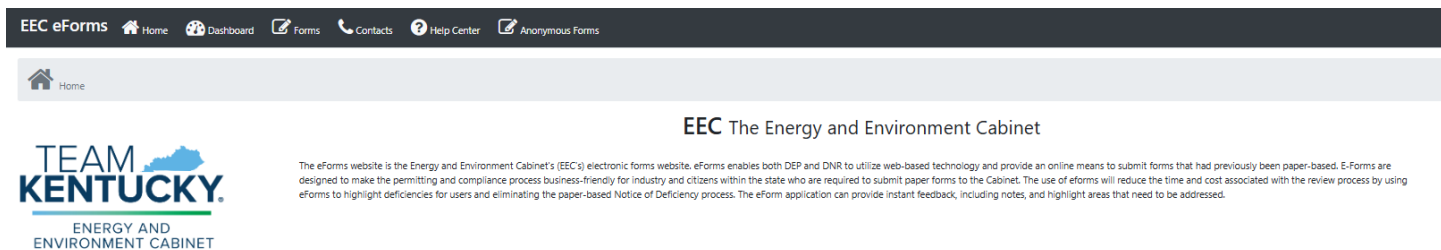
Email :

Password :

Confirm password :

## Navigating to the Engineering Section Electronic Submittal Form

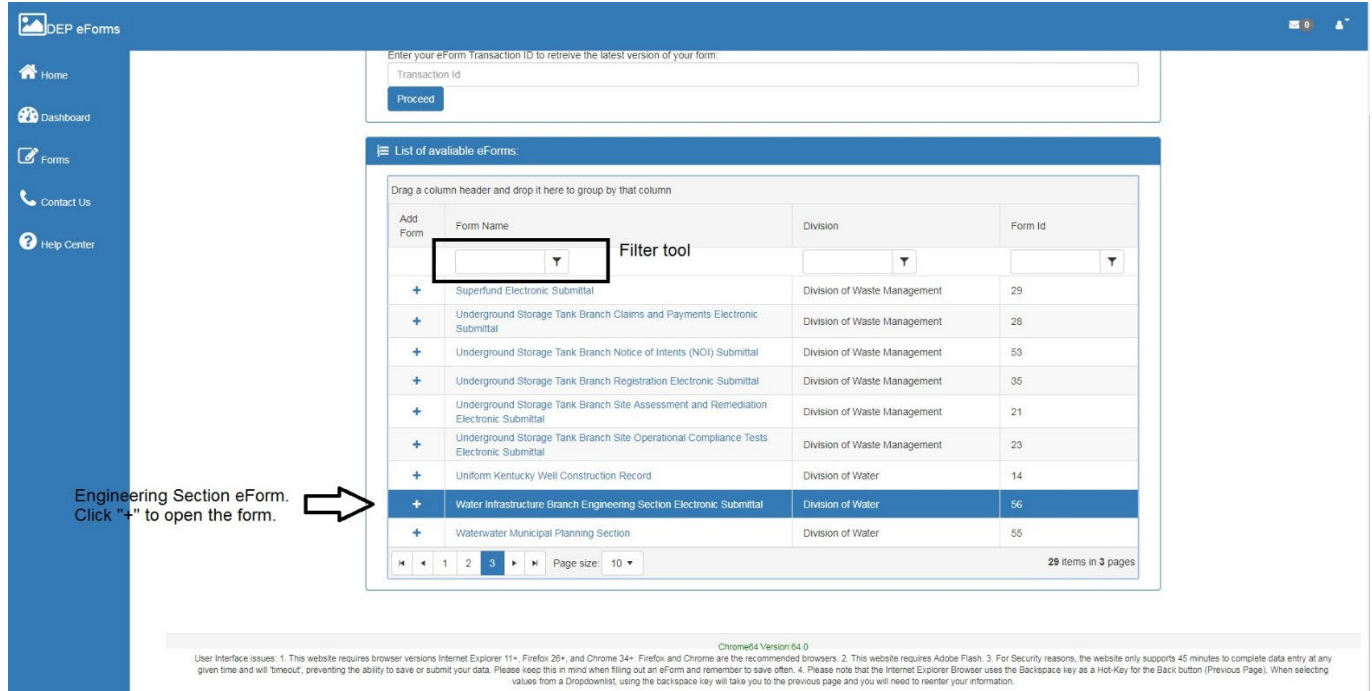
1. Sign in to your account by Clicking “Please Sign in” at the top right of the <https://dep.gateway.ky.gov/eforms> webpage and click “Sign in”.
2. Enter your account’s email address and password and click “Log In”.
3. After signing in, you will be placed into the EEC eForms Home Page.
4. The available eForms can be found by clicking “Forms” on the header.



## Open and Submit an Engineering Section eForm

1. Click on the “Form” button of the header to open available eForms.

- Navigate to and open the “Water Infrastructure Branch Engineering Section Electronic Submittal” form. This will have Form ID 56 as pictured below.



- Completely fill out the newly opened eForm. Instructions are provided by clicking the “Click here for instructions” link at the top of the form. Any field with an asterisk is a required field.

Division of Water  
Water Infrastructure Branch  
Engineering Section  
Electronic Submittal

Use this form for application submittals to the Engineering Section

(\*) indicates a required field. Some fields may be required based on user input. Some fields are optionally required fields. [Click here for instructions.](#)

Agency/Site Information		
Agency Interest ID: Agency Interest ID	County: (*)	
Name of Project: (*) Name of Project	Project Address: (*) Project Location	
Project City: (*) Project City	Project State: (*) Kentucky	Zip Code: (*) Zip
Type of Project: (*) Cleanwater - Collection	Submittal Type: (*) New Application	
Applicant/Entity Paying for Construction		
Contact First Name: (*) First Name	Last Name: (*) Contact Last Name	
Company/Affiliation: (*) Company/Affiliation	Address: (*) Number and Street	
City: (*) City	State: (*) Kentucky	Zip Code: (*) zip
eMail Address: (*) e-Mail	Phone Number: (*) ###-###-####	
Utility Information		
Contact First Name: (*) First Name	Last Name: (*) Contact Last Name	

- Fees – In the fees drop down box select the appropriate fee for the project being submitted. For projects that do not require a fee, no fee required is an option. Fees should not be mailed separate from the eForm.
- To attach documents such as the application, plans, hydraulics, etc select “Upload file” next to the relevant field. Only one application may be submitted however other fields can have up to 3 documents uploaded with the exception of “Other File(s)” which allows up to 10. Name the file appropriately to correspond to the type of file

being submitted. Once the form is complete and files attached select “Continue to Pre-Payment” if a fee is required or “Continue” for projects that do not require a fee. **\*NOTE\* If an eForm is saved to be completed and submitted in the future, the eForm WILL NOT save any attachments added. These will need to be reuploaded prior to submitting the eForm.**

Company/Resubmission: \_\_\_\_\_ Number and Street: \_\_\_\_\_

City (\*): \_\_\_\_\_ State (\*): Kentucky Zip Code (\*): \_\_\_\_\_  
 City: \_\_\_\_\_ Zip: \_\_\_\_\_

eMail Address (\*): \_\_\_\_\_ Phone Number (\*): \_\_\_\_\_  
 e-Mail: \_\_\_\_\_ ###-###-####

Submittal of Application By

Contact First Name (\*): \_\_\_\_\_ Last Name (\*): \_\_\_\_\_  
 First Name: \_\_\_\_\_ Contact Last Name: \_\_\_\_\_

Company/Affiliation (\*): \_\_\_\_\_ Phone Number (\*): \_\_\_\_\_ eMail Address (\*): \_\_\_\_\_  
 Company/Affiliation: \_\_\_\_\_ ###-###-#### e-Mail: \_\_\_\_\_

Fees

Fee Type (\*): \_\_\_\_\_ Complete Treatment - \$800 **← Select appropriate fee with this drop-down box.**

Attachments

Application (*)	Upload file	Upload attachments here. File names should not exceed 65 characters in length.
Utility/Owner Letter:	Upload file	
Location Map:	Upload file	
Plans:	Upload file	
Specifications:	Upload file	
Hydraulics:	Upload file	
Plans and Specs Checklist (SRF Projects):	Upload file	
Other File(s):	Upload file	

[Click to Save Values for Future Retrieval](#) [Continue to Pre-Payment](#) **← Click "Continue..." to proceed with the eForm. To save the eForm to continue later without the attachments, click the Save button.**

- Payment – If a fee is required with the submittal, clicking continue will bring up a pre-payment screen identifying the amount due. Click “Continue to Payment” to bring up payment options and follow the instructions from there.



Kentucky Department for Environmental Protection

Cart Item(s):

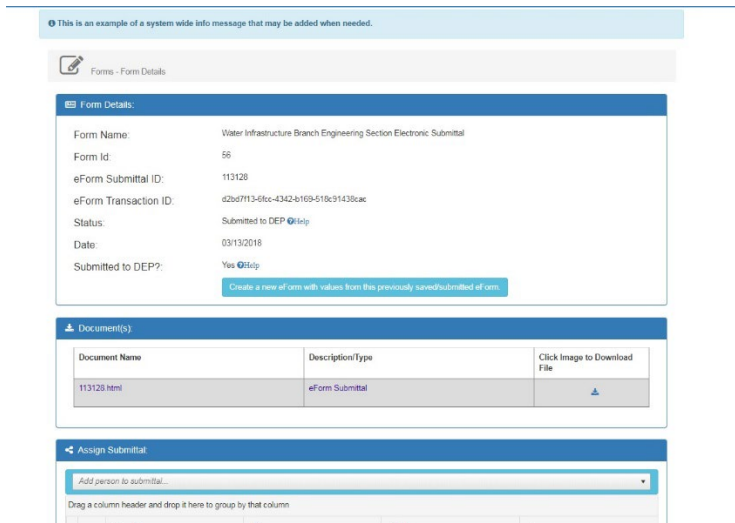
Item Name	Item Description	Status	Type/Model	Amount
DOW WIB Eng. Fee	DOW WIB Eng. Fee	N/A		\$200.00

The Submittal ID for this transaction is 113171 and was submitted on March 13, 2018 02:17 PM Eastern Time. A copy of the eForm is located in the list of documents below. If you need to contact DEP, please reference your submittal ID.

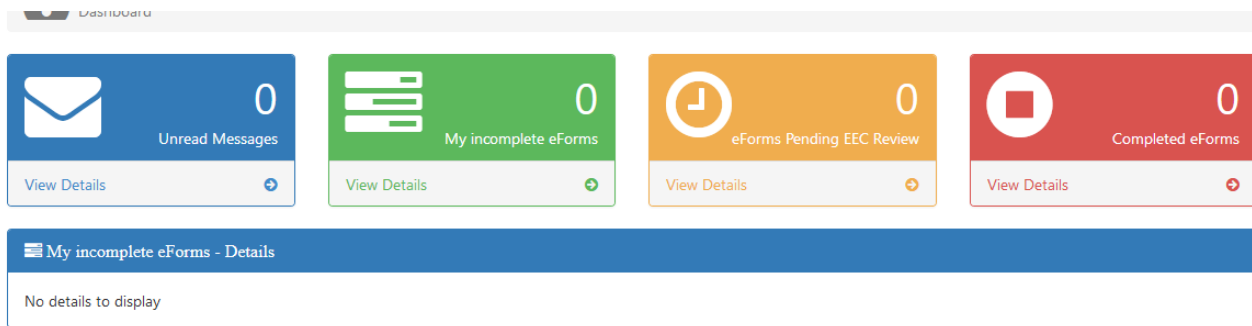
**PLEASE NOTE: Your eForm is NOT COMPLETE WITHOUT PAYMENT! Payment is required before the Department for Environmental Protection will process your submittal. If you close the browser prior to a successful payment, you may return to the eForms page and use the eForms Transaction ID (ba6a31a5-587f-48dd-be9e-7e04eda60131) to complete payment.**

[Continue to Payment](#) **← Click here to continue.**

- Once the fee has been paid, or “Continue” was selected for projects without a fee being applicable, the project has been submitted to DOW for processing. Below is an example of the resulting page with a project submitted that did not require a fee.



- Once submitted, your application will move to the “eForms Pending EEC Review” tab of the Dashboard which indicates it has been submitted, but DOW has not yet accepted (i.e. moved it from the eForms page to our system).



- Once accepted by DOW, the application will move into the “Completed eForms” tab. This does not signify approval of your application, only that DOW has received it so that a reviewer may be assigned.

### **Notices of Deficiency (NODs)**

- When a notice of deficiency is issued through the eForm an email will be sent to the contacts on the eForm with instructions to continue. To respond, navigate to the Dashboard and select “My incomplete eForms”.
- An incomplete eForm will be listed with the Status of “Under Review by Submitter”. Select the Submittal ID to open this eForm. **Do NOT attempt to respond to an NOD by creating a new eForm.** This would cause the NOD response to be submitted as a new project and create delays in processing the application.

EEC eForms

Home

Dashboard

Forms

Contact Us

Help Center

This is an example of a system wide info message that may be added when needed.

Dashboard

219 Unread Messages

23 My incomplete eForms

6 of eForms Pending EEC Review

224 Completed eForms

My (incomplete) eForms - Details

Drag a column header and drop it here to group by that column

Submittal Id	Form Name	Date	Status
113171	Water Infrastructure Branch Engineering Section Electronic Submittal	3-13-2018	Waiting on Payment
113207	Water Infrastructure Branch Engineering Section Electronic Submittal	2-13-2018	Under Review by Submitter
112568	Water Infrastructure Branch Engineering Section Electronic Submittal	11-14-2017	Waiting on Payment
112804	Underground Storage Tank Branch Site Operational Compliance Tests Electronic Submittal	10-18-2017	eForm created but never saved by user
112086	Underground Storage Tank Branch Site Operational Compliance Tests Electronic Submittal	10-03-2017	User Saved
111961	Underground Storage Tank Branch Site Operational Compliance Tests Electronic Submittal	9-29-2017	User Saved
105681	Underground Storage Tank Branch Site Operational Compliance Tests Electronic Submittal	6-29-2017	eForm created but never saved by user
105671	Underground Storage Tank Branch Site Operational Compliance Tests Electronic Submittal	6-29-2017	eForm created but never saved by user
105509	Underground Storage Tank Branch Site Operational Compliance Tests Electronic Submittal	6-26-2017	eForm created but never saved by user
105357	Underground Storage Tank Branch Site Operational Compliance Tests Electronic Submittal	6-22-2017	User Saved

Page size: 10

23 items in 3 pages

eForm with an outstanding Notice of Deficiency

- In the Form Details Box select "Continue with this eForm".

Form Details:

Form Name: Water Infrastructure Branch Engineering Section Electronic Submittal

Form Id: 56

eForm Submittal ID: 113171

eForm Transaction ID: ba6a31a5-587f-48dd-be9e-7e04eda60131

Status: Waiting on Payment [Help](#)

Date: 03/13/2018

Submitted to DEP?: No [Help](#)

[Continue with this eForm](#)

[Create a new eForm with values from this previously saved/submitted eForm.](#)

- In the eForm, comments will be provided in the EEC Reviewer Comment section. Any changes made to the form by the DEP Reviewer will be outlined in blue. Written responses can be added to the "Applicant Comment" portion of the eForm.

Division of Water  
Water Infrastructure Branch  
Engineering Section  
Electronic Submittal

Use this form for application submittals to the Engineering Section  
(\* indicates a required field, (-) indicates a field may be required based on user input or is an optionally required field  
Click here for instructions.

Agency/Site Information		
Agency Interest ID: 1390	County (*): Franklin	
Name of Project (*): Engineering Test Form 5	Project Address (*): Kentucky	
Project City (*): Frankfort	Project State (*): Kentucky	Zip Code (*): 40601
Type of Project (*): Drinking Water - Distribution	Submittal Type (*): New Application	
Agency/Site Comments:		
Applicant Comment: <div style="border: 1px solid gray; padding: 5px;">← Respond to comments in this section or make corrections to the form as necessary.</div>		
EEC Reviewer Comment: <div style="border: 1px solid gray; padding: 5px;">← DEP Comments</div>		
Applicant/Entity Paying for Construction		
Contact First Name (*): Applicant_First	Last Name (*): Applicant_Last	
Company/Affiliation (*): Frankfort Plant Board	Address (*): 100 Test St	
City (*): Frankfort	State (*): Kentucky	Zip Code (*): 40601
eMail Address (*): email@email.com	Phone Number (*): 555-555-5555	
Applicant/Entity Pay for Construction Comments		
Applicant Comment:		

- Additional attachments can be added as necessary to respond to the NOD (e.g. for revised plans). When the NOD response is complete, select “Submit to EEC” and the NOD response will be sent directly back to the appropriate DEP staff to continue the review.

Contact First Name (*): Consultant_First	Last Name (*): Consultant_Last	
Company/Affiliation (*): Frankfort	Phone Number (*): 555-555-5556	eMail Address (*): terry.humphries@ky.gov
Submittal of Application By Comments:		
Applicant Comment:		
EEC Reviewer Comment:		
Fees		
Fee Type (*): No Fee Required		
Attachments		
Application (*):	Upload file	Add new attachments if necessary.
Utility/Owner Letter:	Upload file	
Location Map:	Upload file	
Plans:	Upload file	
Specifications:	Upload file	
Hydraulics:	Upload file	
Plans and Specs Checklist (SRF Projects):	Upload file	
Other File(s):	Upload file	
Comments:		
Applicant Comment:		
EEC Reviewer Comment:		
<a href="#">Click to Save Values for Future Retrieval</a> <a href="#">Click to Submit to EEC</a> <span style="margin-left: 20px;">← Click here to submit the NOD response.</span>		

**Plans and specifications requirements**

Plans shall be submitted as a single PDF document. Multiple PDFs for plans may be submitted where multiple contracts are proposed. Specifications shall be submitted as a searchable PDF.

Plans and specifications submitted electronically must be signed, stamped and dated by a professional engineer licensed in Kentucky. Engineering signatures shall meet the requirements of 201 KAR 18:104 Section 3 (link: <https://apps.legislature.ky.gov/law/kar/201/018/104.pdf>) This section states:

A digital signature shall be permitted in place of an original seal, signature, and date if:

- (1) The digital signature is a unique identification of the licensee;
- (2) The digital signature is verifiable;
- (3) The digital signature is under the licensee's direct and exclusive control;
- (4) The digital signature is linked to the electronic document in a manner that causes changes to be easily determined and visually displayed if any data in the electronic document file is changed subsequent to the digital signature having been affixed to the electronic document;
- (5) An attempt to change the electronic document after the digital signature is affixed shall cause the digital signature to be removed or altered significantly enough to invalidate the digital signature; and
- (6) In the case of an electronic document to be electronically transmitted, the electronic document is converted to a read-only format.

A scanned image of a stamp with signature does not meet the above requirements.

### **Setting up a Digital Signature**

A digital signature meeting the requirements of 201 KAR 18:104 may be obtained via the engineers own choice. One option available is by setting up a Certificate based signature through Adobe, which can be done through the Reader version. To set up a Certificate based Signature through Adobe, follow the instruction provided at the following link: <https://helpx.adobe.com/acrobat/using/certificate-based-signatures.html>. This is not an endorsement of the Adobe software for digital signature purposes, just meant to provide an example.

### **FAQs**

Q. What applications can be submitted on the "Water Infrastructure Branch Electronic Submittal Form"?

A. Drinking Water forms DW-1, DW-2 and DW-3 and cleanwater forms S-1 and W-1 may be submitted using the form. If a project already has an approval, is funded via SRF, and needs an authorization to bid, the SRF Plans and Specs Checklist may also be submitted via this form.

Q. Can someone other than me pay the review fee?

A. Yes, but the person paying must have a KOG account also. To allow someone other than the submitter pay the fee, submit the eForm to DOW and when asked for fee information back out of the form. This form will now be located on the "My Incomplete eForms" tab. Navigate to the form then under the "Assign Submittal" box, locate the person who will be paying the fee. Add them and they will have access to the eForm. The eForm will now appear on their account so that they may continue and add payment information.

Q. Can I submit the review fee separate from the eForm?

A. In general, no. If a fee is required, the fee should be paid as part of the submittal.

Q. I selected the wrong eForm or no longer need a specific incomplete eForm, can I delete?

A. At this time, there is no way to delete incomplete eForms that are not needed.

Q. Is an image of my signature on the plans acceptable?

A. No. Digital signatures must meet the requirements of 201 KAR 18:104. An image of a signature does not meet minimum requirements.

Q. I have a project that needs two applications (e.g. sewer and water), can I submit them on a single eForm?

A. No. If a project requires multiple applications, they should be submitted via separate eForms.

Q. I submit multiple applications for the same entity throughout the year, can I save eForm information so that I don't need to re-enter it every time?

A. Yes and No. When an eForm is created and saved, you can go into the saved eForm and click the "Create a new eForm with values from this previously saved/submitted eForm." This will carry over all information from the

previous eForm, except for attachments, into a new eForm that can then be edited. It will be up to the form creator to know which Submittal ID/eForm goes with which set of information, however.

- Q. I previously applied via mail and received a Notice of Deficiency. Can I submit the response via eForm?
- A. At this time, no, the eForm is not currently set up for those purposes. You may still submit any requested information electronically to the reviewer either through eMail or other electronic means (e.g. Dropbox, OneDrive, etc). Revised plans will still need to include a digital signature if submitted electronically and should include ALL pages as a single PDF file (even if the page wasn't revised).