



Remediation and Redevelopment Program **September 2017**

Guidance for Submitting Documents to the Remediation and Redevelopment Program

Purpose

The purpose of this guidance is to outline the appropriate format and procedures for submitting documents to the Remediation and Redevelopment Program. Wis. Admin. Code § NR 700.11(3g), and other specific provisions within Wis. Admin. Code ch. NR 700, outline the requirements for submittals, including electronic submittals. Consultants and representatives of responsible parties are required to submit one paper copy and one electronic copy of all submittals, including case closure documents. **The electronic version should be an exact duplicate of the paper version.**

Submittal Method

Paper copies should be sent to the applicable regional office. The DNR encourages submitting electronic documents via email attachment or upload to the RR Program’s FTP site, instead of CD/DVD submittal. Below is a basic breakdown of the preferred methods for submitting electronic documents.

If you are unsure as to which region documents should be submitted, review the [DNR regional map](#) or contact your project manager.

1. Under 12 megabytes – Email to DNR regional mailbox (and DNR project manager, if applicable)

- a. The RR Program recommends the following guidelines be used for email submittals, in order to assist staff in identification and timely review of documents. See Attachment A for Document Title Conventions Please zip submittals with multiple documents. Documents contained in the zip file should also use the file naming conventions in the table below..

	Open Sites	New Submittals
To	Regional mailbox and DNR Project Manager	Regional mailbox
Subject Line	BRRTS#_ActivityName <i>ex. 0233444444_SmithGarage</i>	ActivityName <i>ex. SmithGarage</i>
Email Body	Explain: the type of submittal attached, if fee was sent (if applicable), if paper copy has been sent	
Naming convention for attached files	BRRTS#_DocumentType <i>ex. 0233444444_SIRreport</i>	ActivityName_DocumentType <i>ex. SmithGarage_Phase I</i>

Regional Emails

- Northeast Region DNRRRNER@wisconsin.gov
- Northern Region DNRRRNOR@wisconsin.gov
- South Central Region DNRRRSCR@wisconsin.gov
- Southeast Region DNRRRSEER@wisconsin.gov
- West Central Region DNRRRWCR@wisconsin.gov

2. Over 12 megabytes – Upload to FTP site and send email notification

For assistance with the FTP site, please contact Sonya Rowe, (608) 261-4934, sonya.rowe@wisconsin.gov.

- a. Please zip submittals with multiple documents and upload to the FTP site. Documents within the zip file should use the naming conventions in the table on the previous page.
- b. After uploading a document to the FTP site, please email the regional mailbox with the following information in the email body content:
 - The type of submittal with proper title (see Attachment A Document Title Conventions) that was uploaded to the FTP site, the name of the file, if a fee was sent (if applicable), and to whom the paper copy was sent.
- c. To upload documents to the regional folder on the FTP site:
 1. Open the following link in your browser: <https://ftp.wi.gov/submittals/>
 2. You will be asked for a user name and password -
 - a. Enter user name: **dnr-rraccess**
 - b. Enter any password you want (**Note:** You cannot leave the password blank)
 3. Navigate to the appropriate regional folder -
 - a. <dir> NER (Northeast Region)
 - b. <dir> NOR (Northern Region)
 - c. <dir> SCR (South Central Region)
 - d. <dir> SER (Southeast Region)
 - e. <dir> WCR (West Central Region)
 4. Use the upload tool to load files to the FTP site.

Note: You cannot delete files from the FTP site or create folders.

General Notes on Submittals

Notification of Discharge – Consultants are encouraged to use the [Notification for Hazardous Substance Discharge \(Non-Emergency Only\) Form 4400-225](#) for historic discharges.

Fee Forms – Consultants are encouraged to send the appropriate [fee form \(see Fees tab\)](#), signed and scanned, electronically to the regional email box or FTP site, depending on size. **If the form is sent electronically, include a copy of the first page of the form with the mailed check.** Fees paid by check should be sent to the appropriate [regional environmental program associate](#).

Note: The regional mailboxes are only used for submittals. Any site-specific or follow-up questions should be directed to the appropriate DNR project manager.

Organization and General Instructions for Documents

1. Titles for typical reports and submittals required under Wis. Admin. Code ch. NR 700 are found in Attachment A.

2. The electronic submittal, including the sections and attachments/appendices in individual reports, should be assembled in the same order and format as the paper submittal, including case closure submittals, as specified in the Case Closure form ([4400-202](#)).
 - a. For case closure requests, the zipped folder should be organized and the contents clearly labeled so that there are individual file folders labeled:
 - Case Closure form; and
 - Seven separate file folders for each of the required attachments (e.g., Attachments A through G).
 - b. The eight file folders should include the required PDF attachments for each of those sections of the Case Closure form, along with each PDF clearly labeled with the DNR-specified title (e.g., A.1. Groundwater Analytical Tables), and organized within the file folder (e.g., Attachment A: Data Tables) in the order specified in the Case Closure form ([4400-202](#)).
 - c. **A single PDF of the entire closure packet (form and attachments) should also be included in the zip file.**
 - d. Professional certifications required per Wis. Admin. Code ch. NR 712 must be included.
 - e. An example of an acceptable closure submittal can be found at: dnr.wi.gov/topic/brownfields/documents/directory.pdf
3. Include a cover letter with reports submitted under Wis. Admin. Code ch. NR 700 that clearly lists the BRRTS/FID number; describes the title and type of submittal; and what action, if any, is requested from the RR Program.
4. Prepare visual aids, including maps, plans, drawings, fence diagrams, tables, and photographs according to the applicable portions of Wis. Admin. Code chs. NR 716 through 726.
5. Use bold and italics font on information of importance on tables and figures. Use bold font for Wis. Admin. Code ch. NR 140 groundwater enforcement standard (ES) attainments or exceedances, and italicized font for Wis. Admin. Code ch. NR 140 groundwater preventive action limit (PAL) standard attainments or exceedances.
6. Do not use shading or highlighting on the tables, figures, maps, or other documents.
7. Include the level of detection on data tables for results which are below the detection level (i.e. do not just list as no detect (ND)). Include the units on data tables. Units should be consistent with the applicable standards. Include all sample locations. Contour lines should be clearly labeled and defined.
8. Summaries of all data must include information collected by previous consultants.
9. Do not submit lab data sheets unless these have not been submitted in a previous report. Include these as a separate PDF from the narrative summary. Tabulate all data required in Wis. Admin. Code § NR 716.15(3)(c), in the format required in Wis. Admin. Code § NR 716.15(4)(e).
10. If any map or figure is not relevant to the case closure request, you must fully explain the reason(s) why and attach that explanation (properly labeled with the map/figure title).

- 11.** Provide one paper copy no larger than 11x17 inches, unless otherwise directed by the department. Maps and figures may be submitted in a larger electronic size than 11x17 inches, in a PDF readable by Adobe Acrobat Reader. However, larger-size documents must be legible when printed.

Electronic File Format

- 1.** The consultant or representative should prepare electronic PDF files for submittal. Except as outlined below for sampling results when requested, the various elements should be created in or converted to the portable document format (PDF), readable by Adobe Acrobat Reader.
- 2.** Save DNR forms using Adobe Acrobat software. This is especially important if the form will need to be edited before submittal to the DNR. Adobe Acrobat Reader can be downloaded for free at <https://get.adobe.com/reader/>.
- 3.** Electronic files shall have a minimum resolution of 300 dots per inch (dpi) to ensure legibility without creating excessive file size.
- 4.** Report submittals should not be any larger than 250 mb in size. Please split submittals into 250 mb or less files and label accordingly.
- 5.** All documents are to be legible. Providing illegible information will result in a submittal being considered incomplete until corrected.
- 6.** **Electronic files may not be locked or password protected.** This means the files can't require a password to open or edit. However, files can use a feature that makes them read only or "protected" to prevent inadvertent editing, as long as the feature can be turned off without a password.
- 7.** It is recommended that documents such as lab reports, chain of custody documents, boring logs, etc., that are received as hard copy by the consultant be scanned as PDF files. To minimize file size, PDF files should be prepared by converting directly from the original electronic versions or with black and white scans.
- 8.** When submitting site investigations under Wis. Admin. Code ch. NR 716 and O&M reports under Wis. Admin. Code ch. NR 724, it is recommended that lab data be submitted as one separate PDF, and the narrative and data summary (figures, tables, etc.) be submitted as a second separate PDF. If copies of the Phase I and II environmental site assessments are included in the Wis. Admin. Code ch. NR 716 documents, these should also be submitted as separate PDFs. Any supplemental site investigation documents should be identified as such in the file name (ex. 0233444444_SuppSIReport).
- 9.** The department may request that the electronic copy of sampling results be submitted in a format that can be managed in software. Examples of formats that can be managed in software are spreadsheets, plain text tabular files, hypertext markup language files (HTML) and extensible markup language files (XML).
- 10.** Voluminous attachments or appendices (e.g., lab QA) may be submitted by electronic format only, if specifically approved in advance by the department.
- 11.** All documents shall be digital format versions rather than scanned versions except documents that are only available as scanned versions. Deeds and legal descriptions may be scanned versions.

Other Considerations

1. Backing up the files is essential. As a provider of documents under Wis. Admin. Code ch. NR 700, the consultant or representative is responsible for keeping a backup copy.
2. All files should be scanned to ensure they are free of viruses. The consultant's or representative's anti-virus software should be kept up-to-date.
3. If the submitted electronic file can't be read (illegible), opened, or is corrupted and unusable, then the consultant or representative will be notified and a new electronic copy is to be provided.

Contact Information

This guidance will be updated as needed. Comments on this guidance may be sent to: Jenna Soyer, (608) 267-2465, jenna.soyer@wisconsin.gov.

Assistance with uploading documents to the FTP site should be directed to the DNR [regional environmental program associate](#) or Sonya Rowe, (608) 261-4934, sonya.rowe@wisconsin.gov.

Site specific questions and follow-up should be directed to the regional DNR project manager.

This document is intended solely as guidance and does not contain any mandatory requirements except where requirements found in statute or administrative rule are referenced. This guidance does not establish or affect legal rights or obligations and is not finally determinative of any of the issues addressed. This guidance does not create any rights enforceable by any party in litigation with the State of Wisconsin or the Department of Natural Resources. Any regulatory decisions made by the Department of Natural Resources in any matter addressed by this guidance will be made by applying the governing statutes and administrative rules to the relevant facts.

The Wisconsin Department of Natural Resources provides equal opportunity in its employment, programs, services, and functions under an Affirmative Action Plan. If you have any questions, please write to Chief, Public Civil Rights, Office of Civil Rights, U.S. Department of the Interior, 1849 C. Street, NW, Washington, D.C. 20240.

This publication is available in alternative format (large print, Braille, etc.) upon request. Please call for more information. Note: If you need technical assistance or more information, call the Accessibility Coordinator at 608-267-7490 / TTY Access via relay - 711

Attachment A – Document Title Naming Conventions

Document Title Naming Convention	NR 700 Reference
Phase I Environmental Site Assessment	NR 750.03(2m)
Phase II Environmental Site Assessment	NR 750.03(2m)
Interim Action Report	NR 708.11(4)
Free Product Removal Report	NR 708.13
Site Investigation Work Plan	NR 716
Site Investigation Report	NR 716
Soil Management Plan	NR 718
Soil Management Exemption Request	NR 718
Site-Specific Soil Cleanup Standards	NR 720.10, NR 720.12
Determination of Soil Performance Standards	NR 720.08
Remedial Action Options Report	NR 722
Infiltration/Injection Request for GW Treatment	NR 140.28(5) and 812.05
Historic Fill Exemption Request	NR 506.085
Remedial Action Design report	NR 724
Operation & Maintenance Report	NR 724
Construction Documentation report	NR 724
Long Term Monitoring Plan	N/A
Closure Request	NR 726
Post-Closure Modification Request	NR 727