

Guidance for Electronic Submittals for the Remediation and Redevelopment Program

October 2013

RR-690

PURPOSE

The purpose of this guidance is to outline the appropriate format and procedures for electronic submittals.

SUBMITTALS

Section NR 700.11(3g) outlines 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 the case closure documents for inclusion in the GIS Registry.

FILE FORMAT and MEDIA:

1. The consultant or representative should prepare electronic 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. Documents such as lab reports, chain of custody documents, boring logs, etc., that are received as hard copy by the consultant can be scanned and then placed into the pdf documents. To minimize file size, pdf files should be prepared by converting directly from the original electronic versions or with black and white scans. Every effort should be made to minimize the file size of converted and scanned documents while meeting the minimum required resolution (point 8 below). This can be done using scanning software settings and using software such as Adobe Acrobat Pro. Individual pages should not be larger than 2 megabytes, if possible.
3. The submittal, including the sections and attachments/appendices in individual reports, should be assembled in the same order and format as the paper versions, including case closure/GIS submittals, as specified in the Case Closure-GIS form, RR 4400-202.
4. All documents are to be legible. Providing illegible information will result in a submittal being considered incomplete until corrected.
5. Due to file size and storage issues, the DNR cannot accept the information via electronic mail as a general rule. Submittal on a CD-ROM or DVD is required; however approval to submit information via electronic mail or on a USB flash or hard drive may be requested on a case-by-case basis.

Note: Limit electronic mail message attachment size to just under 10 mb or less per individual message.

Note: Optical media burning software should be set to finalize/close the session when writing the files.

Rewritable optical media is not recommended since it can be erased.



6. Electronic media submitted should be labeled with the following information at minimum:
 - Date Submitted
 - Type of Submittal
 - Site Name
 - BRRTS #
 - FID # (if applicable)
7. Each required form, document, map, table, figure, etc., should be a separate pdf.
8. Electronic files must have a minimum resolution of 300 dots per inch (dpi) to ensure legibility without creating excessive file size.
9. 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 utilize 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.
10. 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).
11. An electronic copy of certain types of voluminous attachments or appendices (e.g., lab QA) may be substituted for the paper copy, if specifically approved in advance by the department.
12. 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. All information submitted shall be legible.
13. For case closure requests, the CD or DVD should be organized and the contents clearly labeled so that there is an individual file folder labeled:
 - (1) the Case Closure- GIS form (the "Form"), and
 - (2) seven separate file folders for each of the required Attachments (e.g., Attachments A through G).The eight file folders should include the required pdf attachments for each of those sections of the 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-GIS form, RR 4400-202.

Note: An example of an acceptable closure submittal can be found at:
dnr.wi.gov/topic/brownfields/documents/directory.pdf

FORMAT, ORGANIZATION and GENERAL INSTRUCTIONS FOR DOCUMENTS:

1. Prepare visual aids, including maps, plans, drawings, fence diagrams, tables and photographs according to the applicable portions of chapters NR 716 through 726, Wis. Admin. Code.

2. Use bold and italics font on information of importance on tables and figures. Use **bold font** for ch. NR 140, Wis. Admin. Code, groundwater enforcement standard (ES) attainments or exceedances, and *italicized font* for ch. NR 140, Wis. Admin. Code, groundwater preventive action limit (PAL) standard attainments or exceedances.
3. Do not use shading or highlighting on the tables, figures, maps or other documents.
4. 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.
5. Summaries of all data must include information collected by previous consultants.
6. Do not submit lab data sheets unless these have not been submitted in a previous report. Tabulate all data required in s. NR 716.15(3)(c), Wis. Admin. Code, in the format required in s. NR 716.15(4)(e), Wis. Admin. Code.
7. 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).
8. Provide one paper copy no larger than 11 x 17 inches, unless otherwise directed by the Department. Maps and figures may be submitted in a larger electronic size than 11x17 inches, in a portable document format (pdf) readable by the Adobe Acrobat Reader. However, larger-size documents must be legible when printed.

OTHER CONSIDERATIONS

Any consultant or representative who submits information electronically should address the following:

- Backing up files you create is essential. As a provider of documents under NR 700, the consultant or representative is responsible for keeping a backup copy.
- All files, CD-ROMs, DVDs and USB drives should be scanned to ensure they are free of viruses. To insure there is not a problem, the consultant's or representative's anti-virus software should be kept up-to-date.
- If the submitted file is too large, can't be read (illegible), opened or is corrupted and unusable, then the consultant or representative will be notified and a new electronic copy should be provided.

CONTACT INFORMATION

This guidance will be updated as needed. Comments may be sent to:
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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.

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This publication is available in alternative format upon request. Please call 608-267-3543 for more information.