



## Guidance for Submitting Documents

The purpose of this document is to outline the appropriate format and procedures for submitting documents to the Remediation and Redevelopment (RR) 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 submittals, including case closure documents. **The electronic version must be an exact duplicate of the paper version.**

### Submittal Method

- ✓ **Paper copies should be sent to the applicable regional office.** If you are unsure of which regional office to submit your documents, refer to the DNR Region Map found at [dnr.wisconsin.gov/sites/default/files/topic/Brownfields/rr/regionmap.pdf](http://dnr.wisconsin.gov/sites/default/files/topic/Brownfields/rr/regionmap.pdf) or contact your project manager.

Region	To	Address
Northeast Region	Assigned Project Manager	Contact Project Manager
Northern Region	Assigned Project Manager	Contact Project Manager
South Central Region	Attn: Wendy Weihemuller, Environmental Prog. Associate	3911 Fish Hatchery Road Fitchburg, WI 53711
Southeast Region	Attn: Jennifer Dorman, Environmental Prog. Associate	1027 W. St. Paul Avenue Milwaukee, WI 53233
West Central Region	Assigned Project Manager	Contact Project Manager

- **Staff Directory** - [dnr.wi.gov/staffdir/newsearch/contactsearchext.aspx](http://dnr.wi.gov/staffdir/newsearch/contactsearchext.aspx)
  - **RR Contact List** - [dnr.wisconsin.gov/sites/default/files/topic/Brownfields/rr/rrphone.pdf](http://dnr.wisconsin.gov/sites/default/files/topic/Brownfields/rr/rrphone.pdf)
- ✓ **Electronic submittals** - the DNR strongly encourages submitting electronic documents via the RR Program Submittal Portal instead of CD/DVD or email. Please submit documents as a single PDF or Excel file (only upon request), except Case Closure Requests – instructions can be found on page 2. **Electronic submittals may not be “locked” or password protected per Wis. Admin. Code § NR 700.11(3g).**

### Instructions for using the Document Uploader

1. Go to the RR Submittal Portal web page and follow the instructions listed: [dnr.wisconsin.gov/topic/Brownfields/Submittal.html](http://dnr.wisconsin.gov/topic/Brownfields/Submittal.html).
2. If you have a Web Access Management System (WAMS) account – click the Submit button to launch the RR Program Submittal Portal application and log in.
  - a. If you do not have a WAMS account, see the directions for getting a WAMS account at [dnr.wisconsin.gov/sites/default/files/topic/Brownfields/rr/WAMSDirections.pdf](http://dnr.wisconsin.gov/sites/default/files/topic/Brownfields/rr/WAMSDirections.pdf).
  - b. Once you have a WAMS User ID and Password, follow the steps above to log in.
3. Click **DNR RR forms** in the upper right.
4. Click “Start” in the **Document Uploader** box.
5. Complete the Document Uploader form, attach documents and submit.

- **FIRST-TIME USERS:** Complete the required portal access request form to receive an email granting you access to the portal. Allow one business day for the access email from time of submission.
- If you do not receive portal access approval within one business day, please contact Danielle Wincentzen for assistance at [Danielle.Wincentzen@wisconsin.gov](mailto:Danielle.Wincentzen@wisconsin.gov).
- Partially completed forms can be saved and finished later. Find saved forms using the “In Progress” link.

A few things to note about the **Document Uploader**:

- Up to three PDF or Excel files can be uploaded per submittal, with the exception of the Case Closure Request.
- If a file is larger than 250 MB, it will need to be split into more than one file.
- If you are submitting a Case Closure Request, only a .zip file can be uploaded.

For more information go to [dnr.wi.gov](http://dnr.wi.gov), search RR Submittal Portal.

### General Notes on Submittals

- For historic discharges, consultants should use the *Notification for Hazardous Substance Discharge Form – Non-Emergency Only* (Form 4400-225), an online form accessed through the RR Program Submittal Portal. Directions for using Form 4400-225 are available on the RR Program Submittal Portal web page at [dnr.wisconsin.gov/topic/Brownfields/Submittal.html](http://dnr.wisconsin.gov/topic/Brownfields/Submittal.html).
- Consultants are encouraged to submit the appropriate form found on the Fees tab at [dnr.wisconsin.gov/topic/Brownfields/Fees.html](http://dnr.wisconsin.gov/topic/Brownfields/Fees.html), signed and scanned, using the Document Uploader in the [RR Submittal Portal](#).
  - After submitting the electronic copy, mail a copy of the confirmation page with fee payment (checks only) to the appropriate regional environmental program associate. This information can be found on the confirmation page and on the EPA tab at [dnr.wisconsin.gov/topic/Brownfields/Contact.html](http://dnr.wisconsin.gov/topic/Brownfields/Contact.html).
    - **NOTE:** Please do not send the check to the project manager or to the DNR office in Madison, as this could delay processing your request.
- Any site-specific or follow-up questions should be directed to the assigned DNR project manager.
- 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.
- All files should be scanned for viruses before submitting. The consultant’s or representative’s anti-virus software should be kept up-to-date.
- If the submitted electronic file can’t be read (i.e., is illegible), opened, or is corrupted and unusable, the consultant or representative will be notified, and a new electronic copy is to be required.

### Case Closure Submittals

1. Case Closure requests should be submitted as a zipped folder (zip file). Within the zipped folder, the files should be organized, and the contents clearly labeled as follows:
  - a. Case Closure form ([dnr.wi.gov](http://dnr.wi.gov), search Case Closure form)

- b. Seven separate file folders labeled for each of the required attachments (e.g., Attachments A through G)
  - i. The 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 (dnr.wi.gov, search Case Closure form).
- c. **A single PDF of the entire closure packet (form and attachments) should also be included in the zip file.**

*An example of an acceptable closure submittal can be found at:  
[dnr.wisconsin.gov/sites/default/files/topic/Brownfields/rr/directory.pdf](http://dnr.wisconsin.gov/sites/default/files/topic/Brownfields/rr/directory.pdf)*

- 2. Professional submittal certifications required per Wis. Admin. Code § NR 712.09 must be included.
- 3. Summaries of all data must include information collected by previous consultants.
- 4. 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).
- 5. If any map or figure is not required but the submitter feels it is relevant to the case closure request, fully explain the reason(s) why it is included and attach that explanation (properly labeled with the map/figure title).
- 6. **When submitting revisions to a closure submittal as requested by the DNR project manager, the consultant need only submit the revised pages (both paper and electronic copies).** These revised pages should be initialed and dated by the consultant. It is recommended that revisions be submitted through the [RR Program Submittal Portal](#).

### **Electronic File Format**

- 1. Except as outlined below, submittals should be created in or converted to the portable document format (PDF), readable by Adobe Acrobat Reader. Adobe Acrobat Reader can be downloaded for free at <https://get.adobe.com/reader/>.
- 2. Save DNR forms as a PDF file. This is especially important if the form will need to be edited before submitting to the DNR.
- 3. Electronic files shall have a minimum resolution of 300 dots per inch (dpi) to ensure legibility without creating excessive file size as specified in Wis. Admin. Code § NR 700.11 (3g).
- 4. Report submittals should not be larger than 250 MB in size. Please split submittals larger than 250 MB into multiple files that are each 250 MB or less files and name accordingly.
- 5. All documents shall be digital format versions rather than scanned versions, except documents that require signature and are only available as scanned versions, according to Wis. Admin. Code § NR 700.11 (3g). Deeds and legal descriptions may be scanned versions.
- 6. Voluminous attachments or appendices (e.g., lab QA) may be submitted by electronic format only, if specifically approved in advance by the DNR.
- 7. **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.

8. 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.
9. The DNR may request that the electronic copy of sampling results be submitted in a different format such as spreadsheets, plain text tabular files, hypertext markup language files (HTML) and extensible markup language files (XML).
10. 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 (or Excel file, only upon request), and the narrative and data summary (figures, tables, etc.) be submitted as a second separate file. 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.

## **Document Formatting**

1. Titles for typical reports and submittals required under Wis. Admin. Code ch. NR 700 are found in Attachment A.
2. All documents are to be legible. Providing illegible information will result in a submittal being considered incomplete until corrected.
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 fonts 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. 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.

## **Contact Information**

This document is updated as needed. Comments may be sent to Sonya Rowe, (608) 261-4934, [sonya.rowe@wisconsin.gov](mailto:sonya.rowe@wisconsin.gov).

## 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)
Immediate Action Report	NR 708.05 (6) and NR 708.09
Interim Action Report	NR 708.15
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	NR 724
Closure Request	NR 726
Post-Closure Modification Request	NR 727

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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. 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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