



Remediation and Redevelopment Program

May 2018

Guidance for Submitting Documents

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 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. If you are unsure as to which region documents should be submitted, review the [DNR regional map](#) 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	2300 N Dr Martin L King Jr Dr Milwaukee, WI 53212
West Central Region	Assigned Project Manager	Contact Project Manager

Electronic submittals - the DNR highly encourages submitting electronic documents via email attachment or upload to the RR Program’s FTP site, instead of CD/DVD submittal. **Please submit documents as a single PDF (except closure packets – instructions can be found on beginning on page 2).** Below is a basic breakdown of the preferred methods for submitting electronic documents.

Under 12MB (12,000 kb)	Over 12 MB (12,000 kb)
Send to regional email box* AND cc: DNR project manager <u>Regional Email Boxes</u> Northeast DNRRRNER@wisconsin.gov Northern DNRRRNOR@wisconsin.gov South Central DNRRRSCR@wisconsin.gov Southeast DNRRRSER@wisconsin.gov West Central DNRRRWCR@wisconsin.gov	1. Upload to the DNR FTP site (see instructions on the next page) 2. Notify there is a document on the DNR FTP by sending an email to the regional email box* and cc: DNR project manager. The body of this notification email should include: a. The type of document uploaded to the DNR FTP site (see Attachment A for appropriate document names) b. The name** of the file uploaded c. If a fee was sent d. If a paper copy has been sent
* Subject line of all emails to regional email box: BRRTS# and Activity Name ** File should be named “BRRTS#_DocumentName”. If the site does not yet have a BRRTS #, name the file “SiteName_DocumentName” (e.g. ex. <i>SmithGarage_Phase I</i>)	

Instructions for Submitting Large Documents to DNR FTP Site

For assistance with the FTP site, please contact Sonya Rowe, (608) 261-4934, sonya.rowe@wisconsin.gov. Please note that consultants cannot delete files or create folders within the DNR FTP site. If you need a file deleted, please contact the regional environmental program associate.

To upload documents to the regional folder on the DNR 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 the PDF to the appropriate regional folder.

General Notes on Submittals

- Consultants should to use the [Notification for Hazardous Substance Discharge \(Non-Emergency Only\) Form 4400-225](#) for historic discharges.
- Consultants are encouraged to send the appropriate [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](#).
- The regional email boxes are only used for submittals. **Any site-specific or follow-up questions should be directed to the appropriate 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 to ensure they are free of viruses. The consultant's or representative's anti-virus software should be kept up-to-date.
- 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.

Case Closure Submittals

1. Case Closure requests should be submitted as a zipped folder. Within the zipped folder, the files should be organized and the contents clearly labeled as follows:
 - (a) Case Closure form ([4400-202](#))

(b) Seven separate file folders 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 ([4400-202](#)).

(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.wi.gov/topic/brownfields/documents/directory.pdf

2. Professional submittal certifications required per Wis. Admin. Code ch. 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. Revisions should be submitted directly to the DNR project manager as well as the regional email box.

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 using a PDF format. This is especially important if the form will need to be edited before submittal 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.
4. Report submittals should not be larger than 250 MB in size. Please split submittals into 250 MB or less files and label accordingly.
5. 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.
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, 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.

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

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