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## **Appendix O**

### **NAVFAC SOP to Submit Documents to NIRIS**

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This Appendix describes requirements for submitting Environmental Restoration (ER) Program documentation.



**SOP Name:** ER Program Documentation - Identification, Preparation, and Submittal

**Functional Area:** Records Management

**Sub-Area:** Content Management

SOP Date: February, 2017	Version: 3.1	Authority: NIRIS Work Group
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**Acronyms:**

CERCLA – Comprehensive Environmental Response, Compensation, and Liability Act

ER – Environmental Restoration

FRC – Federal Records Center

IRP – Installation Restoration Program

MRP – Munitions Response Program

NAVFAC – Naval Facilities Engineering Command

NIRIS – Naval Installation Restoration Information Solution

PDF – Portable Document Format

RCRA – Resource Conservation and Recovery Act

RDM – Regional Data Manager

SOP – Standard Operating Procedure

**Purpose:**

This Standard Operating Procedure (SOP) provides information to facilitate the delivery of Naval Facilities Engineering Command (NAVFAC) Environmental Restoration (ER) Program documentation (See Appendix B). All ER Program documentation including Installation Restoration Program (IRP) and Munitions Response Program (MRP) should be forwarded to the designated Naval Installation Restoration Information Solution (NIRIS) Records Manager or Regional Data Manager (RDM) for that appropriate Navy region.

**Scope:**

The scope of this SOP is to provide descriptive information and basic instructions to Navy ER Program personnel and/or designated contractors on the identification, preparation and submittal of ER Program related documentation. Users of this SOP are expected to have a working knowledge of NAVFAC ER Program Recordkeeping Manual principles, processes and procedures. The information provided here is not intended to replicate or replace the details provided in the NAVFAC ER Recordkeeping Manual.

**Procedure(s):****Deliverables**

ER Program generated documentation, commonly referred to as “deliverables”, for all NAVFAC installations will be sent to the designated NIRIS Records Manager or RDM. The responsible NAVFAC party or a subcontractor, acting on behalf of NAVFAC, will provide both a paper and electronic copy of each deliverable. Each paper copy will be complete including signed signature page as appropriate. The electronic copy shall be in Portable Document Format (PDF) and will adhere to the scanning and bookmarking requirements outlined in the ER Program Recordkeeping Manual (See Appendix K). The complete paper copy, arranged to correspond with the document table of contents, will be submitted in an expandable file folder rather than a three ring binder.

All submittals to the NIRIS Records Manager or RDM must be accompanied by the Document Data Sheet (See Appendix N). The information provided in the Document Data Sheet is intended to improve and enhance metadata requirements necessary for inclusion of records in NIRIS.

**Note:**

*Neither the paper nor the electronic copy of documentation submitted to the NIRIS Records Manager or RDM will be returned back to the sender. In addition, must be provided on a CD/DVD and will not be downloaded from public or privately shared file transfer protocol (FTP) servers or websites. The electronic file must accompany the paper version along with a Document Data Sheet.*

## **Content and Preparation**

All ER Program documentation will be prepared and submitted in accordance with the NAVFAC ER Recordkeeping Manual. In addition, the user should adhere to the following:

- Consult the NAVFAC ER Recordkeeping Manual (See Appendix B) for a list of typical Administrative Record File, Post Decision File and Site File documents. In most cases, ER Program documents submitted will follow the document list in Appendix B, but there will be exceptions based on restoration history of the site (See Appendix S).
- Paper and electronic report deliverables will be limited to final versions. Draft documents are only accepted if they were relied upon alone in making a response decision or are acting as the final version.
- Paper report deliverables that include an electronic CD or DVD as part of that paper deliverable (i.e. electronic files used as appendices or supplemental data) will be printed out to produce one complete paper copy, final version of that document.
- No change pages will be accepted separately from the document in which they were intended to be placed. Change pages must be incorporated into the paper and electronic deliverables they relate to and the paper and electronic deliverables will be reissued as a revision to the final document.
- Correspondence deliverables include a wide variety of examples. In general, communication (letters and emails) between NAVFAC and its affiliations and/or subcontractors acting on behalf of NAVFAC to either local community members or organizations, EPA and/or other regulatory agencies, congressional interests or other governmental entities regarding response issues at a site will be submitted. In addition to correspondence deliverables, regulatory agency comments on draft and draft final documents, NAVFAC responses to regulator comments, and announcement of public meetings. Restoration Advisory Board and Technical Review Committee meeting minutes will also be submitted (See Appendix B).

- Emails should only be submitted if the email contains information relied upon in selecting a response action at the site and the information cannot be found in another letter or other form of documentation. If an email meeting the criteria above has a file attached, the attachment must be printed out, attached to a copy of the email, scanned as one PDF file, (following the requirements outlined in Appendix K of the ER Recordkeeping Program Manual) and submitted.
- Paper copy of digital photographs (or PDF copies of paper photographs) illustrating a response action for a site may be submitted. Photographs must include the date the photo was taken and a brief description of what the photo shows including site location (i.e. building, area of concern, solid waste management unit, underground storage tank, site, operable unit). The grouping of photographs as one document is acceptable but will be limited to same response action at the same site. A limited number of historical photos may be submitted to be included with the Site File based on significant development changes to the site and/or area adjacent to the site.
- Documentation not related to the ER Program (i.e. compliance, asbestos containing material, lead abatement, certain Resource Conservation and Recovery Act (RCRA) permitted removal actions) should not be submitted.
- Native files in formats such as Microsoft Excel, Microsoft Access, text, etc. used in the preparation of reports should not be submitted. Native files are not part of official records and cannot be uploaded or maintained in NIRIS. In addition, regional records managers will not maintain or store native files.
- Laboratory Data Packages (raw unvalidated data) will be delivered in both paper and electronic formats. It will be submitted separately from the final documentation it supports.

**Note:**

*DO NOT include or incorporate Laboratory Data Packages and raw unvalidated data into documents as appendices. The single exception to the prohibition may be some time critical removal actions where there is no time to get the data validated. The practice is strongly discouraged but Laboratory Data Packages or raw unvalidated data may be*

*incorporated, if absolutely necessary, as appendices for time critical removal action documents only.*

- Data validation summary deliverables (when available) should be treated similar to final report deliverables. Both a complete paper and electronic copy of each data validation summary will be submitted.
- Drawings and/or figures relied upon, either solely or in part, in forming a basis for selection of a particular response at a site will be submitted. As-built drawings are generally not relied upon in the selection of a response.
- Consult the ER Recordkeeping Program Manual (See Appendix K) for managing large PDF files in excess of 200 MB for guidance on how to separate files into manageable sizes.



**Shipment**

Documentation, both the paper and electronic version, will be mailed or shipped the designated NIRIS Records Manager or RDM for that appropriate Navy region:

**NAVFAC Atlantic, Mid-Atlantic, Northwest,**

**Washington**

CH2M, Inc.  
Attention: Monica Marrow  
5701 Cleveland Street  
Suite 200  
Virginia Beach, VA 23462  
adminrec@ch2m.com  
757.671.6213

**NAVFAC Southeast**

Tetra Tech, Inc.  
Attention: NAVFAC ER Program  
Documents  
Foster Plaza Bldg. 7  
661 Andersen Drive  
Suite 200  
Pittsburgh PA 15220  
niris-support@tetrattech.com  
412.921.7090

**NAVFAC Hawaii, Marianas**

NAVFAC PAC EV3 Tech Library  
Attention: Mickey Malone  
258 Makalapa Drive  
Suite 100  
Joint Base Pearl Harbor, HI 96860

**NAVFAC Southwest**

For FEDEX or UPS:  
NAVFAC Southwest  
Attention: Diane Silva, Command  
Records Manager  
2965 Mole Rd., Bldg. 3519  
San Diego, CA 92136  
619.556.1280

For U.S. Postal Service or commercial  
carrier other than FedEx or UPS:  
NAVFAC Southwest  
Attention: Diane Silva, Command  
Records Manager  
1220 Pacific Highway  
Code EV33, NBSD Bldg. 3519  
San Diego, CA 92132  
619.556.1280



Documents will be packed in appropriate packages. If the volume of documents being shipped requires boxes to be used, each box will be numbered and the name of the site will be documented on the outside of the box. All box shipments must be tracked. All documentation shipped must fit into a standard size banker box and adhere to FRC requirements. Large or oversize documents, not able to be properly folded, may need to be reduced in size to fit into acceptable FRC banker boxes.

If a large shipment of documents is expected, prior to shipping documents, an email notification will be provided to the NIRIS Record Manager or RDM by the appropriate responsible NAVFAC party or a subcontractor, acting on behalf of NAVFAC that a shipment of documents is expected. The email will include, at a minimum, the number of boxes that will be shipped and anticipated delivery date.

**Definitions:**

Administrative Record File – a collection of documents that form the basis for the selection of a particular response at a site.

Post Decision File – a collection of documents generated or received after a response action is selected and a Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) decision document is issued.

Site File – a collection of documents that are not included in the Administrative Record or Post Decision because they are irrelevant or not considered or relied upon in selecting a response action.

**Revision Log:**

Revision Date:	Revision Detail:	Revised By:
02/2019	Updated shipment points of contact.	
Approved By:	Bonnie Captio – NAVFAC Atlantic	