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From: Commander, Naval Facilities Engineering Command

Subj: ENVIRONMENTAL RESTORATION PROGRAM RECORDKEEPING GUIDANCE

Ref: (a) NAVFACINST 4715.1, Environmental Restoration Program Implementation of the Naval Installation Restoration Information Solution (NIRIS), dated 11 April 2008

Encl (1) Environmental Restoration Program Recordkeeping Manual, dated September 2009

1. Enclosure (1) provides new guidance on the creation and maintenance of all records required as part of NAVFAC's execution of the Environmental Restoration (ER) program. This document supersedes the Administrative Records Management System (ARMS) User's Guide, NFESC UG-2024-ENV, dated September 1997.

2. Reference (a) establishes the use of the Naval Installation Restoration Information Solution (NIRIS) as the standard NAVFAC system to consistently manage and maintain the ER Program's Administrative Record Files, Post Decision Files and Site Files across NAVFAC Commands. The Environmental Restoration Program Recordkeeping Manual was developed to provide guidance on the ER Program's recordkeeping requirements, and to reflect the implementation of NIRIS as the standard system to manage these records.

3. The purpose of this Manual is to:

- Define Administrative Record Files, Post Decision Files and Site Files
- Provide a list of typical documents suitable for inclusion in each file
- Define project manager and records manager roles and responsibilities
- Provide guidance on how to compile, maintain and store the files utilizing NIRIS

4. Your Records Managers and/or NIRIS Workgroup members can provide additional support in this matter. The headquarters point-of-contact for this guidance is Mr. Rob Sadorra, (202) 685-9306.

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By direction

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Enclosure (1)

NAVAL FACILITIES ENGINEERING COMMAND
Washington, DC 20374-5065

FINAL

**Environmental Restoration Program
Recordkeeping Manual**

September 2009

Approved for public release; distribution is unlimited.

Preface

Since publication of the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) Administrative Records Management System (ARMS) User's Guide, NFESC UG-2024-ENV, dated September 1997, the Naval Facilities Engineering Command (NAVFAC) has developed the Naval Installation Restoration Information Solution (NIRIS) to consistently manage and maintain the CERCLA Administrative Record File, Post Decision File and Site File throughout across NAVFAC Commands. During the NIRIS development process, NAVFAC reviewed and re-assessed its CERCLA Administrative Records management processes and determined that revised policies and procedures were warranted.

This document has been renamed to reflect these revisions and is now called the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) Environmental Restoration Program Recordkeeping Manual.

PURPOSE

The purpose of this Manual is to:

1. Define Administrative Record Files, Post Decision Files and Site Files.
2. Provide a list of typical documents suitable for inclusion in each file.
3. Define project manager and records manager roles and responsibilities.
4. Explain and provide guidance on Department of the Navy and U S EPA guidance related to the files.
5. Provide guidance on how to compile, maintain and store the files.
6. Provide directions on how to create approved NIRIS ready electronic documents.
7. Provide directions on how to adapt existing electronic documents for uploading to NIRIS.
8. Provide directions on how to prepare and scan paper or other media for conversion to approved NIRIS ready electronic documents for uploading to NIRIS.

The intended audience is Environmental Records Managers, Navy Project Managers, Contractor Project Managers and data entry personnel.

COVERAGE

- Navy and Marine Corps installations that are being cleaned up under CERCLA requirements will be included in NIRIS.
- Base Realignment and Closure (BRAC) installations will be included in NIRIS as funding is provided. (See the Web site: <https://138.145.4.91/denix/Public/Library/Cleanup/CleanupOfc/brac/index.html>).
- Navy and Marine Corps installations that have moved from the RCRA cleanup program to the CERCLA cleanup program will be included in NIRIS.

Navy Installations which do not have an Environmental Restoration Program will NOT be included the NIRIS database.

ADDITIONAL INFORMATION

The U S EPA Compendium of Superfund Publications, EPA540/8-91/014, November 1991 is available on the NIRIS Recordkeeping website.

This document has been renamed to reflect these revisions and is now called the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) Environmental Restoration Program Recordkeeping Manual.

Munitions Response Program documents are an integral part of CERCLA Administrative Record Files, Post Decision Files and Site Files and are managed using the same guidance.

This manual replaces the previous version of the ARMS User's Guide. It is a compilation of the former User's Guide information and NIRIS requirements.

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CERCLA Authority

The Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) of 1980, Section 113(k) ([42 USC Section 9613\(k\) \[2001\]](#)) requires the President of the United States to establish an Administrative Record File upon which the President shall base the selection of environmental response actions.

[Executive Order 12580, dated 23 Jan. 1987](#) , passed CERCLA environmental restoration cleanup program responsibilities to the Department of Defense (DoD). The Department of Defense delegated CERCLA responsibilities to all the Armed Services. The Department of the Navy delegated the execution responsibility to the Naval Facilities Engineering Command.

[The Superfund Amendments and Reauthorization Act \(SARA\) of 1986](#) brought all federal facilities under the CERCLA program. SARA requires the DoD to follow United States Environmental Protection Agency (U S EPA), Office of Solid Waste and Emergency Response ([OSWER Directive 9833.3A-1](#) , [Final Guidance on Administrative Records for Selecting CERCLA Response Actions](#), 3 December 1990). The OSWER directs the establishment of an Administrative Record File, Post Decision File and Site File.

[Appendix A](#) provides links to Administrative Record, Post Decision and Site Files statutes, laws and guidance.

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Terms, Abbreviations and Acronyms

Naval Facilities Engineering Command (NAVFAC) Abbreviations and Acronyms

Acronyms for terms associated with the Navy's Environmental Restoration and Base Realignment and Closure (BRAC) Programs. (See Web site:

https://portal.navfac.navy.mil/portal/page?_pageid=181,5386220&_dad=portal&_schema=PORTAL)

U.S. EPA Terms of Environment: Glossary, Abbreviations and Acronyms

<http://www.epa.gov/OCEPATERMS/>

Chapter 1 Introduction to Environmental Restoration Records

The purpose of this Chapter is to define and explain the purpose and recordkeeping requirements for Administrative Record Files, Post Decision Files and Site Files as well as provide a link to lists of documents which are typically included in each File.

1.1 Administrative Record File

1.1.1 Definition

The Administrative Record File (ARF) is the collection of documents that forms the basis for the selection of a particular response at a site. Documents that are included are relevant documents that were relied upon in selecting the response action, as well as relevant documents that were considered but ultimately rejected.

1.1.2 Purpose

The ARF is compiled for two primary purposes:

- It contains those documents that form the basis for selection of a response action and [\(CERCLA Section 113\(j\)\)](#) limits judicial review of any issue concerning the adequacy of a response action to the ARF.
- It serves as a vehicle for public participation in the selection of a response action [\(CERCLA Section 113\(k\)\)](#)

1.1.3 Typical Documents Included in the Administrative Record File

Under [CERCLA](#), site cleanups often result in different types of response actions which can include remedial actions, time-critical and non-time-critical removal actions.

Typical remedial and removal documents included in the ARF are provided in [Appendix B](#). Appendix B is not to be considered all inclusive; however, all documents which meet the ARF definition in [1.1.2](#). above, must be included in the ARF.

Administrative Record File paper documents are filed with the corresponding Site File and Post Decision File paper documents

1.1.4 Public Availability

Administrative Record Files must be made available to the public. A member of the public does **NOT** have to submit a Freedom of Information Act (FOIA) request to obtain documents or information.

1.2 Post Decision File

1.2.1 Definition

The Post Decision File (PF) is a collection of documents generated or received after a response action is selected and a CERCLA decision document is issued. They are not relevant to the response decision and should not be included in the ARF.

1.2.2 Purpose

The [OSWER Directive 9833.3A-1](#) directs that a Post Decision File be established. Records that are included, document that the selected response action is performed, monitored, reviewed and ultimately closed.

1.2.3 Typical Documents Included in the Post Decision File

Records generated after the response action is selected and the decision document is dated and signed are included in the Post Decision File.

Typical remedial and removal documents included in the Post Decision File are provided in [Appendix B](#). Appendix B is not to be considered all inclusive; however, all documents which meet the PF definition in [1.2.1](#) above, must be included in the PF. Documents that do not meet the PF definition will be included in either the ARF or Site File.

Post Decision File paper documents are filed with the corresponding Administrative Record and Site File paper documents.

1.2.4 Exceptions to Inclusion

There are some instances when the post-decision information should be added to the ARF. Based on guidance provided in the [OSWER Directive 9833.3A-1](#) Post Decision documents may be added to the AR File in the following situations:

- When a decision document does not address a portion of the decision or reserves a portion of the decision to be made at a later date. An example of this type of document is a decision document that does not resolve the type of treatment technology. In such cases, the documents that form the basis for the unaddressed or reserved portion of the decision should continue to be added to the AR File.
- When there is a significant change in the selected response action. Changes that result in a significant difference to a basic feature of the selected remedial action (e.g., timing, ARARs), with respect to scope, performance or cost may be addressed in an explanation of significant differences. If a remedial action is taken that differs in any significant respects from the final plan, an explanation of the significant differences is required. The ARF **will include** the explanation of

significant differences, underlying documentation for the response action changes, any significant comments from the public and NAVFAC responses to any significant comments.

- Documents can be removed from the Post Decision File if they are deemed unsuitable for preservation at a later date.

See [OSWER Directive 9833.3A-1 III -N](#). Post-Decision Information, for additional instructions.

1.2.5 Public Availability

Post Decision Files are not generally openly available to the public. A member of the public must submit a Freedom of Information Act (FOIA) request for desired documents or information to the appropriate Command for review and release approval.

Five Year Review and subsequent 10 Year, 15 Year, etc., Review documents and associated public notices are considered public documents even though they are published after the Decision Document. Place these documents in the Post Decision File and declare them public documents. Declare them public by adding the words, "PUBLIC DOCUMENT" in parenthesis after entering the document title in NIRIS. For example, FINAL FIRST FIVE-YEAR REVIEW REPORT NRTF DRIVER SUFFOLK VA (PUBLIC DOCUMENT) and PUBLIC NOTICE OF THE AVAILABILITY OF THE FINAL FIRST FIVE-YEAR REVIEW REPORT NRTF DRIVER SUFFOLK VA (PUBLIC DOCUMENT)

Restoration Advisory Board Meeting Minutes, associated presentations, agendas, and other documentation generated for or by the meeting including sign in sheets {NOTE: slip sheet, as appropriate, to protect privacy information) and associated Restoration Advisory Board Public Notices are considered public documents even though they are created after the Decision Document. Place these documents in the Post Decision File and declare them public documents. Declare them public by adding the words, "PUBLIC DOCUMENT" in parenthesis after entering the document title in NIRIS. For example, PUBLIC NOTICE OF THE RESTORATION ADVISORY BOARD MEETING TO BE HELD ON 25 MAY 2009 AT THE TOWN HALL NAPR CEIBA PUERTO RICO (PUBLIC DOCUMENT) or MINUTES OF THE RESTORATION ADVISORY BOARD MEETING HELD ON 22 JULY 2008 AT THE TOWN HALL NAPR CEIBA PUERTO RICO (PUBLIC DOCUMENT).

1.2.6 Re-Opening a Site with a Decision Document in Place

Some states or commonwealths are requiring NAVFAC to reopen a site after a Decision Document or Record of Decision for the site is in place (e.g. new contaminated suspected, etc.). The state or commonwealth wants to revisit the existing Record of Decision or Decision Document and re-start the environmental restoration process at the site. The state or commonwealth may require a full reinvestigation beginning with a Preliminary Assessment and ending with a second site Record of Decision or Decision Document.

Until a site is reopened, include post ROD correspondence in the Post Decision File. Once a site is reopened, the site is considered back in the normal CERCLA process; the work is NOT referred to or considered as a Post Record of Decision remedy. Place the reopened site documents in the Administrative Record File. Refer to the list of Typical Administrative Record File documents in **Appendix B** to see the type of documents to include.

1.3 Site Files

1.3.1 Definition

The Site File is a collection of documents pertinent to the remediation or response, but not included in the ARF because they **may be** irrelevant to the selection of the response action, were not considered or relied on in selecting the response action or beyond the scope of the AR or Post Decision Files. This includes documents or portions of documents with information that is considered "sensitive" such as archaeological information, attorney work products and personal information protected by the 1974 Privacy Act.

1.3.2 Purpose

The [OSWER Directive 9833.3A-1](#) specifically excludes certain documents from the ARF because they are beyond the scope of the ARF and directs that a Site File be established.

1.3.3 Typical Documents included in the Site File

Under CERCLA, site cleanups often result in different types of response actions which can include remedial actions, time-critical and non-time-critical removal actions.

Typical remedial and removal documents and Post Decision documents included in the Site File are provided in [Appendix B](#). Appendix B is not to be considered all inclusive; however, all documents which meet the Site File definition in [1.3.1](#) above, must be included in the Site File.

Site File paper documents are filed with the corresponding Administrative Record File and Post Decision File paper documents.

1.3.4 Public Availability

Site Files are **NOT** openly available to the public. A member of the public must submit a Freedom of Information Act (FOIA) request for desired documents or information to the appropriate Command for review and release approval.

1.4 Records Manager Responsibilities

See [Appendix J](#) for Records Manager responsibilities.

1.5 Record Retention and Disposition Requirements

Environmental Restoration Records are filed and maintained in accordance with Hazardous Substance Records described under the Standard Subject Identification Code (SSIC) 5090.3., found in [SECNAV M-5210.1](#), Department of the Navy Records Management Manual, 16 November 2007. Due to new business

practices, the SSIC alpha/numbers in NIRIS are "5090.3.a for AR Files, 5090.3.b for Post Decision Files and 5090.3.c for Site Files".

In the near future, a formal request for updating the existing SECNAV Manual SSIC numbers to reflect the 'a, b or c' designation will be submitted through the proper channels.

NAVFAC creates and maintains one Administrative Record File, one Post Decision File and one Site File for an installation regardless of the number of individual clean-up sites, operable units, solid waste management units, etc., identified on the installation.

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1.6 Archiving Records

Environmental Restoration Records are archived to the Federal Records Center as described in [Appendix C](#).

Chapter 2 Review, Organize and Process Environmental Restoration Records

This Chapter discusses how to conduct historic document and file searches to ensure that all suitable Environmental Restoration documents are located, reviewed and evaluated for inclusion in the Administrative Record, Post Decision or Site Files. See [Appendix L](#) for information about documents that may require special handling.

2.1 Historic Paper Document, Other Media and File Searches

Contact appropriate personnel to offer assistance with locating, reviewing, organizing, evaluating to identify Environmental Restoration records identified in [Appendix B](#).

2.2 Conduct an Initial Review to Identify Documents

Make a list of potential locations where documents may be found, e.g., information repositories, installation storage, contractor offices, employee work spaces, etc.

2.3 Review Documents

- Identify documents and files which are potentially suitable for inclusion in the ARF, PF or SF. using the lists of typical documents in [Appendix B](#).
- Set aside documents and files identified as Compliance or Natural/Cultural Resources. Notify the installation Environmental Compliance and/or Natural/Cultural Resources Program Manager(s) for proper processing. Transfer documents to the appropriate point of contact if installation personnel do not have records management responsibilities for these types of documents.
- Set aside non-environmental documents which not suitable for inclusion in the ARF, PF or SF. Return documents to the owner. **NOTE:** If the installation is closed and the property has been or will be conveyed, record ownership may have transferred to BRAC.
- Combine raw analytical data with associated documents. If no associated documents can be located, contact the appropriate Project Manager for assistance.

2.4 Organize and Evaluate Identified Documents

- Separate document by installation name if reviewing documents for multiple installations.
- Organize paper documents by date (year, month, day) to identify document versions (draft, draft final **and final version**) to eliminate duplicates
- Place undated documents in a separate pile for additional research to identify approximate document date.
- Retain original ‘wet’ signature documents or best copy available
- Evaluate documents to determine inclusion and group into the appropriate ARF, PF and SF. See [Appendix B.](#)
- Cross-check and verify whether documents are already included in the installation database found in NIRIS.

2.5 Perform Document and File Quality Assurance and Quality Control

Before document metadata is added to a NIRIS installation database, the paper or electronic document must be reviewed to ensure its completeness and accuracy.

- Verify that each document contains all pages, tables, figures, map and drawings, photos, enclosures, attachments, appendices, logs, analytical or sampling data, etc.
- Verify that a document’s Table of Contents accurately reflects the actual content of the document and the page numbers identified correspond to the appropriate pages.
- Make every effort to locate any missing pages, sections, appendices, tables, figures, attachments, enclosures, etc.
- Ensure that all pages are in the correct order. If not, place in the correct order.
- Pay special attention to analytical data as it may be difficult to determine the correct page order. When in doubt, consult the Project Manager.
- Review environmental contractor CONTRACT closeout package to ensure appropriate documents have been submitted for inclusion in the ARF, SF and PDF. Request, through NAVFAC contract specialists, that documents which were not sent to the Records Manager or designated representative be provided by the issuing contractor.
- Verify that the document is dated and signed (if applicable).
 - Documents without signatures should be researched to obtain signed originals.
 - If the original ‘wet’ signature is not available, a signed copy can be used; replace copies of documents with original ‘wet’ signature if found at a later date.
- Blind copies are generally unacceptable.
 - Ensure that all documents are provided on official letterhead.
 - If a blind copy is the only copy available, use it.

2.6 Documents That Require Special Handling

See [Appendix L](#) for specific handling instructions.

Chapter 3 Metadata Creation, Labeling, Official Paper Records Filing Instructions, Distribution and Archiving Options

This Chapter discusses metadata creation, labeling and filing instructions for the official paper copy of the Administrative Record File, Post Decision File and Site File, distribution and archiving options.

3.1 Metadata Creation

The Naval Facilities Engineering Command has a standardized database designed to document and facilitate searching Administrative Record Files, Post Decision Files and Site Files.

The database is located in Navy Installation Restoration Information Solutions (NIRIS). See the NIRIS website.

All NAVFAC Commands and all installations under their Area of Responsibility are listed on the NIRIS website.

All installations have, or will have, metadata and electronic versions of documents housed in NIRIS, both of which are fully searchable. When search results are presented, the attached electronic version of a document can be viewed. Search results can be printed or exported to other file formats.

After the initial installation metadata and documents bulk upload to NIRIS, metadata and documents will be added directly into NIRIS. Consult with the appropriate Command representative to determine who will perform data entry.

NIRIS requires registration. Once registered, Provisioning is assigned. Provisioning determines the Command and installations that will be available to the user as well as the access level to Administrative Record, Post Decision and Site Files. See NAVFAC intranet.

The NIRIS website facilitates the ability to maintain and update the Administrative Record, Post Decision and Site File Records. Metadata and documents added to NIRIS are available immediately after metadata entry/document linking is completed.

1. NIRIS data fields are standardized and data entry must be performed according to Navy standards and valid values. Data fields are fully searchable.
2. Data fields facilitate linking to related databases, enable metadata and full text searching and support Records Managers' need to track information and reporting requirements.
3. Once standardized metadata is created for a document in NIRIS, the document becomes an official Navy record.
4. The approved NIRIS electronic version of a document will be linked to its metadata and uploaded to NIRIS. The document text will be fully searchable.

5. Some Administrative Record File, Site File and Post Decision File records may remain in a paper or other formats indefinitely but standardized metadata for each document must be created in NIRIS.

3.1.1 Record Number

A unique record number will be generated by NIRIS. The record number facilitates identifying, searching, tracking and storing records.

Unique record numbers (i.e., N1234_AR_000001) consist of three parts that are created from NIRIS data fields.

The three parts of the unique number are:

1. Unit Identification Code. (example: N1234 or M5678)
2. Designation of ARF, PF or SF. (from the data field 5090.3 a or b or c designation)
3. Six digit computer generated number. (example: 000001)

3.1.2 NIRIS Metadata Fields

See [Appendix M](#) for definitions, purpose and other specific information on metadata fields and standard data entry requirements.

3.2 Labeling Records and Folders

After document metadata is entered in the database, labels can be generated using the NIRIS label generating function. NIRIS will generate labels for paper documents and folders holding documents. Folder specifications are located in [Appendix C](#).

- Each record, in paper or other formats, must be labeled. Special handling may be required for records containing analytical and sampling data, sensitive information, photographs and electronic or magnetic media.
- Labels are placed on both the document and the folder in which the document is housed.
- Affix the label on the first page of each paper/physical record, as appropriate.

3.2.1 Recommendations

- Place a 1 inch by ½ inch label at the top right corner on the first page of the record; ½ inch from the right edge and ½ inch from the top edge of the page.
- Place the record into the smallest folder that will accommodate the record.
- Label the file folder with the same information as the record.

- Place a 1 inch by 2 inch label at the top left corner of the file folder.
- Place records in the folder spine side down so that the record label appears below the file folder label.

Label location requirements may vary. Consult Command specific policies and procedures to ensure that the correct guidelines are followed.

3.2.2 Sample Label Example

Line one: Unique Record Number (e.g., N1234_AR_000001)

Line two: Installation Name

Line three: SSIC 5090.3 (either a, b or c) number

3.3 Filing the Official Paper Copy of the ARF, PF and SF

NAVFAC is responsible for maintaining and storing or archiving the official paper copy of the Administrative Record File, Post Decision File and Site File. This responsibility cannot be designated to a contractor or to the military installation.

3.3.1 Guidelines for Filing Paper

1. File the official paper copy of the ARF, PF and SFs by the official military installation name.
2. File installation records sequentially by the Unit Identification Code and unique six digit computer generated record number.

Filing systems may vary. Consult Command policies and procedures to ensure that the correct guidelines are followed.

3.3.2 Alternative Paper Filing Systems

See [Appendix D](#) for alternative model ARF, PF and SF paper filing systems. The systems provide alternatives to the recommended practice of filing the ARF, PF and SF paper records sequentially by the Unit Identification Code and unique six digit computer generated record number.

3.4 Distribution

3.4.1 Administrative Record Files

Project Managers and installation environmental personnel determine the required number of copies needed for distribution of the Administrative Record File. Consult with the appropriate Command personnel to determine distribution locations and addresses.

Distribution formats may vary. Consult with the appropriate Command personnel to determine the distribution format(s). Formats can include CDROMs, DVDs, external hard drives, paper copies or the NIRIS website.

Distribution timelines may vary. Consult with the appropriate Command personnel to determine the distribution timeline for an installation.

See [Chapter 5](#) for additional information about Administrative Record File availability requirements.

3.4.2 Post Decision Files and Site Files

The NIRIS website is the approved distribution medium.

Post Decision Files and Site Files are not available to the public and can only be obtained through a Freedom of Information Act (FOIA) request. See [Chapter 1](#) for further information.

3.5 Official Paper Copy Archiving and Storing Options

Federal Records Centers are the recommended archiving choice. The Centers are NARA approved and provide maximum security and access to paper records. See [Appendix C](#) for further information on Federal Records Center requirements and links to FRC websites.

- Commercial Storage companies are a storage option. Consult with the appropriate Command representative to determine policies and procedures to use Commercial storage.
- On site storage is an option. Storing records onsite is a good short-term solution but other long term solutions should be considered. If on site storage is used, it should be secure and have limited access.

Chapter 4 Creating Approved NIRIS Ready Electronic Files

This Chapter provides:

- **Directions on how to prepare and scan paper or other media for conversion to approved NIRIS ready electronic files.**
- **Directions on how to adapt existing electronic files for conversion to approved NIRIS ready electronic document files.**
- **Directions on how to create approved NIRIS ready electronic files.**

The Chapter also discusses the importance of monitoring new hardware and software related to data migration.

All NAVFAC Commands and all installations under their Area of Responsibility are listed on the NIRIS website.

All installations have, or will have, metadata and electronic versions of documents, both of which are fully searchable.

When search results are presented, the attached electronic version of a document can be viewed if it has been scanned. Search results can be printing or exported to another file medium.

The NIRIS website facilitates the ability to maintain and update the Administrative Record, Post Decision and Site File Records. Metadata and documents added to NIRIS are available immediately after metadata entry/document linking is completed.

Adobe Acrobat .PDF files with Optical Character Read (OCR) performed is the approved electronic format to which paper documents, documents in other formats and documents with incompatible electronic files must be converted.

Adobe Acrobat® is the approved software to combine components of deliverables created in multiple electronic formats (e.g. native electronic files such as MS Word®, MS Excel™, Autodesk™ AutoCAD™, or ESRI ArcView™) into a single format (Adobe Acrobat® .PDF files) organized in the same order as the original document.

4.1 Creating or Converting to the Approved NIRIS Electronic Document File Format

See [Appendix K](#) for detailed information and directions on approved NIRIS electronic file format creation and conversion.

4.2 How to Prepare and Scan Paper or Ready Other Media for Conversion to Approved NIRIS Electronic Document Files

Older documents (pre 1998) were normally created in a paper format; electronic versions of documents were not normally a contract requirement. See [Appendix K](#) for detailed directions on scanning paper requirements and creating electronic versions of paper documents in the approved NIRIS electronic document file format

Media, other than paper, which contains information that must be added to the ARF, PF or SF, have special requirements. OSWER DIRECTIVE 9833.3A-1 requires that the original, non-paper version of information, be described and preserved.

- Some medias can be converted to the approved NIRIS electronic file format; some mediums may not be suitable for conversion to electronic format.
 - If the medium can be converted, see [Appendix K](#) for detailed directions on conversion and creation of an electronic version of the document in the approved NIRIS electronic file format.
 - If the medium cannot be converted, the requirement to enter document metadata in NIRIS and describe the document medium and location remains as a requirement. See [Chapter 3, Metadata Creation](#). Special housing arrangements for media other than paper must be made.

4.3 How to Adapt Existing Electronic Documents Files for Conversion to the Approved NIRIS Electronic Document Files

Some documents were created in electronic file formats that are incompatible with the approved NIRIS electronic document file format. See [Appendix K](#) for directions on how to convert incompatible electronic formats to the approved NIRIS electronic format.

4.4 How to Create Approved NIRIS Electronic Document Files

When the electronic version of a document is created and published, it must be submitted in the approved NIRIS electronic document file format. See [Appendix K](#) for detailed directions on how to create the approved NIRIS electronic document file format.

4.5 FUTURE PLANNING - Migration of Data and Media

Hardware, software, and technological changes are occurring at an ever-increasing pace. The need to ensure that data will be readable indefinitely is critical.

It is **critical** that the Administrative Record, Post Decision and Site Files conversion schedule includes directions for re-burning CD-ROMs and DVDs, updating external hard drives and/or moving the data from one media or software version to another. Existing software and technology review should be conducted at three to five year intervals.

New technology and software should be evaluated on a regular basis to ensure that Administrative Record, Post Decision and Site Files are utilizing the best available practices. Software and technology review should be conducted at three to five year intervals.

Chapter 5 Community Relations

This Chapter discusses the requirements to make the Administrative Record File and Index available to the public, information repository requirements and public comment and review requirements. Typically, these functions are performed by the Records Manager.

As the lead agency, the Naval Facilities Engineering Command is required to establish and maintain an Administrative Record File for Environmental Restoration Program response actions and to make a copy of the Administrative Record File available to the public at or near the cleanup site.

Military installation security issues are a legitimate concern. Making information such as maps, figures, statistics, munitions and archaeological coordinates, etc., which may be contained in Administrative Record File documents, available to the public is unacceptable to some installations. Installation security concerns should be referred to environmental counsel and the Public Affairs Officer for resolution and direction.

Records Managers should survey public libraries or other public locations to determine their interest in housing paper Administrative Record Files and to determine their policy on accepting CDRoms or external hard drives. The public Library or other public location may have the capability to link to Navy Administrative Record File websites. Apprise Project Managers on the status of the ARF availability to the public.

Libraries are under no legal obligation to house Administrative Record Files unless they are designated as a Federal Depository Library. In lieu of providing all Administrative Record File documents to the public, the Administrative Record File INDEX may be provided in paper and/or electronically, via CDRom or website, to the public.

Refer to the approved Administrative Record File INDEX data fields which should be made available for public viewing listed in [Appendix E](#).

If there is public interest in placing a complete paper or electronic copy of the Administrative Record File in a public Library or other public location, check with installation personnel, the Public Affairs Officer and environmental counsel to ensure that the decision is approved.

5.1 When to Establish the Administrative Record File

The Department of the Navy (DON) elected to establish an Administrative Record File for all Navy and Marine Corps installation regardless of the type of action taking place. The DON also decided to establish Administrative Record Files for installations listed on the National Priority List and those not listed on the NPL.

5.1.1 Remedial Actions

The Administrative Record File for a remedial action must be established and available for public inspection when the remedial investigation begins. See [Appendix B](#) for a List of Typical Remedial Action Documents.

5.1.2 Time-Critical Removal Actions

The Administrative Record File for Time-Critical Removal actions must be established and available for public inspection no later than 60 days after the initiation of on-site removal activity. If an on-site cleanup activity is initiated within hours of the verification of a release or threat of a release and on-site cleanup activities cease within 30 days (emergency actions), the Record File need only be available at a central location. See [OSWER Directive 9833.3A-1, page 16](#).

5.1.3 Non-Time-Critical Removal Actions

The Administrative Record File for a non-time-critical removal action must be established and made available for public inspection when the engineering evaluation/cost analysis (EE/CA) is made available for public comment. See [OSWER Directive 9833.3A-1](#).

5.2 Information Repository

Refer to the [NERP Manual](#), August 2006, Chapter 14.1.3 “Information Repository” for information on Information Repositories.

See [Appendix E](#) for a Suggested List of Document for Inclusion in the Information Repository.

5.3 Documents Which Must be Made Available for Public Review and Public Review/Comments

[Section 113\(k\)\(2\) of CERCLA](#) requires that the public have the opportunity to participate in developing the Administrative Record for response selection. [Section 117 of CERCLA](#) also includes provisions for public participation in the remedial action selection process.¹

Both sections reflect a statutory emphasis on public participation. Participation by interested persons will ensure that the lead agency has considered the concerns of the public, including Potentially Responsible Parties, during the response selection process. In addition, for purposes of administrative and judicial review, the Record will contain documents that reflect the participation of the public and the lead agency's consideration of the public's concerns.

¹”The lead agency must, therefore, make the information considered or relied on in selecting a response action available to the public, provide an appropriate opportunity for public comment on this information, place comments and information received from the public in the Record and reflect in the Record the lead agency's consideration of this information....”

Documents that are made available for public review and comment are usually draft final versions. They are placed in the public Library or other public location for the duration of the public review and comment period and then removed.

Add the document to the AR regardless of whether comments from the public were received or not. Command policies may vary. If public comments are received, the comments are added to the ARF. See [OSWER 9833.3A, Sections I.A Para \(6\). I.C Para \(2\)](#)

If a library or public repository refuses to house the documents which must be made available for public review/comment then an alternative is to provide a copy of the document on CDROM. Notify library or public repository personnel that public review and comment periods are normally 30 days and that approximately five documents or less will be placed in the library or public repository per year.

A list of documents that must be made available for public review or public review and comment can be found in [Appendix E](#).

Put the appropriate 'drop off' date and the 'pull date' either in a letter or note accompanying the documents which are placed in libraries or other public locations for public review or public review and comments so that staff will know when to remove the document from the shelves, or alternatively, when to contact Navy to remove the documents from the shelves.

The RM should coordinate with the RPM, local Navy representative or library staff to ensure that the documents are placed in the Library or other public location before the comment period begins and that it will be removed after the comment period ends.

Appendix A – Administrative Record Authority Bibliography

Appendix A provides a list of websites which present information about the Environmental Restoration and Records Management programs.

Department of the Navy

Navy Environmental Restoration Program (NERP) Manual, August 2006

[https://portal.navy.mil/pls/portal/docs/PAGE/NAVFAC/NAVFAC_WW_PP/NAVFAC_NFESC_PP/ENVIRONMENTAL/ERB/RESOURCEERB/NERP_MANUAL_2006\(20070710\).PDF](https://portal.navy.mil/pls/portal/docs/PAGE/NAVFAC/NAVFAC_WW_PP/NAVFAC_NFESC_PP/ENVIRONMENTAL/ERB/RESOURCEERB/NERP_MANUAL_2006(20070710).PDF)

SECNAV Manual M-5210.1, Department of the Navy Records Management Manual, 16 November 2007, Standard Subject Identification Codes (SSIC) disposition schedules.

<http://doni.daps.dla.mil/SECNAV%20Manuals1/5210.1.PDF>

NAVFAC Environmental Glossary and Acronyms

https://portal.navy.mil/portal/page?_pageid=181,5386220&_dad=portal&_schema=PORTAL

U S EPA

U S EPA Environmental Laws and Regulations web page

<http://www.epa.gov/lawsregs/index.html>

Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) of 1980 as Amended by the Superfund Amendments and Reauthorization Act (SARA) of 1986, 42 USC 9601 and Public Law 99-499, Section 113(k),

http://www.access.gpo.gov/uscode/title42/chapter103_.html

Superfund Amendments and Reauthorization Act (SARA) 1986 overview,

<http://www.epa.gov/superfund/policy/sara.htm>

Superfund Community Involvement Handbook, U S EPA 540-K-01-003, April 2002

http://www.epa.gov/superfund/community/cag/PDFs/ci_handbook.PDF

Final Guidance on Administrative Records for Selecting CERCLA Response Actions, OSWER Directive #9833.3A-1, December 3, 1990,

<http://www.epa.gov/Compliance/resources/policies/cleanup/superfund/adrec-cerra-rpt.PDF>

National Archives And Records Administration (NARA)

National Archives and Records Administration (NARA) Disposition of Federal Records

<http://www.archives.gov/about/regulations/part-1228/index.html>

National Archives and Records Administration (NARA) Code of Federal Regulations web page

<http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>

Miscellaneous

Government Printing Office Public laws web page

<http://www.gpoaccess.gov/plaws/index.html>

National Contingency Plan (NCP) 40 CFR Part 300, Subpart I, Development and Maintenance of the Administrative Record, U.S.C. S9601

http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr300_00.html

TITLE 44 CHAPTER 31, § 3101 Records Management by Federal Agencies, § 3102 Establishment of program of management

http://www.access.gpo.gov/uscode/title44/chapter31_.html

Executive Order 12580 Superfund Implementation 23 Jan. 1987, 53 FR 2393, as reprinted in 42 USC Section 9615, 2001

<http://www.archives.gov/federal-register/codification/executive-order/12580.html>

Defense Environmental Network and Information Exchange (DENIX)

<https://www.denix.osd.mil>

Environmental Restoration Terms and Acronyms

<https://www.denix.osd.mil/portal/page/portal/denix/environment/cleanup/Info>

Department of Defense, Environmental Management Office

<https://www.denix.osd.mil/portal/page/portal/denix/environment/cleanup>

Department of the Navy Freedom of Information Act web site

<http://www.foia.navy.mil/>

United States Marine Corps Freedom of Information Act web site

<http://hqinet001.hqmc.usmc.mil/FOIA/index.htm>

Restoration Advisory Board (RAB) Handbook

https://www.denix.osd.mil/portal/page/portal/content/environment/cleanup/SI/Fed-Reg_RAB-Rule_05122006.PDF

Federal Records Center

<http://www.archives.gov/frc/>

Appendix B – Typical Administrative Record File, Post Decision File and Site File Documents

Typical Administrative Record File Documents

Project Phases	Typical Remedial Action Documents
PA/SI	<ul style="list-style-type: none"> • Installation Restoration and MRP Preliminary Assessment Report • Any relevant RCRA information, particularly information on waste management and RCRA corrective action at the site (e.g., RCRA permit applications, inspection reports, RCRA Facility Assessment (RFA), RCRA Facility Investigation (RFI), Corrective Measures Studies (CMS) or responses to RCRA information requests • Site Inspection Work Plan • Site Investigation Report • Site Inspection Sampling and Analysis Plan • Site Inspection Quality Assurance Project Plan • Site Inspection Health and Safety Plan • Site Inspection Field Sampling Plan • Site Inspection Chain of Custody Forms (Laboratory request forms) (see OSWER 9833.3A-1 guidance) • Raw Analytical Data (see OSWER 9833.3A-1 guidance) • Data Summary Data • Site Inspection Report • Site Evaluation Work Plan • Site Evaluation Sampling and Analysis Plan • Site Evaluation Quality Assurance Project Plan • Site Evaluation Health and Safety Plan • Site Evaluation Field Sampling Plan • Site Evaluation • Engineering Evaluation/Cost Analysis (for non-time critical removals) • Notice of Availability of the EE/CA and ARF
RI/FS Phase	<ul style="list-style-type: none"> • Installation Restoration and MRP Remedial Investigation/Feasibility Study Work Plan • Installation Restoration and MRP Remedial Investigation/Feasibility Study Work Plan Amendments • Installation Restoration and MRP Remedial Investigation Sampling and Analysis Plan • Installation Restoration and MRP Remedial Investigation Quality Assurance Project Plan • Installation Restoration and MRP Remedial Investigation Health and Safety Plan • Installation Restoration and MRP Quality Control Plans • Remedial Investigation Field Sampling Plan

Project Phases	Typical Remedial Action Documents
	<ul style="list-style-type: none"> • Remedial Investigation Chain of Custody Forms • Verified Analytical Data (see OSWER 9833.3A-1 guidance) • Inspection Reports • Data Summary Sheets
RI/FS Completed	<ul style="list-style-type: none"> • Installation Restoration and MRP Remedial Investigation Report • Installation Restoration and MRP Feasibility Study Report • Data submitted by the public • Installation Restoration and MRP Remedial Investigation/Feasibility Reports (as available for public comment and as final, if different) • Supporting technical studies and reports including Risk Assessment Reports • Alternative Technologies/Treatability Studies • Human Health Risk Assessment • Ecological Risk Assessment • Engineering Evaluation/Cost Analysis
Policy and Guidance	<ul style="list-style-type: none"> • Technical literature • Technical studies performed for the site • Memorandums on site-specific or issue-specific policy decisions

Project Phases	Typical Remedial Action Documents
General	<ul style="list-style-type: none"> • Site Management Plans • Site photographs/maps • Letters to regulators requesting identification of ARARs • Responses from regulators identifying ARARs • Notice to regulators • Regulator (state, federal and other) correspondence, regardless of medium, which contains comments on all versions of draft, draft final and final documents. • Selected correspondence and memorandums to and from government agency to regulatory agency • Regulatory concurrence or non-concurrence correspondence on final documents • NAVFAC response to comments or other correspondence from regulatory (state/federal) agencies • All responses to regulator comments by the Navy • All versions of draft, draft final and final documents on which regulators have commented OR the memorandum and comments on the document (see bullet above). Requirements vary; consult Command policies and procedures for guidance. (see explanatory footnotes #1 and #2) • Selected other federal agency documents (U S EPA, ATSDR, etc.) • Congressional correspondences

Project Phases	Typical Remedial Action Documents
	<ul style="list-style-type: none"> • National Resources Trustee notices and responses, Findings of Fact • Responsiveness Summary • Documentation of substantive oral comments on the selected remedy
Public Participation	<ul style="list-style-type: none"> • Community Relations Plan(s) • Newspaper articles showing general community awareness • Fact Sheets or summary information regarding Remedial Action alternatives • Proposed Remedial Action Plans (Proposed Plan) • (Consult Project Manager with questions about Land Use Controls or Institutional Controls information which may be in the document) • Letters forwarded to persons on the community relations mailing list, including associated data and mailing list for each document. • Public notices • Responses to significant comments received from the public concerning the selection of a Remedial Action • Transcripts of formal public meetings • Restoration Advisory Board meeting minutes, agendas and presentations • Written comments on selected remedy submitted by the public
Record of Decision and Decision Documents	<ul style="list-style-type: none"> • Record of Decision (ROD) • (Consult Project Manager with questions about Land Use Controls or Institutional Controls information which may be in the document) • Amendments to ROD • Explanation of significant differences to the Record of Decision • Action Memorandums and Amendments

Project Phases	Typical Remedial Action Documents
Enforcement Documents	<ul style="list-style-type: none"> • Notice letters to Potentially Responsible Parties (PRPs) and their response • Administrative Orders • Consent Decrees

Footnotes:

#1 - The versions provide an "audit" trail or evidence related to comments received from local, state or federal regulators or members of the public.

#2 - Final Guidance on Administrative Records for Selecting CERCLA Response Action," OSWER Directive # 9833.3A-1, Part III G. Draft Documents and Internal Memoranda, paragraph #3

Second, if a draft document or internal memorandum is circulated by the lead agency to other persons (e.g., the support agency, PRPs or the general public) who then submits comments which the decision maker considers or relies on when making a response action decision, relevant portions of the draft document or the memorandum and comments on that document should be included in the record file.

Enforcement documents such as Administrative Orders and Consent Decrees are included **ONLY** if they are relevant to selection of the Removal Action.

Typical Munitions Response Program ARF documents

- Explosives Safety Submission (ESS)
- Explosive Safety Submission Waiver
- Site Approval ESS by NOSSA or MARCORSSYSCOM and Department of Defense Explosives Safety Board and the Explosives Safety
- Munitions and Explosives of Concern (MEC) Hazard Assessments

Post Decision Documents

Post Decision Files are the collection of records generated or received after a response action is selected and a CERCLA decision document is issued.

Post Decision records document that the selected response action was performed, monitored, reviewed and the site was ultimately closed.

Post Decision records are not relevant to the response decision; records were not “considered or relied on in the decision process”.

Such documents may, however, be relevant to later response selection decisions and, if so, should be included in the record file pursuant to [Section 300.825](#) of the National Contingency Plan.

Post Decision documents are not readily available to the public or the judiciary. They are not normally released to the public unless they are deemed suitable for release based on a Freedom of Information Act inquiry. The judiciary can compel the Command to provide the documents.

Five Year Review and subsequent 10 Year, 15 Year, etc., Review documents and associated public notices are considered public documents even though they are published after the Decision Document. Place these documents in the Post Decision File and declare them public documents. Declare them public by adding the words, “PUBLIC DOCUMENT” in parenthesis after entering the document title in NIRIS. For example, FINAL FIRST FIVE-YEAR REVIEW REPORT NRTF DRIVER SUFFOLK VA (PUBLIC DOCUMENT) and PUBLIC NOTICE OF THE AVAILABILITY OF THE FINAL FIRST FIVE-YEAR REVIEW REPORT NRTF DRIVER SUFFOLK VA (PUBLIC DOCUMENT)

Restoration Advisory Board Meeting Minutes, associated presentations, agendas, and other documentation generated for or by the meeting including sign in sheets {NOTE: slip sheet, as appropriate, to protect privacy information) and associated Restoration Advisory Board Public Notices are considered public documents even though they are created after the Decision Document. Place these documents in the Post Decision File and declare them public documents. Declare them public by adding the words, “PUBLIC DOCUMENT” in parenthesis after entering the document title in NIRIS. For example, PUBLIC NOTICE OF THE RESTORATION ADVISORY BOARD MEETING TO BE HELD ON 25 MAY 2009 AT THE TOWN HALL NAPR CEIBA PUERTO RICO (PUBLIC DOCUMENT) or MINUTES OF THE RESTORATION ADVISORY BOARD MEETING HELD ON 22 JULY 2008 AT THE TOWN HALL NAPR CEIBA PUERTO RICO (PUBLIC DOCUMENT).

Post Decision document data does not appear in publicly released information nor are they listed on public Administrative Record File websites.

Post Decision document data and documents are housed in NIRIS. Paper documents are housed, converted and updated in conjunction with their corresponding Administrative Record and Site File documents.

Typical Post Decision Documents
<ul style="list-style-type: none"> • Enforcement orders (federal and state)
<ul style="list-style-type: none"> • Post Record of Decision or post Action Memorandum administrative orders and consent decrees, certain pleadings and answers, state and federal statutes, settlement, judgments and executions
<ul style="list-style-type: none"> • In general, all other pleadings (e.g., Memoranda of Law, Request for Admissions, Deposition Subpoena, Notice of Deposition, Document Production Request, Responses to Document Production, Interrogatories)
<ul style="list-style-type: none"> • Remedial Design documents, reports and plans
<ul style="list-style-type: none"> • Remedial Action documents, reports and plans including MRP Remedial Action Construction and Operation reports and plans
<ul style="list-style-type: none"> • Long-term monitoring information and reports (quarterly, semiannual, annual, etc.)
<ul style="list-style-type: none"> • Land Use Control Implementation Plans

<ul style="list-style-type: none"> • Post Decision Document Restoration Advisory Board minutes, presentations, agendas, other documentation including sign in sheets (check for privacy issues) and associated public notices (see notes, declare public documents)
<ul style="list-style-type: none"> • Land Use Control Assurance Plans
<ul style="list-style-type: none"> • Operation & Maintenance Manuals related to Cleanup Technology
<ul style="list-style-type: none"> • Five-year reviews and public notices (see notes, declare public document)
<ul style="list-style-type: none"> • Ten year and subsequent reviews and public notices (see notes, declare public document)
<ul style="list-style-type: none"> • Contractor closeout reports (there are exceptions to these types of reports); Contractor closeout reports are generated by the contractor when all work/actions on a contract has been completed and the contractor certifies same. They are not Site Closeout documents. • MRP Response Complete (part of the process is the Audit and Verification) • MRP Site Closeout documents
<ul style="list-style-type: none"> • Interim Remedial Action Completion Report – documents completion of cleanup goal for a site or OU and documents the response complete milestone (this Site Closeout can be an individual site or OU closeout) • Final Remedial Action Completion Report (RACR) – documents the Remedial Action completion at the last site or OU, summarizes all previous RACRs and summarizes No Further Action (NFA) designations at a base • Remedial Action Completion Report Amendment – documents the completion of Long Term Management and documents the Site Closeout milestone completion for long-term management phase.

<ul style="list-style-type: none"> • Post Decision Document Restoration Advisory Board minutes, presentations, agendas, other documentation including sign in sheets (check for privacy issues) and associated public notices (see notes, declare public documents)
<ul style="list-style-type: none"> • Land Use Control Assurance Plans
<ul style="list-style-type: none"> • Munitions Response Program (MRP) After Action Report to NOSSA or MARCORSYSCOM for review and endorsement

Specific Post Decision Munitions Response Program (MPR) Documents.

Note: Some or all the following documents may become part of another Post Decision report as an appendix; others may be published or issued as a single document.

- Munitions Response Site Prioritization Protocol - "Munitions Protocol"
- Interim Hazardous Classification Request
- Munitions Response Site Identification and Notification Report, NOSSAINST 8020.15
- Uniform Hazardous Waste Manifest
- Land Disposal Restriction
- Explosive Waste Profile Sheet
- DD Form 1348- 1A
- DD Form 626 - Motor Vehicle Inspection - Transporting Hazmat

Site File Documents

Many documents, other than Post Decision non-Decision Documents, do not fall within the strict definition of Administrative Record File documents yet are pertinent, as well as important, to the remediation process and should be retained.

These documents are placed in the Site File. Many of the included documents are specifically named in the [OSWER Directive 9833.3A-1](#); others may be included for the convenience of Project Managers.

Site File records are not readily available to the public or the judiciary. They are not normally released to the public unless they are deemed suitable for release based on a Freedom of Information Act inquiry. The judiciary can compel the Command to provide the documents.

Site File records do not appear in the publicly released information nor are they listed on public Administrative Record File websites.

Site File record data and documents are housed in NIRIS. Paper documents are housed, converted and updated in conjunction with their corresponding Administrative Record and Post Decision File documents.

The Site File does **NOT** include documents or files such as:

- Project Manager working papers because they are typically a duplicate copy of official records filed elsewhere in the Command’s official records management system

- Copies of environmental contracts, contract modifications or progress reports
- Duplicate copies of documents, which are already placed in the Administrative Record File or Post Decision File

Typical Site File Documents
<ul style="list-style-type: none"> • Applicable or Relevant and Appropriate Requirements (ARARs) correspondence between attorneys and/or site team members
<ul style="list-style-type: none"> • Documents classified as confidential by the author; they may be cited in the index and excluded from the physical Administrative Record. This includes documents designated as privileged (e.g. deliberative process, attorney work product, attorney client information, state secrets) by an attorney
<ul style="list-style-type: none"> • Selected portions of archaeological reports (consider the contents) and appendices (consult with environmental attorney)
<ul style="list-style-type: none"> • Site chronologies and descriptions if they reflect official agency positions; do not include if prepared as part of the site team's working papers
<ul style="list-style-type: none"> • Draft and draft final documents (there are OSWER defined exceptions)
<ul style="list-style-type: none"> • Hazard Ranking System documentation, scores and information
<ul style="list-style-type: none"> • Selected RCRA documents and information not defined as an ARF document
<ul style="list-style-type: none"> • Partnering meeting minutes (consult with environmental attorney)
<ul style="list-style-type: none"> • Memorandums of Understanding
<ul style="list-style-type: none"> • Defense/State Memorandums of Understanding
<ul style="list-style-type: none"> • Relative Risk Ranking documents
<ul style="list-style-type: none"> • Environmental Baseline Survey documents
<ul style="list-style-type: none"> • Technical Assistance Grants information
<ul style="list-style-type: none"> • Testimony before Congress
<ul style="list-style-type: none"> • Documents or portions of documents designated as 'not for public release'. <ul style="list-style-type: none"> - Mailing lists are considered to be 'not for public release'; the federal government must comply with the Privacy Act - Usually the list(s) are created in order to send documents to persons on the Community Relations mailing list. Do not release names/addresses/telephone numbers/emails of persons on the mailing list unless the person is acting as a public persona. For more information, call the Command Records Manager or designated representative.
<ul style="list-style-type: none"> • National Priority List de-listing information

Appendix C – Federal Records Center (FRC)

AR Files, PF and SFs are records. NAVFAC Commands which are the ‘lead agencies’ for Environmental Cleanups are legally mandated to keep a paper copy of every AR File, PF and SF as well as raw analytical data associated with a report or multiple reports. Paper files are large and most Commands do not have adequate storage space.

The recommended alternative for onsite storage is the FRC. When transferring records to the FRC, group installation AR Files, PF and SFs records together. Check with the appropriate FRC to determine how many boxes they will accept per shipment.

Transfer of records to a Command’s FRC for purposes of storage is not considered an official records transfer to the NARA.

The FRC Toolkit, Your Guide to the Federal Records Center Services

The FRC Toolkit, <http://www.archives.gov/frc/toolkit.html> - transfer, is intended to serve as a resource for Federal employees with records management responsibilities.

It provides step-by-step instructions for transferring, retrieving and returning records to an FRC as well as information on records disposition.

It also provides definitions of key terms, which are highlighted throughout the document.

Materials and Supplies

FRCs require agencies to use specific types of materials for preparing records for transfer to the appropriate FRC. See [Supply Table](#) at the end of Appendix C.

Supplies and forms are available on the GSA web site, <http://www.gsaadvantage.gov>.

Standard-size record boxes can be ordered directly from GSA. See [Supply Table](#) at the end of Appendix C.

Preparing and Packing Records for Shipment

1. Before boxes of records can be sent to the FRC use NIRIS to print a complete AR, PF and SF index using the data fields identified below. Use the index to identify records contained in each box. Verify that all records listed are present. Consult the appropriate Project Manager when records cannot be located.

2. Prepare a Standard Form (SF) 135, Records Transmittal and Receipt, for each Accession (or group) of records to be transferred to the FRC. See sample [SF 135](#) at the end of Appendix C. Blank SF 135 can be found on NARA's website at <http://www.archives.gov/frc/forms/sf-135-in-word.doc>.
3. Submit a completed SF 135 and an index for each transfer to the FRC to obtain an Accession number and authorization to transfer records.

The minimum data fields to include in an index are:

UIC number = N00210
Record Number = N00210.AR.000001
Record Date = 5/22/1980
Number of Pages = 15
Record Type = Report
Title = INVESTIGATION OF SEDIMENT CONTAMINATION WAUKEGAN RIVER AND PETTIBONE CREEK NTC GREAT LAKES IL
Author Affiliation = U S EPA Region V
FRC Accession Number/FRC Warehouse Location = to be filled in when information is provided by the FRC
Box Number = Box 0001

4. Pack and send records in sequential record number order in the standard white Federal Records Center (FRC) approved boxes.
5. Place file folders into boxes with folder labels facing the front of the box (the front is marked with "ACCESSION NUMBER")

Cut-off (Ending) Date

The official cut-off (ending) date for AR Files, PF or SF records is contingent/dependent on the completion of all response actions (Response Complete milestone) at a federal installation.

For installations listed on the National Priority List (NPL), the milestone is calculated on the date that the installation de-listing announcement from the NPL appears in the Federal Register.

For installations not listed on the NPL, the milestone is calculated on the one of the following documents: overall installation final No Further Action document or the overall Facility Closeout document.

The Environmental Restoration AR, PF and SF records cut-off date is calculated based on the Standard Subject Identification Code (SSIC) 5090.3, Hazardous Substance Records disposition statement for Environmental Restoration records: "Retire to nearest FRC 3 years after **completion** of response action. Destroy when 50 years old". Refer to <http://doni.daps.dla.mil/SECNAV%20Manuals1/5210.1.pdf>.

AR, PF and SF records created or received which support decisions, cleanup actions and closure of Environmental Restoration Program sites are considered "contingent temporary" because their disposition date is calculated on each installation's last Response Complete milestone.

Calculating a Disposition Date

Official records **MUST** be retained for the full retention period (24 hours ending at 12 midnight on the last day of the retention period) prescribed in the SECNAV MANUAL 5210.1, 16 November 2007, <http://doni.daps.dla.mil/SECNAV%20Manuals1/5210.1.PDF>.

For example, if an installation's records are sent to an FRC on 14 April 2008 (the record closed date), the cut-off date for the records would be 31 December 2009. The calculated (eligible) disposition date is 1 January 2059 (50 years + 1 day).

Supply Table

Supply Prices Are Subject To Change. Before ordering, consult appropriate GSA catalog to ensure that the correct item prices are quoted.

RECORDS SUPPLY REQUEST						
Requested By: _____			Request Date: _____			
Phone No. : _____			Date Needed: _____			
ITEM DESCRIPTION	SIZE/ CAPACITY	UNIT ISSUE (Volume Count)	SOURCE (Unit Cost)	ORDER NO.	UNIT Quantity	TOTAL COUNT
Expanding Folders (All Straight Cut):						
Size A (1 Pleat)	7/8"	EA (75/Box)	GSA (\$2.24)	7530-00-285-2915		
Size B (2 Pleats)	1 3/4"	EA (50/Box)	GSA (\$2.41)	7530-00-285-2913		
Size C (4 Pleats)	3 1/2"	BX (25/Each)	GSA (\$15.69)	7530-00-285-2917		
Size D (6 Pleats)	5 1/4"	EA (50/Box)	GSA (\$.78)	7530-01-407-3812		
Labels:						
Document Labels (Avery # 5267)	1/2" x 1 3/4"	BK (2,000/Each)	GSA (\$13.00)	7530-01-349-4462		
Folder Labels (Avery # 5160)	2 5/8" x 1"	BX (3,000/Each)	GSA (\$25.96)	7530-01-289-8191		
Box Labels (Avery # 5163)	2" x 4"	BX (1,000/Each)	GSA (\$30.13)	7530-01-336-0540		
Document Fasteners:						
8-1/2" Spacing – Med. (For 3-Hole Left Margin Punch)	3" Binding Capacity	BX (50/Each)	GSA (\$4.98)	7510-00-205-0806		
8-1/2" Spacing – Large (For 3-Hole Left Margin Punch)	6" Binding Capacity	BX (50/Each)	GSA (\$12.77)	7510-000235-6046		
FRC Approved Archiving Boxes (Listed as "Special-Use Boxes"):						
Standard Archiving Box	14 3/4" x 12" x 9 1/2"	BD (25/Bundle)	GSA (\$38.63)	8115-00-117-8249		
Strapping Tape (FRC Approved)	2" Wide	RO	GSA (\$4.36)	7510-00-159-4450		
Tabbed Index Sheets (3-Hole Punched)	1/5 Cut 5-Position	SE (100/Sheets)	GSA (\$3.40)	7530-00-959-4441		

RECORDS TRANSMITTAL AND RECEIPT				Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.				PAGE 1	OF PAGES
1. TO <small>[Complete the address for the records center serving your area as shown in 36 CFR 1228.150.]</small> Federal Records Center 23123 Cajaloo Rd. Perris, CA 92570				5. FROM <small>[Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.]</small> NAVAL FACILITIES ENGINEERING COMMAND SOUTHWEST ENVIRONMENTAL RECORDS, CODE EVR FISC, BLDG. 1, 3RD FLOOR 1220 PACIFIC HIGHWAY SAN DIEGO, CA 92132					
2. AGENCY TRANSFER AUTHORIZATION Diane Silva <small>AGENCY OFFICER</small> 511230 <small>DATE 10/07/07 BY 511230</small>		<small>DATE</small> 07/07/2008							
3. AGENCY CONTACT <small>TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)</small> Diane Silva, Records Management (619) 532-3676									
4. RECORDS CENTER RECEIPT <small>RECORDS RECEIVED BY (Signature and title)</small>									
<i>Fold Line</i>									
6. RECORDS DATA									
ACCESSION NUMBER			VOLUME	AGENCY BOX NUMBERS	SERIES DESCRIPTION	RESTRICTION	DISPOSAL AUTHORITY	DISPOSAL DATE	COMPLETED BY RECORDS CENTER
RG	FY	NUMBER	(cu. ft.)	(*)	(f)	(g)	(h)	(i)	LOCATION (j)
(#)	(B)	(C)	(d)	(*)	(f)	(g)	(h)	(i)	(j)
181	08		106	1 THRU 106	ENVIRONMENTAL CERCLA ADMINISTRATIVE RECORDS (AR) FOR N00217 - HUNTERS POINT AR NUMBER RANGE: 1247 THRU 1328 (NOT CONSECUTIVE) DATE RANGE: 30 NOVEMBER 2007 THRU 30 APRIL 2008 Records contained in this Accession are not related to the Tobacco/Firearms (TIL) or General Motors (GMF) Litigations. Destroy upon DOJ release on Navy records.	R	SECNAV MANUAL 5210.1 SSIC 5090.3	OPEN	
									SHELF PLAN (*) CONT. TYPE (f) AUTO. DISP. (m)
NSN 7540-00-834-4093			135-107			Standard Form 135 (Rev. 7-85)			Prescribed by NARA 36 CFR 1228.152

Appendix D – Alternative Model Paper Filing System

This Appendix presents an alternative to the recommended practice of filing paper records first by installation name followed by the numeric order of the documents. This alternative presents a filing model based on U S EPA category codes which roughly parallel the CERCLA cleanup process. The method is used to file paper records after metadata creation and labeling paper records is complete. The model is **NOT** a mandatory filing method.

ARF 1.0 IR SITE IDENTIFICATION (PA/SI)

- 1.1 Correspondence
- 1.2 Background
- 1.3 Notification/Site Inspection/CERCLA
- 1.4 Preliminary Assessment Report
- 1.5 Site Investigation Report
- 1.6 Previous Operable Unit Information
- 1.7 Action Plan
- 1.8 Site Inspection Scope

ARF 2.0 IR INTERIM REMEDIAL MEASURES/REMOVAL RESPONSE

- 2.1 Correspondence
- 2.2 Sampling and Analysis Plans
- 2.3 ATA/Chain of Custody
- 2.4 EE/CA Approval Memorandum
- 2.5 Engineering Evaluation/Cost Analysis
- 2.6 Remedial Action Memorandum
- 2.7 Amendment to Action Memorandum
- 2.8 Remediation Studies

ARF 3.0 IR RI/FS (REMEDIAL INVESTIGATION/FEASIBILITY STUDY)

- 3.1 Correspondence
- 3.2 Scopes of Work
- 3.3 RI/FS Project Plans
- 3.4 ATA/Chain of Custody
- 3.5 ARAR Determination
- 3.6 RI/FS Reports and IR Natural Resources Ecological Risk Assessments
- 3.7 Proposed Plan
- 3.8 Treatability Studies
- 3.9 Right of Entries (AGREE)
- 3.10 Comments

ARF 4.0 IR ROD (RECORD OF DECISION)

- 4.1 Correspondence
- 4.2 Record of Decision
- 4.3 Amendments to Record of Decision
- 4.4 Explanations of Significant Differences

- SF 5.0 IR EPA/STATE COORDINATION
 - 5.1 Correspondence
 - 5.2 Federal Facility Agreement and Interagency Agreement
 - 5.3 Defense State Memorandum of Agreement

- ARF or
SF 6.0 ENFORCEMENT
 - 6.1 Correspondence
 - 6.2 Enforcement History
 - 6.3 Endangerment Assessments
 - 6.4 Administrative Orders
 - 6.4.1 Other Orders
 - 6.5 Consent Orders
 - 6.6 Affidavits
 - 6.7 Technical Discussions with Potentially Responsible Parties
 - 6.8 Notice Letters and Responses
 - 6.9 Legal Documents

- ARF 7.0 IR HEALTH ASSESSMENTS (ATSDR)
 - 7.1 Correspondence
 - 7.2 ATSDR Health Assessments
 - 7.3 Toxicological Profiles

- ARF 8.0 IR NATURAL RESOURCE/ECOLOGICAL RISK ASSESSMENT
 - 8.1 IR Tribal Coordination
 - 8.2 Notices Issued
 - 8.3 Findings of Fact
 - 8.4 Reports

- SF 9.0 IR CONGRESSIONAL HEARINGS/INQUIRIES
 - 9.1 Correspondence
 - 9.2 Transcripts
 - 9.3 Presentations

- ARF 10.0 IR PUBLIC PARTICIPATION (TRC/RAB MEETINGS)
 - 10.1 Comments and Responses to Comments
 - 10.2 Community Relations Plan
 - 10.3 Technical Review Committee/ Restoration Advisory Board Meeting Invitations, Agendas, Minutes and Presentations
 - 10.4 Public Notice of Availability Information
 - 10.5 Public Meeting Transcript
 - 10.6 Documentation of Other Public Meetings
 - 10.7 Fact Sheets and Press Releases
 - 10.8 Responsiveness Summary
 - 10.9 Late Comments
 - 10.10 Correspondence

10.11 Newspaper Articles/Journal Entry

ARF 11.0 IR TECHNICAL/GUIDANCE SOURCES

- 11.1 EPA Headquarters Guide
- 11.2 EPA Regional Guidance
- 11.3 State Guidance
- 11.4 Technical Sources
- 11.5 Guidance Documents

ARF or PF
or SF 12.0 BASE CLOSURE AND REALIGNMENT ACT OF 1988 (BRAC)

- 12.1 BRAC Clean Up Plan (BCP)
- 12.2 Environmental Baseline Survey (ESB)
- 12.3 Real Estate
- 12.4 Environmental Impact Statement
- 12.5 BRAC Clean Up Team (BCT)
- 12.6 Correspondence

PF 13.0 IR REMEDIAL DESIGN

- 13.1 Correspondence
- 13.2 Remedial Designs/Plans
- 13.3 Biological Evaluations/Assessments (ESA)

PF 14.0 IR REMEDIAL ACTION – CONSTRUCTION

- 14.1 Correspondence
- 14.2 RA Project Reports
- 14.3 RA Construction Closure Reports

PF 15.0 IR REMEDIAL ACTION – MONITORING/OPERATIONS

- 15.1 Correspondence
- 15.2 Monitoring/Operations Work plans
- 15.3 Monitoring/Operations Reports

PF 16.0 IR INSTITUTIONAL CONTROLS

- 16.1 Correspondence
- 16.2 Institutional Control Plans
- 16.3 Institutional Control Reports

PF 17.0 IR 5-YEAR REVIEW

- 17.1 Correspondence
- 17.2 5-Year Review Reports

PF 18.0 IR RESPONSE COMPLETE AND LONGTERM MANAGEMENT/SITE CLOSURE AND DELISTING

- 18.1 Correspondence
- 18.2 Response Complete
- 18.3 Long-Term Management
- 18.4 Site Closure
- 18.5 Site Delisting
- 19 Reserved
- 20 Reserved
- 21 Reserved
- 22 Reserved
- 23.0 Environmental Program Policy**
- 24.0 DSMOA Program**
- 24.1 Program Issues
- 24.2 Alaska
- 24.3 Nevada
- 24.4 Washington
- 25.0 Tribal General**
- 25.1 Tribal Policy
- 25.2 Suquamish
- 25.3 Point No Point
- 25.4 Lummi Nation
- 25.5 Pullallip
- 25.6 Tulalip
- 25.7 Swinomish
- 25.8 Samish
- 25.9 Jamestown S'kallum
- 25.10 Lower Elwa
- 25.11 Port Gamble
- 25.12 Port Madison
- 25.14 Makah

Appendix E – Community Relations

Approved Administrative Record File Index Data Fields for Public Viewing

Use the following metadata fields when creating an ARF document index for Information Repositories or public websites:

- Document/Record Number = (i.e. N62578.AR.000001)
- Record Date
- Record Title
- Site, SWMU, UST, etc. Number
- Document Type
- Author Affiliation
- Number of Pages or Megabytes

Installation specific Administrative Record File Indexes can be generated in NIRIS using Discoverer Workbook (Reports)

List of Documents Required for Public Review or Public Review and Comment

1. Remedial Investigation Work Plan usually draft final (30 days - remedial action for **review and comment**)
2. Feasibility Study Work Plan usually draft final (30 days - remedial action for **review and comment**)
3. Remedial Investigation version released for public comment usually draft final (30 days - remedial action for **review and comment**)
4. Feasibility Study version released for public comment, usually draft final (30 days - remedial action for **review only**)
5. Proposed Plan or Proposed Remedial Action Plan including revised plan(s) (30 days - remedial action for **review and comment**)
6. Transcripts of public meetings usually draft final (30 days - remedial and removal actions for **review only**)
7. Consent Decrees usually draft final (30 days - remedial action for **review and comment**)
8. Engineering Evaluation/Cost Analysis usually draft final (30 days - removal action for **review and comment**)
9. Decision documents usually draft final (30 days - remedial and removal actions for **review and comment**)

10. Record of Decision amendments usually draft final (30 days - remedial action for **review and comment**)
11. Administrative Record File (Indefinite - when the remedial investigation is begun **review only**)

Suggested List of Documents for Inclusion in the Information Repository

Consult with the Project Manager to determine the final list of the types of documents to place in the Information Repository as well as how long the types of documents should remain in the Repository.

- Community Relations Plan
- Restoration Advisory Board meeting minutes (minus sign in sheets) and presentations
- Newspaper articles and public notices
- Technical Assistance Grant information
- Response to significant public comments (do not include the public comments)
- Proposed Remedial Action Plans
- Signed Records of Decision
- Environmental Restoration brochures and fact sheets
- Guidance documents (consult with the Project Manager)
- Installation specific brochures
- CERCLA and NCP regulations (consult with the Project Manager to determine if they should be in the Repository)
- Copies of press releases (consult with the Project Manager)
- Notices which propose delisting a site from the National Priorities List
- Installation photographs (consult with the Project Manager)

Appendix F – Federal Employee Records Responsibilities

Government employees create and send records. Records are maintained and disposed of based on [SECNAV M-5210.1](#), *Department of the Navy Records Management Manual*, December 2005, Standard Subject Identification Codes (SSIC). See NARA's *Documenting Your Public Service*, 2000 Web Edition, for detailed information. <http://www.archives.gov/records-mgmt/publications/documenting-your-public-service.html>.

What are Federal agency responsibilities?

Federal agencies are legally required to manage their records. Records are the evidence of the agency's actions. Therefore, they must be managed properly for the agency to function effectively and to comply with Federal laws and regulations.

See NARA, <http://www.archives.gov/records-mgmt/faqs/general.html>

- [What is records management?](#)
- [Who is responsible for records management?](#)
- [What are Federal agency responsibilities?](#)
- [What are Federal employee responsibilities?](#)
- [What are some of the benefits of records management?](#)

The NAVFAC Environmental Restoration Business Line Project Managers create documents that become part of the Administrative Record Files, Site Files and Post Decision Files as defined by OWSER DIRECTIVE 9833.3A-1. These Files are retained for fifty (50) years after the last decision document is signed at an installation in accordance with the Standard Subject Identification Code (SSIC) 5090.3.a, found in [SECNAV M-5210.1](#), *Department of the Navy Records Management Manual*, December 2005.

Select documents created as a result of work performed by Project Managers are considered working copies or duplicates of documents. These documents are considered non-records and may be retained by the Project Manager as temporary reference material. See the definitions below for specific information about non-records.

Environmental Restoration Project Managers may also create or receive documents which are part of another Business line's official records. Copies of these documents are considered working copies or duplicates of another Business line's official records. Working copies or duplicates copies will not be included in the Administrative Record, Post Decision or Site Files.

Environmental Project Managers may also have personal files or papers that are considered non-records. See the definition below for specific information.

Department of the Navy Knowledge Online (NKO)

The Department of the Navy maintains the Navy Knowledge Online (NKO) website which has Records Management classes designed for Navy employees. NKO requires a login and password.

The website is:

https://wwwa.nko.navy.mil/portal/splash/index.jsp?successURL=/portal/page%3Fpaf_gear_id%3Dch80002%26paf_dm%3Dshared%26paf_pageId%3Dpg50003%26resubmit%3Dyes%26databaseType%3Deverything%26_requestid%3D72123

There are two Records Management NKO courses are:

[Records Management in the DON: Everyone's Responsibility](#) (DOR-RM-010), a web-based training course which provides an overview of the DON Records Management Program and emphasizes the legal responsibility to actively support the creation, management and preservation of official records.

[Department of the Navy \(DON\) Records Management: Advanced Topics](#) (DOR-RM-020). DON Records Management Advanced Topics provides additional instruction and guidance on management of official records within the DON. It updates, supplements and reinforces records management roles and responsibilities with Navy and Marine Corps commands and activities, and provides specific instruction on the creation, use and management and disposition of official records.

DON Chief Information Officer (CIO) Records Management

The DON CIO provides strategic direction and oversight of DON records management, which includes the planning, controlling, directing, organizing, training, promoting and performance of other managerial activities related to the creation, maintenance, use and disposition of records.

The website is: <http://www.doncio.navy.mil/TagResults.aspx?ID=37>

The website has links to a Records Management Self-Evaluation Checklist, the Updated *DON SSIC Manual*, the Records Management Tool Aids Disposition Decisions, the *DON Standard Subject Identification Code Manual* and other Records Management information.

It also has a link to the *DON Records Management Annual Refresher Training Guide*, July 21, 2008

The Guide is designed as an annual refresher course for Department of the Navy employees (military, government civilian and contract personnel) to remind them of their responsibilities regarding records management. The revised guide provides information necessary for conducting refresher training to fulfill this requirement.

Specifically, each person must be reminded that:

1. Personnel are responsible for the creation of records. They must check with the appropriate Command representative to determine Command policy and procedure for maintaining and preserving records.
2. Personnel must assist with the identification of records they create.
3. Personnel should be able to identify non-record materials.

4. Personnel must identify personal papers and maintain them separately from organizational records.
5. Personnel cannot, by law, remove records from government custody or destroy them.
6. Personnel must check with the appropriate Command representative for Command policy and procedure for records disposition.
7. Personnel must inform appropriate Command officials of any actual, impending or threatened unlawful removal, alteration or destruction of Federal records. Personnel must be made aware of the sanctions provided for the unlawful removal or destruction of Federal records.

Additionally, DON personnel should be informed that:

They may not destroy, discard or delete any record or other documentary material that is subject to any type of hold, or that may be related in any way to any reasonably foreseeable or ongoing litigation or investigation, or any unresolved claims for or against the government, incomplete investigations or exceptions taken by the Government Accountability Office or internal auditors.

Emails which meet the definition of a record will be declared records and must be properly managed as records. See DON CIO Memorandum, 15 June 2007 DON Electronic Records Management and Record Electronic Mail Management <http://www.doncio.navy.mil/PolicyView.aspx?ID=416>

Official Record Materials

The simple definition of a record is: Any information made or received during the course of official agency business which documents the transaction of public business or provides evidence of the organization, functions, policies, decisions, procedures, operations or other official activities.

The legal definition of a record (from [44 U.S.C. Chapter 33, Section 3301](#), and the National Archives and Records Administration (NARA)) is as follows:

"A record includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them."

NARA provides further explanation of the terms used in the legal description above, as follows:

- **DOCUMENTARY MATERIAL** - all media on which information is collected
- **REGARDLESS OF PHYSICAL FORM** - includes paper, film (silver, prints, negatives, etc.), electronic disks, e-mail, audio/video recordings or any physical type or form
- **MADE (created)** - media made (created) by agency employees, federal contractors; it includes materials circulated by them

- **RECEIVED** - documentary materials accepted or collected by agency employees or federal contractors.
- **PRESERVED** - the filing, storage and systematic maintenance of documentary materials performed by the agency
- **APPROPRIATE FOR PRESERVATION** - media that is suitable for filing, storage or systematic maintenance by the agency. Media which documents the transaction of public business by the agency as evidence of the organization, functions, policies, decisions, procedures, operations or other official activities of the government
- **EVIDENCE** - documentation of the organization, functions, and activities of an agency
- **INFORMATIONAL VALUE** - the usefulness of information documenting the official persons, places, things or matters dealt with by the agency.

Do not retain information or documents "just in case" they might be needed in the future. If the document does **NOT** serve as evidence of the agency's functions, policy, decisions, procedures, operations, etc., described above, it is **NOT** a record

Non-Record Materials

NARA defines and lists types of documents and materials which are considered non-Records. NARA directs agencies to not combine records and non-record documents, files and materials.

- **PERSONAL PAPERS** - Documentary materials belonging to an individual that are **NOT** used to conduct agency business, and are related **SOLELY** to an individual's own affairs or used exclusively for that individual's convenience. Must be clearly designated as such and kept **SEPARATE** from the agency's records.
 - See [Documenting Your Public Service, 2000 Web Edition](#)
- **LIBRARY AND MUSEUM MATERIAL** - Material used solely for reference or exhibition purposes. Items of archeological or historical significance must be inventoried and offered to appropriate museum curators.
- **CONVENIENCE OR DUPLICATE COPIES** – Non-record copies of correspondence, completed forms and other documents kept solely for ease of access and reference. Verify that the official record is appropriately filed in the agency's official files prior to discarding in an appropriate manner to safeguard sensitive or protected information.
- **STOCKS OF PUBLICATIONS** - Extra **COPIES** or large quantities of documents printed or otherwise produced for wide distribution inside or outside the agency.
- **BLANK FORMS**
- **VENDOR CATALOGS, BROCHURES, PRODUCT PRICE LISTS, ETC.**

- **INTERNAL DRAFTS/WORKSHEETS** - As a general rule, internal draft documents or worksheets are **NOT** considered official records.
- **WORKING FILES** - Documents and files kept by a Project Manager for convenience and ease of access. They can include duplicate documents, draft versions of documents, scopes of work and other contract documents and progress reports,
- **PROFESSIONAL JOURNALS AND PUBLICATIONS**
- **COPIES OF DIRECTIVES** - Official original directives are retained by the issuing office. The agency level which issued the directive has the responsibility of retaining the official record file(s). All others are considered duplicates and should be discarded in an appropriate manner to safeguard sensitive or protected information.

Discarding or Destroying Records

Copies of records: Only confirmed duplicate copies of records can be discarded or destroyed in an appropriate manner. Approved destruction methods help safeguard sensitive or protected information.

Official Records: Official records which are considered closed and or have met their legal retention periods, **cannot** be discarded or destroyed because the Department of Justice (DOJ) has imposed a Navy-wide records freeze until further notice.

NAVFAC has no records pertaining to the two litigations currently in progress but cannot obtain an exemption from the DOJ records freeze.

Until the “records freeze” is lifted, **NO** "official" records can be destroyed or discarded even if the records have met their legal retention requirements. Consult the Command Records Manager or the designated representative for further information.

Storing Records

Records do not need to be stored in office space or onsite storage once the records have met their onsite storage requirement.

Documents can be boxed and transferred to the Command appropriate Federal Records Center (FRC), where they will be stored until the records freeze is lifted.

Contact the Command Records Manager or designated representative for specific guidance and assistance for transferring open, closed or expired official records to the FRC. See [Appendix C](#) for detailed information about Federal Records Centers

Appendix G – NAVFAC Environmental Contractor Work Instruction

Environmental Work Instruction: Contractor Requirements

- Subj: Contractor Document Submittal Requirements for the Comprehensive Environmental Response, Compensation And Liability Act (CERCLA) Administrative Record Files, Site Files And Post Decision Files
- Ref: (a) USEPA, OSWER Directive #9833.3A-1, “Final Guidance on Administrative Records for Selecting CERCLA Response Actions”, Dated 3 Dec 1990 <http://www.epa.gov/compliance/>
- (b) NFESC, UG-2024-ENV, “Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) Administrative Records Management System (ARMS) User's Guide”, Dated September 1997
http://erb.nfesc.navy.mil/erb_a/support/wrk_grp/arms/ARMSGuide.PDF
- (c) Navy Environmental Restoration Program (NERP) Manual, August 2006
[https://portal.navy.mil/pls/portal/docs/PAGE/NAVFAC/NAVFAC_WW_PP/NAVFAC_NFESC_PP/ENVIRONMENTAL/ERB/RESOURCEERB/NERP_MANUAL_2006\(20070710\).PDF](https://portal.navy.mil/pls/portal/docs/PAGE/NAVFAC/NAVFAC_WW_PP/NAVFAC_NFESC_PP/ENVIRONMENTAL/ERB/RESOURCEERB/NERP_MANUAL_2006(20070710).PDF)
- Encl: (1) Typical Remedial Action Administrative Record Documents
(2) Typical Removal Action Administrative Record Documents
(3) Typical Post Decision Documents
(4) Typical Site File Documents
(5) How to Create Approved NIRIS Ready .PDF Formats with Optical Character Read and Bookmarking

Purpose

The purpose of the instruction is to meet the requirements listed in references (a), (b) and (c) and to provide contractor requirements for submitting CERCLA documents to the Command Environmental Records Manager. Documents will be added to the appropriate existing Administrative Record Files, Post Decision Files and Site Files.

Shipping, telephone and email information will be provided upon request.

Background

The Administrative Record File (ARF) is the collection of documents that forms the basis for the selection of a particular response at a site. Documents that are included are relevant documents that were relied upon in selecting the response action, as well as relevant documents that were considered but ultimately rejected.

Purposes of ARF

The ARF is compiled for two primary purposes:

1. It contains those documents, which form the basis for selection of a response action and CERCLA Section 113(j) limits judicial review of any issue concerning the adequacy of a response action to the ARF.

2. It serves as a vehicle for public participation in the selection of a response action (CERCLA Section 113(k)). As lead agency, NAVFAC is responsible for establishing and maintaining the official, original ARF and associated files in accordance with references (a) and (b).

Applicability

This instruction is applicable to the Environmental Restoration Program.

Procedure

Document Submittal Requirements

1. Provide one complete electronic and one complete unbound, paper copy original document of all **FINAL** versions and updated **FINAL** versions of (reports, studies, plans, designs, etc.) primary and secondary documents. See Chapter 4, Electronic submission requirements and Appendix K – How to Create Approved NIRIS Ready Acrobat .PDF Files and Bookmarks
2. When a draft or draft final document with changes made in accordance with comments is accepted as the final version, provide one complete electronic and one complete unbound, paper copy of the original document.

Provide a signed letter from the Project Manager documenting acceptance of the draft or draft final version as the final. See Chapter 4, Electronic submission requirements and Appendix K, How to Create Approved NIRIS Ready Acrobat .PDF Files and Bookmarks

3. Provide a signed letter from the RPM documenting acceptance of the draft or draft final version as the final when a draft or draft final document with no changes is accepted as the final version,
4. Provide one electronic and one unbound paper copy of all regulator (state, federal and other) correspondence, regardless of medium, which contains comments on all versions of draft, draft final and final documents. See Appendix G, Document Submittal Requirement, bullets number 5 and 6. (Same as OPTION 1 below)
5. OPTIONS for providing draft and draft final versions of documents

NOTE: Submission requirements vary; consult Command specific policies and procedures to determine the correct option

OPTION 1: (Same as Submission Requirement # 4) Provide one electronic and one unbound paper copy of all regulator (state, federal and other) correspondence, regardless of medium, which contains comments on all versions of draft, draft final and final documents. See Appendix G, Document Submittal Requirement, bullets number 5 and 6. Do not submit draft or draft final versions of documents if this option is selected.

OPTION 2: Provide one electronic and one unbound paper copy original documents of all draft and draft final versions of documents **which have been commented on either by a regulator, member of the public or others.** Submit all regulator comments as described in Submission

Requirement # 4. See Chapter 4, Electronic submission requirements and Appendix K, How to Create Approved NIRIS Ready Acrobat .PDF Files and Bookmarks

List of Typical Documents Which Usually Receive Review and Comments

- Remedial Investigation Work Plan draft and draft final versions
 - Feasibility Study Work Plan draft and draft final versions
 - Remedial Investigation and Associated Report draft and draft final versions
 - Feasibility Study draft and draft final versions
 - Proposed Plan or Proposed Remedial Action Plan including revised plan(s) draft and draft final versions
 - Consent Decrees draft and draft final versions
 - Engineering Evaluation/Cost Analysis draft and draft final versions
 - Decision documents and Record of Decisions draft and draft final versions
 - Record of Decision amendments draft and draft final versions
6. Submit documents in an appropriate size expandable file folder(s).
 7. Refer to the comprehensive list of documents that must be submitted. The list can be found in the Navy Environmental Restoration Program ([NERP Manual](#)), Chapter 14, dated September 2006 and [Appendix B](#).
 8. Ensure that the document contains all pages, including, but not limited to, tables, figures, maps and drawings, photos, enclosures, attachments, appendices, logs, raw analytical or sampling data, calibration data, laboratory reports, etc.
 9. Ensure that oversized pages (exceeding 8 ½ x 11 inches) are folded and inserted appropriately into the document. Legal size sheets (8 ½ x 14 or 11 x 17 inches) shall be “Z” folded and 3-hole punched on the left margin only. Large map and drawing plates which cannot be hole-punched or bound shall be folded and inserted into plastic protective slip covers so that the title/description box is clearly visible without removing from the protective cover. Bindings or punched holes must not obstruct or remove printed information from the document.
 10. Ensure that maps, drawings, photos, etc., which are submitted as separate pages, attachments, enclosures, addendums, etc., are appropriately identified with the date, description, installation name and site location.
 11. Provide one (1) paper and electronic copy of raw analytical or sampling data when the final official paper document is submitted.
 12. Ensure that original public notices published in all commercial or military publications, including, but not limited to, newspapers, magazines, pamphlets, flyers, etc., are submitted to the official record file. The original clipping shall include the printed publication name and date. When multiple notices are published on multiple dates or publications, all clippings shall be submitted to the official record file.

13. Some NAVFAC Commands require that multiple documents be provided to various locations. Consult the appropriate Command **Distribution Matrix** in order to determine how many copies of a document to submit, where they should be submitted and the appropriate format(s).
14. Documents which have **multiple volumes** will have identical title pages in each volume. Each title page will clearly display the information, "VOLUME __ OF __. Each volume will have a description of the volume contents, i.e. Text, Appendix A, Appendices C-F.
15. Provide a complete copy of the **FINAL** version or updated **FINAL** version of the document in the approved NIRIS ready portable document file (.PDF) format with Optical Character Read (OCR) and bookmarked as described in [Appendix K](#).
 - See [Appendix K](#), How to Create Approved NIRIS ready Adobe Acrobat .PDF format and Bookmarks, for detailed creation instructions and information. The complete NIRIS ready .PDF format, OCR and bookmarked version will include all document pages and sections, etc. in the proper document order.
 - Electronic files will **NOT** be password protected.
 - CDROM or external hard drive labels will clearly display the same information as the paper version of a document.
16. Provide one signed paper and electronic copy on official letterhead of formal correspondence and letters to/from all regulators and other officials documenting decisions, granting approval of a document or making comments and responding to comments regarding documents in the ARF, PF or SF. Electronic copies of correspondence can be provided in the approved NIRIS ready .PDF format.
17. Provide one signed electronic copy of emails to/from regulators and other officials documenting decisions, making comments, responding to comments or other emails which are pertinent to the ARF, PF or SF. Emails can be forwarded in the Microsoft Outlook format.
18. Provide one paper and electronic copy of Partnering meeting minutes and technical memorandums. The list of attendees will be provided on a separate sheet. Electronic copies of minutes can be provided in the approved NIRIS ready .PDF format.
19. Provide one paper and electronic copy of Restoration Advisory Board meeting minutes, agendas, transcripts and all presentations. The official sign in sheet, available to members of the public who attend, will be provided on a separate sheet. Electronic copies of minutes, agendas, transcripts and presentations can be provided in the approved NIRIS ready .PDF format.
20. Provide one paper and electronic copy of all original public notices and announcements published in all commercial or military publications, including, but not limited to, newspapers, magazines, pamphlets, flyers, etc. When multiple notices are published on multiple dates or publications, all notices and announcement will be submitted. The full name of the printed publication, date of the notice and the proper name of the installation will be appended to the notice. The preferred alternative is to cut out newspaper name and date the notice or announcement appeared. An electronic version of same will be provided. Electronic copies of documents can be provided in the approved NIRIS ready .PDF format.

21. Provide one paper and electronic copy of all other documents considered to be part of the Administrative Record File, Site File or Post Decision File. Refer to the [Navy Environmental Restoration Program \(NERP\) Manual](#), Chapter 14, dated September 2006 for a complete listing of documents. Electronic copies of documents can be provided in the approved NIRIS ready .PDF format.
22. Provide one paper and electronic copy of raw analytical data and unverified data when the final version of a document is submitted. If the raw analytical data or unverified data supports a second final version of a document, see ['Required Information For Raw Analytical Data'](#) for further information. Please contact the appropriate Command for specific submittal directions.

Required Information for All Document Submittals

1. Required: Document title page with the following:
 - Complete, consistent and accurate title on the title and cover page(s)
 - Document date
 - Complete contract number
 - CTO number
 - Delivery order number (if applicable)
 - Modification number
 - Full contractor firm name
 - Number of volumes (if applicable)
 - State that the document is a FINAL version or an updated FINAL version
2. Optional
 - Footers (inclusion is at the discretion of the Project Manager)
 - When footers are visible in a document, all visible information must be updated and accurate. Information, such as, but, not limited to, document control number, document version, revision, if applicable, volume number, etc: must correspond to the document in which it is printed.

Required Information for All Correspondence

- Complete, consistent and accurate title of the document or report(s) to which the correspondence is referring clearly identified in the subject line.
- Correspondence must be on letterhead
- Correspondence must be signed
- Document date must be clearly visible; document receipt date must be clearly visible
- All attachments must accompany the correspondence
- The following information must be prominently display:
 - Contract number
 - CTO number
 - Delivery order number (if applicable)
 - Modification number (if applicable)
 - Full Contractor firm name

Required Information for Raw Analytical Data

- Raw analytical and unverified data will be submitted at the same time the corresponding final report is submitted.
- If raw analytical and unverified data supports more than one final report, the document will be submitted with the final version of the FIRST report it supports.
- Subsequent reports supported by the data will have a slip sheet, inserted behind the Table of Contents and Appendices listing, referencing the document number and document title with which the data is associated.
- The slip sheet will have pertinent Federal Record Center numbers and information if the document and associated raw analytical data and unverified data have been sent to the Federal Records Center.
- Submissions requirements:
 - Submit one complete paper copy
 - Submit one complete copy of the data on CDROM; this does not substitute for the paper copy
- The paper and electronic versions of the raw analytical and unverified data will have a title page which displays the following information:
 - Complete, consistent and accurate name of the installation to which the analytical data is associated with
 - Complete, consistent and accurate title on the title/cover page(s) to which the analytical data is associated with
 - Number and name of the site/OU/SWMU/AOC etc., to which the analytical data is associated with
 - Document date
 - Date(s) or approximate dates data was collected
 - Contract number
 - CTO number
 - Delivery order number
 - Modification number
 - Full Contractor firm name
 - Documents that have multiple volumes will have a title page identical to the title page in Volume 1 of a set. All volume title pages will clearly display the information, "VOLUME ___ OF ___".

Required Information for All Emails

Project managers who conduct official business with state and federal regulators, via email, related to Administrative Record Files, Post Decision Files and Site Files should forward appropriate emails to the Records Managers. Emails will be reviewed and evaluated for inclusion in one of the files. Internal emails between the Navy and contractors need not be forwarded unless they convey important information.

The Records Manager will be added to email distribution lists for **formal** email correspondence between the Department of the Navy, their official contractor representative(s) and federal and state or other regulators related to Administrative Record Files, Post Decision Files and Site Files.

Emails must have the complete, consistent and accurate title of the document/report(s) to which the email is referring clearly identified in the subject line.

Emails will clearly display the following information:

- The proper installation name
- The site, SWMU, OU, AOC or other designation name under discussion
- The full name and version (preliminary draft, draft, draft final, final) of the document being discussed

The following information should be provided in the email as appropriate and necessary:

- Contract number
- CTO number
- Delivery order number
- Modification number
- Full Contractor firm name

Emails will be printed by the Records Manager for retention in the official record; the electronic version will be filed by the Records Manager in the appropriate file.

Appendix H – Sensitive Records, Pages and Information Definitions

SENSITIVE INFORMATION

Sensitive Information or knowledge is defined as information or knowledge that might result in the loss of an advantage or level of security if revealed (disclosed) to others who might have a low or unknown level of trust and/or indeterminable or hostile intentions.

Loss, misuse, modification or unauthorized access to sensitive information can adversely affect the privacy of an individual, trade secrets of a business or even the security, internal and foreign affairs of a nation depending on the level of sensitivity and nature of the information.

See Appendix L –Managing Documents That Require Special Handling for a list of typical documents which may contain Sensitive Information and how to manage the documents or information.

Definitions

Sensitive Unclassified Information

Definition: Sensitive unclassified information is an informal designation applicable to all those types and forms of information that, by law or regulation, require some form of protection but are outside the formal system for classifying national security information. As a general rule, all such information may be exempt from release to the public under the [Freedom of Information Act](#).

Controlled Unclassified Information (CUI)

Definition: Controlled Unclassified Information (CUI) refers to certain types of sensitive information within DoD that require controls and protective measures. CUI includes For Official Use Only and information with comparable designations received from other agencies as defined in the Computer Security Act of 1987, and DoD technical data.

For Official Use Only (FOUO)

Definition: For Official Use Only (FOUO) is a document designation, not a classification. This designation is used by Department of Defense and a number of other federal agencies to identify information or material which, although unclassified, may not be appropriate for public release. There is no national policy governing use of the For Official Use Only designation. DoD Directive 5400.7 defines For Official Use Only information as "unclassified information that may be exempt from mandatory release to the public under the Freedom of Information Act (FOIA)." The policy is implemented by DoD Regulation 5400.7-R and 5200.1-R.

DoD Technical Data

Definition: Appropriate marking and control of certain unclassified technical data dealing with military or space applications are important because foreign corporations and others acting on behalf of foreign

governments may otherwise file requests for this information under the [Freedom of Information Act](#). These requests often seek entire defense contract packages. For example, when a major corporation in a friendly country decided to enter the space industry, it made extensive use of FOIA requests as a means of obtaining information from NASA. By some estimates, the corporation filed over 1,500 FOIA requests in a single year.

Department of Defense Directive 5230.24 establishes a number of procedural requirements intended to identify and control the dissemination of export-controlled technical documents created by DoD-funded research, development, test and evaluation programs. These procedures apply to engineering drawings, standards, specifications, technical manuals, blueprints, drawings, plans, instructions, computer software and documentation, and other technical information that can be used or be adapted for use to design, engineer, produce, manufacture, operate, repair, overhaul, or reproduce any military or space equipment or technology concerning such equipment.

Freedom of Information Act

Definition: The Freedom of Information Act (FOIA) requires all Federal Agencies to conduct their activities in an open manner and to have a system for providing the public with the maximum amount of accurate and timely information allowed by law.

Access to FOUO Information. FOUO information may be disseminated within the DoD components and between officials of the DoD components and DoD contractors, consultants, and grantees as necessary in the conduct of official business. FOUO information may also be released to officials in other departments and agencies of the executive and judicial branches in performance of a valid government function.

The FOIA allows nine exemptions from this mandatory release policy. The purpose of the exemptions is to preclude the unauthorized disclosure of information that requires protection. These exemption categories reflect laws, executive orders, regulations, or court decisions that either require or permit protection of certain classes of information. The exemption categories, in turn, also help define information that may be protected. For example, Department of Defense Regulation 5200.1-R defines For Official Use Only information as "unclassified information that may be exempt from mandatory release to the public under the Freedom of Information Act (FOIA)."

DoD Regulation 5200.1-R, Appendix C, describes the nine FOIA exemptions

1. Information which is currently and properly classified.
2. Information that pertains solely to the internal rules and practices of the agency. (This exemption has two profiles, "high" and "low." The "high" profile permits withholding of a document that, if released, would allow circumvention of an agency rule, policy, or statute, thereby impeding the agency in the conduct of its mission. The "low" profile permits withholding if there is no public interest in the document, and it would be an administrative burden to process the request.)
3. Information specifically exempted by statute establishing particular criteria for withholding. The language of the statute must clearly state that the information will not be disclosed.
4. Information such as trade secrets and commercial or financial information obtained from a company on a privileged or confidential basis that, if released, would result in competitive harm to the company, impair the government's ability to obtain like information in the future or to protect the government's interest in compliance with program effectiveness.
5. Inter-agency memoranda that are deliberative in nature; this exemption is appropriate for internal documents that are part of the decision making process and contain subjective evaluations, opinions and recommendations.

6. Information the release of which could reasonably be expected to constitute a clearly unwarranted invasion of the personal privacy of individuals.
7. Records or information compiled for law enforcement purposes that (a) could reasonably be expected to interfere with law enforcement proceedings; (b) would deprive a person of a right to a fair trial or impartial adjudication; (c) could reasonably be expected to constitute an unwarranted invasion of the personal privacy of others, (d) disclose the identify of a confidential source; (e) disclose investigative techniques or procedures; or (f) could reasonably be expected to endanger the life or physical safety of any individual.
8. Certain records of agencies responsible for supervision of financial institutions.
9. Geological and geophysical information concerning wells.

Privacy Act of 1974 Information

Definition: Privacy information is information about an individual including, but not limited to, personal identifying information, social security number, payroll number, information on education, financial transactions, birth date, medical history including results of drug testing, any identifying information at all about family members and criminal or employment history. Personal information that could facilitate criminal, harassment, or terrorist activity against military personnel or government or defense contractor employees should be identified and protected.

Restoration Advisory Board sign in sheets with names, addresses, emails and telephone numbers are protected under the Privacy Act.

The Privacy Act addresses information contained in "Federal systems of records." An individual is defined in the act as a citizen of the U.S. or an alien lawfully admitted for permanent residence.

The Privacy Act requires that privacy information in the custody of the Federal Government be protected from unauthorized disclosure and provides for both civil and criminal penalties for violation of the act.

Privacy information in the custody of government contractors is not covered by the Privacy Act unless the contractor is performing on a contract under which the contractor is provided access to or custody of such information by the Federal Government. Under this condition, the law would apply to contractor personnel the same as it applies to government personnel.

Deliberative Process Privilege

Definition: A privilege exempting the government from disclosure (as in discovery) of government agency materials containing opinions, recommendations, and other communications that are part of the decision-making process within the agency. For example:

- Attorney Client Privilege
- Attorney Client Contract
- Attorney Client Work Product
- Attorney Client Privilege Email
- Attorney Client Privilege In-House Counsel
- Attorney Client Privilege Protection Act
- Attorney Client Privilege Work Product
- Attorney Client Relationship

- Attorney Client Confidentiality

NOTE: Unexploded Ordnance (UXO) locations and coordinates cited in documents are NOT considered sensitive.

See pre-scanning quality assurance procedures outlined in [Appendix I](#) as they apply to sensitive records.

See [Appendix L](#), Managing Documents that Require Special handling for further information on Sensitive documents.

See [Appendix M](#), Metadata Fields and Standard Data Entry for further information about the Sensitive metadata field and the Sensitive metadata Narrative field.

Appendix I – Preparing Documents for Data Entry and Scanning

Pre-Scanning Quality Control Checks

Missing Pages or Other Items

If pages or other items are missing from records produced by a contractor or sub-contractor, forward an e-mail to the Contracting Officer Representative (COR) or the assistant designated to handle this issue, requesting a copy of the missing pages or other items from the COR copy or from the issuing contractor.

Provide the COR with the following information when requesting missing pages or other items:

- Contract Number or Contractor Name
- CTO or DO Number
- Record Title
- Record Date
- List of Missing pages or other Items from the Record
- Administrative Record Number
- Send a copy of the email to the Project Manager

Multiple Volumes

Some records contain multiple volumes.

1. Verify that all volumes have been received
2. Indicate the volume number and the total number of volumes that complete the record (i.e., Volume I of II; Volume II of II, etc.)
3. If records with multiple volumes were entered into the database separately with each volume labeled with an individual record number, place a slip-sheet (Figure 3-3a) to indicate that the volumes have been entered in the database under a separate record number and identify the record number(s).
4. Remove blank pages **ONLY**. **DO NOT** remove pages marked with notations such as “This Page Intentionally Left Blank”, page numbers, etc. When in doubt, consult the Project Manager.
5. **DO NOT REMOVE TAB SHEETS**. For imaging purposes, ensure the page following the tab appropriately identifies appendices, figures, tables, attachments, enclosures, etc. If not adequately identified, insert a slip-sheet (Figure 3-3b) identifying the appropriate information to be used during imaging.
6. Ensure that all pages actually belong to the record being reviewed. If not, tag the pages in question and verify with the Project Manager. For other records, consult the RPM.

7. In some cases, pages with maps, figures, tables, etc., are not numbered and one or two consecutive page numbers have been skipped. Place the next appropriate page number on the affected page(s) and place a slip-sheet (Figure 3-3c) identifying the next page number that was skipped. This will inform the reader that pages were intentionally left blank. **ALWAYS** verify page numbers with the Table of Contents.
8. Records that have an electronic version of the document.
 - CDROMs - Verify that the CDROM version of the document is readable. Place a slip-sheet in front of the record noting that the record has a CDROM version. Consult the Project Manager if the CDROM is not readable.
 - Other media – Verify that the media version of the document is readable. Place a slip-sheet in front of the record noting that the record has an electronic version. Consult the Project Manager if the medium is not readable.
9. Remove maps and oversize documents from plastic slipcover and place it into a heavy stock paper slant-cut folder.
10. Damaged pages within a record require special handling (i.e., crinkled, ripped, extra hole punches, etc.). Tag the pages with a Post-It™ marked with a red slash. Place the tag on the right edge of the page so that when the record is placed into the file folder it will be visible during the scanning process.
11. Use a transmittal form when returning records with discrepancies to the issuing agency or contractor. Provide all required information.

Preparing and Packing the Records for Shipment for Scanning

1. Print an index for each installation, sorted by record number, containing information for all records sent to be scanned.
2. Verify that all records listed are present. Consult the Project Manager when records cannot be located.
3. Place each record in the appropriate size file folder.
4. Arrange and pack file folders sequential record number order.
5. Place file folders in the standard white FRC boxes with folder labels facing the front of the box (the front displays the words 'ACCESSION NUMBER')
6. Prepare a record scanning transmittal cover letter.
7. Distribute a copy of the letter and index to:
 - Original to the scanning contractor.
 - Project Manager if applicable.

8. In NIRIS, select the “Image Status Data Field’ to indicate that records have been forwarded for scanning.
9. Seal and label the boxes. Label each box as shown below:
 - Date the records are being transferred
 - Individual box number and the total number of boxes sent in a shipment

For example, three (3) boxes of records transferred on 20 August 2007:

07/20/2008 – 1/3 and 07/20/2008 – 2/3 and 07/20/2008 – 3/3.

Label each box as shown below:

Sample Label

BOX NUMBER	07/20/2008 – 1/3
ACTIVITY NAME	NAS ANYWHERE
RECORD NUMBERS	N12345.000198 – 000220

Post-Imaging Quality Assurance (includes microfilm, microfiche, CD-ROMs, external hard drives)

- When scanned paper or other record types are returned, verify that all records forwarded for scanning are contained in each box and remain in sequential order.
- Remove Post-It™ tags previously applied for scanning and discard.
- If CDROMs or external hard drives house the electronic versions of documents, verify each CD-ROM or external hard drive is usable and that all functions and features on the CD-ROM or external hard drive are operational (including, but not limited to, table of contents hot links, search functions, query builders, report printing, page marking, unmarking and printing, etc.).
- If CDROMs or external hard drives house the electronic versions of documents, verify that all records and record pages are contained on the CDROM or external hard drive.
 - This function can be performed by the scanning contractor.
- Conduct a sample records review. Documents which are large or contain different types of formats or pages should be reviewed to verify page order, image quality of maps, drawings, etc. and proper links applied from the table of contents.

Appendix J – Records Manager and Project Manager Responsibilities

Every NAVFAC Environmental Business Line office will have a Records Manager or an alternative documented process to handle Administrative Record Files, Post Decision Files and Site Files. See Section 113 of the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA), as amended by the Superfund Amendments and Reauthorization Act of 1986 (SARA) for the requirements and authority to establish the Files.

- The Records Manager is responsible for ensuring that official paper Administrative Records are compiled and maintained according to the [CERCLA Environmental Restoration Recordkeeping Manual](#) requirements and references identified in [Appendix A](#), A list of websites which present information about the Environmental Restoration and Records Management programs.
- The Records Manager is responsible for the organization, review, evaluation and determination of documents for inclusion in the Administrative Record File, Post Decision File and Site File as described in the [CERCLA Environmental Restoration Recordkeeping Manual Appendix B](#), Typical Administrative Record File, Post-Decision File and Site File Documents.
- The Records Manager is responsible for coordinating with Remedial Project Managers (RPM) and Environmental Counsel when questions arise as to the relevance and appropriateness of including a document in the ARF. See OWSER DIRECTIVE 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions, Part [II. PROCEDURES FOR ESTABLISHING THE ADMINISTRATIVE RECORD](#) A. Administrative Record Coordinator.
- The Records Manager is responsible for oversight and management of document metadata entry in NIRIS as described in the [CERCLA Environmental Restoration Recordkeeping Manual Chapter 3](#), Metadata Creation, Labeling, Official Paper Records Filing Instructions, Distribution and Archiving Options.
- The Records Manager is responsible for maintaining sensitive documents in a separate portion of the ARF as prescribed in the OSWER DIRECTIVE 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions, Part III. CONTENTS OF THE ADMINISTRATIVE RECORD, Section H, Privileged Documents and the [CERCLA Environmental Restoration Recordkeeping Manual Appendix L](#), Documents That Require Special Handling.
- The Records Manager is responsible for maintaining the official paper records for all Files on-site at a NAVFAC Environmental Program Office and/or authorizing the paper Files shipment for storage at the appropriate Federal Records Center (FRC). See the [CERCLA Environmental Restoration Recordkeeping Manual Appendix C](#), Federal Records Center (FRC) for detailed information.
- The Records Manager is responsible for ensuring that the ARF, PF and SFs are accurate and complete. See the [CERCLA Environmental Restoration Recordkeeping Manual, Chapter 2](#), Review, Organize and Process Environmental Restorative Records.

- The Records Manager is responsible for coordinating with RPMs to research, identify and locate missing documents or missing portions of documents. See OWSER DIRECTIVE 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions, Part [II. PROCEDURES FOR ESTABLISHING THE ADMINISTRATIVE RECORD](#) A. Administrative Record Coordinator
- The Records Manager is responsible for ensuring that the ARF, PF and SFs are available for reproduction. See OWSER DIRECTIVE 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions, Part [II. PROCEDURES FOR ESTABLISHING THE ADMINISTRATIVE RECORD](#) A. Administrative Record Coordinator
- The Records Manager is responsible for ensuring that a copy of the ARF or an up to date ARF Index is publicly available at or near the installation. See OWSER DIRECTIVE 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions, Part [II. PROCEDURES FOR ESTABLISHING THE ADMINISTRATIVE RECORD](#) A. Administrative Record Coordinator and [Chapter 5](#), Community Relations and [Appendix E](#), Community Relations.
- The Records Manager is responsible for providing, if applicable, assistance updating a copy of the ARF at installations. See [the CERCLA Environmental Restoration Recordkeeping Manual, Appendix G](#), NAVFAC Contractor Work Instruction, Environmental Work Instruction: Contractor Requirements.
- The Records Manager is responsible for ensuring that Information Repositories are established, maintained and updated as described [in the CERCLA Environmental Restoration Recordkeeping Manual](#), and [Chapter 5](#), Community Relations and [Appendix E](#), Community Relations.
- The Records Manager is responsible for coordinating, as requested, with Environmental Counsel or the Department of Justice (DOJ), etc., Administrative Record File requirements related to litigation. See OWSER DIRECTIVE 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA, Part [II. PROCEDURES FOR ESTABLISHING THE ADMINISTRATIVE RECORD](#) A. Administrative Record Coordinator
- The Records Manager is responsible for arranging for production and presentation of the ARF to the court when judicial review is part of litigation. See OWSER DIRECTIVE 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions, Part [II. PROCEDURES FOR ESTABLISHING THE ADMINISTRATIVE RECORD](#) A. Administrative Record Coordinator
- The Records Manager is responsible for preparing an affidavit or testifying about ARF policies and procedures if the manner in which the ARF was compiled and maintained is questioned during litigation. See OWSER DIRECTIVE 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions, Part [II. PROCEDURES FOR ESTABLISHING THE ADMINISTRATIVE RECORD](#) A. Administrative Record Coordinator
- The Records Manager is responsible for coordinating, as appropriate, Freedom of Information Act (FOIA) requests for Environmental ARF, PF or SF documents with the Command FOIA coordinator.

- The Records Manager is responsible for annually monitoring the U.S. EPA website for the current "Compendium of CERCLA Response Selection Guidance Documents" and providing the URL to the NAVFAC Information Technology Center (NITC). See OWSER DIRECTIVE 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions, Part [II. PROCEDURES FOR ESTABLISHING THE ADMINISTRATIVE RECORD](#) A. Administrative Record Coordinator

Project Manager Responsibilities

- Project Managers are responsible for ensuring that contractors are aware of the specific contractor guidelines and requirements for document creation and submittal. See the CERCLA ENVIRONMENTAL RESTORATION PROGRAM RECORDKEEPING MANUAL, [Appendix G](#), NAVFAC Contractor Work Instruction, Environmental Work Instruction: Contractor Requirements.
- Project Managers are responsible for ensuring that Scopes of Work refer to Records Management requirements in overall contract documents. See the CERCLA Environmental Restoration Program Recordkeeping Manual, [Appendix G](#), NAVFAC Contractor Work Instruction, Environmental Work Instruction: Contractor Requirements.
- Project Managers are responsible for ensuring that all documents relevant to ARF, PF and SFs are provided to the Records Manager. See the [CERCLA Environmental Restoration Recordkeeping Manual](#), [Appendix B](#), Typical Administrative Record File, Post Decision File And Site File Documents.
- Project Managers are responsible for coordinating with Records Managers to research, identify and locate missing documents or missing portions of documents. See OWSER DIRECTIVE 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions, Part [II. Procedures for Establishing the Administrative Record, Section](#) A. Administrative Record Coordinator and [CERCLA Environmental Restoration Recordkeeping Manual, Chapter 2](#), Review, Organize and Process Environmental Records, [Perform Document and File Quality Assurance and Quality Control](#).
- Project Managers are responsible for coordinating with Records Managers and Environmental Counsel when a Freedom of Information Act request is received.
- Project Managers are responsible for adding the Records Manager to Partnering or Team email lists as many decisions and formal comments on draft and draft final documents are made using this format. See [CERCLA Environmental Restoration Recordkeeping Manual](#), [Appendix G](#) NAVFAC Contractor Work Instruction, Environmental Work Instruction: Contractor Requirements, [Required Information For All Emails](#).
- Project Managers are responsible for ensuring that public notices are published in accordance with OWSER DIRECTIVE 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions, Part II. Procedures for Establishing the Administrative Record, Section F., [Public Availability](#)

- Project Managers are responsible for ensuring that the Records Manager receives copies of public notices (with complete citation), public meeting notices, transcripts, public meeting minutes and Restoration Advisory Board letters of invitation with attachments if applicable, agendas, meeting minutes, presentation and other related documents. See the CERCLA Environmental Restoration Recordkeeping Manual, Chapter 5, Community Relations and Appendix E, Community Relations.
- Project Managers are responsible for providing the Records Manager with old Environmental Restoration paper or electronic documents when they are discovered. See CERCLA Environmental Restoration Recordkeeping Manual, Chapter 2, Review, Organize and Process Environmental Records.

Appendix K – How to Create Approved NIRIS Ready Acrobat .PDF Files and Bookmarks

Introduction

The Administrative Record Files, Post Decision Files and Site Files, whether online or on CDROM, contain files that have been created electronically, digitally or both.

To minimize the level of effort needed to make these files consistent and to ensure a quality product, these guidelines provide details on how files should be created, combined and enhanced.

NAVFAC requires that all files be created or converted to the approved NIRIS ready .PDF (Portable Document Format). PDF files can be created in two ways, either from electronic files or from digital or scanned files. These guidelines were designed to support individuals who are creating PDF files from electronic files, scanning paper documents, or adapting existing electronic files with the ultimate goal to create approved NIRIS files.

This guideline cannot anticipate all operating systems and software versions, therefore general instructions are provided.

Required Software

Adobe Acrobat is the most widely used program to create PDF files, however other programs have the capability to create PDF files. This Guide has been written assuming a moderate understanding of the Acrobat Program.

Acrobat Reader is used for review prior to finalizing the file. Most users will view documents in Reader. All files should be opened in Reader to ensure no error occurred.

Other word processing or page layout programs typically used, i.e., Word, Excel, PageMaker.

Creating Approved NIRIS Files

Appendix K provides guidelines for the following:

- a. How to scan paper or other media for conversion to approved NIRIS files.
- b. How to adapt existing PDFs and other electronic files and convert to approved NIRIS files.
- c. How to create and publish approved NIRIS files for submission to the Navy/Marine Corps by contractors.

How to Scan Paper or Other Media for Conversion to Approved NIRIS Files

The documents should be prepared for scanning by removing all staples, paper clips, etc. The following DPI (Dots per Inch) should be used when scanning. Never scan below 200 DPI.

- Black and White: 300 DPI
- Oversize Black and White: The DPI can be lowered to reduce the file size but do not go below 200 DPI. A balance between quality of image and file size must be attained.
- Color: 200 DPI

Once the paper has been scanned the electronic images must be converted to PDF and OCR (Optical Character Read) performed on either during the conversion to PDF or after the conversion to PDF. OCR converts the images to actual text and therefore allows the file to be searched for specific words.

Once the PDF has been created with OCR, specific guidelines are provided to enhance the PDF file to make it an approved NIRIS file. See [Requirements for All Approved NIRIS PDF Files](#).

How to Adapt Existing PDFs and Other Electronic Files and Convert to Approved NIRIS Files

Other Electronic Files

The content of a PDF file must be created in a program other than Acrobat (when the document isn't scanned). Typically Microsoft Word or Excel, WordPerfect, Adobe PageMaker, etc. are used to create documents. Two methods are available for converting these files to PDF, PDF Writer or Distiller.

Use PDF Writer (available with Acrobat, but other programs can be used) for quick conversions of simple business documents to PDF. If you do not obtain satisfactory results with PDF Writer, convert the document to PDF with Distiller (available with Acrobat). Use Distiller for documents containing Encapsulated PostScript (EPS) graphics, documents containing images for which you need to choose specific resampling and compression methods or documents produced from desktop publishing applications, such as Adobe FrameMaker, Adobe PageMaker, and Quark Express.

When creating PDF files from other electronic files, make sure that all fonts are embedded. This will ensure that the PDF files look exactly like the original file and will avoid font errors when viewing. When creating PDF files from other electronic files, the text is retained is therefore OCR is not necessary. These files will be searchable.

Once the PDF has been created, specific guidelines are provided to enhance the PDF file to make it an approved NIRIS file. See [Requirements for All Approved NIRIS PDF Files](#).

Existing PDF Files

Existing PDF files must also be adapted to make them approved NIRIS files. Since PDF files can be created with OCR or without OCR, make sure that the existing PDF has OCR. If not perform OCR on all pages that do not have OCR. Every page of the file needs to be checked. Existing PDF files are often made by a combination of scanned pages and pages converted from electronic files. Therefore, the OCR may vary from page to page. Use Acrobat to perform OCR on the required pages.

Once the PDF has been verified that OCR is performed, specific guidelines are provided to enhance the PDF file to make it an approved NIRIS file. See [Requirements for All Approved NIRIS PDF Files](#).

How to Create and Publish Approved NIRIS Files for Submission to the Navy/Marine Corps by Contractors

As discussed above, PDFs can be made either by scanning or by converting other electronic files. All documents submitted to the Navy/Marine Corps by contractors should be in approved NIRIS format. The guidelines presented in 3.1 and 3.2 above should be followed for either scanning or conversion of electronic files. Often times the PDF file is made from converting existing electronic files. Once a signature page has been signed, it should be scanned and inserted into the PDF. Oversize drawings or maps are sometimes scanned and inserted into the PDF file. Be sure to perform OCR on the scanned signature page or any inserted pages.

When PDFs are made from various files, such as MS word, Excel, Cad, etc., the files should be combined in the exact order as published. Also double check that the PDF file looks exactly like the page on the screen.

Once the PDF has been verified that OCR is performed and an exact replica of the published document, specific guidelines are provided to enhance the PDF file to make it an approved NIRIS file. See [Requirements for All Approved NIRIS PDF Files](#).

Requirements for All Approved NIRIS PDF Files

Below are general guidelines for every PDF file created for inclusion into an Administrative Record File, Post Decision File or Site file. In some instances the guidelines are self-explanatory and other instances more information is provided in subsequent sections.

Settings

Once the PDF file has been created and the file has been verified that OCR has been performed, specific properties or settings are required for approved NIRIS PDF files.

- Document Properties

Set the magnification to 'Fit in Window or Fit Page' for opening. File>Document Properties>Initial View: Magnification: Fit in Window or Fit Page.

Set the initial view to 'Page Only' when no bookmarks are present or Bookmarks and Page when bookmarks are present. File>Document Properties>Open Options: Initial view: Page Only or Bookmarks and Page.

- When necessary, rotate pages to orient the text in the normal reading fashion.
- Delete all blank pages; however, do not delete a blank page when it has a page number on it or it states "this page intentionally blank."

- Any document that has a Table of Contents and contains more than 100 pages should be bookmarked according to the Table of Contents. See [Bookmarks](#) for additional guidelines.

Cleaving

- Large electronic files should be cleaved at approximately 500M. Cleaving files at a lower megabyte is acceptable.
- For large files, break them into 2 (or more) pieces that “make sense”. For example, a 600 MB document could be split it in half, but it could also be split into a 400 MB piece containing the text and a 200 MB piece that contains all appendices.

PDF File Naming Standards

- Use the following for a single .PDF file: N00026_000125.PDF
- Use the following for a cleaved .PDF files: N00026_000237_0001.PDF
N00026_000237_0002.PDF

After all of the above steps have been completed, the file should be optimized and saved for a fast web view.

Bookmarks

Any document that has a Table of Contents and contains more than 100 pages should be bookmarked according to the Table of Contents. Bookmark as follows:

- Only the main chapters or sections (first level) in the Table of Contents are bookmarked
- Chapter or Section numbers are not included in the bookmark.
- The case of bookmarks should be kept consistent i.e., all upper case or title case

Just as the opening magnification has been set to Fit in Window, the page view should be Fit in Window when the bookmark is created or the destination set. This is to maintain consistency as one navigates through the bookmarks. If the bookmark has not been created in the Fit in Window view, click on Fit in Window and then reset the destination of the bookmark.

Table of Contents

A typical Table of Contents may list the document sections and a list of the appendices, tables, figures, or acronyms and abbreviations. The chapter or section numbers are not included in the bookmark.

Because the bookmarking column is usually set as a narrow column to allow the best view of the document, it is more important to actually see the name of the chapter or section rather than Chapter 1, Section 1, etc. Prior to saving the file, the bookmarks should be collapsed.

Appendices

When the appendices of a report are extensive, individual sections (subsection cover pages) are abbreviated, bookmarked and nested within that appendix. When bookmarking is complete, the individual bookmark is collapsed.

Conclusion

Following these guidelines will help to reduce duplicate effort and ensure a quality product. Various versions of operating systems and software applications may cause some settings in these guidelines to be different from the system being used. The documents vary widely and all situations cannot be anticipated within these Guidelines.

Consult with appropriate Command representative to resolve issues not addressed.

Glossary

- **Bookmarking:** A hierarchical outline of the document that is used for navigating through the document. Each bookmark links to a page in the document.
- **Compression:** To reduce the file size of text, line art, and bitmap images to allow rapid opening and display.
- **Digital Files:** Files created by scanning or digitizing a paper document.
- **DPI (Dots per inch):** A unit of measure for resolution of scanned images.
- **Downsample:** To reduce a file size by combining pixels.
- **Electronic Files:** Files created from computer software applications such as Microsoft Word, Excel, WordPerfect, Adobe PageMaker, etc.
- **Embed Fonts:** A font substitution method that preserves the appearance of standard for when a document is converted to PDF. This ensures that the actual font will display only system regardless of whether the fonts are installed.
- **OCR (Optical Character Recognition):** The process that converts the image or picture or printed and handwritten text to text that can be searched.
- **PDF (Portable Document Format):** A globally accepted, platform independent file form that can be viewed using free Adobe Reader. Pages are viewed exactly as created, in black and white or color, and can be printed with any postscript printer.

Appendix L – Managing Documents That Require Special Handling

DOCUMENTS

Sensitive Information

Before including certain documents in the ARF, PF or SF, they should be carefully reviewed because they may contain sensitive information, have special requirements or there is a need to consult an environmental attorney about the document's status.

See Appendix H – Sensitive Records, Pages and Information, for detailed Sensitive definitions.

List of Typical Documents Which are Considered Sensitive or Contain Sensitive Information

Munitions Response Program Documents

Munitions Response Program documents are part of the Environmental Restoration Program. MRP documents are incorporated into the Administrative Record File, Post Decision File and Site File. Some MRP documents may be incorporated into the Site Closeout documentation that is part of the Post Decision File. See [Appendix B](#) for a list of typical MRP documents and which file to place them.

Maps/Drawings

The National Archives and Records Administration (NARA) has deemed these records as "sensitive". The 'sensitive' designation includes all copies, working copies, drafts, etc. Consult the Command Public Affairs Officer for further information.

Archaeological Site Documents and Information

Portions of archaeological documents are considered sensitive. Actual coordinates cannot be released to the public, in order to protect a site from harm. See [Archaeological Statute](#) and [OSWER Directive 9833.3A-1](#).

Restoration Advisory Board (RAB) Sign In Sheets

RAB sign in sheets typically contain personal names, telephone number, email address and home addresses of RAB members. The RAB sign-in sheets become part of the Administrative Record File. RAB member names can be included in the Administrative Record File but other personal identifying information such as telephone, email address and home address must be protected in accordance with Privacy Act. RAB information can be included in the ARF or the PF depending on the cleanup phase in which the RAB meeting are held. Regardless of whether RAB meetings are held before or after a Decision Document is signed, the minutes and other related information, including all public notices, are considered public records.

RAB member sign in sheets at public meetings become part of the Administrative Record or Post Decision File. RAB members should be notified at the outset that disclosure of any information other than their name is not required.

RAB sign-in sheets for the general public can, and usually do, contain sensitive or privileged information. Under the [Privacy Act of 1974](#), personal information cannot be released to the general public. The sign-in sheet can be imaged, but the personal information must be redacted and identified via a standardized slip sheet which should cite the Privacy act and provide directions on how to obtain a copy of the page or pages.

Slip Sheet EXAMPLE:

The information on this page is protected by the Privacy Act of 1974.

To view or obtain a copy of this page, please contact:

Command Public Affairs Officer
telephone number
email address

Command policies vary. Please consult the Command Records Manager or designated representative for individual Command policy.

Community Relations Mailing Lists

Individual names and addresses of members of the general public which are on the community relations mailing list should not be included in the ARF. Disclosure of such information may result in a Privacy Act violation. See [OSWER Directive 9833.3A-1, Section III.H.](#) or inhibit the general public from requesting information about the site. The lead agency should then place individual names and addresses in the Site File.

Potentially Responsible Party (PRP)

If there is a PRP involved, environmental counsel and project manager review is necessary to determine if documents are appropriate for inclusion in the Administrative Record File, Site File or Post Decision File. Document review is done on a case-by-case basis.

Use of the words, 'Confidential and Privileged' Documents

Although the [OSWER DIRECTIVE 9833.3A-1](#), Part II, Section E.2., Special Documents, Confidential and Privileged Documents and [40 C.F.R. Section 300.805\(a\)\(4\)](#) and [Part III Contents of the Administrative Record, Section H, Privileged Documents](#) and [40 C.F.R. Section 300.805\(a\)\(4\)](#) identifies these official document classifications, Environmental Restoration documents discussed in this Manual are not typically classified as confidential or privileged.

If classified documents are created or received, the Command is required to protect the document or portions of documents in accordance with the prescribed level of protection. Consult the Command Records Manager or designated representative for further information.

How to Manage Sensitive Documents and Information

Flag records determined to be sensitive using the word **SENSITIVE**. The sensitive designation will be determined based on whether the record is fully or partially sensitive. When in doubt as to whether or not a record is considered sensitive, consult an environmental attorney.

Records will be filed intact whether fully or partially sensitive. Partially sensitive records will **NOT** be broken apart and filed separately.

Fully Sensitive Records

Records determined to be fully sensitive,

- Stamp the top and bottom margins of the first and last pages of the record “SENSITIVE” using a red self-inking stamp.
- Stamp the folder as “SENSITIVE” in the middle of the tab to the right of the folder label.
- Place a slip-sheet (Figure 3-3i (1)) as the first page of the record.
- File the record in a secure location separate from other files. These records will **NOT** be imaged.

Partially Sensitive Records

For records determined to be partially sensitive,

- Stamp the top and bottom margins **ONLY** of the applicable page(s) or section(s) “SENSITIVE” using a red self-inking stamp.
- Insert a slip-sheet (Figure 3-3i (2)) as the first page of the record
- Insert a slip-sheet in front of each sensitive page(s) or section(s) within the record.
- Bind, label and file the record in a secure location separate from other files. Sections or pages determine to be sensitive will **NOT** be scanned.

Prior to Scanning

Photocopy partially sensitive records to ensure sensitive information cannot be accessed and refile the original record in the secure location

Replace sensitive pages or information with a slip-sheet.

Post Scanning

Shred slip-sheets, which replaced sensitive pages or sections, recycle remaining non-sensitive pages.

Transfer the scanned version of the document to the appropriate archive or storage facility.

Records, Pages or Information Previously Marked Sensitive

Some records or portions of records may have been marked sensitive prior to receipt by NAVFAC. Check with the Project Manager to determine if the record or record pages or sections remain privileged.

- If no longer privileged, place a slip-sheet with the record.
- If the record or record pages or sections remains sensitive, follow the guidance described above.

Sensitive Information (pages) within a Document

Documents or portions of documents which have pages with sensitive information should be replaced with a slip sheet describing the type of sensitive information, citing the appropriate legal requirement(s) and provide directions for possible viewing.

Slip Sheet EXAMPLE:

The information on this page is considered SENSITIVE in accordance with 'cite legal requirement or reason'. See Appendix H –Sensitive Records, Pages and Information, for detailed information and definitions.

For additional information, please contact:

Command Public Affairs Officer
telephone number
email address

Command policies vary. Please consult the Command Records Manager or designated representative for individual Command policy.

List of Non Sensitive Documents Which May Require Special Handling

Resource Conservation and Recovery Act (RCRA) Documents

Consult the **NERP Manual, Chapter 14.1.3**, Records, Reporting and Information Management Systems, “Resource Conservation and Recovery Act documents” for detailed information about inclusion of RCRA related documents.

Superseded Pages within a Document

Create a standardized slip sheet describing the revisions for documents with superseded pages.

EXAMPLE:

The information on this page has been superseded or replaced with '[cite revised page numbers and date revisions occurred](#)'

Laboratory Data, Data Validation Reports and Chain of Custody Forms and Reports

Validated Laboratory Data

Validated laboratory data is required to be part of the ARF, SF or PF if it is not already part of a document appendix. It must be inventoried and added to the database but is not required to be physically located with the ARF because of its volume. When sending the paper copy of records to the Federal Records Center, verified laboratory data **must** accompany the document it supports.

When validated laboratory data supports multiple reports, create a separate database entry for the laboratory data and cross reference the data with the all the reports it supports.

If the data is received in a non electronic format, scanning into .pdf format is not required.

Unverified/Un-validated Laboratory Data

Because it is superseded by verified data, the un-validated data (raw analytical data) does not generally become part of the ARF or SF. This data may, in some cases, be relied on in selecting a response action such as an emergency removal where there is no time for data verification.

Un-validated sampling data which are relied on in selecting a response action should be included in the ARF. See [40 C.F.R. Section 300.805\(a\)\(1\)](#) and [OSWER Directive 9833.3A-1](#) .

This data is not normally scanned.

Calibration Data

Calibration data must be retained. If the information is not included in a document appendix, it must be inventoried and added as a Site File record. Calibration data must be associated with the site on which the equipment was used. Association should be made using site, SWMU, AOC, UST, Area, etc. designations as well as by contract and delivery order number.

This data is not normally scanned.

Chain of Custody Forms and Reports

If Chain of Custody forms and reports are separate from the validation reports or not included in a document appendix, metadata about them must be added to the Site File. See [40 C.F.R. Section 300.805\(a\)\(1\)](#) .

Chain of Custody Forms and Reports are scanned.

Guidance and Policy Documents

Guidance documents not generated for a particular site for which the ARF, PF and SF are being compiled are not included. Consult the U S EPA [Compendium of Superfund Publications](#), EPA540/8-91/014, November 1991 (**create a link**) which is available on the NIRIS Support tab > Links > for a list of these documents. See also [40 C.F.R. Section 300.805\(a\)\(2\)](#)

Guidance documents or portions of guidance documents that are considered or relied on in selecting a response action should be included in the ARF for that response action. Guidance documents which were reviewed but not relied on may be included in the ARF.

Guidance documents generated to address issues that specifically arise at the site for which the ARF is being compiled must be included in the ARF.

Contract Documents

Contract documents, progress reports and other contracting documents are **NOT** part of the Administrative Record File, Post Decision File or Site File. Environmental personnel may be provided with copies of contract documents; however, these documents are Acquisitions records rather than Environmental records. Consult the [Navy Records Management Manual](#), 5210.1, for further information.

Appendix M – EDMS Data Entry Fields, Definitions, Description, Size and Example(s)

DATA FIELD DESCRIPTIONS						
Data Field	Required Field	Field Type	Field Length	Description And Special Notes	Approved Valid Value(s)	Standard Data Entry Examples
AR INDEX	N	CHAR	20	<p>This data field contains a pull down list of Administrative Record File category codes.</p> <p>When the Administrative Record File INDEX code cannot be determined, consult the appropriate NAVFAC Command Records Manager or representative for further instructions.</p> <p>This data field is not used by all NAVFAC Commands. Consult the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices on the use of Administrative Record File INDEX codes.</p>		<p>A/SF 3.0</p> <p>IR RI/FS (REMEDIAL INVESTIGATION/FEASIBILITY STUDY)</p> <p>3.1 Correspondence</p>
AUTHOR	N	CHAR	120	<p>This data field contains the name of the individual who authored the document. No prefixes or suffixes are included in the</p>		Smith, B; Johnson, D

				<p>Author field. If there are multiple document authors, use the name of the primary (first) author. The author format is entered as last name, (comma, space) first initial. There is no period (.) following the first initial.</p> <p>If the individual's name has a prefix (Captain, LCDR, Dr., Honorable, Senator, etc.), the designation is added in the Author Affiliation field. See Example under Author Affiliation.</p> <p>If the individual's name has a suffix (Jr., Sr., III, PhD, etc.), the designation is added in the Author Affiliation field. See Example under Author Affiliation.</p> <p>Some NAVFAC Commands list all author names, consult with the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices.</p>		
AUTHOR AFFILIATION	N	CHAR	120	<p>This data field contains the name of the organization with which the document's PRIMARY author is affiliated. Organizations include, but are not limited to, Command, company or</p>		<p>Captain: Captain B. Smith Author Affiliation is entered as CAPTAIN USN NWS YORKTOWN</p> <p>Senator: Senator D. Nothing; Author Affiliation is entered as</p>

			<p>contractor, federal or state regulators, publication, RAB member, public, etc. The Author Affiliation can be populated in one of three ways.</p> <ol style="list-style-type: none"> 1. Select a value from the EDMS pull down menu that consists of Command specific, FREQUENTLY used Author Affiliations. 2. Select a value from the binocular button that consists of a NIRIS-wide contractor and agency list of Author Affiliations. 3. Enter a typed value. This option must only be used after the first two options are exhausted. <p>If an Author Affiliation is NOT found on the Command pull down list or the NIRIS-wide contractor and agency lists, consult the appropriate NAVFAC Command Records Manager or representative for further instructions. The NAVFAC representative will determine whether a new Author Affiliation should be added to the Command specific or NIRIS-wide lists.</p>		<p>SENATOR, CALIFORNIA STATE SENATE or SENATOR, US SENATE depending on state or congressional Affiliation.</p> <p>Jr: D. Johnson, Jr. Author; Affiliation is entered as JR, ENVIROSHARKS INC.</p> <p>PhD: A. Knowitall, PhD; Author Affiliation is entered as PHD, US EPA REGION IX SAN FRANCISCO CA.</p>
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				<p>If the individual entered in the Author field has a prefix (Captain, LCDR, Dr., Honorable, Senator, etc.), the designation is included in the Author Affiliation field.</p> <p>If the individual entered in the Author field has a suffix (Jr., Sr., III, PhD, etc.), the designation is included in the Author Affiliation field.</p>		
CD DATE	Y = When CD NO. is Entered	DATE		<p>This data field identifies the date a CD-ROM was issued. This date is updated when/if a revised CD is issued. The CD date format is mm/dd/yyyy.</p> <p>This data field is not used by all NAVFAC Commands. Consult the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices for CD Date data entry.</p>		05/25/2007
CD NO.	Y = When CD DATE is Entered	CHAR	20	<p>This data field identifies the CD-ROM number on which the backup Vital Record copy of the document is located.</p> <p>This data field is not used by all NAVFAC Commands. Consult</p>		<p>Hunter's Point: HPNT_001 HPNT_002</p> <p>Barstow: BSTW_001 BSTW_002</p>

				<p>the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices for CD No. data entry.</p> <p>The CD number format is:</p> <p>Installation Acronym ‘ _ ‘ Sequential CD Number</p>		
COMMENTS	N	CHAR	255	<p>This data field is designed for additional document information intended for internal NAVFAC use only.</p> <p>Information contained in the comment field is not intended for inclusion on publicly released printed reports or indices. As an option, comments can be printed on internal reports and indices. This is an open text data field up to 255 characters.</p>		
CONTRACT NO.	Y =When CTO/DO is entered.	CHAR	16	<p>This data field contains the contract number under which a document is issued. The contract number may be a Navy, GSA or other number. In some cases, documents may include a subcontract number only. When available, the prime contract number will be used. The contract number is selected from a pull</p>	Enter feature request	<p>Navy Contract Number</p> <p>Example: N62470-D-02-5001</p>

				<p>down menu and is Command specific.</p> <p>If a document's contract number is NOT in the pull down menu, consult the appropriate NAVFAC Command Records Manager or representative for further instructions. The NAVFAC representative will determine whether a NIRIS Support Request is required.</p>	
CTO/DO NO.	Y	CHAR	10	<p>This data field contains Contract Task Order and Delivery Order numbers. The CTO or DO number is selected from a pull down menu. The CTO or DO number consists of four (4) digits. Leading zeros are used to create the four-digit number. The CTO or DO number is associated with the selected Contract Number (see Contract No. data field) and cannot be entered without selecting a Contract Number.</p> <p>If a document's CTO or DO number is NOT in the pull down menu, consult the appropriate NAVFAC Command Records Manager or representative for further instructions. The NAVFAC representative will determine whether a NIRIS Support Request is required.</p>	<p>CTO 0002 CTO 0022 DO 0110</p>

CUTOFF DATE	N	DATE	<p>This data field identifies the calendar year date in which the record (document) meets the National Archives and Records Administration (NARA) definition of a closed record for purposes of final disposal or official transfer of records to the NARA. The Cutoff Date is the basis for calculating the final Disposition Date.</p> <p>The Cutoff Date format is mm/dd/yyyy and is the last day of the calendar year in which the record is considered closed.</p> <p>For example, if the record is determined to be officially closed on 15 April 2008 based on the defined final action or event for the site or installation, the Cutoff Date is 31 December 2008 for purposes of determining the final disposition.</p>		12/31/2008
DISPOSITION DATE	Y = When CUTOFF DATE is entered	DATE	<p>This data field identifies the date on which the official record is ELIGIBLE for final disposition.</p> <p>ALWAYS consult the appropriate NAVFAC Command Records Manager PRIOR to final destruction or transfer of official records to NARA to ensure compliance with current NARA</p>		1 JANUARY 2059

				requirements and Federal Records Management laws and regulations.		
DISTRIBUTION	Y	CHAR	16	<p>This pull down menu data field consists of a pick list of alternate locations where ARF, PF and SFs are located. Multiple entries may be selected for each document entered as appropriate.</p> <p>This data field is not used by all NAVFAC Commands. Consult the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices for Distribution data entry.</p> <p>Depending on the NAVFAC Command, specific Information Repository locations may be selected or generic type entries are available.</p>		PAC-KAILUA PAC-GUAM BASE INFORMATION REPOSITORY
DOCUMENT CONTROL NUMBER	N	CHAR	255	<p>This data field identifies a unique record (document) identification number assigned by the Author Affiliation. The Document Control Number (DCN) entered into this designated field regardless of affiliation type (i.e., Federal or State agency, contractor, etc.). The DCN</p>		Former SWDIV: SWDIV SER 06CA.LO/624 NAVFAC SW: NAVFAC SW SER 04065 Former EFAWEST: EFAW SER 052LL/030

				<p>format varies depending on the affiliation.</p> <p>This data field is not used by all NAVFAC Commands. Consult the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices and established standard format requirements.</p>	<p>NEESA: NEESA 13-090</p> <p>MCMWTC Bridgeport: MCMWTC BRIDGEPORT 5090 ENV / 042</p> <p>PWC San Diego: PWC SD SER 640/000135</p> <p>BRAC PMO West: BRAC SER BPMOW.JCK/1471</p> <p>Contractors: BEI-7526-0089-0054</p> <p>Bechtel Environmental Inc.: TTEM.0055.0310.0077</p> <p>Tetra Tech EMI: TTEM.0055.0302.0003.R1 (Tetra Tech EMI – Revision 1 of original)</p>
DOCUMENT LOCATION	N	CHAR	60	<p>This data field contains the name of the physical location of the official paper record. This data field is updated when the physical location changes.</p> <p>The update must be done when documents are sent to be scanned, when documents are returned from scanning, when documents are sent to the Federal Records Center for archiving, when a box of documents or a file within a box is ‘pulled’ from the FRC by a NAVFAC Command or when a box of documents or a file within a box is returned to the FRC.</p>	<p>NAVFAC SOUTHWEST BLDG. 1; NAVFAC MID-ATLANTIC; SCANNING CONTRACTOR (if applicable), ETC.</p> <p>ADDITIONAL COMMAND SPECIFIC PICK LIST EXAMPLES: NAVFAC SOUTHWEST BLDG. 110; FRC PERRIS, FRC SEATTLE; etc.</p>

DOCUMENT TYPE	Y	CHAR	16	<p>This data field identifies the type of document issued. The Document Type is selected from a restricted pull down menu.</p> <p>When the document type cannot be determined, consult the appropriate NAVFAC Command Records Manager or representative for further instructions. The NAVFAC representative will determine whether a NIRIS Support Request is required.</p>	<p>ANALYTICAL DATA</p> <p>CORRESPONDENCE</p> <p>DRAWING</p> <p>FACT SHEET</p> <p>GUIDANCE</p> <p>MAP</p> <p>MINUTES</p> <p>OTHER</p> <p>PHOTO</p> <p>PUBLIC NOTICE</p> <p>REPORT</p>	
FRAME NO.	N	CHAR	255	<p>This data field identifies filmed document microfilm reel number(s). This media is not a current business practice; however, historic media remains in use at some Command Information Repositories.</p> <p>This data field is not used by all NAVFAC Commands. Consult the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices for Frame No. data entry.</p>		31-1559+

<p>FRC ACCESSION NO.</p>	<p>Y =When DOCUMENT LOCATION value includes “FRC”</p>	<p>CHAR</p>	<p>32</p>	<p>This data field consists of a restricted pick list of Federal Records Center (FRC) Accession Numbers for transferring documents to the FRC for storage.</p> <p>An Accession is a group of records with a single SSIC number and identical disposition date.</p> <p>A group of records without a single SSIC number and with multiple disposition dates cannot be boxed and transferred to an FRC for storage.</p> <p>EXCEPTION: Commands may combine SSIC sub-groups (5090.3a, b. and c.) into a single FRC Accession but the FINAL disposition date must be the same.</p> <p>NOTE: Combining SSIC sub-groups for Accessioning is NOT recommended because boxes recalled from the FRC for potential litigation may create additional legal issues</p>		<p>Examples</p> <p>Ashore Commands*: 181-07-0091</p> <p>HQ Agencies within the Washington, DC Beltway*: 385-07-0091</p>
<p>FRC BOX NUMBER</p>	<p>Y = When FRC ACCESSION NO. is Entered</p>	<p>NUM</p>	<p>6(0)</p>	<p>This data field identifies the FRC Box Number written on box the document was transferred to the FRC and is required field when an FRC Accession No. is entered</p> <p>NOTE: A single record (document) can span multiple boxes. When multiple boxes are required to store a</p>		<p>0001 0320 5142</p>

				<p>single record (document), each box number will be entered for the specified record (document).</p> <p>This number is different from the NAVFAC Box No. described below.</p>		
IMAGED	Y	CHAR	1	<p>This is a required data field consisting of a restricted pick list of valid values for identifying whether a paper document has been scanned into a .PDF format.</p>	<p>YES = Document has been scanned, bookmarked and Optical Character Read</p> <p>NO = Document has NOT been scanned</p>	
IMAGED STATUS	Y = When IMAGED = "YES"	CHAR	18	<p>This is a required data field consisting of a restricted pick list of valid values for tracking documents through the scanning process.</p> <p>NOTE: Some Commands do not track documents sent for scanning. Consult the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices for Imaged Status data entry.</p>	<p>N/A = Not Applicable</p> <p>This is the <i>default value</i> automatically populated when Imaged = "YES".</p> <p>No further action required by Command unless local business practice requires updates for tracking purposes.</p> <p>CD REVIEW COMPLETE</p> <p>Use when a CD has been issued and verified to be accurate.</p>	

					<p>CD REVIEW PENDING</p> <p>Use when a CD has been issued and review is not yet completed.</p> <p>DATA NOT IMAGED</p> <p>Use when Analytical Data is entered as a separate record entry in EDMS.</p> <p>Separate analytical data entries in EDMS will be cross-referenced to appropriate report supported.</p> <p>HOLD FOR QA/QC</p> <p>Use when documents requested by the QA/QC staff have not yet transferred to pre-imaging review.</p> <p>PROB: NOT IMAGED</p> <p>Use when a document has been reviewed by QA/QC staff and identified as incomplete or potentially inappropriate for inclusion,</p>	
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					<p>Use when RPM review or concurrence is required prior to scanning.</p> <p>SENT TO IMAGING</p> <p>Use when a document has been reviewed by QA/QC staff and approved for scanning.</p> <p>SENT TO QA/QC</p> <p>Use when a document has been pulled from production and sent for review by QA/QC staff.</p>	
KEYWORDS	Y	Char	50	<p>This data field is used to add words or phrases that facilitate metadata searching. Words or phrases should be ones that do not appear in other EDMS data fields.</p> <p>NOTE: Ideal for adding other site type information such as sub-sites, Parcels, Operable Units (OU), building numbers, wells, etc., and other non-SITE related information.</p> <p>Consult the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices for Keywords data entry.</p>		<p>Examples (Site Type Values):</p> <p>SITE 0001A SITE 0001B PARCEL B OU 0000003 BLDG 00235 WELL MW-02</p> <p>Examples:</p> <p>Words that are in the executive summary but not the document title. e.g. Apple Valley Dr.</p>

				The format for Keywords is: Keyword or phrase (comma) keyword or phrase (comma)		
Litigation related metadata fields are under construction. Please consult the Command Records Manager for data entry instructions.						
LUC?	N	CHAR	1	This YES/NO data field is used to identify documents associated with Land Use Controls.	Box Checked Is YES = Associated with Land Use Control Box Not Checked Is NO = NOT associated with Land Use Control	
MRP?	N	CHAR	1	This YES/NO data field is used to identify documents associated with the Munitions Response Program.	Box Checked Is YES = Associated with the Munitions Response Program Box Not Checked Is NO = NOT associated with the Munitions Response Program	
NAVFAC BOX NO.	N	Num	4(0)	This data field identifies internal		

				<p>NAVFAC Command created box numbers for purposes of transporting and tracking documents during the scanning process.</p> <p>The NAVFAC Box Number is reverted to “null” when the documents are returned to their final official physical location (see definition and description of Document Location field above).</p> <p>A single record (document) can span multiple boxes. When multiple boxes are required to box a single record (document), each box number shall be entered for the specified record (document).</p> <p>This data field is NOT the Federal Record Center (FRC) box number</p> <p>This data field is not used by all NAVFAC Commands. Consult the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices for NAVFAC Box No. data entry.</p>		<p>SW-080415-01/10 SW-080415-02/10 SW-080415-03/10</p> <p>LANT-080501-01/02 LANT-080501-02/02</p>
NO. PAGES	Y	CHAR	50	<p>This data field contains the approximate number of pages of the official paper document. The page count is a six digit number. Leading zeros are used to create the six digit number</p>		<p>000001 000236 002500</p>

				Actual page count can be updated following document scanning. Use the EDMS batch update process. Leading zeros will automatically 'fill' to create a six digit number		
OWNER	Y	CHAR	240	<p>This data field identifies the NAVFAC COMMAND assigned responsibility for maintaining Environmental Restoration Records for an installation.</p> <p>The name is automatically displayed based on NAVFAC Command selected on the HOME screen.</p>		NAVFAC MIDWEST NAVFAC MID ATLANTIC NAVFAC SOUTHEAST NAVFAC WASHINGTON
PAC DOCUMENT NUMBER	N	NUM	6 (2)	<p>This data field is used by NAVFAC Pacific when adding a new record.</p> <p>The number a sequential, manually created and assigned number.</p>		001 003.1
POST DECISION INDEX	N	CHAR	20	<p>This data field contains a pull down list of Post Decision File category codes.</p> <p>When the Post Decision Index code cannot be determined, consult the appropriate NAVFAC Command Records Manager or representative for further instructions.</p> <p>This data field is not used by all</p>		Example: PF 17.0 IR 5-YEAR REVIEW 17.2 5-Year Review Reports

				NAVFAC Commands. Consult the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices on the use of Post Decision Index codes.	
RECIPIENT	N	CHAR	120	<p>This data field contains the name of the individual who received document.</p> <p>No prefixes or suffixes are included in the Recipient field.</p> <p>If there are multiple document recipients, use the name of the primary (first) recipient.</p> <p>The recipient is entered as last name, (comma, space) first initial. There is no period (.) following the first initial.</p> <p>If the individual has a prefix (Captain, LCDR, Dr., Honorable, Senator, etc.), the designation is included in the Recipient Affiliation field. See Example under Recipient Affiliation.</p> <p>If the individual has a suffix (Jr., Sr., III, PhD, etc.), the designation is included in the Recipient Affiliation field. See Example under Recipient Affiliation.</p>	Smith, B; Johnson, D
RECIPIENT AFFILIATION	N	CHAR	120	This data field contains the name of	Example (Captain):

			<p>the organization with which the document's PRIMARY recipient is affiliated.</p> <p>The Recipient Affiliation can be populated in one of three ways.</p> <ol style="list-style-type: none"> 1. Select an affiliation from the pull down menu which consists of Command specific, frequently used Recipient Affiliations. 2. Select an affiliation from the binocular button that consists of a NIRIS-wide contractor and agency list of Recipient Affiliations. 3. Enter an affiliation in the box provided. This option must only be used after the first two options are exhausted. <p>If a Recipient Affiliation is NOT found on the Command pull down list or the NIRIS-wide contractor and agency lists, consult the appropriate NAVFAC Command Records Manager or representative for further instructions. The NAVFAC representative will determine whether a new Recipient Affiliation should be added to the Command specific or NIRIS-wide lists.</p> <p>If the individual entered in the</p>		<p>Captain B. Smith</p> <p>Recipient Affiliation is entered as CAPTAIN USN NWS YORKTOWN</p> <p>Example (Senator): Senator D. Nothing</p> <p>Recipient Affiliation is entered as SENATOR, CALIFORNIA STATE SENATE or SENATOR, US SENATE depending on state or congressional affiliation.</p> <p>Example (Jr.): D. Johnson, Jr.</p> <p>Recipient Affiliation is entered as JR, ENVIROSHARKS INC</p> <p>Example (PhD): A. Knowitall, PhD</p> <p>Recipient Affiliation is entered as PHD, US EPA REGION IX SAN FRANCISCO CA</p>
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				<p>Recipient field has a prefix (Captain, LCDR, Dr., Honorable, Senator, etc.), the designation is included in the Recipient Affiliation field.</p> <p>If the individual entered in the Recipient field has a suffix (Jr., Sr., III, PhD, etc.), the designation is included in the Recipient Affiliation field.</p>	
ADD RECIPIENT	N			<p>The data field is used to enter additional, multiple Recipients and RECIPIENT Affiliations.</p> <p>When selected, a new data entry field will be presented to enter additional recipients.</p> <p>Select “Add Recipient” button for each additional recipient and recipient affiliation to be added to a single EDMS record entry.</p> <p>This option is not used by all NAVFAC Commands. Consult the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices for multiple recipient data entries.</p>	See examples provided in Recipient And Recipient Affiliation, above.
RECORD DATE	Y	Date		This data field contains the date the document was issued. The record date format is mm/dd/yyyy. If the	1 st example: 04/01/2008

				<p>date on the document is printed as “April 2008”, and there is no signature page, default the date to the first day of the month.</p> <p>If the date on the document is printed as “April 2008” and there is a signature page included, use the date of the LAST signature. For example, if the document includes three signatures and the last signature is dated 15 April 2008.</p>		2 nd example: 04/15/2008
RECORD NO	Y	NUM	6(0)	<p>This data field contains the unique sequential EDMS computer generated number assigned to each document (record). No duplication is allowed.</p> <p>The record number consists of the six (6) character Unit Identification Code (UIC) and a unique six (6) digit number. Leading zeros are used to create the six-digit number.</p>		M00681_000012 N00026_000248 N00236_003845
REEL NO.	N	CHAR	20	<p>This data field identifies filmed document microfilm reel number(s). This media is not a current business practice; however, historic media remains in use at some Command Information Repositories.</p> <p>This data field is not used by all NAVFAC Commands. Consult the appropriate NAVFAC Command Records Manager or representative to</p>		1 3 8

				ensure compliance with local business practices for Reel No. data entry.		
SELECT FILE(S) ASSOCIATED WITH RECORD	Y = When IMAGED = "YES"	CHAR	1	<p>This data field is used to add and link the related electronic document or documents to a single EDMS record entry.</p> <p>The electronic file is added by clicking the BROWSE button to the right of the data field to locate and select the related electronic file to be linked.</p> <p>NOTE: Only electronic file name(s) containing the same installation UIC and Record Number format can be successfully linked to its corresponding UIC and Record Number EDMS record entry.</p>		N00236_000023.PDF
ADD MORE DOCUMENTS	Y = When Electronic File Name of first Document file name is entered as "UIC_000001_0001"	CHAR	1	<p>The optional button is used to add and link multiple successive electronic files to a single EDMS record entry.</p> <p>When selected, a new data entry field and additional BROWSE button will be presented to locate and select additional related electronic files to be linked. Click the "Add More Documents" button for each successive electronic file to be linked to a single EDMS record entry.</p> <p>NOTE: Only electronic file names</p>		N00236_000023_0001.PDF; N00236_000023_0002.PDF, etc.

				<p>containing the same installation UIC and Record Number format can be successfully linked to its corresponding UIC and Record Number EDMS record entry.</p> <p>Successive electronic file name formats are:</p> <p>UIC_RECORD NUMBER_SEQUENTIAL NUMBER.PDF</p>		
SENSITIVITY	Y	CHAR	16	<p>This data field describes the sensitivity level for an entire document or pages or sections within a document. The entire document or select pages or sections may have information that must be protected.</p> <p>If a document has no sensitivity issues, select the “NONE” value from the pull down menu.</p>	<p>FULL</p> <p>NONE</p> <p>PARTIAL</p>	
SENSITIVITY NARRATIVE	Y = When SENSITIVITY = “FULL” or “PARTIAL”	CHAR	255	<p>This data field is used to describe the nature of the sensitivity issue of the entire document or certain select pages or sections.</p> <p>It MUST be filled in if the Sensitivity data field reflects a sensitivity level other than “NONE”.</p>	<ul style="list-style-type: none"> • Contains Privacy Act Information • Contains Archaeological Location Coordinates or Maps (see FOIA) • Contains Map(s) of Military Installation or Federal Buildings (see FOIA) • Contains 	<p>PRIVACY ACT OF 1964 PROTECTED INFORMATION</p> <p>ARCHAEOLOGICAL SITE LOCATION</p>

					<ul style="list-style-type: none"> Contains Attorney/Client Deliberative Process Information 	
SITE FILE INDEX	N	CHAR	20	<p>This data field contains a pull down list of Site File category codes.</p> <p>When the Site File code cannot be determined, consult the appropriate NAVFAC Command Records Manager or representative for further instructions.</p> <p>This data field is not used by all NAVFAC Commands. Consult the appropriate NAVFAC Command Records Manager or representative to ensure compliance with local business practices on the use of Site File Index codes.</p>		<p>SF 13.0 IR REMEDIAL DESIGN</p> <p>13.1 Correspondence</p>
SITES	Y	CHAR	50	<p>This data field consists of a restricted pick list of official NORM site numbers, Operable Unit (OU) numbers, areas of concern (AOC) number/letter, solid waste management unit (SWMU) number,</p>		<p>SITE 00001 SITE 00021 OU 0000003 SWMU 00014 UST 006337 UXO 000025</p>

				<p>underground storage tank (UST) number or unexploded ordnance (UXO) number, parcel number, etc.</p> <p>Multiple entries may be selected for each document entered as appropriate.</p> <p>The “Sites” list is specific to the installation for which data is being entered.</p> <p>See Keywords for information on entering site type information NOT identified in NORM.</p>		
SSIC	Y	CHAR	16	<p>This data field contains the Standard Subject Identification Code number</p> <p>The SSIC data field number is automatically displayed on the EDMS Management Tool screen based on the type of record selected to work with on the Home Screen.</p>	<p>5090.3a = Administrative Record File</p> <p>5090.3b = Post Decision Files</p> <p>5090.3c = Site File</p>	
TITLE	Y	CHAR	255	<p>This data field contains the actual title, subject or description of the document issued.</p> <p>This is an open text data field up to 255 characters.</p>		

INFORMATION AND FUNCTIONAL BUTTONS

Top Of Screen Information

Installation Name	Identifies the current Command selected installation in which data is being entered, modified or searched.
Installation Unit Identification Code (UIC)	Identifies the current selected installation's official unique assigned UIC
File Type	Identifies the selected file type (AR, PF or SF) for the current selected installation in which data is being entered, modified or searched.

The identified functional screen buttons shown provide the user a quick way to navigate or return directly to a selected screen. The last screen listed identifies the location or screen in which the user is currently located or working.

Top Of Screen Functional Buttons

Home	Selecting this button returns the user to the first (Main) EDMS Records Management screen. From the HOME screen the user must select a Command, installation and file type (AR, PF or SF) in which to enter, modify or search data.
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<p>Menu</p>	<p>Selecting this button returns the user to the EDMS Records Management operational MENU. From the MENU screen, the user can select one of several operational functions to perform. Available functions are:</p> <ul style="list-style-type: none"> • MANAGEMENT TOOL – This option is used by NAVFAC Records Managers or designated representatives to add, update, edit, and search records using the Management Tool. Searching records from the MANAGEMENT TOOL screen allows records managers or designated representatives to search all EDMS metadata fields and view search results in either form or tabular view. • IMPORT DATA – This option is used by NAVFAC Records Managers or designated representatives to import metadata using a bulk upload process. The upload process is will only update or modify specified existing data fields related to scanning documents not yet converted to electronic media. This function will only load document metadata and cannot be used to upload documents. • SEARCH – This option is used by NAVFAC Records Managers or designated representatives and others to search records using a combination of document metadata, file types (AR, PF and SF) and electronic document text simultaneously. <p>REPORTS – Under construction; Instructions to follow</p>
<p>Search Records</p>	<p>Under construction; Instructions to follow</p>
<p>Management Tool (DATA)</p>	<p>Identifies the location or screen in which the user is currently located or working. Selecting the last screen button shown from the current screen does not change the screen. See the description of the MANAGEMENT TOOL discussed in MENU above.</p>

Bottom Of Screen Functional Buttons	
Query Metadata	Undetermined – may be a duplicate function; explanation to follow
Add Record (Submit)	This button must be selected after entering all appropriate metadata and adding all electronic documents (files) for each document to be added to the EDMS. After selecting ADD RECORD, a confirmation screen is presented indicating the record was successfully added.
Update Record	This button must be selected after adding new or modifying select metadata and linking additional electronic documents (files) to a record previously entered into the EDMS system through the MANAGEMENT TOOL. After selecting UPDATE RECORD, a confirmation screen is presented indicating the record was successfully updated.
Search Metadata (Single File Search)	This button must be selected after entering search criteria into any of the data fields included on the MANAGEMENT TOOL data entry form (screen). A single metadata search can be performed on a single data field or a combination of multiple data fields. A search performed from the MANAGEMENT TOOL data entry form is restricted to the installation and file type (AR, PF or SF) last selected from the HOME screen. This search does NOT include the alternate file types or linked electronic document content. See HOME description, above, for information on selecting a new installation or file type (AR, PF or SF) or SEARCH information under MENU , above, to select a new installation and perform a combined search simultaneously across multiple file types and linked electronic documents (files).

Reset Form

This button is selected to clear all data fields when adding new record metadata PRIOR to selecting the ADD RECORD button. The RESET FORM button does NOT cancel the addition of a new record once ADD RECORD has been selected.

The RESET FORM button is also selected to clear all metadata fields to perform a new metadata search. Selecting RESET FORM does NOT clear the current installation or file type (AR, PF OR SF) last selected from the HOME screen. See [HOME](#) description, above, for information on selecting a new installation or file type (AR, PF or SF) or [SEARCH](#) information under MENU, above, to select a new installation and perform a combined search simultaneously across multiple file types and linked electronic documents (files).