FOREWORD

The purpose of this document is to provide the Naval Facilities Engineering Command (NAVFACENGCOM) Engineering Field Divisions/Engineering Field Activities (EFDs/EFAs) with a step-by-step guide for:

- Ensuring the Administrative Record File (ARF) is complete using the guidance from the Environmental Protection Agency (EPA), the Department of Defense (DOD), and the Department of the Navy (DON).
- Converting the ARF from paper to electronic format. This format includes fiche, film, Compact Disc Read Only Memory (CD-ROM), magnetic tape, or an optical disk platter.
- Converting the ARF from native electronic files to electronic format.

The DON/DOD cleanup program began with the passage of the Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA). Passage of the Superfund Amendments and Reauthorization Act (SARA) in 1986 brought all federal facilities under the CERCLA program. SARA required the DON to follow EPA rules. Section 113K of the CERCLA as amended by SARA requires the establishment of an Administrative Record (AR) which forms the basis for the selection of a response action. The ARF includes the final records which are a part of the DON’s decision-making process.

Requests for copies, comments, suggestions, and updates to this User’s Guide may be sent to:

Commanding Officer
NFESC, ESC 413
1100 23rd Avenue
Port Hueneme, CA 93043-4370
Phone: (805) 982-2637
Fax: (805) 982-3694
DSN: 551

Commander
Naval Facilities Engineering Command
Atlantic Division, Code 1832
1510 Gilbert Street
Norfolk, VA 23511-2699
Phone: (757) 322-4785
FAX: (757) 322-4805
DSN: 262

Electronic copies are available on the internet at:
This User’s Guide describes various options for converting a paper version of the Administrative Record to electronic format. A chapter has been added which describes options for converting electronic files to electronic format. The Naval Facilities Engineering Command does not guarantee the accuracy of the conversion from paper to electronic format. A complete and accurate copy of the Administrative Record shall be available to the public at or near the facility as required by CERCLA Section 113(k)(1).
ACKNOWLEDGMENT

We wish to thank everyone who contributed to this document. The work group was chartered on 13 December 1993 by NAVFACENGCOM Headquarters (HQ). The first committee meeting was held on 4 February 1994. The work group was renamed the Administrative Record Management System (ARMS) Committee. Each EFD/EFA, the Naval Facilities Engineering Service Center (NFESC), and NAVFACENGCOM HQ are represented.

Work Group

The purpose of the work group is to investigate, recommend, develop, and implement an automated Administrative Record Management System for the environmental field offices using local area networks and stand-alone personal computers.

Members Organizations:

NAVFACENGCOM
LANTDIV
SOUTHDIV
SOUTHWESTDIV, EFA WEST
PACDIV
EFA NORTHEAST
EFA CHES
EFA NORTHWEST
NFESC

Advisors:

NAVFACHQ Chief Information Officer
Subject Matter Experts as needed.
Responsibilities:

- Review and improve Administrative Records record management process.
- Investigate possible methods of electronic storage and distribution of the Administrative Records information.
- Provide written guidance and standards required for implementation of AR management system.
- Ensure ARMS is cost effective.
- Provide feedback from ARMS users to the NAVFAC associates on likes and dislikes and recommended priorities for necessary adjustments.
- Provide recommendations to NAVFACHQ functional manager (e.g., policy changes, resources, etc.).
- Coordinate ARMS activities within their command and keep associates informed on the progress.

Accomplishments:

- Adopted indexing standards/definitions for record identification to conform with the U.S. EPA guidance and existing definitions.
- Estimated the total retrospective conversion page count and future volume of paper records for each EFD/EFA.
- Obtained quotes from varied contractors for electronic conversion both on-site and off-site.
- Reviewed the laws governing Administrative Record Files.
- Surveyed Base Environmental Offices and public repositories in order to determine their hardware and network capabilities.
- Published ARMS User’s Guide
- Published Revised ARMS User’s Guide containing guidance for electronic to electronic conversion
- Maintain ARMS web site information at http://enviro.nfesc.navy.mil/erb/erb_a/support/work_grp/arms
# INTERIM DRAFT

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CHAPTER I

PURPOSE

The purpose of this document is to provide the Naval Facilities Engineering Command (NAVFACENGCOM) and Engineering Field Divisions/Engineering Field Activities (EFDs/EFAs) with a step-by-step guide for:

- Ensuring the Administrative Record File (ARF) is complete using the guidance from the Environmental Protection Agency (EPA), the Department of Defense (DOD), and the Department of the Navy (DON) (Refs 1 and 2).

- Converting the ARF from paper to electronic format. This format includes fiche, film, CD-ROM, magnetic tape, an optical disk platter, or a web page.

- Converting the ARF from native electronic files to electronic format.

Generic samples have been provided in this guidebook and can be tailored for each EFD/EFA. Appendixes A through G are core documentation for implementing an ARF. The samples and appendixes are available on the following internet address:


The NAVFACENGCOM is comprised of eight EFDs/EFAs. Each is responsible for the management and distribution of their Administrative Record (AR). The need is to establish an Administrative Record Management System (ARMS) and the means to receive future documents in an electronic format and to convert existing records from paper to electronic format.

Currently, many ARs consist of volumes of paper that contain reports, letters, data, recommendations, drawings, photographs, etc. Paper records can become cumbersome and costly in terms of handling, record management, access requirements, distribution, space allocation, and retention or storage. However, the original paper copy should be retained after an automated record management system has been implemented, as it is the official legal copy.

PAPER ARF VERSUS ELECTRONIC ARF AS THE LEGAL COPY

Please refer to EPA Series No. 019, records schedule for EPA administrative records, which, at this point, only allows for paper or microform. Please note the EPA Series 019 cites a 30-year period for keeping files. However, EPA is referring to hazardous waste files. The new Navy disposition manual has created a new category for Administrative Record files, SSIC 5090.3, which specifically states that the retention period for CERCLA records is 50 years.

The EPA has not formally addressed the issue since they wrote their regulations. Originally, they required an ARF paper record (circa 1989-90), no matter what other format documents may have been created in or currently exist in.
The federal courts and some state courts, however, have subsequently ruled that they will accept "microform" as long as it can be documented (chain-of-custody) and proved that the material/documents/records contained on the microform have been properly handled and protected. (The court decision did not specifically address the ARF. The ruling was a general ruling addressing electronic documents.) The EPA says that they go along with this ruling but they have never put anything in writing regarding the ARF.

One EFD developed the policy/philosophy that the PAPER ARF IS THE LEGAL VERSION. No matter how a document began "life" (electronic, CD-ROM, microfilm, etc.), a paper copy is generated for their legal record which is held under tight access at the EFD. The paper copy is the version which is described in the ARF database. However, the EFD also keeps the electronic versions of documents. The EFD does not consider web based, CD-ROM, or dedicated server versions of the Administrative Record Files to be the legal copies. It is an easy and useful way to find information, but not a collection of legal documents.

If a case goes to court, OSWER Directive #9833.3A-1 (Ref 2), Section K gives guidance for certifying the Administrative Record. Appendix K of OSWER and Appendix H of this guide contain the form to do so.

The software and technology revolution may leave the electronic version(s) of the ARF behind; web sites are ephemeral. Paper lasts and it lasts a lot longer than ANY OTHER STORAGE MEDIUM (low-tech microfilm/fiche is close) (ask a Records Manager). It is recommended by this team that one paper copy is kept.

The EFD has contractors submit electronic versions of documents as well as one paper copy for the records manager (the electronic versions of documents are great for converting to web based searching, CD-ROMs, dedicated servers, etc.). The RPMs see the logic and wisdom of this request and write the requirement into their Scopes of Work, making it standard operating procedure.
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CHAPTER II
ADMINISTRATIVE RECORD

DEFINITION

An Administrative Record (AR) is the combination of records and other material that forms the basis for remedy selection for a response action implemented at an installation restoration site.

PURPOSE

The administrative record will be the basis for any future legal review of decisions made concerning remedial action taken at a site by the Navy/Marine Corps under the Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA) response action. It also serves as a vehicle for public participation in the selection of a response action.

AUTHORITY

Appendix A provides the authority for the Administrative Record File (ARF). The ARF refers to the records as they’re being established and maintained. Until a response action decision has been selected, there is no complete administrative record for that decision. Thus, to avoid creating the impression that the record is complete at any time prior to the final selection decision, the set of records is referred to as the ARF rather than the AR.

DISPOSITION

National Archives Records Administration (NARA)

Under the authority of NARA, the Navy and Marine Corps Records Disposition Manual, SECNAVINST 5212.5D, dated 22 April 1998, authorizes the Navy and Marine Corps disposition schedule by Standard Subject Identification Codes (SSIC). For additional information about NARA, the web site is http://www.nara.gov.

The disposition instruction can be found at http://neds.nebt.daps.mil/Directives/dirindex.html. This site is the Navy Electronic Directives System and lists Tables for Office of the Chief of Naval Operations (OPNAV) and the Secretary of the Navy (SECNAV) instructions. SECNAVINST 5212.5D, Navy and Marine Corps Disposition Manual, can be found at this site on Table 47.

Disposition of Laboratory Data

NARA Federal Records Centers can store raw or validated data. Contact the NARA Headquarters for storage prices. At this time, Federal Records Centers are less expensive than commercial storage.
The Navy considers an installation to have one ARF no matter how many sites there are at the installation. Until all sites are closed, the ARF remains open. The ARF must be retained for 50 years. SECNAVINST 5212.5D, SSIC 5090.3, defines the retention period. The 50-year countdown begins three years after the IR program at the installation is completed.

SAMPLE SHEETS

Samples of a Public Availability Information Legal Notice and Administrative Record File Fact Sheet are provided for EFD/EFA use.
PUBLIC AVAILABILITY INFORMATION

LEGAL NOTICE

NOTICE OF AVAILABILITY OF
ADMINISTRATIVE RECORD AND
30 DAY PUBLIC COMMENT PERIOD
(SITE NUMBER AND NAME HERE)

REMOVAL ACTION

The Administrative Record, which documents
the Navy’s decision to undertake a Response Action for cleanup of a spill,
is available for public review. The Administrative Record
is located at (enter location, POC, phone) for review.
Written comments on the Administrative Record
should be mailed, faxed or e-mailed to:

(enter POC name)
(enter POC’s title)
(enter address)
(enter fax number)
(enter e-mail address)

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
ADMINISTRATIVE RECORD FILE FACT SHEET

The Administrative Record File (ARF) for the (insert Base/Activity) is a collection of records considered by the Department of the Navy (DON) in the selection of environmental response actions for the Installation Restoration Program currently underway.

The ARF serves two purposes. First, it provides access to site-specific information so that the public may make informed comments to the DON on the selection of response actions. Second, if the adequacy of a response decision is challenged in court, the judicial review of that decision may be largely based on the records in the ARF. This file is consistent with the requirements of the Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA), as amended by the Superfund Amendments and Reauthorization Act of 1986 (SARA).

The ARF is available for public review. It is treated as a non-circulating reference record. This will allow public access to the records and minimize the risk of loss or damage. Individuals may copy any record contained in the ARF according to the copying procedures at the local repository.

The ARF is crucial to the public because it contains information upon which the selections of interim and final response actions will be based. Technical studies and significant correspondence among government agencies are included in the ARF, as well as those records which reflect notification and participation of the public in the site activities. The consideration and response by the Navy to those comments are also incorporated into the ARF. Examples of information found in the ARF include:

-sampling data
-guidance & policy
-technical studies
-decision records
-proposed cleanup plans
-correspondence
-work plans
-health/risk evaluations
-media notices
-public information materials
-court orders and decrees
-meeting minutes

Records containing sensitive information are placed in the confidential portion of the ARF. This part of the ARF is maintained in a secured area. Confidential material is not accessible to the public; however, to the extent feasible, summaries of the records will be made available in the open portion of the ARF.

Records in the ARF are listed in an index. The index contains bibliographic information and the physical location of each record.

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
The ARF is a work in progress. Records will be added as studies are conducted; for this reason, some volumes or sections of volumes may contain few or no records at this time. If records in the ARF are damaged or lost during use, please contact the (Insert name of point of contact) in order to obtain replacement material.

(Insert designated point of contact) welcomes comments at any time on environmental activities. Formal comment periods are held at certain stages of the response process. The public is urged to use these formal comment periods to review the ARF and submit comments on proposed actions. For further information please contact:

POINT OF CONTACT

Name, Position Title
Activity Name
Activity Address
City, State, Zip Code

Telephone Number
E-mail address

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
Note that you may have completed certain steps in the process of converting paper to electronic files. As you read this document, review what you have accomplished and begin wherever you feel is best for your needs.

Figure 1 illustrates the Six Step Process.
IMPLEMENTING THE ARMS SIX STEP PROCESS

ARMS WORK GROUP

8/8/1997
12/30/2000

STEP 1
COLLECT RECORDS

• SEARCH FOR RECORDS
  - Sort by date-find duplicates
• REVIEW & EVALUATE FOR INCLUSION
• ELIMINATE DUPLICATES
• MERGE RECORDS INTO ONE FILE
  - Review ARF
  - Remove non-ARF records

STEP 2
PERFORM QUALITY ASSURANCE/QA/QC

• PERFORM QA/QC IN HOUSE
• ENSURE CONTRACTOR PERFORMS QA/QC

STEP 3
INDEX RECORDS

• CREATE AN INDEXING DATABASE
• INDEX EACH RECORD

STEP 4
SURVEY THE CUSTOMER

• SURVEY CUSTOMERS
• DETERMINE NUMBER OF COPIES NEEDED

STEP 5
DISTRIBUTION

• DETERMINE DISTRIBUTION NEEDS

STEP 6
UPDATING THE ARF

• UPDATE THE ARF ON A REGULAR BASIS (FOLLOW STEPS 1 THROUGH 5)

Figure 1. ARMS SIX STEP PROCESS
STEP ONE - RESEARCHING AND ORGANIZING THE RECORD*

Purpose

- Determine point of contact for activity.
- Determine if there is an existing AR.
- Determine prior responsible parties for historical information.
- Ascertain if there are any procedures in place for recording and indexing the record.
- Determine if Information Repository has been established, and if so, contents.
- Determine if there is a database containing an index.
- Locate and research existing records.
  - Remove duplicates
  - Look for originals
  - Remove Non-ARF documents and records
  - Check potential ARF documents against any existing paper record or database

Contributors

The following is a list of possible contributors but is not limited to:

1. Engineer in Charge
2. Remedial Project Managers
3. On-site coordinators
4. Contractors
5. Regional Counsel staff
6. Federal agencies
7. State agencies
8. CERCLA contractors
9. The public
10. Other groups or individuals concerned with the response action

ORGANIZING PAPER FILES*

Purpose

The file should be compiled as relevant records on the response action are generated or received. The records must be reviewed and evaluated to ensure ARF accuracy and completeness.

- Review and evaluate records for inclusion in the ARF.

*Refer to OSWER Directive No. 9833.3A-1, Section II, Procedures for Establishing the Administrative Record.
• This evaluation will be done by the RPMs, the ARC and/or by the activity personnel as appropriate for each EFD/EFA. Frequent consultation between Base personnel and EFD/EFA personnel may be necessary.

• Select records for inclusion and eliminate duplicates.
  • Gather guidance and compendium records.
    • Always add to the compendium records. Keep all compendium records for preserving historical decision making process.

• Organize records into one file.
GUIDE FOR ARF RECORD COLLECTION

Suggestions for Implementing Collection of Non-Deliverables

This file is for all items that are not deliverables. Documents include, but are not limited to, original incoming and outgoing correspondence, e-mails, memorandums, letters, facsimiles, etc. If unsure whether the record belongs in the ARF, consult the Administrative Records Coordinator (ARC).

1. All original incoming and outgoing correspondence pertaining to the Administrative Record shall be forwarded to the Administrative Record Coordinator.

2. Multiple file collection areas can be set up for the convenience of the project manager as follows:

   • Separate files into quarters:
     
     JANUARY 1 TO MARCH 31
     APRIL 1 TO JUNE 30
     JULY 1 TO SEPTEMBER 30
     OCTOBER 1 TO DECEMBER 31

     The ARC will be on the distribution list for all administrative records deliverables. Please refer to page 23 for the AR checklist for guidance.
     
     Notify the ARC if you are aware of other records which may have been sent to the local public repository without the knowledge of the ARC.
     
     If you have an ARC, consult with them regarding procedures.

Suggestions for Implementing Collection of Deliverables

Ensure that the ARC is on the distribution list for deliverables. Before contract is closed, ask the Contractor or the Contract’s office for a list of deliverables, plans, reports, etc., to check against the ARF index database. The close-out report may contain non CERCLA information; you may want to include the information if it covers tanks, etc. Each EFD/EFAs contract section may have a form designed for this purpose. Please see the samples at the end of this chapter.

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
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PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.

TYPICAL ADMINISTRATIVE RECORDS

THIS IS NOT A COMPREHENSIVE LIST. There is no comprehensive list. The guidelines are flexible enough to cover the inclusion of a variety of materials.

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<td>Data Summary Data</td>
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<td>Data Summary Sheets</td>
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<td>RI/FS Completed</td>
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<td>Remedial Investigation Report</td>
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PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.

TYPICAL ADMINISTRATIVE RECORDS

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<table>
<thead>
<tr>
<th>Project Phases</th>
<th>TYPICAL REMEDIAL ACTION DOCUMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>General</td>
<td>• Site Management Plans</td>
</tr>
<tr>
<td></td>
<td>• Site Photographs/Maps</td>
</tr>
<tr>
<td></td>
<td>• ATSDR Health Assessment</td>
</tr>
<tr>
<td></td>
<td>• Letters to Regulators Requesting Identification of ARARs</td>
</tr>
<tr>
<td></td>
<td>• Responses from Regulators Identifying of ARARs</td>
</tr>
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<td></td>
<td>• Notice to Regulators</td>
</tr>
<tr>
<td></td>
<td>• Regulators Comments on drafts, draft finals, and final RI/FS</td>
</tr>
<tr>
<td></td>
<td>• Correspondence and Memos to and from government agency to regulator agency</td>
</tr>
<tr>
<td>Public Participation</td>
<td>• Community Relations Plan</td>
</tr>
<tr>
<td></td>
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</tr>
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</tr>
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<td>• Documentation of Substantive Oral Comments on Selected Remedy</td>
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</tr>
<tr>
<td></td>
<td>• Responsiveness Summary</td>
</tr>
<tr>
<td>Record of Decision</td>
<td>• Record of Decision (ROD)</td>
</tr>
<tr>
<td></td>
<td>• Amendments to ROD</td>
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<tr>
<td></td>
<td>• Explanation of Significant Differences</td>
</tr>
<tr>
<td></td>
<td>• Post ROD</td>
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| Enforcement Documents | • Notice letters to PRPs  
| | • Administrative Orders  
| | • Consent Decrees  |
| Enforcement Documents “Include only if relevant to the selection of removal action” | • Administrative Orders  
| | • Consent Decrees  |
| Base Realignment and Closure (BRAC) | • Environmental Baseline Survey (EBS)  
| | • BRAC Cleanup Plan  
| | • Base Closure Plan  
| | • Closure Notifications  |

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<thead>
<tr>
<th>Typical Removal Action Activities</th>
<th>TYPICAL REMOVAL ACTION DOCUMENTS</th>
</tr>
</thead>
</table>
| **Preliminary Assessment Site Inspection** | • Preliminary Assessment (PA) Report  
• Site Inspection (SI) Work Plan  
• Site Inspection Sampling and Analysis Plan (SAP)  
• Site Inspection Quality Assurance Project Plan (QAPP)  
• Site Inspection Health and Safety Plan (H&SP)  
• Site Inspection Sampling Plan (FSP)  
• Site Inspection Chain of Custody Forms  
• Raw Analytical Data  
• Data Summary Sheets  
• Site Reports |
| **RI/FS Phase** | • Remedial Investigation/Feasibility Study Work Plan (final approval)  
• Remedial Investigation/Feasibility Study Work Plan Amendments  
• Remedial Investigation Sampling & Analysis Plan (SAP)  
• Remedial Investigation Quality Assurance Project Plan (QAPP)  
• Remedial Investigation Health & Safety Plan (HSP)  
• Remedial Investigation Field Sampling Plan (FSP)  
• Remedial Investigation Chain of Custody Forms  
• Raw Analytical Data  
• Inspection Reports  
• Data Summary Sheets |
| **RI/FS Completed** | • Remedial Investigation Report  
• Feasibility Study Report  
• Data Submitted by the Public  
• Comments/Responses on RI/FS Reports  
• Remedial Investigation/Feasibility Reports (as available for public comment and as final, if different)  
• Technical Studies  
• Alternative Technologies/Treatability Studies  
• Human Health Risk Assessments  
• Engineering Evaluation/Cost Analysis (EE/CA) |
| **Policy & Guidance** | • Guidance Documents  
• Technical Literature  
• Technical Studies Performed for the Site  
• Memos on Site-Specific or Issue-Specific Policy Decisions  
• Action Memorandum |
| **General** | • Site Management Plan  
• ATSDR Health Assessment  
• Letter to Regulators Requesting Identification of ARARs  
• Response from Regulators Identifying ARARs  
• Notices to Regulators  
• Regulators Comments on drafts, draft finals, finals of the RI/FS  
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</table>

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<thead>
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<th>Environmental Baseline Survey (EBS)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>BRAC Cleanup Plan</td>
</tr>
<tr>
<td></td>
<td>Base Closure Plan</td>
</tr>
<tr>
<td></td>
<td>Closure Notifications</td>
</tr>
</tbody>
</table>

For non-time-critical, AR is placed at site when EE/CA is made available to the public. 1

For time-critical, AR is placed at site within 60 days of when removal activities are initiated. 2

For emergency (30 days or less), AR may be made available only at the Regional office location. 3

1. OSWER Directive 9833.3A-1 December 3, 1990 Figure 3, Time Critical, Page 15
2. OSWER Directive 9833.3A-1, December 3, 1990, Page 16
3. OSWER Directive 9833.3A-1, December 3, 1990, Page 15, Figure 3.

**PLEASE NOTE:** SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
INCLUDE DOCUMENTS IF CONSIDERED OR RELIED ON

The following list of documents is not routinely used in the decision for selecting a response action. If, however, these documents contain information considered or relied on in the response action selection and the information is not contained elsewhere, then the documents should be included in the CERCLA ARF. “THIS IS NOT A COMPREHENSIVE LISTING.”

- Asbestos Reports
- BRAC Cleanup Plans (BCP)
- Change Notices
- Cost Reports
- Daily Work Reports
- Delivery Orders (contractual records)
- Financial Reports
- Hazard Ranking System
- Interagency Agreements
- Internal Notes (between contractor and DON)
- Internal Meeting Agendas (between contractor and DON)
- Internal Meeting Minutes (between contractor and DON)
- Internal Briefing Records (between contractor and DON)
- Invoices
- Modifications
- Monthly Progress Reports
- Narrative Summaries
- Negotiations
- On-Site Registers and Logs
- Pollution Prevention Assessment Reports
- Purchase Orders
- Quality Assurance/Quality Control Records
- Removal Response Subcontractor Records
- Responses to Technical Directions
- Rule Making Docket Information
- Schedule Changes
- Site Access Records
- Site Closeout Report
- Site Security Records
- Storm Water Reports
- Technical Direction Letters
- Telephone Conversations (between DON and Contractor)
- Underground Storage Tank Reports
The following is a list of documents considered to be compliance documents. These documents are to be forwarded to the Environmental Library where they are inventoried into the master database, assigned a unique document number, and filed. Due to limited space in the Environmental Library, compliance documents may be stored off-site. If any of these documents contain information that is considered or relied on in the response action selection and that is not contained elsewhere in the CERCLA Administrative Record (AR) file, the documents should be included in the AR. "THIS IS NOT A COMPREHENSIVE LISTING."

<table>
<thead>
<tr>
<th>TOPIC</th>
<th>DOCUMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>General</td>
<td>• Environmental Impact Statement</td>
</tr>
<tr>
<td></td>
<td>• Environmental Compliance Evaluation (ECE)</td>
</tr>
<tr>
<td>Clean Air Act (CAA) Requirements</td>
<td>• Aboveground Storage Tanks (AST)</td>
</tr>
<tr>
<td></td>
<td>• Hazardous Air Pollutants</td>
</tr>
<tr>
<td></td>
<td>• Source Emission</td>
</tr>
<tr>
<td></td>
<td>• New Source Review Permit</td>
</tr>
<tr>
<td></td>
<td>• Title III 112(r) - Regulated Substances Inventory/Risk Management Plan</td>
</tr>
<tr>
<td></td>
<td>• Title V Permit</td>
</tr>
<tr>
<td>Resource Conservation and Recovery Act (RCRA) Requirements</td>
<td>• Hazardous Waste management Plan</td>
</tr>
<tr>
<td></td>
<td>• Solid Waste Management Unit (SWMU) Cleanup</td>
</tr>
<tr>
<td>Solid Waste Requirements (RCRA-D)</td>
<td>• Solid Waste Management Plan</td>
</tr>
<tr>
<td>Ordnance Relation Requirements</td>
<td>• Groundwater Monitoring of RCRA Permitted Units</td>
</tr>
<tr>
<td>Safe Drinking Water Act (SDWA) Requirements</td>
<td>• Develop Operation and Maintenance (O&amp;M) Program/Manual</td>
</tr>
<tr>
<td>Toxic Substances Control Act (TSCA)</td>
<td>• PCB Removal, Replacement, Retrofill and/or Disposal per TSCA</td>
</tr>
<tr>
<td>Requirements</td>
<td>• Sampling and Analysis for PCB Content</td>
</tr>
<tr>
<td></td>
<td>• PCB Elimination Plan</td>
</tr>
<tr>
<td></td>
<td>• LBP Evaluation and Abatement</td>
</tr>
<tr>
<td></td>
<td>• Radon Testing</td>
</tr>
<tr>
<td></td>
<td>• PCB Spill Cleanup</td>
</tr>
</tbody>
</table>
## TYPICAL COMPLIANCE DOCUMENTS

(Continued)

<table>
<thead>
<tr>
<th>TOPIC</th>
<th>DOCUMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>RCRA Underground Storage Tank (UST)</td>
<td>• UST Remedial Investigation&lt;br&gt;• UST Remediation&lt;br&gt;• UST Closure/Change in Service&lt;br&gt;• Storage Tank Management Plan</td>
</tr>
<tr>
<td>Clean Water Act (CWA) Requirements</td>
<td>• National Pollutant Discharge Elimination System (NPDES) Permit Application/Renewal&lt;br&gt;• Stormwater Pollution Prevention Plan (SWP3)&lt;br&gt;• Illicit Discharge Survey&lt;br&gt;• Elimination of Illicit Connections to Storm Sewers&lt;br&gt;• Design/Construct BMP and Stormwater Management Structures&lt;br&gt;• Stormwater Management Plans&lt;br&gt;• Service &amp; Repair of BMP and Stormwater Management Equipment &amp; Facilities&lt;br&gt;• NPDES (Direct Discharge) Compliance Monitoring&lt;br&gt;• Phase II Stormwater permitting&lt;br&gt;• Industrial Wastewater Disposal</td>
</tr>
<tr>
<td>Oil and Hazardous Substances Spill Prevention and Response Requirements</td>
<td>• OP090 Facility Response Plans&lt;br&gt;• Update SPCC Plans&lt;br&gt;• SPCC Corrective Actions&lt;br&gt;• Integrated Contingency Plan</td>
</tr>
<tr>
<td>Pollution Prevention and Executive Order Requirements</td>
<td>• Pollution Prevention Assessment Reports&lt;br&gt;• Installation Pollution Prevention Plans&lt;br&gt;• Toxic Release Inventory Reporting (Form R Reporting)&lt;br&gt;• Other EPCRA (Non-TRI) Reporting&lt;br&gt;• Pollution Prevention (P2) Equipment Site Preparation</td>
</tr>
</tbody>
</table>
ARCHEOLOGICAL SITE INFORMATION

This information is prohibited from inclusion in the ARF. The actual coordinates cannot be released to the public, in order to protect the site from harm. The team recommends directing inquiries to the Public Affairs Officer (PAO), the Freedom of Information Act (FOIA) point of contact, or a designated point of contact.

RAB SIGN-IN SHEET

The sign-in list that Restoration Advisory Board (RAB) members and attendees fill out can contain sensitive, privileged information. This personal information cannot be distributed to the general public. The sign-in sheet can be imaged, but the personal information must be blocked out.

Sign-in sheets for RAB meetings become part of the administrative record. The names of the RAB members, but not their home addresses, phone numbers, or e-mail addresses may be included in the administrative record. The team recommends placing a disclaimer on the RAB sign-in sheet. RAB members should be notified at the outset that disclosure of any information besides their names is not required and if given, is subject to release. The RAB members can provide their own addresses and phone numbers on the sign-in sheets, but they must be placed on notice that providing names on sign-in sheets will result in public disclosure.

Some RAB members may want their names and addresses to become part of the administrative record, since they are community representatives and may want to act as a conduit for keeping community members informed.

CONFIDENTIAL DOCUMENTS

The non-confidential part of the ARF will be scanned; a slip sheet will be entered into the ARF explaining why the confidential part is not there. The entire document, confidential and non-confidential, can be placed in a confidential ARF at the EFD/EFA. The team recommends filing the document in one location, although the Office of Solid Waste and Emergency Response (OSWER) memorandum recommends storing confidential and non-confidential parts of the document separately. Separating the document increases the possibility of loss.

DOCUMENTS WITHOUT DATES

The suggested way to research is by date. If there is no date, use “today’s date.” A default date can be used; the team recommends default to first day of month; if only month and year are showing. If the signature has a date, use that date. If no day, use 01.

POTENTIALLY RESPONSIBLE PARTY (PRP)

If there is a PRP involved, the team recommends counsel and project manager review to determine if the document belongs in the ARF. This needs to be done on a case by case basis.
LABORATORY DATA

The validated lab data is required to be part of the AR (logged/inventoried in the database along with the rest of the records), but it is not required to be physically located (or filed) with the ARF because of the large volume. It is recommended that this data not be scanned.

HISTORICAL DOCUMENTS

Historical documents usually give information about the base or a particular site which is useful in determining what happened to the site in the past. It helps the project manager get a good idea of what he or she is up against regarding possible contaminants. Usually, this type of information, unless it is archaeological, doesn't need to be protected. It can be added to the ARF if it is pertinent to the history of an IR site.

DOCUMENTS WITHOUT SIGNATURES

Original documents with original signatures are usually difficult to obtain, especially when they are older ones. The team recommends using the original when it is available. Replace a copy of a document with an original when possible and practical (some old documents are onion skin). If nothing else is available, a good copy (or even a bad one) will do for the ARF. Everyone's ARF has copies of documents without signatures. The team recommends making every effort to get a copy with a signature, no matter whether it's the original or not.
This check list is for the contractor and the customer to use to ensure that all deliverables have been received that may pertain to the ARF.

Contractor Name:
Contract Number:
Contractor Document Control Number:
Contractor File Code:

EFA/EFD Name:
Address:
POC, Code:
City, State, Zip:

Date of form:
CTO #:
Location:

From: Name of Contractor Program Manager
Description: Brief Description of item/Report, Date
Type: ___ Contract Deliverable ___ CTO Deliverable ___ Change Notice/Project Note ___ Other

Version: (draft, draft final, final, etc) Revision Number:

ADMIN RECORD: Yes ___ No___ Category___ Confidential___
(PM to identify)

Scheduled Delivery Date:________  Actual Delivery Date_____

Number of copies submitted: OE/6C/6E

Copies to: (Include Name, Navy Mail Code and number of copies)

EFD/EFA: Contractor: Other: (Distribution done by Contractor XYZ)
M. Doe, Code 12 (OE)  J. Doe, ENV, (1C/1E)
J. Smith Code 34 (1C/1E) S. Smith (1C/1E)
B. Doe, Code 56 (3C/3E) J. Jones (1C/1E)
M. Smith, Code 67 (2C/2E)

O = Original Transmittal Sheet
C = Copy Transmittal Sheet
E = Enclosure
STEP TWO - QUALITY ASSURANCE/QUALITY CONTROL

Purpose

The purpose of this guidance is to ensure that the CERCLA Administrative Record is maintained consistently to improve and maintain the integrity of the database and develop a complete electronic copy of all records inventoried.

A. PRE-INDEXING QA/QC REVIEW

The following procedures are to be performed prior to entering the records into the EFD/EFA Environmental Records Database:

1. Verify the record is dated and signed. Verify that records issued by a contractor contain a Document Control Number (DCN). In cases where the record is a draft, the accompanying signed transmittal letter is considered to be the signature. When in doubt, consult the RPM.

2. Verify that the Table of Contents accurately reflects the actual content of the record and the page numbers identified correspond to the appropriate pages.

3. Ensure that all pages are contained within each record. Every effort shall be made 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. Special attention should be given to analytical data as it may be difficult to determine the correct order of pages. When in doubt, consult the RPM.

4. Occasionally, attachments or enclosures may have been previously entered into the database as a separate record. Verify that the section in question has been entered into the database. If so, place a slip-sheet (Attachment A) to indicate that the attachment or enclosure has been entered into the database under a separate record number and identify the record number.

5. For missing items from records produced by the contractors or any sub-contractor, forward an e-mail to the Contracting Officer Representative’s (COR) management assistant requesting the missing items from their copy or from the issuing contractor. Items to provide the COR when requesting missing items:

   (a) Contract Number or Contractor Name
   (b) CTO or DO Number
   (c) Contractor’s Document Control Number
   (d) Record Title
   (e) Record Date
   (f) List of Missing Items from the Record
   (g) Administrative Record Number
6. Some records will contain multiple volumes. Verify that all volumes have been received. All volumes are to be entered under **one record number, as one record** (records previously entered into the EFD/EFA Environmental Records Database will NOT be renumbered). Indicate the volume number and the total number of volumes which complete the record (i.e., Volume I of II; Volume II of II, etc.). If records with multiple volumes were entered into the database separately with each volume labeled with its own distinct record number, place a slip-sheet (Attachment A) to indicate that the volumes have been entered in the database under a separate record number and identify the record number.

7. 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 RPM.

8. **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 (Attachment B) identifying the appropriate information to be used during imaging.

9. Ensure that all pages actually belong to the record being reviewed. If not, tag the pages in question and verify with the RPM. For records issued by companies, this is verified by the header of each page which identifies the contractor’s Document Control Number (DCN). For other records, consult the RPM when in doubt.

10. 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 (Attachment C) 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.

11. For pages that will be scanned “grey/scale,” tag the pages with a Post-It™ marked with “G/S”. 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.

12. When records received contain diskettes, verify that the diskette is readable. Place a completed slip-sheet (Attachment D) in front of the diskette within the record. Consult the RPM when the diskette is not readable.

13. Oversized maps are usually placed in plastic slipcovers. After a period of time the print from the map adheres to the plastic. To maintain the integrity of the printed map, remove the map from the plastic cover and place it into a heavy stock paper slant cut folder.

14. Some 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.

15. Attachment E is provided as a transmitial for the COR’s management assistant when returning records with discrepancies to the issuing agency or company. Provide all required information described in Item A.5 above.

16. Attachments F, G and H are examples of possible discrepancies that may occur. These attachments may be used, on a limited basis, in cases where records require notations of unusual circumstances. Consult the RPM prior to their use.

17. **Ensure that when using any of the attached slip-sheets, “ATTACHMENT X” located at the top right corner of the page MUST be removed prior to inserting into any record.**

18. When all discrepancies have been corrected or exceptions noted with slip-sheets, prepare the record for data entry. Enter the record into the Environmental Records Database following previous guidelines.

19. Remove all records from 3-ring binders. Remove any spiral combs, paper clips, staples, etc. from each record. Forward re-usable binders to the EFD/EFA Supply drop-off. For records approximately 1 inch thick or more, bind with the fasteners provided by the respective EFD/EFA.

20. Label the record with the appropriate Administrative Record Number (assigned from the EFD/EFA Environmental Records Database). Place a 1” x ½” label at the top right corner on the first page of the record; ½” from the right edge and ½” 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” x 2” label at the top left corner of the file folder. The records shall be placed into the folder spine side down so that the record label appears below the file folder label. File the record in the correct activity location, in numerical record number order, on the shelf.

The information shown below shall be placed on both the record and file folder labels:

```
SAMPLE LABEL

UIC NUMBER, RECORD NUMBER: N12345.001334
ACTIVITY NAME: NAS Anywhere
SSIC NUMBER: SSIC # 5090.3
```
B. PROCESSING PRIVILEGED RECORDS

1. The pre-indexing procedures outlined in Item A above also apply to privileged records.

2. Privileged records shall be marked as “CONFIDENTIAL”. The confidential markings will be determined based on whether the record is fully or partially privileged. When in doubt as to whether or not a record is considered confidential, consult the RPM. EACH RECORD WILL BE FILED INTACT WHETHER FULLY OR PARTIALLY CONFIDENTIAL. PARTIALLY CONFIDENTIAL RECORDS WILL NOT BE BROKEN APART AND FILED SEPARATELY.

   (a) For records determined to be fully confidential, stamp the top and bottom margins of the first and last pages of the record “CONFIDENTIAL” using the red self-inking stamp provided by the EFD/EFA. The folder will also be stamped “CONFIDENTIAL” in the middle of the tab to the right of the folder label. Place a slip-sheet (Attachment I-1) as the first page of the record. Bind and label as described in Items A.19 and A.20 above. The record will be filed in a secured location in the Environmental Records Library separate from all other CERCLA Administrative Records. THESE RECORDS WILL NOT BE IMAGED.

   (b) For records determined to partially confidential, stamp ONLY the top and bottom margins of the applicable page(s) or section(s) “CONFIDENTIAL” using the red self-inking stamp provided by the EFD/EFA. Insert a slip-sheet (Attachment I-2) as the first page of the record AND in front of each confidential page(s) or section(s) within the record. Bind, label, and file the record as described in Item B.2.(a) above. The record will be filed in a secured location in the Environmental Records Library separate from all other CERCLA Administrative Records. ONLY THE PORTIONS DETERMINED TO BE CONFIDENTIAL WILL NOT BE IMAGED.

   (1) Prior to imaging, partially confidential records will be copied. The confidential information will be redacted. The redacted records will be RECOPIED to ensure confidential information cannot be read through white out or black marker. The pages or sections with the original redaction (containing the white out or black marker) will be shredded; the remainder will be recycled. The original record will be refiled in the secured location in the Environmental Records Library. The original record WILL NOT be transmitted for imaging.

   (2) Upon return of the imaged record, the version sent to imaging will be transferred to the commercial storage facility as described in Item D.6 below.

3. Records or portions of records may have been marked privileged prior to receipt in the EFD/EFA Environmental Records Library. Check with the RPM to determine if the record or that portion of the record remains privileged. If no longer privileged, place a slip-sheet (Attachment J) with the record.
4. If the record or a portion of the record remains privileged, follow the guidance described in Items B.2.(a), B.2.(b)(1) or (2) above.

C. PRE-IMAGING PROCESSING (INCLUDES MICROFILM, MICROFICHE AND CD-ROM)

1. Print a complete index from the EFD/EFA Environmental Records Database, sorted by record number, for the base to be imaged. Verify that all records listed have been reviewed as described in Item A above.

2. Verify that all records identified on the index are on file. Retrieve any documents that have been checked out of the Environmental Library and locate any missing records. Records MUST be forwarded for imaging in sequential record number order. Consult RPM when records cannot be located.

3. If the procedures outlined in Item A, above, have not completed, they MUST be performed prior to forwarding for imaging.

4. Place all QA/QC’d records into standard white Federal Records Center (FRC) approved boxes. Place file folders into boxes with folder labels facing the front of the box (the front is marked with “ACCESSION NUMBER”). The records shall be placed in the boxes in record number order. Records MUST be processed in sequential order. Consult RPM if missing records are identified.

5. Complete the Record Imaging Transmittal (Attachment K) and prepare a Record Imaging Transmittal cover letter (Attachment L). Provide to the RPM for signature with the original transmittal sheet. Distribute the letter and transmittal sheet as follows:

   a. Originals to the addressee (Fax advance copy of the letter ONLY to addressee)
   b. One copy to RPM’s file

6. Flag records in database (Image Status field) indicating they have been forwarded for imaging.

7. Seal and label the boxes. Label each box as shown below:

   a. For boxes retrieved from the commercial storage facility, use the following label:

      SAMPLE LABEL

      BOX NUMBER 37041349
      ACTIVITY NAME NAS ANYWHERE
      RECORD NUMBERS N12345.000001 – 000030

   b. For records boxed from the EFD/EFA Environmental Library, use the date the records are being transferred, followed by the volume number of each box.
example, 3 boxes of records transferred on 20 August 1999 would be numbered 990820-1/3; 990820-2/3; and 990820-3/3. Label each box as shown below:

**SAMPLE LABEL**

<table>
<thead>
<tr>
<th>BOX NUMBER</th>
<th>990820-1/3</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACTIVITY NAME</td>
<td>NAS ANYWHERE</td>
</tr>
<tr>
<td>RECORD NUMBERS</td>
<td>N12345.000198 – 000220</td>
</tr>
</tbody>
</table>

**D. POST-IMAGING PROCESSING (INCLUDES MICROFILM, MICROFICHE AND CD-ROM)**

1. Upon return of the imaged records, verify that all records forwarded for imaging are contained in each box and remain in sequential order.

2. Remove any Post-It™ tags previously applied for imaging and discard.

3. Verify each CD-ROM is usable.

4. Verify that all functions and features on the CD-ROM are operational (including, but not limited to, Table of Contents hot links, search functions, query builders, report printing, page marking, unmarking and printing, etc.).

5. Verify that all records and pages to each record are contained on the CD-ROM. A sampling of records, consistent with any error rates noted, shall be reviewed. Attention shall be given to record types that are typically voluminous in order to verify page order, image quality of maps, drawings, etc., and proper links applied from the Table of Contents.

6. For boxes retrieved from the commercial storage facility, prepare the commercial storage facility Fax Order Form for new shipments, retrieval and re-file (Attachment M) and provide to RPM for processing. For records boxed from the Environmental Records Library, label boxes with commercial storage facility’s bar code labels. Prepare commercial storage facility Records Transmittal Form (Attachment N) and provide to RPM for processing. **DO NOT SEND RECORDS TO COMMERCIAL STORAGE PRIOR TO COMPLETING QA/QC ON THE CD-ROM.**

7. Flag the records in the database by clicking the “Imaged?” field and entering the commercial storage facility’s box number into the “Box Number” field.

8. Note all discrepancies (includes missing pages, poor image, linking to incorrect pages, incorrect page sequence, etc., and the elements identified in Item C.5 above). For records where pages or sections are missing from the CD-ROM, note the CD-ROM page numbers before and after the missing page should appear. Tag the pages of the paper record with a Post-It™ marked with the CD-ROM page number. 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.
ATTACHMENT A

N12345.001383
NAS ANYWHERE
SSIC # 5090.3

ENCLOSURE #

TITLE

DATED 30 AUGUST 1997

THE RECORD THAT OCCUPIES THIS POSITION IN THE CERCLA ADMINISTRATIVE RECORD IS FILED WITH

AR # N12345.001120

TITLE

DATED 12 JULY 1996

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
ATTACHMENT D

N12345.001383
NAS ANYWHERE
SSIC # 5090.3

DISKETTE VERIFICATION FORM

PAGE NO. PRECEEDING DISK: __________

INDICATE WHETHER DISK IS LOCATED IN APPENDIX, ATTACHMENT, ENCLOSURE, ETC.

__________________________________________________________

DISK WAS READABLE (YES OR NO): __________

DISK FORMAT: ________________________________

PLACE THIS FORM IN FRONT OF DISK

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
ATTACHMENT E

N12345.001383
NAS ANYWHERE
SSIC # 5090.3

RECORD DISCREPANCY FORM

____ RECORD REQUIRES SMALL LABEL

____ FOLDER REQUIRES LARGE LABEL

____ PAGE(S) MISSING: ______________________

__________________________________________

____ ENCLOSURE(S) MISSING: _______________

__________________________________________

____ REQUIRES SLIP-SHEET(S) AS FOLLOWS:

__________________________________________

ATTACH THIS FORM TO THE RECORD

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
ATTACHMENT F

N12345.001383
NAS ANYWHERE
SSIC # 5090.3

ATTACHMENT/APPENDIX/ENCLOSURE, ETC., IS CONTAINED ON A DISKETTE AND IS TOO VOLUMINOUS TO PRINT.

FOR A COPY OF THE DISKETTE, CONTACT:

Insert Name
Title
EFD/EFA
Address
City, State, Zip

Telephone
E-mail

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
IDENTIFY SECTION/ATTACHMENT/APPENDIX/ENCLOSURE/ETC.
NUMBER(S) AND TITLE

The page/section(s)/attachment/appendix/enclosure/etc. which occupies this space is not available.

Extensive research was performed by (Insert EFD/EFA) to locate this page/section(s)/attachment/appendix/enclosure. This page has been inserted as a placeholder and will be replaced should the missing item be located.

Questions may be directed to:

Name
Title
EFD/EFA
Address
City, State ZIP
Telephone
E-mail

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
ATTACHMENT H

N12345.001383
NAS ANYWHERE
SSIC # 5090.3

SAMPLING AND ANALYSIS DATA

THE RECORD THAT OCCUPIES THIS POSITION IN THE CERCLA ADMINISTRATIVE RECORD IS NOT REQUIRED TO BE AT OR NEAR THE ACTIVITY.

TO VIEW THE RECORD, CONTACT:

Name
Title
EFD/EFA
Address
City, State ZIP
Telephone
E-mail

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
INTERIM DRAFT

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.

ATTACHMENT I-1

N12345.001383
NAS ANYWHERE
SSIC # 5090.3

PRIVILEGED RECORD

THE RECORD THAT OCCUPIES THIS POSITION IS DETERMINED TO BE CONFIDENTIAL IN ITS ENTIRETY AND IS NOT FOR PUBLIC VIEWING.

QUESTIONS MAY BE DIRECTED TO:

Name
Title
EFD/EFA
Address
City, State Zip
Telephone
E-mail

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
ATTACHMENT I-2

N12345.001383
NAS ANYWHERE
SSIC # 5090.3

PRIVILEGED RECORD

PORTIONS OF THE RECORD THAT OCCUPIES THIS POSITION ARE DETERMINED TO BE CONFIDENTIAL AND ARE NOT FOR PUBLIC VIEWING.

INDICATE TYPE OF INFORMATION BEING WITHHELD (I.E., NAMES AND ADDRESSES OF PRIVATE CITIZENS HAVE BEEN REDACTED)

QUESTIONS MAY BE DIRECTED TO:

Name
Title
EFD/EFA
Address
City, State Zip
Telephone
E-mail

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
ATTACHMENT J

N12345.001383
NAS ANYWHERE
SSIC # 5090.3

THE RECORD THAT OCCUPIES THIS POSITION IS NO LONGER CONSIDERED CONFIDENTIAL

OR

PORTION(S) OF THE RECORD THAT OCCUPIES THIS POSITION IS NO LONGER CONSIDERED CONFIDENTIAL

QUESTIONS MAY BE DIRECTED TO:

Name
Title
EFD/EFA
Address
City, State Zip
Telephone
E-mail

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
**INTERIM DRAFT**

*PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.*

ATTACHMENT K

<table>
<thead>
<tr>
<th>ACTIVITY:</th>
<th>DATE:</th>
<th>PAGE of</th>
</tr>
</thead>
</table>

<table>
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<tr>
<th>FROM:</th>
<th>TO:</th>
<th>CC:</th>
</tr>
</thead>
</table>

**SUBJECT:** CERCLA Administrative Record Documents Submitted for Imaging
Under Contract No. N12345-92-D-0001, CTO _______

<table>
<thead>
<tr>
<th>BARCODE BOX NO.</th>
<th>EFD/EFA BOX NO.</th>
<th>RECORD NUMBER</th>
<th>BARCODE BOX NO.</th>
<th>EFD/EFA BOX NO.</th>
<th>RECORD NUMBER</th>
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<tbody>
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</table>

*PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.*
ATTACHMENT L

N12345.001383
NAS ANYWHERE
SSIC # 5090.3

RECORD IMAGING TRANSMITTAL COVER LETTER

Serial number
Code
Date

ADDRESSEE

Subj: Transfer of NAS Anywhere CERCLA Administrative Records for Imaging

Encl: Document Transmittal Sheet for Box Numbers 990708-1/3; 990708-2/3; 990708-3/3; and 24222957

There are four boxes of the subject documents ready for imaging. The documents have been reviewed and determined to be complete and accurate for imaging under Contract No. N12345-92-D-0001, CTO _______.

Please let me know when you are available to receive the boxes.

Sincerely,

NAME
TITLE
COMMERCIAL STORAGE FACILITY FAX ORDER FORM FOR NEW SHIPMENT, RETRIEVAL, AND RE-FILE

(If the EFD/EFA is using a commercial storage facility, it is recommended that the EFD/EFA use the form provided by the contractor.)

PLEASE NOTE: SAMPLES CAN BE TAILORED BY EACH USER TO SUIT COMMAND REQUIREMENTS.
COMMERCIAL STORAGE FACILITY RECORDS
TRANSMITTAL SHEET
(MUST ACCOMPANY NEW SHIPMENTS ONLY)

(If the EFD/EFA is using a commercial storage facility, it is recommended that the EFD/EFA use the fax form provided by the contractor.)
CONTRACTOR QA/QC PROCEDURES*

Written procedures should be followed to prevent loss of documents and to ensure security of all documents while in the subcontractor's possession. All boxes (containers) should be clearly identified with the client's name, project name, and an identifying sequential letter or number. While in the subcontractor's possession, all documents are held in a locked storage area. Only authorized personnel have access to this area. Documents are removed from locked storage only as needed and returned immediately after use.

During the archiving process, the required box is removed from the locked storage area. In each phase of the process, all documents are returned immediately after use to the box (container) in their original order. The box is returned to locked storage until it is needed for the next phase of the archiving process. Keeping all documents in their original order, in their original box (container), and in locked storage while not in use prevents loss of documents and ensures the security of all documents.

*Used by permission, Standard Operating Procedures, Multimedia Unlimited Inc., Park West One, Suite 140, Pittsburgh, PA 15275.
STEP THREE - INDEXING

Purpose

Appendix D has been adopted to be the Core and Optional fields that are pertinent to indexing the AR for accuracy and linking to other databases.

Index each record in accordance with Appendix D and Reference 2. Creating the index allows users to search or query the indexed information using the software package employed to create the database.

The following procedures are recommended when creating an index:

- Use Commercial Off-the-Shelf Software (COTS).
- Create an index (database) using Appendix D.
- Index each record with consistency. Develop standard naming conventions for data entry. Use pull down menus to ensure consistency.
- Place the document record number on the first page of each physical record as appropriate. Recommend marking or labeling first page of each record in the upper right-hand corner.
- Design the database to assign a unique sequential number for each record.
- Recommend using Unit Identification Code (UIC) plus unique sequential record number to create a master field.
- Recommend filing paper ARF by computer generated sequential record number.
- Recommend adding a field for the contractor internal document control number to the indexing database. It is useful when the contractor is asked to do a search for documents they generated that you may be missing.
Suggested Labeling (videos and floppy discs require labeling also):

- Folder Label Size: User’s choice, Font Size: 14 or 16
- Document Label Size: User’s choice, Font Size: 14 or 16
- Information on each label
  - For CERCLA: For Compliance:
  - UIC Seq. Number Compliance UIC # Seq. #
  - Activity Name Activity Name
  - SSIC# 5090.3 SSIC# 5090.4
  CERCLA Example: Compliance Example:
  N12345.000324 Compl.N12345.000324
  Activity name Activity name
  SSIC# 5090.3 SSIC# 5090.4

Label Number Prefix Key:
AR is indicated by UIC
Compliance is indicated by Coml UIC
Tech. Library is indicated by TL
Compendium is indicated by CMPDM
Misc. is indicated by Misc.
STEP FOUR - SURVEYING THE CUSTOMERS

Purpose

Before committing to a designated media for customers, it is recommended that a survey of customers be conducted to determine their electronic capability.

- Surveying the customers may include but not be limited to repositories, Base Environmental Office, federal and state regulatory agencies, and in-house users.

- After completion of survey, determine the number of copies needed in appropriate media.

- A list of questions to ask during the telephone call follows.
CERCLA ADMINISTRATIVE RECORD MANAGEMENT SYSTEM USER’S GUIDE

SURVEY

PUBLIC ORGANIZATION/LIBRARY SURVEY TO DETERMINE HARDWARE AND SOFTWARE NEEDS

1. Call the organization/library which is targeted to house the Administrative Record File OR is currently housing a paper copy of the ARF.

   • Preliminary work will include organization name/address/telephone number of appropriate administrator

   • Identify yourself/organization

   • Clarify the purpose and intent of the ARF and the reason it must be available to the public
     • The ARF and Index is the collection of documents by the Department of the Navy (DON) in the selection of environmental response actions for the Installation Restoration Program currently underway.
     • The ARF serves two purposes. First, it provides access to site-specific information so that the public may make informed comments to the DON on the selection of response actions. Second, if the adequacy of a response decision is challenged in court, the judicial review of that decision may be largely based on the records in the ARF.

   • Explain the purpose of the phone call
     • to explore the possibility of housing the ARF at their site in an electronic format
       OR
     • to explore the possibility of changing the ARF existing storage medium

2. The following questions are based on initial responses from the appropriate administrator.

   • If the response to questions one and two is positive, then proceed through the “if then” scenarios below.
   • If the initial response is negative and they are not willing to house the record electronically, then an alternate plan will need to be implemented.
3. QUESTIONS TO POSE

- Are you willing to house the Administrative Record in electronic format?
  - Specify the designated format
    - Web based program
    - Dedicated server
    - CD-ROM
    - Microfilm
    - Microfiche
    - Other

- Do you currently have space and equipment available to house and use the ARF in the specified format?

- If the answer is YES. They have both space and equipment and are willing to house the Administrative Record in the specified format THEN:
  - Ask for a point of contact who can answer technical hardware and software questions
  - Contact technical representative – discuss and coordinate:
    - Technical information/requirements
      - Installation
      - Housing
      - Updates
    - Navy technical support (not recommended)
  - Ask for a written policy for computer guidelines (electronic resources guidelines)
  - Ask for a written policy for monitoring computer usage
  - Keep both policies in your official files

- If the answer is both YES and NO. They have space but inadequate equipment and are willing to house the Administrative Record in the specified format THEN:
  - Ask, in order to use the specified format, what they need to accommodate the request:
    - hardware/equipment/furniture
    - software
    - internet connection (paid for; possibly for one year)
• Ask if they would be willing to accept and maintain hardware/equipment/software purchased for their use?
  • If the answer is YES, THEN:
    • Ask for a point of contact who can answer technical hardware and software questions
    • Contact technical representative – discuss and coordinate:
      • Technical information/requirements
        • Installation
        • Housing
        • Updates
      • Navy technical support (not recommended)

• If the answers are both NO. Then provide the Library with appropriate alternate format (i.e., paper)
COMPUTER EQUIPMENT PURCHASE FOR PUBLIC REPOSITORIES

The decision to purchase computers should be based on the following:

- A good business decision based on considered customer needs
- The computer is an integral component of the web based administrative file
- Size of the paper administrative record file
- Library location and resources (staff and space)
- Public relations
- Meeting legal requirements for the administrative record file

The following controls on the computer are recommended:

- Computer startup to the administrative record file web site
- Password controlled access by library staff
- Add line item in library electronic resources guideline that the computer was provided by the U.S. Navy to allow public access to the administrative record file and must be used according to library guidelines
- Post a label/note on or nearby the computer to the same effect as above
- Have instructions for accessing and navigating the administrative record file
- Post the activity web site address so patrons can access it from home
STEP FIVE - DISTRIBUTION

Purpose

Document, maintain and distribute the ARF.

- Refer to Step Three to determine number of copies and type of media. Distribution should be accomplished by EFD/EFA. Recommended distribution of paper copies:
  - Original copy retained by EFD/EFA
  - Activity Environmental Office
  - Public Repository
  - EFD/EFA RPM (optional)

- Distribution for electronic format (CD-ROM) may include, but is not limited to:
  - EFD/EFA (RPM and Administrative Records Coordinator)
  - Activity Environmental Office
  - Public Repository
  - Federal Environmental Agencies
  - State Environmental Agencies
  - NFESC
  - Master original and one copy retained by contractor

- Distribute by preferred method.
STEP SIX - UPDATING THE ARF

Purpose

Provisions should be made to ensure regularly scheduled updates.

- Updates should be done on a regularly scheduled basis. No more than one year should pass between updates.
- Steps one through five apply to updates.
- The updated database may be contained on the new electronic media.
- Records not included in the original electronic conversion should be included in the next scheduled update. If a record is out of order, add a disclaimer statement to the electronic format.
- For multiple CDs, consider putting the index on a separate CD or downloading it to the hard drive.
- Recycle CDs appropriately.
- Label updates appropriately.

Migration of Data and Media

Hardware, software and technological changes occur at an ever-increasing pace. The need is to ensure that the data will be able to be read forever using the equipment in the office. The life span of the media and the version of the software will need to be monitored. It is critical that the ARF conversion schedule includes time for either re-burning the CDs, and/or moving the data from one media or software version to another.

CD-ROM Life Span

There appears to be conflicting data on the life span of CDs. It is recommended that you re-burn CDs every seven to ten years. A web site to view for information regarding life span is:


There are companies available who have old equipment and software that can transfer your information from one media and/or software version to another. For a fee, they will migrate your data. The National Archives and Records Administration (NARA) has old equipment; for example, old magnetic card reading equipment.

Other companies can be located on the web by searching for data migration, data conversion, and backfile conversion.
CHAPTER IV

FILING/STORING THE ARF

The paper ARF can be filed/stored by EPA category code or by computer-generated record number. Using the EPA category code to file/store the paper ARF creates an ongoing need to shift paper files. Filing/storing the documents by the computer-generated number will eliminate the need to shift paper to make room for new documents.
CRITERIA FOR SELECTING A CONTRACTOR

- Select a contractor who can integrate the software that you select, who can meet your requirements, and who will adhere to the customer’s needs.

- Ensure contractor has security provisions in place. While records are in contractor possession, ensure they are protected from unauthorized access and use.

- Have contractor provide QA/QC Program Guide. See page 46 for an example.

- Recommend selecting a contractor within EFD/EFA geographical area.

- Ensure customer has accessibility to records at all times.

- Determine if contractor has extensive experience in systems integration and imaging.
  - Request an evaluation copy of their software.

- Assess contractor’s equipment to ensure that it is state of the art.

- Tour the contracting facility.

- Evaluate contractor personnel for experience and expertise.

- Have contractor provide references.
  - Check references for support capability and services.

- Make sure the contractor uses the ISO 9660 Standards for CDs. The standards were updated in 1999.

Please refer to the DOD Automated Document Conversion Master Plan
(Automated Document Conversion Plan April 1995 (Word)
http://www.c3i.osd.mil/other/adc/adcprt.doc

Automated Document Conversion Plan April 1995 (html)
http://www.c3i.osd.mil/other/adc/adcprt.html

- for “CD-ROM standards:
  ISO 10149:1989, Information Processing – Data Interchange on Read-Only 120 mm Optical Data Disks (CD-ROM), standardizes the physical
characteristics (track shape, track pitch and data structure) on a Compact Disc.”
EXPLANATION OF THE SCOPE OF WORK

The following is a SAMPLE Scope of Work for converting a paper ARF from paper to an electronic format. The scope is aimed at the initial conversion of paper to electronic format. When a command decides to convert paper ARFs to an electronic format, the initial conversion usually involves an enormous amount of paper documents. Paper predominates because most of the documents are older and were not created in an electronic format. If they were originally created as electronic documents, the electronic file no longer exists.

The scope of work begins with the presumption that paper documents/records to be scanned have been researched and selected for inclusion in the ARF.

The scope of work was written as a series of pick lists. Requirements for the web and CD-ROMs are listed. The list is as comprehensive as experience can make it. Readers should review the pick lists, determine customer needs, and select options which best fit requirements.

**Scanning requirements** are basic. The selected format for scanning is Portable Document File Format (.pdf). It was chosen because it is the accepted format for electronic Federal government documents. By using .pdf format, the documents can be searched, opened and read by most users. A .pdf is a free (although proprietary) universal format. It can be used for both the web or CD-ROMs.

Other scanning requirements (some are self explanatory, others have explanations) should be included when writing the scope. Optical Character Read (OCR) is not a requirement but is strongly recommended. OCR creates an additional information search capability to include nearly every word in every document. OCR will add cost to the conversion.

**Web requirements and CD-ROM requirements** are pick lists. Usually, one format is selected, however, many commands have chosen to put an ARF on a web site and create CD-ROMs. Individual military installation needs normally dictate the format for the ARF.

Certain **files** need to be provided. They can either be provided by the Navy or the contractor performing the work for the Navy.

**Database requirements/Search screens/Search screen results** is a pick list. Search screens and search screen results should be tailored to fit individual needs. The screens were based on typical web search engine screens and web search engine "search results" screens.

**The Administrative Data Entry Screen** is a starting point for creating searchable data fields. Please incorporate core and optional fields (see Appendix D). By using "pull-down menus" wherever possible, standard naming conventions promote consistency of data entry. This results in more accurate and complete data returned to the customer from the search request. Please note that data entry can be done directly into Microsoft Access if there is no "need" to create a data entry screen.

**Project milestones for CD-ROM and web based product and the number of copies** are suggestions. The schedule and number of copies can be modified to suit customer needs.
SCOPE OF WORK

- Search the entire database using OCR with .pdf format
- Capture the ARF documents as images, and link them to an electronic database/index.

Scanning Requirements

- Scan paper archival documents. Approximately ___ pages will be scanned as .pdf files
  - Approximately ___ oversize figures (larger than 11” x 17”) will also be scanned as .pdf files at a reduced scale
- Conversion of native electronic files to .pdf and appropriately incorporated
  - Files ranked for cost, time and space requirements
    - black and white image
    - gray scale image
    - color image
- Scan black & white images, gray scale images, drawings, text at 300 dpi
- Documents and figures with color enhancements will be reproduced as color images
  - .pdf files will be hyperlinked to a Microsoft Access database/index
  - Individual document table of contents (sections, tables, figures, graphics) will be bookmarked to the appropriate section within the document
    - Bookmarks show in the left window margin
    - Each bookmark in the navigation pane goes to a different view or page within the document
    - Hierarchial by subject heading – The cost for creating bookmarks and hyperlinks is approximately equivalent on a per link/bookmark basis since both are created using Acrobat® Distiller® software. While the keystrokes and mouse clicks used to create hyperlinks are different than bookmarks, the total time spent creating them is approximately the same. Most scanning contractors charge an hourly fee for creating bookmarks and hyperlinks, so the cost (and to some degree the unit cost) will vary according to the total number of links/bookmarks required per document.
  - Documents will be Optical Character Read (OCR)
    - Built into Adobe® Acrobat® authoring software
    - Certain fonts are easier to scan and convert to OCR. Arial 11 works best.
- Scanning quality assurance/quality control will include the following:
  - ensure document integrity when documents are under contractor control
  - contractor records validation upon their receipt and return
  - ensure photo, drawings, images (black/white and color) clarity
  - ensure proper page alignment
  - ensure search and access capabilities are fully functional as requested

Web Requirements
• Information will be displayed consistently throughout the program
  ♦ Graphics will be consistent with the graphics on existing web site (use as appropriate)
    ❑ Other designs, wallpaper, fonts and use of color will be aesthetically pleasing and properly used
  ♦ An appropriate identifier (i.e., "Insert Activity Name Administrative Record File") using the proper name of the customer and their logo (as directed) will be incorporated into a graphic banner and will appear on each screen of the Administrative Record File
  ♦ Other appropriate information
    ❑ set up an e-mail point of contact for technical trouble
    ❑ set up an e-mail point of contact for inquiries, comments, etc., with appropriate telephone number(s) (as directed)
    ❑ official mailing address for point of contact
  ♦ “Hits” counter
  ♦ Serve images up as byte servings
  ♦ Limit file size to 15M
  ♦ Button access to password protected area for document review
  ♦ Button access to a “what’s new” page
• Button access to documents which explain and supplement the Administrative Record File
  ♦ Definition and purpose of the Administrative Record File
  ♦ U.S. EPA Category Code explanation
  ♦ Installation Restoration acronyms
  ♦ Bibliography of documents which create and grant authority for the establishment of the Administrative Record File
    ❑ Proper file names to be supplied by the Navy
    ❑ File format will be consistent with policy
  ♦ Capability to search and view CAD files
  ♦ Capability for voice recognition for review and navigation features
  ♦ Capability for standard searching (see below) across document contents
    ❑ searching not “case sensitive”
    ❑ capability for wild card searching
  ♦ Standard search results viewing (see below)
  ♦ Deliver search results as ranked and relevant
  ♦ Linking to existing WEB documents as directed (example: environmental acronyms document, EPA full-text of laws)
  ♦ Contractor logos will not appear on the final product

CD-ROM Requirements

• Information will be displayed consistently throughout the program
  ♦ Graphics will be consistent
    ❑ Other designs, wallpaper, fonts and use of color will be aesthetically pleasing and properly used
An appropriate identifier (i.e., "Insert activity name Administrative Record File") using the proper name of the customer and their logo (as directed) will be incorporated into a graphic banner and will appear on each screen of the Administrative Record File.

Other appropriate information:
- Set up an e-mail point of contact for technical trouble
- Set up an e-mail point of contact for inquiries, comments, etc., with appropriate telephone number(s) (as directed)
- Official mailing address for point of contact

- Button access to documents which explain and supplement the Administrative Record File
  - Definition and purpose of the Administrative Record File
  - U.S. EPA Category Code explanation
  - Installation Restoration acronyms
  - Bibliography of documents which create and grant authority for the establishment of the Administrative Record File
    - Proper file names to be supplied by the Navy
    - File format will be consistent with policy
  - Capability to search and view CAD files
  - Capability for standard searching (see below) across document contents
    - Searching not “case sensitive”
    - Capability for wild card searching
  - Standard search results viewing (see below)
  - Deliver search results as ranked and relevant
  - Linking to existing WEB documents as directed (example: environmental acronyms document, EPA full-text of laws)
  - Provide a quick reference guide to searching
  - Ensure that the CD is a “run-time” CD and writes minimal amounts of files to the hard drive. Recommend no more than 5M
  - Contractor logos will not appear on the final product

Disclaimer

- Recommend that this disclaimer be put on web pages displaying a copy of the ARF, or any electronic media containing a copy of the ARF (CD ROM, web page, diskettes, etc.)

- DISCLAIMER

The (please insert Activity Name) Administrative Record File (Please insert media -- web page, CD ROM, Diskette, microfiche, microform, etc.) information is an electronic copy of official documents and reports which comprise the Administrative Record File. The legal, paper Administrative Record File is held by the lead agency, the (Please fill in the EFD/EFA), Environmental, Naval Facilities Engineering Command.

As directed by U S EPA guidance, the Administrative Record File has been made available to the public. The (Please insert media -- web based, CD ROM, Diskette,
microfiche, microfilm, etc.) version of the Administrative Record is considered to be a copy of original documents and reports.

Please direct any questions regarding content to the point of contact on the screen.

The following files will be provided

- electronic copy of the ARF database
- electronic copy of list of acronyms
- electronic copy of definition and purpose of the Administrative Record File
- electronic copy of explanation of the EPA category codes
- electronic copy of point(s) of contact, telephone numbers, e-mail addresses, pictures and logos (for CD-ROM label and cover),

Database Requirements

- Create an appropriate data entry screen accessible and visible as an administrator function only (see below)
- Create appropriate search and search results screens (see below)
- Appropriate search capability and other features will be incorporated into the database
- Software code ownership will transfer to the Navy
- The data belongs to the Navy
- The contractor shall maintain original electronic information
  - It is not necessary to mark the electronic version of the document with the computer generated document number assigned by the indexing database.
- Use pull-down menus whenever possible to ensure standard naming conventions to promote consistent data entry

QUICK SEARCH SCREEN

FEATURES

- mimic Internet search engine screens and features
- perform quick and advanced searching
- screen buttons/box
  - a search button
  - a search box for search words input
  - an exit button
  - a resize button
  - an advanced search button
- appropriate search directions
- access the following Microsoft Access tables
  - title
  - site number
  - UST number
♦ site name
♦ keywords
♦ building number
♦ SITEID (field from NORM; possible field to use to help the search engine software retrieve data. This field formerly called REC_ID in NORM.)

QUICK SEARCH RESULTS SCREEN

FEATURES
• mimic Internet search screens and features
• search results will be displayed as a **list of titles**
  ♦ titles will be hyperlinked to documents
• display the following
  ♦ Returning Search Results for “_______” (words used by customer for searching; this should be a sentence rather than look like a data entry box)
  ♦ Number of Search Results Found “_______”
  ♦ Message if no hits: “No documents found matching request. Search again”
  ♦ search button (“start a new search”)
  ♦ a back button
  ♦ a resize button
  ♦ an exit button
  ♦ a “refine using advanced search” button to access the Advanced Search screen feature
• ALL information fields available in the Advanced Search screen will
  ♦ appear with the title as search results OR
  ♦ be accessible via a “see more details” button which will display the following about the selected document in a separate detail information screen
    - keywords
    - document date
    - site number(s)
    - UST number(s)
    - building number(s)
    - document type
    - organization (sender & recipient, no personal names)

ADVANCED SEARCH SCREEN

FEATURES
• mimic Internet search engine screens and features
• display the following:
  ♦ a search button
  ♦ a search box for search words input
  ♦ a back button
  ♦ an exit button
  ♦ a resize button
• allow for the input of multiple search terms
• use “AND” search logic rather than “OR” search logic
• fields displayed for searching will be:
  ♦ title
  ♦ keywords
  ♦ document type
  ♦ site number
  ♦ building number
  ♦ UST number
  ♦ organization (sender & recipient, no personal names)
  ♦ date (From/To –use calendar style lookup system like Outlook)

ADVANCED SEARCH RESULTS SCREEN

FEATURES
• mimic Internet search screens and features
• display the following:
  ♦ Advanced Search Results for “_____” (words used by customer for searching; this should be a sentence rather than look like a data entry box)
  ♦ Number of Search Results Found “_____”
  ♦ Message if no hits: “No documents found matching request. Search again”
  ♦ “number of search results found “_____”
  ♦ a back button
  ♦ a resize button
  ♦ an exit button
  ♦ a new advanced search button
• the advanced search results will be displayed as a list of titles
• titles will be hyperlinked to documents
• ALL information fields available in the Advanced Search screen will
  ♦ appear with the title as search results OR
  ♦ be accessible via a “see more details” button which will display the following about the selected document in a separate detail information screen
    ■ keywords
    ■ document date
    ■ site number(s)
    ■ UST number(s)
    ■ building number(s)
    ■ document type
    ■ organization (sender & recipient, no personal names)

ADMINISTRATIVE DATA ENTRY SCREEN

• Data entry screen will be logically designed (at Navy direction) to be aesthetically pleasing as well as make data entry efficient
The following will be searchable from this screen:
- title
- date
- keywords
- site/UST/building number
- computer generated document number

Data entry fields:
- title
- EPA category code
- keywords (table)
- document creation date
- site number(s) (pull down menu)
- UST number(s) (pull down menu)
- building number(s) (pull down menu)
- document type (pull down menu)
- document location (as needed)
- organization (sender & recipient; personal names as necessary)
- computer assigned sequential number beginning with 00001

Verify file naming conventions
INTERIM DRAFT

Project Milestones for CD-ROM

<table>
<thead>
<tr>
<th>Key Project Milestones</th>
<th>Number of Days from Award</th>
<th>Interval</th>
</tr>
</thead>
<tbody>
<tr>
<td>Collect/Deliver Paper Copy Record</td>
<td>30</td>
<td>30</td>
</tr>
<tr>
<td>Prepare Draft Document Scanning Linking (and CD Transfer)</td>
<td>40</td>
<td>25</td>
</tr>
<tr>
<td>Submit Draft Record (on CD)</td>
<td>40</td>
<td>0</td>
</tr>
<tr>
<td>EFD/A and Activity Review</td>
<td>50</td>
<td>10</td>
</tr>
<tr>
<td>Prepare Final Record (in CD)</td>
<td>60</td>
<td>10</td>
</tr>
<tr>
<td>Submit Final Record (on CD)</td>
<td>60</td>
<td>0</td>
</tr>
<tr>
<td>Deliver Updated Reports</td>
<td>360</td>
<td>15</td>
</tr>
<tr>
<td>Prepare Final Update of Record on CD</td>
<td>375</td>
<td>15</td>
</tr>
<tr>
<td>Submit final Update of Record on CD</td>
<td>375</td>
<td>0</td>
</tr>
</tbody>
</table>

Project Milestones for Web Based Product

<table>
<thead>
<tr>
<th>Key Project Milestones</th>
<th>Number of Days from Award</th>
<th>Interval</th>
</tr>
</thead>
<tbody>
<tr>
<td>Collect/Deliver Paper Copy Record</td>
<td>30</td>
<td>30</td>
</tr>
<tr>
<td>Prepare Draft Web Site</td>
<td>40</td>
<td>25</td>
</tr>
<tr>
<td>EFD/A and Activity Review</td>
<td>50</td>
<td>10</td>
</tr>
<tr>
<td>Prepare Final Web Site</td>
<td>60</td>
<td>10</td>
</tr>
<tr>
<td>Submit Final Web Site</td>
<td>60</td>
<td>0</td>
</tr>
<tr>
<td>Update Web Site</td>
<td>As needed</td>
<td></td>
</tr>
</tbody>
</table>

• Tasks
  ♦ Task 1 - Project Management
  ♦ Task 2 - Document scanning, linking, database creation services to produce grouped, archived reports
  ♦ Task 3 – Deliver Administrative Record File on CD-ROM or as web based product
  ♦ Task 4 – Updated Administrative Record File

• Deliverables - CD-ROM disks or web based program
  ♦ Document Delivery Schedule for CD-ROMs
<table>
<thead>
<tr>
<th>Document</th>
<th>Number of Copies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Draft Administrative Record on CD-ROM</td>
<td>1</td>
</tr>
<tr>
<td>Final Administrative Record on CD-ROM</td>
<td>9 (1 copy retained by contractor)</td>
</tr>
<tr>
<td>Draft Administrative Record Update on CD-ROM</td>
<td>1</td>
</tr>
<tr>
<td>Final Administrative Record Update on CD-ROM</td>
<td>9 (1 copy retained by contractor)</td>
</tr>
</tbody>
</table>
CHAPTER VI

EXPLANATION OF THE ELECTRONIC CONVERSION PROCESS

This chapter focuses on electronic files which will reside on a network (or other storage medium) and be accessed from a database.

The discussion includes:

- Conversion of documents which are not currently in electronic format
- Documents being created under evolving electronic deliverable specifications

Planning costs for converting archival documents to Adobe® Acrobat® portable document format (.pdf) are provided.

Adobe® Acrobat® software is the preferred standard for combining sections of deliverables created in multiple electronic formats into a single format (Adobe® Acrobat® .pdf files) organized like the original paper document.

Documents are normally converted from two general sources:

- native electronic files direct conversion (i.e., MS Word®, MS Excel™, Autodesk™ Autocad™, or ESRI ArcView™)
- scanning archival paper documents that were not produced electronically or have no readily available electronic files

The following sections discuss these two issues and the final section of this chapter discusses cost impacts for new and archival document conversion to Adobe® Acrobat®.

CONVERSION OF NATIVE FILES

Electronic files from nearly any application can be converted to the Portable Document Format (.pdf). These are described in Adobe® Acrobat® software documentation.

Adobe® Acrobat® provides flexibility in how the document appears on screen and how the information is navigated. Included are recommended default parameters for Adobe® Acrobat® documents. The objective is to achieve standard viewing and navigation. Other utilities such as embedding URLs and hyperlinking may be appropriate on a project-by-project basis.

Electronic documents can be converted to .pdf from multiple native formats (see above) and arranged to duplicate the original paper document.
Adobe® Acrobat® automatically generates bookmarks from the table of contents of documents created by most desktop publishing programs. The figure below provides an illustration for document presentation (note hierarchical bookmarks):

---

**IMAGING OF ARCHIVAL PAPER DOCUMENTS**

Adobe® Acrobat® is used with a scanner to create a .pdf file from an archival paper document. The resulting file is a .pdf “image only” file or a bitmap picture of the pages that can be viewed but not searched.

To enable the search, correct, and text copy features in an “image only” file, pages can be “captured” and converted to “.pdf normal” during the scanning process. During capture, Adobe® Acrobat® performs optical character recognition (OCR) to the scanned pages. This application converts them to searchable, scalable text called “.pdf Original Image With Hidden Text.”

This type of file has a picture of the pages in the foreground, with the captured text behind it. The text can be copied and pasted, searched, or bookmarked while the documents retain the original look, content, handwritten annotations, and signatures. OCR is likely to result in occasional misspellings as images are converted to text. Usually there will be no provisions for proofing and correcting for text accuracy as it is prohibitively expensive.
EXPLANATION OF DOWNLOAD TIMES FOR DIGITAL DOCUMENTS AND FILES

Digital documents may be large, particularly when documents are captured to digital images rather than converted from source files such as MS Word or other authoring programs. It is important to recognize that the time needed to download them can be important.

Time required to download a file considers a standard unit for file size, the difference between bits and bytes (a bit is the smallest digital unit and is represented by 1 or 0), and working through a complicated calculation involving the file size and modem or connection speed.

Calculators exist on the Internet. An example is the File Download Time Calculator. Type in the size of the downloadable file (in KB or MB) and a moment later the program displays download calculations in 17 various transfer speeds/connection types. The File Download Time Calculator is located at:

http://www-sci.lib.uci.edu/HSG/AATimeCalc.html
The table below provides the tabulated speeds for a 1M, 5M, 10M, and 30M file. File sizes and download times are representative of the digital files developed from EFA NW documents. These data indicate that larger documents may be split into chapters and figures in addition to having the entire document available for download.

### DOWNLOAD TIME CONSIDERATIONS FOR DIGITAL DOCUMENTS

<table>
<thead>
<tr>
<th>Connection Speed</th>
<th>File Size in Megabytes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1M</td>
</tr>
<tr>
<td>14,000 bps</td>
<td>0.10</td>
</tr>
<tr>
<td>28,000 bps</td>
<td>0.5</td>
</tr>
<tr>
<td>33,600 bps</td>
<td>0.42</td>
</tr>
<tr>
<td>56 Kbps</td>
<td>0.22</td>
</tr>
<tr>
<td>1.54M T1</td>
<td>0.05</td>
</tr>
<tr>
<td>T2/DS2</td>
<td>0.01</td>
</tr>
</tbody>
</table>

1 Source File Download Time Calculator (http://www.sci.lib.uci.edu/HSG/AATimeCalc.html)*

2 Displayed as hours.minutes.seconds

*Source File Download Time Calculator displayed and reprinted with permission from Jim Martindale (jimmartindale-1@lycos.com) Copyright © 1994-2002, All rights reserved, Jim Martindale. Please also see Privacy Policy, Disclaimer & Notes, http://www-sci.lib.uci.edu/HSG/Disclaimer.html
## ESTIMATED RECORD CONVERSION COSTS/UPDATE

<table>
<thead>
<tr>
<th>Basis</th>
<th>Quantity</th>
<th>Range of Unit Cost&lt;sup&gt;1&lt;/sup&gt;</th>
<th>Low Cost Total</th>
<th>High Cost Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scan pages at 300 DPI</td>
<td>150,000</td>
<td>$0.10 to $0.20</td>
<td>$15,000.00</td>
<td>$30,000.00</td>
</tr>
<tr>
<td>(Letter, legal, and ledger size)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Convert pages to .pdf Format</td>
<td>150,000</td>
<td>$0.10 to $0.60</td>
<td>$15,000.00</td>
<td>$90,000.00</td>
</tr>
<tr>
<td>(OCR)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scan D size drawings</td>
<td>1,800</td>
<td>$0.80 to $2.50</td>
<td>$1,440.00</td>
<td>$4,500.00</td>
</tr>
<tr>
<td>Convert drawings to .pdf</td>
<td>1,800</td>
<td>$0.15 to $0.80</td>
<td>$270.00</td>
<td>$1,440.00</td>
</tr>
<tr>
<td>Rename files</td>
<td>600</td>
<td>$0.10 to $0.30</td>
<td>$60.00</td>
<td>$180.00</td>
</tr>
<tr>
<td>Create original CD-ROM disks</td>
<td>25</td>
<td>$20.00 to $70.00</td>
<td>$500.00</td>
<td>$1,750.00</td>
</tr>
<tr>
<td>Create duplicate CD-ROM disks</td>
<td>25</td>
<td>$15.00 to $25.00</td>
<td>$375.00</td>
<td>$625.00</td>
</tr>
<tr>
<td>Pickup and delivery costs</td>
<td>2</td>
<td>$0.00 to $0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Total estimated cost:&lt;sup&gt;2&lt;/sup&gt;</td>
<td></td>
<td></td>
<td>$32,645.00</td>
<td>$128,495.00</td>
</tr>
</tbody>
</table>

### Optional Services:

<table>
<thead>
<tr>
<th>Basis</th>
<th>Range of Unit Cost (per hour)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bookmarking</td>
<td>$30.00 to $75.00</td>
</tr>
<tr>
<td>Document Preparation</td>
<td>$20.00 to $35.00</td>
</tr>
<tr>
<td>OCR Correction</td>
<td>$30.00 to $35.00</td>
</tr>
</tbody>
</table>

<sup>1</sup> Range of unit costs are from actual bids of this scope. The winning bid did not contain the lowest cost in all categories.

<sup>2</sup> Based on lowest and highest unit costs. Actual bids ranged from approximately $45,000 to $120,000 and the average of four bids was $62,000.
REFERENCES


WEB SITES

Activities with Administrative Records

USMC Camp Lejeune Installation Restoration Program web site,
http://ams1.mbkercorp.com/CampLejeune/default.html

USMC Cherry Point homepage, http://www.lantops-ir.org/cherrypoint/home/

CIMAGE™
CIMAGE™ web page that displays the DOD seal of approval. CIMAGE™ is the NAVFAC corporate imaging system, http://www.cimagenovasoft.com/news/newsreleases/prdod1199.htm

Defense Environmental Network and Information Exchange (DENIX)

Defense Technical Information Center
Department of Defense Environmental Cleanup
http://www.dtic.mil/envirodod/

Restoration Advisory Board (RAB) address page,
http://www.dtic.mil/envirodod/Stakeholder/WCommunity/SI_WCRAB.Dir.htm

Environmental Law
Cornell Law School Legal Information Institute Environmental Law,
http://www.law.cornell.edu/topics/environmental.html

Cornell Law School Legal Information Institute, http://www.law.cornell.edu/

ISO

National Archives and Records Administration
National Archives and Records Administration (NARA) Disposition of Federal Records,
http://www.archives.gov/about_us/regulations/part_1228.html

National Archives and Records Administration (NARA) home page, http://www.nara.gov/

Naval Facilities Engineering Service Center


**NAVFAC Headquarters and Engineering Field Divisions/Activities**


**Navy Electronic Directives System**
Navy Electronic Directives System (the tables for OPNAV and SECNAV instructions are displayed here). SECNAVINST 5212.5D, Navy and Marine Corps Disposition Manual can be found at this site on Table 47, http://neds.nebt.daps.mil/Directory/dirindex.html


**U.S. EPA Sites-Overviews of Laws, Superfund, OSWER, etc.**


# INTERIM DRAFT

## ACRONYM LIST

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>AR</td>
<td>Administrative Record</td>
</tr>
<tr>
<td>ARARs</td>
<td>Applicable or Relevant and Appropriate Requirements</td>
</tr>
<tr>
<td>ARC</td>
<td>Administrative Records Coordinator</td>
</tr>
<tr>
<td>ARF</td>
<td>Administrative Record File</td>
</tr>
<tr>
<td>ARMS</td>
<td>Administrative Record Management System</td>
</tr>
<tr>
<td>AST</td>
<td>Aboveground Storage Tanks</td>
</tr>
<tr>
<td>BCP</td>
<td>BRAC Cleanup Plan</td>
</tr>
<tr>
<td>BRAC</td>
<td>Base Realignment and Closure</td>
</tr>
<tr>
<td>CAA</td>
<td>Clean Air Act</td>
</tr>
<tr>
<td>CD-ROM</td>
<td>Compact Disc Read Only Memory</td>
</tr>
<tr>
<td>CERCLA</td>
<td>Comprehensive Environmental Response, Compensation and Liability Act</td>
</tr>
<tr>
<td>CHINFO</td>
<td>Chief of Naval Information</td>
</tr>
<tr>
<td>CLEAN</td>
<td>Comprehensive Long-Term Environmental Action Navy</td>
</tr>
<tr>
<td>COR</td>
<td>Contracting Officer Representative</td>
</tr>
<tr>
<td>COTR</td>
<td>Contracting Officer Technical Representative</td>
</tr>
<tr>
<td>COTS</td>
<td>Commercial Off-the-Shelf</td>
</tr>
<tr>
<td>CTO</td>
<td>Contract Task Order</td>
</tr>
<tr>
<td>CWA</td>
<td>Clean Water Act</td>
</tr>
<tr>
<td>DCN</td>
<td>Document Control Number</td>
</tr>
<tr>
<td>DECC</td>
<td>Defense Enterprise Computing Center</td>
</tr>
<tr>
<td>DFAS</td>
<td>Defense Finance and Accounting Service</td>
</tr>
<tr>
<td>DISA</td>
<td>Defense Information Systems Agency</td>
</tr>
<tr>
<td>DOD</td>
<td>Department of Defense</td>
</tr>
<tr>
<td>DON</td>
<td>Department of the Navy</td>
</tr>
<tr>
<td>EBS</td>
<td>Environmental Baseline Survey</td>
</tr>
<tr>
<td>ECE</td>
<td>Environmental Compliance Evaluation</td>
</tr>
<tr>
<td>EFA</td>
<td>Engineering Field Activity</td>
</tr>
<tr>
<td>EFA CHES</td>
<td>Engineering Field Activity, Chesapeake, Naval Facilities Engineering Command</td>
</tr>
<tr>
<td>EFA NORTHEAST</td>
<td>Engineering Field Activity, North, Naval Facilities Engineering Command</td>
</tr>
<tr>
<td>EFA NW</td>
<td>Engineering Field Activity, Northwest, Naval Facilities Engineering Command</td>
</tr>
<tr>
<td>EFA WEST</td>
<td>Engineering Field Activity, West, Naval Facilities Engineering Command</td>
</tr>
<tr>
<td>EFD</td>
<td>Engineering Field Division</td>
</tr>
<tr>
<td>EPA</td>
<td>Environmental Protection Agency</td>
</tr>
<tr>
<td>FIS</td>
<td>Facility Information System</td>
</tr>
<tr>
<td>FOIA</td>
<td>Freedom of Information Act</td>
</tr>
<tr>
<td>FRC</td>
<td>Federal Records Center</td>
</tr>
<tr>
<td>GIF</td>
<td>Graphics Interchange Format</td>
</tr>
<tr>
<td>GIS</td>
<td>Geographic Information System</td>
</tr>
<tr>
<td>HQ</td>
<td>Headquarters</td>
</tr>
<tr>
<td>Abbreviation</td>
<td>Full Form</td>
</tr>
<tr>
<td>--------------</td>
<td>-----------</td>
</tr>
<tr>
<td>IS</td>
<td>Information System</td>
</tr>
<tr>
<td>JPEG</td>
<td>Joint Photographic Experts Group</td>
</tr>
<tr>
<td>LANTDIV</td>
<td>Atlantic Division, Naval Facilities Engineering Command</td>
</tr>
<tr>
<td>LBP</td>
<td>Lead Based Paint</td>
</tr>
<tr>
<td>LCM</td>
<td>Life Cycle Management</td>
</tr>
<tr>
<td>MAGIC</td>
<td>Master Activity General Information Control</td>
</tr>
<tr>
<td>MHz</td>
<td>Megahertz</td>
</tr>
<tr>
<td>NARA</td>
<td>National Archives and Records Administration</td>
</tr>
<tr>
<td>NAVFACENGCOM</td>
<td>Naval Facilities Engineering Command</td>
</tr>
<tr>
<td>NCP</td>
<td>National Contingency Plan</td>
</tr>
<tr>
<td>NEHC</td>
<td>Navy Environmental Health Center</td>
</tr>
<tr>
<td>NFESC</td>
<td>Naval Facilities Engineering Service Center</td>
</tr>
<tr>
<td>NITC</td>
<td>Naval Facilities Information Technology Center</td>
</tr>
<tr>
<td>NORM</td>
<td>Normalization of Data</td>
</tr>
<tr>
<td>NPDES</td>
<td>National Pollutant Discharge Elimination System</td>
</tr>
<tr>
<td>OCR</td>
<td>Optical Character Read</td>
</tr>
<tr>
<td>O&amp;M</td>
<td>Operation and Maintenance</td>
</tr>
<tr>
<td>OECA</td>
<td>Office of Enforcement and Compliance Activities</td>
</tr>
<tr>
<td>OPNAV</td>
<td>Chief of Naval Operations</td>
</tr>
<tr>
<td>OSRE</td>
<td>Office of Site Remediation Enforcement</td>
</tr>
<tr>
<td>OSWER</td>
<td>Office of Solid Waste and Emergency Response</td>
</tr>
<tr>
<td>OWPE</td>
<td>Office of Waste Programs Enforcement</td>
</tr>
<tr>
<td>PA</td>
<td>Preliminary Assessment</td>
</tr>
<tr>
<td>PAO</td>
<td>Public Affairs Officer</td>
</tr>
<tr>
<td>PACDIV</td>
<td>Pacific Division, Naval Facilities Engineering Command</td>
</tr>
<tr>
<td>PCL</td>
<td>Printer Control Language</td>
</tr>
<tr>
<td>.pdf</td>
<td>Portable Document Format</td>
</tr>
<tr>
<td>PRP</td>
<td>Potentially Responsible Party</td>
</tr>
<tr>
<td>QA/QC</td>
<td>Quality Assurance/Quality Control</td>
</tr>
<tr>
<td>RAB</td>
<td>Restoration Advisory Board</td>
</tr>
<tr>
<td>RC</td>
<td>Record Conversion</td>
</tr>
<tr>
<td>RCRA</td>
<td>Resource Conservation and Recovery Act</td>
</tr>
<tr>
<td>RI/FS</td>
<td>Remedial Investigation/Feasibility Study</td>
</tr>
<tr>
<td>ROD</td>
<td>Record of Decision</td>
</tr>
<tr>
<td>RPM</td>
<td>Remedial Project Manager</td>
</tr>
<tr>
<td>SARA</td>
<td>Superfund Amendments and Reauthorization Act</td>
</tr>
<tr>
<td>SDWA</td>
<td>Safe Drinking Water Act</td>
</tr>
<tr>
<td>SECNAV</td>
<td>Secretary of the Navy</td>
</tr>
<tr>
<td>SI</td>
<td>Site Inspection</td>
</tr>
<tr>
<td>SOW</td>
<td>Scope of Work</td>
</tr>
<tr>
<td>SMP</td>
<td>Sample Management Plan</td>
</tr>
<tr>
<td>SOUTHDIV</td>
<td>Southern Division, Naval Facilities Engineering Command</td>
</tr>
<tr>
<td>SOUTHWESTDIV</td>
<td>Southwestern Division, Naval Facilities Engineering Command</td>
</tr>
<tr>
<td>SPCC</td>
<td>Spill Prevention Control and Countermeasures</td>
</tr>
<tr>
<td>SSIC</td>
<td>Standard Subject Identification Codes</td>
</tr>
<tr>
<td>SWMU</td>
<td>Solid Waste Management Unit</td>
</tr>
<tr>
<td>Abbreviation</td>
<td>Description</td>
</tr>
<tr>
<td>--------------</td>
<td>--------------------------------------</td>
</tr>
<tr>
<td>SWP3</td>
<td>Stormwater Pollution Prevention Plan</td>
</tr>
<tr>
<td>TIFF</td>
<td>Tagged Information File Format</td>
</tr>
<tr>
<td>TSCA</td>
<td>Toxic Substances Control Act</td>
</tr>
<tr>
<td>UIC</td>
<td>Unit Identification Code</td>
</tr>
<tr>
<td>UST</td>
<td>Underground Storage Tank</td>
</tr>
</tbody>
</table>
CONGRESSIONAL MANDATE:


Transfer of Machine Readable Records to The National Archives and Records Administration (NARA), 36 CFR 1228.188 http://www.archives.gov/about_us/regulations/part_1228.html

EPA GUIDANCE RECORDS:


Community Relations During Enforcement Activities And Development Of The Administrative Record, OSWER Directive #9836.0-1A, November 1, 1988, http://es.epa.gov/oeca/osre/881103.html


Superfund Removal Procedures, Public Participation Guidance for On-Scene Coordinators: Community Relations and The Administrative Record, OSWER Directive #9360.3-05, July 1, 1992 (We have in .pdf; not on web)

EPA Superfund Information Repositories and Administrative Records document number 9836.00-02FS (We have in .pdf, not on web)

Superfund Information Repositories and Administrative Records: Introduction for Librarians, EPA/520-F-92-001, August 1, 1992 (We have in .pdf, not on web)

DEPARTMENT OF DEFENSE GUIDANCE:

DOD Automated Record Conversion Master Plan, Version 1.0, April 1995


Fiscal Year 1994 - Environmental Management Initiatives Letter, Chief of Naval Operations, 5090 41BJ/930334, December 13, 1993


Policy Memo #11, SOUTHWESTNAVFACENGCOM, Code 18, 12 December 1994

Public Affairs Guidance on Installation Restoration Administrative Message, Chief of Naval Information (CHINFO) July 1989


MISCELLANEOUS:

APPENDIX B
EXPLANATION OF EPA CATEGORIES

The Administrative Record File Index is organized into categories that roughly follow the chronological process of defining a pollution event, evaluating possible cleanup options, and making a preferred restoration plan available for comment by all interested parties. The terminology may vary among government agencies and applicable regulations, but the same process is being described in all cases.

SITE INVESTIGATION

This category provides background information on the site and surrounding area. Information includes a site summary, a health and safety plan, spill reports, and significant correspondence concerning the site.

REMOVAL RESPONSE

A removal action is either non-time-critical or time-critical. A non-time-critical removal action means that, based on site evaluation, a planning period of six months exists before on-site activities must be initiated. A time-critical removal action means that, based on the site evaluation, a planning period of less than six months exists before on-site activities must be initiated.

REMEDIAL INVESTIGATION

A remedial investigation, by definition, is a long term study which fully defines the scope of the pollution problem, collects data, and determines the technologies and management techniques that may be applied to the site. The investigation evaluates the data regarding the risk to human health and the environment. It is a process that evolves over time as more information is collected which indicates the nature and direction the investigation should take.

FEASIBILITY STUDY

The feasibility study proposes possible remediation technologies to develop the most feasible remediation plan: comply with the nine criteria in the National Contingency Plan (NCP), http://www.access.gpo.gov/nara/cfr/cfr-table-search.html.

HEALTH AND ECOLOGICAL ASSESSMENTS
Health and ecological assessments conducted in the affected area and submitted to government agencies for consideration will be added to the ARF. This includes toxicological profiles and database information, surveys, and correspondence.

RECORD OF DECISION

The actual decision records and records of decision, amendments to them, and relevant correspondence covering federal, state and local government agencies.

EPA AND STATE COORDINATION

Any cooperative or interagency agreements will be in this section. Any formal certification of ARARs or cleanup standards are also recorded here. Other records that demonstrate the coordination efforts among the various government agencies will also be located here.

ENFORCEMENT

This section contains historical compliance and legal information about the parties involved in the action, legal orders and decisions, affidavits, letters for access to property, and recordation of compliance with orders.

PUBLIC PARTICIPATION

This category contains public comments and concerns, government responses to those comments, and notification to the public of available information and proposed decisions or actions. Included are fact sheets, news releases, meeting minutes, public notices, public comments, and government responses.
CONGRESSIONAL RELATIONS

This section provides for correspondence from members of the U.S. Congress, transcripts and testimonies regarding Congressional hearings, and published hearing records.

NATURAL RESOURCE TRUSTEE

Sometimes another federal agency wishes to review available data or gather additional data on the site to determine the impact on other natural resources over which they have responsibility. This may include the Department of Interior/U.S. Fish and Wildlife Service, which has authority for the welfare of fish and wildlife in the U.S. Data, reports, correspondence, or action taken will be placed in this category.

GUIDANCE RECORDS AND TECHNICAL SOURCES

Many guidance records and technical resources are consulted when an environmental study is made. Operation and maintenance manuals may be included so the public will better understand the complexities of data gathering, monitoring, and remediation processes.

CONFIDENTIAL FILE

Some records may need to be protected due to the nature of the installation or the type of pollution. However, the law also states that the public has a right to know that there is protected or sensitive information being held. Therefore, the Administrative Record File contains this section which notifies the public of the existence of sensitive records. Only via a special request granted by the Navy and legally cleared, will these records be made available.

POST-DECISION RECORD FILE

Recordation of the implementation of remediation decisions is placed in this part of the Administrative Record File. This file holds key records which may be relevant if a change to the decision is necessary at some point in the future.
This list contains the EPA Category Codes used by the Atlantic Division. It is here as a suggested list, not a mandatory list. The numbers may not necessarily be the same at each EFD/EFA.

ATLANTIC DIVISION
MODIFICATION OF U.S. EPA CATEGORY CODES
FOR THE ADMINISTRATIVE RECORD FILE

(Note: Reserved means that you can use it for whatever you need it for)

1.0   SITE IDENTIFICATION/BACKGROUND INFORMATION

1.1 Correspondence

1.2 Background materials reports, RCRA and other information *(note: RCRA information has been moved to 16.0)

1.3 Notification Documents

1.4 Preliminary Assessment Report

1.5 Initial Assessment Study

1.6 Site Inspection Reports

1.7 Previous Operable Unit Information

1.8 Historical Data Reports

1.9 Work Plans, Project Plans, Health & Safety Plans

1.10 Area of Concern Documents/Reports

1.11 Hazardous Ranking Scoring Information/Reports

1.12 Relative Risk Ranking

2.0   REMOVAL RESPONSE

2.1 Correspondence

2.2 Work Plans, Project Plans

2.3 Sampling & Analysis Plans

2.4 Sampling and Analysis Data/Chain of Custody Forms
2.5 EE/CA Report

2.6 Action Memorandum/Decision Document

2.7 Amendments to the Action Memorandum

2.8 Removal Response Reports

2.9 Health & Safety Plans

3.0 REMEDIAL INVESTIGATION

3.1 Correspondence

3.2 Meeting Minutes

3.3 Sampling & Analysis Plans

3.4 Sampling & Analysis data/Chain of custody forms

3.5 Work Plans/ Project Plans

3.6 QA/QC Plans

3.7 Health & Safety Plans

3.8 Reserved

3.9 Reserved

3.10 Progress Reports

3.11 ARARs Information

3.12 Risk Assessments

3.13 Remedial Investigation Reports

3.14 Reserved

3.15 Supporting Remedial Investigation Reports

3.16 Photographs/pictures

4.0 FEASIBILITY STUDY
4.1 Correspondence

4.2 Reserved

4.3 Sampling & Analysis Plans

4.4 Sampling & Analysis Data/Chain of Custody forms

4.5 Work Plans

4.6 ARARs Determination/Information

4.7 Treatability Studies/Site Characterizations

4.8 Feasibility Study Reports

4.9 Proposed Remedial Action Plan/Proposed Plan

4.10 Supplements & Revisions to the Proposed Plan

4.11 Supporting Investigative Feasibility Study Reports

4.12 Health & Safety Plans

5.0 HEALTH ASSESSMENTS

5.1 Correspondence

5.2 ATSDR Health Assessments

5.3 Toxicological Profiles

5.4 Health Risks Reports

6.0 RECORD OF DECISION (ROD)

6.1 Correspondence

6.2 Plans Reports

6.3 Basis of Design

6.4 Record of Decision Documents

6.5 Amendments to Record of Decision Documents
6.6  Explanation of Significant Difference

6.7  Long-Term, Semiannual, Quarterly Monitoring Reports

6.8  Site Close Reports

6.9  Decision Documents

6.10 Project Plans Reports

6.11 Work Plans

6.12 Supporting Reports (Remediation)

6.13 Operation and Maintenance Manuals

6.14 Land Use Control Implementation Plan/Land Use Control Assurance Plan (LUCIP/LUCAP)

6.15 Supporting Land Use Reports or Materials

6.16 Five Year Review Reports

7.0  STATE COORDINATION

7.1  Correspondence/Partnering Information

7.2  Federal Facilities & State Contracts

7.3  DSMOA Documents/MOU Documents

7.4  Reserved

7.5  Reserved

7.6  Site Management Plans

8.0  FEDERAL COORDINATION

8.1  Correspondence

8.2  Federal Facilities Agreement Documents

8.3  Penalty Documents

8.4  Enforcement Records/Documents
8.5 Department of Justice Referral Documents
8.6 Reserved
8.7 EPA Administrative Orders
8.8 EPA Consent Orders
8.9 Reserved
8.10 Progress Reports
8.11 National Priorities List Documents (including Federal Register notice)
8.12 State Consent Orders

9.0 PUBLIC PARTICIPATION

9.1 Correspondence
9.2 Mailing list for Technical Review Committee and Restoration Advisory Board members*
9.3 List of the members of the Technical Review Committee and Restoration Advisory Board
9.4 Technical Review Committee and Restoration Advisory Board meeting minutes*
9.5 Community Relations Plan (Document)
9.6 Public Comments on Documents and Department of the Navy response to comments
9.7 Public Notices (newspaper, journals, base newspapers, etc.)
9.8 Public Meeting Transcripts
9.9 Documentation of any other Public Meetings
9.10 Fact Sheets and Press Releases other than Public Notices
9.11 Newspaper article pertinent to the Installation Restoration Program
9.12 Late Comments made by the general public
9.13 Technical Assistance Grants information
9.14 Community Reuse Program Reports
10.0 CONGRESSIONAL RELATIONS

10.1 Correspondence

10.2 Transcripts
* Please see page 17 regarding handling of these documents.
10.3 Testimony before Congress

10.4 Published Hearing Records

11.0 NATURAL RESOURCE TRUSTEES

11.1 Correspondence

11.2 Notices

11.3 Findings of facts

11.4 Reports

12.0 TECHNICAL SOURCES AND GUIDANCE DOCUMENTS

12.1 Correspondence

12.2 U.S. EPA Guidance Documents

12.3 State Guidance Documents

12.4 U.S. Navy/USMC Guidance Documents

12.5 Technical Source Guidance Documents

12.6 Other guidance documents

12.7 Military Installation history documents

13.0 REMEDIAL DESIGN/REMEDIAL ACTION

13.1 Correspondence

13.2 Sampling & Analysis Plans/Data

13.3 Work Plans/Progress Reports

13.4 ARARs Information
13.5 Remedial Action Reports

13.6 Interagency & Cooperative Agreements

13.7 Remedial Design Reports

13.8 Reserved

14.0 BASE REALIGNMENT AND CLOSURE (BRAC)

14.1 Correspondence

14.2 BRAC Information

14.3 Base Closure Team (BCT) information/meeting minutes

14.4 Operations & Maintenance (O&M) documents

14.5 Property Information

14.6 Long-Term Maintenance (LTM) documents

14.7 Work Plans & data

14.8 BRAC Reports

14.9 Environmental Baseline Surveys Plans

14.10 Environmental Baseline Reports

15.0 RESERVED

16.0 RESOURCE CONSERVATION AND RECOVERY ACT (RCRA) INFORMATION

16.1 Correspondence

16.2 Notification Part A/Part B/Permit Modifications

16.3 RCRA Facility Assessment (RFA) Report

16.4 RCRA Facility Inspection (RFI) Report
   16.4.1 Sampling & Analysis data
   16.4.2 Corrective Action Management Plan/Site Management Plan
   16.4.3 Work Plans
   16.4.4 Interagency/Federal Facility Agreements
16.4.5 ARARs
16.4.6 Health/Endangerment/Risk Assessment Information
16.4.7 Interim Measures

16.5 RCRA Enforcement Action

16.6 Quarterly Monitoring Reports

16.7 RCRA Corrective Measures Study (CMS)
   16.7.1 Sampling & Analysis data
   16.7.2 Scope of Work
   16.7.3 Work Plan
   16.7.4 ARARs Initial Screening
   16.7.5 Treatability Studies/Site Characterization
   16.7.6 Proposed Plans for selected Remedial Action

16.8 RCRA Statement of Basis
   16.8.1 Correspondence
   16.8.2 Responsiveness Summaries
   16.8.3 Scope of Work
   16.8.4 Work Plans
   16.8.5 Interagency or Federal Facilities Agreements
   16.8.6 ARARs
   16.8.7 Statement of Basis

16.9 RCRA Corrective Measures Implementation (CMI)
   16.9.1 Correspondence
   16.9.2 Sampling & Analysis Data
   16.9.3 Scope of Work
   16.9.4 Work Plans/Progress Reports
   16.9.5 Interagency & cooperative agreements
   16.9.6 ARARs
   16.9.7 Corrective Measures Design/Construction Implementation

16.10 Reserved
This list contains the EPA Category Codes used by Engineering Field Activity North West. It is here as a suggested list, not a mandatory list. The numbers may not necessarily be the same at each EFD/EFA. The first 12 categories are actually EPA categories, and some of the sub-categories may have been modified to fit EFA NW filing needs. Categories 13 - 22 are categories which have been added for the RPMs in the IR group. Categories 27 - 52 are the files which were created for EFA NW Compliance documents.

ENVIRONMENTAL FILE INDEX

SF 1.0  IR SITE IDENTIFICATION (PA/SI)

01.1  Correspondence
01.2  Background
01.3  Notification/SI/CERCLA
01.4  PA Report
01.5  SI Report
01.6  Previous OU Information
01.7  Action Plan
01.8  Site Inspection Scope

SF 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  EE/CA
2.6  Remedial Action Memorandum
2.7  Amendment to Action Memorandum
2.8  Remediation Studies

SF 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

SF 4.0  IR ROD (RECORD OF DECISION)
INTERIM DRAFT

4.1 Correspondence
4.2 ROD
4.3 Amendments to ROD
4.4 Explanations of Significant Differences

SF 5.0  IR EPA/STATE COORDINATION

5.1 Correspondence
5.2 FFAs and IAGs
5.3 DSMOAS

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
6.6 Affidavits
6.7 Technical Discussions with PRPs
6.8 Notice Letters and Responses
6.9 Legal Documents

SF 7.0  IR HEALTH ASSESSMENTS (ATSDR)

7.1 Correspondence
7.2 ATSDR Health Assessments
7.3 Toxological Profile

SF 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

SF 10.0  IR PUBLIC PARTICIPATION (TRC/RAB MEETINGS)
10.1 Comments and Responses
10.2 Community Relations Plan
10.3 Technical Review Committee/RAB Meetings
10.4 Public Notice Of Availability Info
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/Journal Entry

SF 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

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

SF 13.0 IR REMEDIAL DESIGN

13.1 Correspondence
13.2 Remedial Designs/Plans

SF 14.0 IR REMEDIAL ACTION – CONSTRUCTION

14.1 Correspondence
14.2 RA Project Reports
14.3 RA Construction Closure Reports

SF 15.0 IR REMEDIAL ACTION – MONITORING/OPERATIONS

15.1 Correspondence
15.2 Monitoring/Operations Workplans
15.3 Monitoring/Operations Reports
INTERIM DRAFT

SF 16.0  IR INSTITUTIONAL CONTROLS

16.1 Correspondence  
16.2 Institutional Control Plans  
16.3 Institutional Control Reports

SF 17.0  IR 5-YEAR REVIEW

17.1 Correspondence  
17.2 5-Year Review Reports

SF 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

SF 20.0  IR CONTRACTORS/ FIELD WORK INSPECTIONS

SF 21.0  MILCON PROJECTS ON IR SITES

SF 22.0  GRAPHICS ON IR SITES

SF 27.0  AIR

27.1 Notice Of Construction Permits  
27.2 Air Toxics  
27.3 Air Emissions  
27.4 Venting  
27.5 Ozone Depleting  
27.6 Title V/ Synthetic Minor Permitting  
27.7 Conformity  
27.8 O & M Plans

SF 28.0  ASBESTOS

SF 29.0  DRINKING WATER (SWDA, POTABLE WATER)

29.1 Lead/Copper in Drinking Water  
29.2 Groundwater Wells  
29.3 Drinking Water Analysis  
29.4 Water Conservation
INTERIM DRAFT

SF 30.0 ENVIRONMENTAL PROGRAM MANAGEMENT (PCR’S, NECA, BAM, POM, COOKBOOK, EPRS)

30.1 Multimedia Environmental Plans

SF 31.0 NAVY INSPECTIONS (ECES, RISK SURVEYS, IG, INSPECTION, FEAT, ETC.)

31.1 Major Claimant ECE/Risk Survey
31.2 Activity Self Audit
31.3 Navy Inspector General (IG) Inspection

SF 32.0 EPA AND STATE INSPECTIONS (NOVS, COMP AUDITS AND AGREEMENTS)

32.1 Notices of Violation (NOVS)
32.2 Environmental Compliance Agreements
32.3 EPA Multimedia Inspections

SF 33.0 HAZARDOUS MATERIAL/HAZARDOUS SUBSTANCE (SARA, TITLE III, EPCRA, AUL)

SF 34.0 HAZARDOUS WASTE (RCRA, HW PERMITS, HW DOCKET)

34.1 Hazardous Waste Annual Report
34.2 Hazardous Waste Management Plan
34.3 RESERVED
34.4 Used Oil (Off Spec Fuels)
34.5 Lead Based Paint
34.6 Hazardous Waste Permit
34.7 RCRA Closures

SF 35.0 PCBS (TSCA)

SF 36.0 POLLUTION PREVENTION

SF 37.0 RADON

SF 38.0 SOLID WASTE (LANDFILLS, GARBAGE, REFUSE, RECYCLING)

38.1 Recycling
38.2 Medical Waste

SF 39.0 SPILL PREVENTION AND CONTINGENCY PLANNING, (SPCC, OSCP, A2R2, NATIONAL RESPONSE TEAM)
39.1 A2R2
39.2 SPCC Plan
39.3 Spill Contingency Planning
39.4 Spill Messages
39.5 Coast Guard Operations Manuals

SF 40.0 UST (UNDERGROUND STORAGE TANKS, LUST)
40.1 UST Notification Forms and Permits
40.2 UST Management Plans
40.3 UST Removals
40.4 UST/Petroleum Contaminated Sites

SF 41.0 WASTEWATER (NPDES PERMITS, STATE WASTEWATER DISCHARGE PERMITS, SEWAGE, POTW, NOTW, STORMWATER)
41.1 Stormwater
41.2 Pre-Treatment/Industrial Wastewater
41.3 Oily Wastewater
41.4 Discharge Monitoring Reports

SF 42.0 NATURAL RESOURCES MARINE, TERRESTRIAL/ENDANGERED THREATENED SPECIES

SF 43.0 WATER QUALITY (DREDGING, CORPS OF ENGINEER PERMITS HYDRAULIC APPROVALS)
43.1 Water Quality
43.2 Shoreline and Coastal Zone Management

SF 44.0 SHIPS/SHIPBOARD WASTES/OCEAN DUMPING

SF 45.0 NOISE

SF 46.0 RESERVED

SF 47.0 HEALTH AND SAFETY

SF 48.0 SOIL QUALITY

SF 49.0 RESERVED

SF 50.0 RESERVED

SF 51.0 ENVIRONMENTAL PROPERTY ASSESSMENT
INTERIM DRAFT

SF 52.0 FUDS (FORMERLY USED DEFENSE SITES)
ARF CONTENT

Indexing

Create an index and ensure it contains a detailed list of the contents of each ARF. Indexing is critical to retrieving records. Correct and consistent indexing of records allows for more efficient record retrieval, whether paper, CD-ROM, fiche, film, or optical disk platter. Indexing creates a populated database.

Compliance Documents

Compliance documents are not a contingency record—disposition is 30 years from date issued. The activity/owner of the document is the base. The EFD/EFAs do not keep compliance documents. However, experience has shown that if you have a site moving in and out of CERCLA, keeping the compliance records for that site keeps you a step ahead when the site moves from RCRA to CERCLA. There is a benefit to keeping the RCRA and UST paper file just as if you are creating an ARF. Even though RCRA and UST do not require an ARF, it is a good idea to create one. The RCRA and UST sites can bounce in and out of CERCLA, which does require an ARF.

ELECTRONIC FILE CHARACTERISTICS

File Size

When dealing with large files, it is recommended that the file size be kept at 10 megabytes at this time, especially when our customers need to download information. As technology progresses, this may be overcome by events.

OCR (Optical Character Read)

It is recommended that files be Optical Character Read (OCR) when scanned into .pdf. OCR is recommended at that point (before the CD is burned) because the process cannot be done later.

Suggested Fonts for Scanning

Certain fonts are easier to scan and convert to OCR. Arial 11 is the best to use.

Portable Document File (.pdf) Format

The team recommends using portable document file (.pdf) format.
Suggested Names for Electronic Files

When naming .pdf electronic files on the CD or any electronic format, it is recommended that 8 characters (four ALPHA characters, three or four numbers or digits) be used.

Keywords and EPA Category Codes

Keywords and EPA category codes are not necessary if files have been OCR’d and are converted to .pdf.

TIF Files

The team does not recommend using TIF, as TIF makes each page a separate file. If documents have been OCR’d, OCR will not work if the documents are converted to TIF files. There are additional costs involved to redo the OCR.

Navy Owned Equipment/Data for WEB Use

One EFD/EFA purchased a server for the CLEAN contractor to use, and to post information for them on the web. It will be given to the next CLEAN contractor when the contract ends. This way the computer hackers cannot hack back into the Navy files from a Navy server. It is off site.

Multiple CDs

If the ARF has to be put on more than two CDs, it becomes unwieldy for the customer to search and use. If possible, the team recommends displaying the information on a web site or server rather than distributing multiple CDs.
BACKGROUND

The Atlantic Division (LANTDIV) librarian began to investigate the possibility of converting the Administrative Record Files (ARF) for 15 bases, which LANTDIV manages, to an electronic format early in 1994. The first objective was to use this technology as a future means to make the ARF more accessible in a timely manner to the general public, lawyers, and state and federal agencies that need to use it as well as LANTDIV personnel. The second major objective was to ease the burden on repositories that housed the ARF. Most are libraries that did not have the shelf space to store the paper copies that are constantly expanding.

Lesson #1 - Investigate what has already been done at the activity.

Lesson #2 - Find out what guidelines exist for your project and follow them (agency and other). Use guidance in this document and any internal policy that your respective EFD/EFA has in place.

In 1993, the Atlantic Division librarian began investigating the options available. At that time, there were no guidelines within the U.S. Navy to do the conversion nor were there any Department of Defense (DOD) initiatives to convert the ARF. The ARFs for military installations differ from civilian ARFs. For non-federal facilities, a single site will be listed (i.e., one industrial landfill will become one site; if there are three landfills, each becomes a “site”). Federal facilities with multiple sites are listed as a single “site.” The Atlantic Division chose to develop a master Administrative Record for the entire federal facility (site). This includes all applicable information on all sites at each facility. The U.S. EPA has issued organizational guidelines for non-federal facility paper ARFs which the Atlantic Division adapted to use for federal facility ARFs.

Lesson #3 - Look at every conversion system available; talk to vendors and listen to presentations in order to make the best decision for your organization.

Lesson #4 - Review/preview every type of software that you can in order to make a selection.

Lesson #5 - Select the appropriate way for your organization to convert the ARF to an electronic format.

Lesson #6 - Coordinate with the ADP department; invite them to send a representative to your committee.

Lesson #7 - Begin with a pilot project; create a prototype.

Lesson #8 - Distribute the prototype to a wide audience; encourage feedback.
Lesson #9 - Test the prototype to the limit; make prolific notes and then test again and again.

Lesson #10 - Be prepared to solve new problems because the opportunity to do so will present itself.
<table>
<thead>
<tr>
<th>CORE</th>
<th>FIELD NAME</th>
<th>FIELD TYPE</th>
<th>NUMBER OF CHARACTERS</th>
<th>FIELD DESCRIPTION</th>
<th>DATABASE INPUT STANDARDS</th>
<th>OTHER INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>CORE</td>
<td>Author</td>
<td>Text</td>
<td>30</td>
<td>Name of originator (person, firm) of the record. Use only first author. Can be “signature” field.</td>
<td></td>
<td>*See footnote</td>
</tr>
<tr>
<td>CORE</td>
<td>Author</td>
<td>Text</td>
<td>30</td>
<td>Firm, naval installation, etc. Same as &quot;from&quot; field</td>
<td></td>
<td>*See footnote</td>
</tr>
<tr>
<td>CORE</td>
<td>Contract Number</td>
<td>Text</td>
<td>15</td>
<td>Contract number refers to the Department of the Navy contract under which the record was produced.</td>
<td>(i.e., N68711-89-D-9296)</td>
<td>*See footnote</td>
</tr>
<tr>
<td>CORE</td>
<td>*Cut-Off Date</td>
<td>Date</td>
<td>10</td>
<td>Date a certain action has taken place.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CORE</td>
<td>Number of Pages</td>
<td>Numeric</td>
<td>4</td>
<td>Number of pages or approximate number of pages.</td>
<td>(i.e., 0004, 1123)</td>
<td></td>
</tr>
<tr>
<td>CORE</td>
<td>Owner</td>
<td>Text</td>
<td>1 to 5</td>
<td>Owner (EFD/EFA, custodian, originator) of record who maintains control of inputted record. Application automatically entered when owner logs in and enters record(s).</td>
<td>FIS Codes R = SWESTDIV, EFANW, &amp; EFAWEST S = SOUTHDIV N = NORTHDIV L = LANTDIV C = EFACHES P = PACDIV NORM Codes CHES, LANT, NORTH, NWEST, PAC, SWEST, SOUTH, WEST</td>
<td>If you use EFD/EFA list from MAGIC, it is a one character code. If you use list in NORM, it is a five character field. *See footnote</td>
</tr>
</tbody>
</table>

*Each EFD/EFA can predefine their pull down menus. Standardization is achieved by importing from existing databases (NORM, MAGIC, FIS, DFAS, etc.)

D-1
## INTERIM DRAFT
### APPENDIX D
### ADMINISTRATIVE RECORD FILE CORE AND OPTIONAL INDEX FIELDS

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<th>DATABASE INPUT STANDARDS</th>
<th>OTHER INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CORE</strong> <em>Process Date</em></td>
<td>Date</td>
<td>10</td>
<td>Date record was entered into the index.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>CORE</strong> Recipient</td>
<td>Text</td>
<td>30</td>
<td>Name of the recipient (person, firm, agency) of the record. Multiple recipients to be listed individually. Same as &quot;To&quot; field.</td>
<td></td>
<td>*See footnote</td>
</tr>
<tr>
<td><strong>CORE</strong> Recipient Affiliation</td>
<td>Text</td>
<td>30</td>
<td>Firm, naval installation, etc. Same as &quot;signature&quot; field.</td>
<td></td>
<td>*See footnote</td>
</tr>
<tr>
<td><strong>CORE</strong> Record Date</td>
<td>Date</td>
<td>10</td>
<td>Date indicated on the record being entered. Dates must contain month/day/year. If record has only year, use 01/01/ for month day. Use 01/01/0000 for non-dated records. Do Not leave blank; accommodate year 2000.</td>
<td>(i.e., 01/01/1997, 01/01/0000, 01/02/2000)</td>
<td></td>
</tr>
<tr>
<td><strong>CORE</strong> Record Number</td>
<td>Numeric</td>
<td>10</td>
<td>A sequential number automatically assigned when adding a new record.</td>
<td></td>
<td>Field used uniquely by each EFD/EFA. *See footnote.</td>
</tr>
<tr>
<td><strong>CORE</strong> SITEID</td>
<td>Text</td>
<td>10</td>
<td>A computer generated number from the Facility Information System (FIS) which contains the official Navy Site Register List. This number will not change unless the sites are split or the activity gets an additional UIC for BRAC purposes.</td>
<td></td>
<td>Used as a key for linking to other databases. *See footnote</td>
</tr>
</tbody>
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*Each EFD/EFA can predefine their pull down menus. Standardization is achieved by importing from existing databases (NORM, MAGIC, FIS, DFAS, etc.)*
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</tr>
</thead>
<tbody>
<tr>
<td><strong>CORE</strong></td>
<td><strong>Sites Addressed</strong></td>
<td>Text</td>
<td>10</td>
<td>Site(s) which are addressed in the document.</td>
<td>(i.e., SITE 00010, UST 000023, SWMU 00045, AOC 12, CAOC 34, GROUP B)</td>
<td>*See footnote</td>
</tr>
<tr>
<td><strong>CORE</strong></td>
<td><strong>Title/Description</strong></td>
<td>Text</td>
<td>255</td>
<td>Title of record ACTUAL or ASSIGNED. Do not leave blank.</td>
<td></td>
<td>*See footnote</td>
</tr>
<tr>
<td><strong>CORE</strong></td>
<td><strong>Unit Identification Code Number</strong></td>
<td>Text</td>
<td>6</td>
<td>Unit Identification Code (UIC) number is assigned to specific base by Defense Finance and Accounting Service (DFAS); it is an alphanumeric, six text character field. Do Not leave blank.</td>
<td>(i.e., N68711, N00246, N00251)</td>
<td>* UICs can be pulled from existing databases. See footnote.</td>
</tr>
</tbody>
</table>

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### INTERIM DRAFT

#### APPENDIX D

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<th>DATABASE INPUT STANDARDS</th>
<th>OTHER INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>OPTION</td>
<td>Building Number</td>
<td>Text</td>
<td>10</td>
<td>Number designating a structure.</td>
<td>Bldg. 01234</td>
<td>Used as a key for linking to other databases. *See footnote</td>
</tr>
<tr>
<td>OPTION</td>
<td>CD-ROM Number</td>
<td>Numeric</td>
<td>3</td>
<td>Identifies which CD-ROM contains record.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OPTION</td>
<td>Classification/Locator</td>
<td>Text</td>
<td>16</td>
<td>Identifies the classification of record and whether the document is an Admin Record, Information Repository, etc.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OPTION</td>
<td>Comment Field</td>
<td>Memo</td>
<td>Varies</td>
<td>Memo field to be used as required.</td>
<td></td>
<td>Memo field length varies whether using text or memo field; determined by software package.</td>
</tr>
<tr>
<td>OPTION</td>
<td>Delivery Order Number</td>
<td>Numeric</td>
<td>4</td>
<td>Delivery Order (DO) number is usually identified on the document. If not identified on document, insert zeros in field.</td>
<td></td>
<td>*See footnote</td>
</tr>
<tr>
<td>OPTION</td>
<td>Disposition Date</td>
<td>Date</td>
<td>10</td>
<td>Date that record is to be disposed.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OPTION</td>
<td>EPA Category Number</td>
<td>Numeric</td>
<td>5</td>
<td>Document category according to U.S. EPA guidance (OSWER DIR 9833.3A-1).</td>
<td>(i.e., 01.02, 10.12)</td>
<td>*See footnote</td>
</tr>
</tbody>
</table>

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<th>OTHER INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OPTION</strong></td>
<td><em>Location</em></td>
<td>Text</td>
<td>18</td>
<td>Physical location of where the record is located.</td>
<td></td>
<td>*See footnote</td>
</tr>
<tr>
<td><strong>OPTION</strong></td>
<td>Operable Units Addressed Record Type</td>
<td>Text</td>
<td>10</td>
<td>Operable Units which are addressed in the Record.</td>
<td>OU 0000001</td>
<td>*See footnote</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Text</td>
<td>20</td>
<td>Description of record type.</td>
<td></td>
<td>*See footnote</td>
</tr>
<tr>
<td><strong>OPTION</strong></td>
<td>Special Area Code</td>
<td>Text</td>
<td>2</td>
<td>A unique two character code identifying areas in the Navy that do not have a UIC established in the Master Activity General Information Control (MAGIC) mainframe program. The program resides at Defense Information Systems Agency (DISA), Defense Enterprise Computing Center (DECC), Mechanicsburg, PA.</td>
<td>JA</td>
<td>JA stands for Jackson Park Family Housing. The special area is attached to MAGIC UIC N00251, Puget Sound Bremerton. This field may be overcome by events as more activities are assigned a UIC.</td>
</tr>
<tr>
<td><strong>OPTION</strong></td>
<td><em>SSIC Number</em></td>
<td>Text</td>
<td>16</td>
<td>Standard Subject Identification Code in accordance with SECNAVINST 5212.5C</td>
<td></td>
<td>*See Footnote</td>
</tr>
<tr>
<td><strong>OPTION</strong></td>
<td>Subject/Keywords</td>
<td>Text</td>
<td>255</td>
<td>Words or phrases, separated by commas, describing document.</td>
<td></td>
<td>*See footnote</td>
</tr>
</tbody>
</table>

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**INTERIM DRAFT**

**APPENDIX D**

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<th>FIELD DESCRIPTION</th>
<th>DATABASE INPUT STANDARDS</th>
<th>OTHER INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>OPTION</td>
<td>Task Order</td>
<td>Numeric</td>
<td>4</td>
<td>Contract Task Order (CTO) number is usually identified on the document. If not identified on document, insert zeros in field.</td>
<td>*See footnote</td>
<td></td>
</tr>
</tbody>
</table>

*Each EFD/EFA can predefine their pull down menus. Standardization is achieved by importing from existing databases (NORM, MAGIC, FIS, DFAS, etc.)*
ADMINISTRATIVELY CONFIDENTIAL

Please consult with counsel to obtain guidance if this phrase is either within a document or stamped on a document. This term does not seem to be a legal term, but may be used by the EPA in their documentation. The definition can change as courts render decisions. There is a need to examine each usage in the context in which it arises to determine the meaning of the terms the EPA uses. It depends on the context in which they are viewed.

AR

Administrative Record. The administrative record is a legal file containing the records upon which the lead agency bases the selection of a response action and on which judicial review of response actions will be based. The administrative record contains technical reports specific to each Superfund site, and key technical and administrative guidance for cleanups. An administrative record must be available at or near the site to encourage public participation in the remedy selection process.

ARF

Administrative Record File. The ARF refers to the records as they’re being established and maintained. Until a response action decision has been selected, there is no complete administrative record for that decision. Thus, to avoid creating the impression that the record is complete at any time prior to the final selection decision, the set of records is referred to as the ARF rather than the AR. A file that contains all information used in order to make decisions on the selection of a response action under CERCLA. Available for public review and comment.

ARARs

Applicable and Relevant or Appropriate Requirements. State or Federal statute or regulation that pertains to protection of human health and the environment.
Please consult with counsel for guidance to obtain an opinion if confronted with this phrase on any document(s). This term does not seem to be a legal term, but may appear in a document, or may be stamped on a document. This term is sometimes used by the EPA. EPA’s regulations, for example, state that the attorney client privilege applies to any communication between an attorney and his client. However, many cases involving the government since EPA regulations were published limit the privilege. The privilege is limited depending on whether the communication contemplated litigation, if the attorney was involved in the generation of the document, or if the document was simply copied. The definition can change as courts render decisions. There is a need to examine each usage in the context in which it arises to determine the meaning of the terms the EPA uses.

Counsel needs to examine the documents that may be the result of an attorney/client relationship before they are included in the ARF. EPA’s regulations, for example, state that the attorney client privilege applies to any communication between an attorney and his client. However, many cases involving the government since EPA regulations were published limit the privilege. The privilege is limited depending on whether the communication contemplated litigation, if the attorney was involved in the generation of the document, or if the document was simply copied. The definition can change as courts render decisions. There is a need to examine each usage in the context in which it arises to determine the meaning of the terms EPA uses.

For documents that are scanned and converted to .pdf format, bookmark has the following definition: Bookmarks are assigned divisions and/or reference points within a document. Bookmarks are usually compiled or organized in a manner similar to a table of contents, corresponding to chapters or sections of a document. The Adobe Acrobat plug-in and Reader allow the user to display all bookmarks in a separate frame (usually to the left of the window that contains the body of the text) organized like a table of contents.

The cost for creating bookmarks and hyperlinks is approximately equivalent on a per link/bookmark basis since they are both created using Acrobat Distiller software. While the keystrokes and mouse clicks used to create hyperlinks are different than bookmarks, the total time spent creating them is approximately the same. Most scanning contractors charge an hourly fee for creating bookmarks and hyperlinks, so the cost (and
to some degree the unit cost) will vary according to the total number of links/bookmarks required per document.

**CERCLA**

Comprehensive Environmental Response, Compensation and Liability Act. The original 1980 act setting up the "Superfund" for hazardous waste site cleanups nationwide.

**CLEAN**


**COMPENDIUM**

Guidance documents which are frequently used in selecting response actions, but are not generated for a particular site for which the record is being compiled may be kept and maintained at a central location.

**CONFIDENTIAL DOCUMENTS**

Check with counsel, and depending upon the context in which the document is viewed, counsel can determine if it should be included in the ARF. The document may or may not have a “CONFIDENTIAL” classification actually stamped on it, but could contain sensitive information, such as archeological information. The definition can change as courts render decisions. There is a need to examine each usage in the context in which it arises to determine the meaning of the terms the EPA uses.

If the document is stamped “CONFIDENTIAL,” check with counsel for guidance before including it in the ARF. Refer to page 21, “ARF Records that Require Special Handling” for assistance.

**CORRESPONDENCE**

Any official letters, memorandums, notes, telecommunications, and any other forms of addressed, written, communications sent and received by the EFD/EFA or other sources. Internal Department of Navy (DON) drafts and related internal memorandum should not be included in the AR unless they contain information found nowhere else that is considered or relied upon in the CERCLA response action decision. Drafts that are circulated outside of DON for review (e.g., to the regulators or the public) shall be included in the AR as well as the comments received by DON from those entities (and DON response to those comments).
| DOCUMENT MANAGEMENT | The ability to store and retrieve documents in a centralized facility that is accessible to all. This includes being able to capture, store, retrieve, display, edit, manipulate, distribute and process the document. |
| FACILITY | Any building, structure, base, equipment, pipe or pipe line, well, pit, pond, lagoon, impoundment, ditch, landfill, storage container, motor vehicle, rolling stock, or aircraft; or any site where a hazardous substance has been deposited, stored, disposed of, placed, or otherwise come to be located. The term “site” is used synonymously with the term “facility” at National Priorities List (NPL) bases. |
| FOR OFFICIAL USE ONLY (FOUO) | Check with counsel for guidance if a document is marked FOUO, and it appears to be information that might become part of the ARF. |
| HYPERLINK | For documents that are scanned and converted to .pdf format, hyperlink has the following definition: Links embedded in the body of a document, that if clicked, open another file, document, or application, or jump the reader to another location within the document. The hyperlinks are usually represented as underlined text with a color differing from the rest of the text in the body of the document. Hyperlinks can also be assigned to graphical images or diagrams contained within the body of the document. The cost for creating bookmarks and hyperlinks is approximately equivalent on a per link/bookmark basis since they are both created using Acrobat® Distiller® software. While the keystrokes and mouse clicks used to create hyperlinks are different than bookmarks, the total time spent creating them is approximately the same. Most scanning contractors charge an hourly fee for creating bookmarks and hyperlinks, so the cost (and to some degree the unit cost) will vary according to the total number of link/bookmarks required per document. |
| INFORMATION MANAGEMENT | The administration of information, its use and transmission, and the application of theories and techniques of information science to create, modify, or improve information handling systems. The term is frequently used in reference to data-based information systems in computer environments, where the information is stored electronically. |
| **IR** | Information Repository. An information repository is where current information, technical reports, and reference materials regarding a Superfund site are stored. The repository is established in the community at the beginning of site studies to provide the public with easily accessible information. Repositories are established for all sites where cleanup activities are expected to last for more than 45 days. Typical repository locations include public libraries, town halls, municipal offices, etc. |
| **IRP** | Installation Restoration Program. The Department of Defense program to assess and clean up old hazardous waste sites with funding from Environmental Restoration, Navy (ERN) and Base Realignment and Closure (BRAC) Restoration Funds. |
| **KNOWLEDGE MANAGEMENT** | Who knows what (information), and how to share that information with others. |
| **PRIVILIGED DOCUMENTS** | Please check with counsel for guidance. Counsel can make a determination as to include them or not in the ARF. This term is sometimes used by the EPA interchangeably with confidential. EPA’s regulations, for example, state that the attorney client privilege applies to any communication between an attorney and his client. However, many cases involving the government since EPA regulations were published limit the privilege. The privilege is limited depending on whether the communication contemplated litigation, if the attorney was involved in the generation of the document, or if the document was simply copied. The definition can change as courts render decisions. There is a need to examine each usage in the context in which it arises to determine the meaning of the terms the EPA uses. |
| **RECORD** | All books, papers, maps, aerial photographs, architectural or engineering drawings, photographs, machine readable materials, or other documentary materials regardless of physical form or characteristics made or received by an agency of the United States Government under federal law or in conjunction 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. |
RECORDS MANAGEMENT

**Definition 1:** A means to manage a document during its entire life cycle. The creation or receipt of a document, the maintenance and use of a document, and the disposition of a document. The ability to know what documents exist regarding a particular subject, where they are located, what media they are stored on, who owns them, and when they should be destroyed.

**Definition 2:** The application of systematic and scientific controls to recorded information required in the operation of an organization’s business. A professional management discipline that is primarily concerned with the management of document based information systems, most of which are in paper media format.

REDACT

Redact can mean to edit a document, revise a document, or to make a document ready for publication. Documents in the ARF may need to be redacted (rewritten or summarized) if the ARF document contains privileged or confidential material. Please refer to Reference 2, under Confidential and Privileged Documents, which explains how to handle the document. 40 CFR Section 300.805(a)(4): If a document is excluded from the public portion of the record file based on privilege, the relevant information should, to the extent feasible, be extracted and included in the public record file. This can often be accomplished by deleting or redacting the privileged information from the document. Please refer to Reference 2, Section III.H, page 34.

RUN TIME CAPABILITY

A self-contained CD-ROM. All software is loaded on the CD.

SECRET

The definition of this term changes as courts render decisions. Counsel needs to review the documents, and depending on the context in which they are viewed, can make a determination as to include them or not in the ARF.
ENVIRONMENTAL WORK INSTRUCTION (Insert Instruction Number)

To: All Area Focus Teams (Insert name change as required)

Subj: IMPLEMENTING AND MAINTAINING THE COMPREHENSIVE ENVIRONMENTAL RESTORATION COMPLIANCE LIABILITY ACT (CERCLA) ADMINISTRATIVE RECORD AND COMPENDIUM AT (insert EFD/EFA name)

(b) CERCLA Administrative Record Management System (ARMS) User’s Guide, UX-XXXX-ENV Month, 2000 (under revision)
(c) Navy and Marine Corps Installation Restoration Manual, February 1997 (under revision)

Encl: (3) CERCLA ARMS User’s Guide, UX-XXXX-ENV, Include Documents if Considered or Relied On

1. PURPOSE: The purpose of this instruction is to ensure that (insert EFD/EFA name) Administrative Record (AR) and Administrative Record File (ARF) meet the requirements listed in references (a) through (c).

2. CANCELLATION: Not Applicable.

3. DISCUSSION:
   a. As lead agency, (insert EFD/EFA name) is responsible for establishing and maintaining the original AR in accordance with references (a) through (c).
   b. The original AR shall be maintained by the (insert EFD/EFA name and division, branch, etc).
4. **APPLICABILITY:** This instruction is applicable to the Installation Restoration Program (IRP).

5. **PROCEDURE:**

   a. Remedial Project Manager (RPM) Responsibilities:

      1. Review and evaluate documents for inclusion into the ARF. Documents include, but are not limited to, facsimiles, e-mails, incoming and outgoing correspondence, etc. See Enclosures (1) through (3) for documents to consider for inclusion.

      2. Ensure the original document is signed.

      3. Ensure the original document contains all pages (includes enclosures, attachments, appendices, etc.,)

      4. Provide the original document to the Administrative Records Coordinator (ARC). (If there is no ARC, insert designated point of contact.)

      5. All original incoming and outgoing correspondence pertaining to the IRP shall be forwarded to the ARC. (If there is no ARC, insert designated point of contact.)

      6. Provide guidance documents (referred to as the Compendium) that are frequently referred to during the decision making process to the ARC. (If there is no ARC, insert designated point of contact.)

   b. Administrative Record Coordinator Responsibilities:

      1. Review and evaluate records received for inclusion into the ARF.

      2. Verify that each record contains all pages, enclosures, attachments, appendices, etc. The ARC will obtain any missing pages or sections prior to cataloging into an automated register.

      3. Search for records identified as missing.

      4. Eliminate all duplicate records.

      5. Catalogue records into an automated register.

         a. Processing into an automated register requires that each record be labeled, filed, and stored. Special handling may be required for records containing analytical and sampling data, confidential or privileged information, photographs, or electronic or magnetic media.
b. Paper records are filed and stored sequentially by the unit identification code (UIC) number and an assigned sequential record number, or

c. Paper records are filed and stored by the EPA category code.

6. Determine required number of copies and coordinate with the RAC, CLEAN and other contractors for appropriate distribution (ARF, activities, information repositories, etc.)

7. Maintain a complete Compendium.

8. Provide various current printed reports upon request.


10. Review RAC and CLEAN contract closeout packages to ensure appropriate records have been included into the ARF.

Distribution:
Team Leaders
RPMs
RTMs
ALnOs
Counsel
EICs, etc.
PURPOSE

The model certification on the next page is a representation of the form that accompanies the AR, when the AR is subpoenaed as the basis for judicial review for a response action. The signed form states the attached documents constitute the administrative record.

CERTIFICATION/SIGNATURE AUTHORITY


(This form is Appendix K in the Final Guidance on Administrative Records for Selecting CERCLA Response Actions, OSWER Directive #9833.3A-1, December 3, 1990.)
MODEL CERTIFICATION

IN THE [NAME OF COURT]

UNITED STATES OF AMERICA, : 

Plaintiff, : 

v. : 

[NAMES OF DEFENDANTS] : 

Defendants, : CIVIL ACTION NO. [number] : 

v. : 

[NAMES OF THIRD PARTY DEFENDANTS] : 

Third Party Defendants : 

CERTIFICATION OF DOCUMENTS COMPRISING THE ADMINISTRATIVE RECORD

The Department of the Navy hereby certifies that the attached documents constitute the administrative record for selection of response actions under the Comprehensive Environmental Response Compensation and Liability Act of 1980, as amended, for the [name of site] site in [City or County], [State].

By the Department of the Navy:

In witness whereof I have subscribed my name this ____ day of _________, 19__ in [city].

[signature]

[typed name]