Electronic Document PDF Submission Standard Operating Procedure

1.   APPLICABILITY. This Standard Operating Procedure (SOP) applies to documents that are required to be electronically submitted to programs in the Rhode Island Department of Environmental Management (DEM) Bureau of Environmental Protection. Documents covered by this SOP may include permit applications and technical information used to support the DEM regulatory decision making process and data information needs. Appendix A contains a list of the documents that are covered by this SOP. These documents may include environmental site reports, site plans, data spreadsheets, analytical sampling results, compliance status reports, etc. Appendix A should be used as guidance on the types of documents covered and does not represent the total inventory of documents submitted to the Department Appendix B is a list of programs that may be using this SOP.

2.   PURPOSE. DEM programs collect environmental information to support decision-making processes and processes many types of environmental permits and applications that require supporting information to document compliance with state and federal regulatory requirements. This information is also reviewed by the other parts of the agency, the public, other state and federal agencies and consultants. In order to make this information accessible for review, DEM programs may request information that is required to be supplied to the department be in a prescribed electronic format. This Standard Operating Procedure establishes an electronic document standard used for submissions to DEM programs. All documents required to be provided to DEM programs for review that are submitted in an electronic format must follow the format of this SOP.

The SOP does not preclude programs from requiring the submittal of documents in a format in addition to a PDF format. Programs may request that hard copies of documents be also submitted with the electronic version. Programs that collect raw data may require that information be submitted in a format which allows further manipulation/analysis of these data.

3.   DEFINITIONS (TBD)

3.1   Adobe Acrobat- software for creating PDF files.
3.2   Word- Microsoft word processing software.
3.3   CSV- Comma delimited ASCII text data.

4.   RESPONSIBILITIES

4.1   COMPLIANCE – It will be the responsibility of the Office / Division Chief to:
4.1.1   Inform and assure all employees are familiar with the electronic submission requirements.
4.1.2   Determine if there are any companion documents that will allowed be to be submitted in paper format in addition to electronic format.
4.1.3   Determine the programs that will be impacted by the policy and the documents that will be required to adhere to the policy.
4.1.4   Develop a list of constituents that will be used in an outreach plan to inform constituents of the new DEM electronic submission policy.

5.   GUIDELINES AND PROCEDURES

5.1   FORMAT

5.1.1   This SOP requires the submission of documents in PDF format. Although DEM indicates in this section that Acrobat is the format that should be used, DEM will accept documents produced by other systems as long as they are compliant with the Acrobat standards.

5.1.2   PDFs generated from scanned documents typically exist in an image format that limits their utility for extracting usable data from the document. Whenever possible, Acrobat documents should be generated from their original files, rather than scanned.

5.1.3   Scanned PDFs are much larger, and therefore take longer to download, and their text is less clear and cannot be searched or copied. They are also unable to be read by the vision-impaired.

5.1.4.   File sizes should be kept under 10 MB. These files should be made to post on the internet, rather than for high resolution printing. Unless otherwise approved, documents should be submitted as a single PDF file.

5.1.5   Settings for the conversion to Acrobat should be selected to minimize file size. Although the setting name may vary from one version of Acrobat to another (*Screen* or *Smallest File Size* are examples), graphics should generally be rendered at 72 dpi. Compatibility should be set to Acrobat 4.0 and later. Documents should be tagged for handicapped accessibility.

5.1.6   For very large files (over 10 MB), the submittal of two versions of the file may be required, i.e., a high resolution version for review or printing, and a low resolution version for posting on the internet.

5.1.7   Longer documents (more than five pages) should be bookmarked, and the document properties marked so that the bookmarks pane is opened upon initial viewing. (When converting from a properly formatted Word document, bookmarks and a linked table of contents can be automatically generated using the *PDFMaker* wizard.)

5.1.8   Proper formatting in the software used for document creation is critical.

5.1.9   No security features should be enabled. Standard, TrueType™ fonts should be used. (*Arial* for sans serif and *Times Roman* for serif are good choices.)

5.1.10   When submitting multiple documents, an index page in Word format should be included, that would specify the titles of the documents, their associated filenames and date of submittal.

5.1.11   This SOP does not request information like image files; video clips audio files or other kinds of submitted files to be converted to PDF format.

5.2   NAMING CONVENTION

5.2.1   File names should contain no spaces, no punctuation other than underscores, and no capital letters.

5.2.2   The extension should be *.pdf* for Acrobat files.

5.2.3   The document title, author and keywords should be added to *Document Properties*.

5.2.4   The title should be in the form of *RI DEM/Division Name- Title of Document*. The first keywords should be *RI DEM*.

5.2.5   The convention is as follows:
[document type]_[program code [ou]]_[document date]_[description].[file extension]
Note: all fields are required except those underlined

5.2.6   Explanation of naming convention:

    (A)   document type: includes ROD, PRAP, Consent Order, Application, Spill Prevention Report, Memo, Letter, Fact sheet, Report, Image, and Video. (See Appendix A)

    (B)   program code[ou]: Consists of the program type prefix (program prefix listing in Applicability Section

    (C)   document date (mmddyyyy): This is the date of the official release of the document (RODs, PRAPs, Fact sheets, etc.), or the date the file was created (letter, memo, image, etc.). A 2-digit month, 2-digit day and a 4-digit year is required.

    (D)   description: Optional. An additional word or two of document information, like site name, could be added here. Avoid wordiness! Remember - no spaces in the file name.

    (E)   file extensions: .
        i.   pdf (Adobe Acrobat format for all type-written documents),
        ii.   .jpg
        iii.   gif (for image files/pictures files)
        iv.   .mpg
        v.   .mpeg (for movie or video files)
        vi.   .mp3 (audio files)
        vii.   .dxf (AutoCAD files)
        viii.   Other file extensions must be approved prior to use

5.2.7   Example names of documents:
    (A)   Keep in mind that no spaces are allowed in the file name.
    (B)   Note: Remove dashes from ALL Program IDs. Dashes are necessary in the dates to distinguish from Program ID.
        i.   memo_vcp_03122002.pdf
        ii.   rod_fp_07242006.pdf
        iii.   letter_nps_06122001_description.pdf
        iv.   image_tmdl_12012002_runnins river. jpg
        v.   consent_oci_01032002_gettyoil.pdf

5.3   Guidance for PDF Submittals

The electronic filing system works most efficiently when the originator of the document creates the PDF file. This will generally result in the best version possible and save time by not having to scan the document. Below are the requirements for achieving the type of PDF that is needed:

5.3.1   All final documents and reports need to be submitted in electronic format on compact computer discs (CDs).

5.3.2   Email submittal is acceptable if the document size is less than 10 MB.

5.3.3   In general, reports should be delivered on a standard CD which is CD-R type and "closed" so that no changes can be made to the file on the disk. The disk should contain a single Adobe® Acrobat® Portable Document Format (PDF) file per report.

5.3.4   The document should be contained in one file that is all appendices, volumes, plans, drawings, etc., should be together.

5.3.5   Large appendices with detailed data sets should consider using a CSV format. Exceptions must be preapproved.

5.3.6   The document must be searchable. If the PDF was created using Word or WordPerfect - it will likely be in a searchable state.

5.3.7   If the document was scanned, "paper capture" or optical character recognition (OCR) will need to be run on it. If OCR is used, make sure that the original scanned image is retained with the file.

5.3.8   The PDF document should be as small as possible while maintaining adequate resolution. For most documents 200-400 dpi resolution is appropriate.

5.3.9   Draft reports may be delivered in any electronic form as requested by individual project managers.

6.   REFERENCES
6.1   2007 DEM QUALITY MANAGEMENT PLAN (January 2008)

Appendix A – Guideline of documents covered

Document Type Table	
Document Type	**Naming Convention**
Department–wide Documents	
Applications	applications
Contracts	contracts
E-mail	email
Images/photographs	imagephoto
Letters/correspondence	letterscorrespondence
Memos	memos
Reports	reports
Video Clips	videoclips
Air Resources Documents	
Air Toxics Permit Applications	airtoxicspermitapplications
Inventory Forms	inventoryforms
Pre-construction Permits	preconstructionpermits
Stack Test Results	stacktestresults
Title V Permits	titlevpermits
Compliance & Inspection Documents	
Consent Orders	consentorders
Consent Agreements	consentagreements
Restoration Plans	restorationplans
Technical and Customer Assistance	
Analytical Sampling Results	analyticalsamplingresults
Dredge Plans	dredgeplans
ERP Reports	erpreports
Project Plans	projectplans

Waste Management Documents	
Agreements	agreements
Environmental Land Use Restriction Form	elur
Fact Sheets	factsheet
Hazardous Material Release Notification Form	hmrelnotform
Hazardous Waste Transporter Permit Application	hwtransperapp
Landfill Application	landfillapp
Medical Waste Transporter Permit Application	mwtranspermitapp
Post Remediation Closure Report	closurerpt
Progress Reports	progressreports
Public Notices	publicnotices
Remedial Action Work Plans	rawp
Site Investigation Reports	sir
Soil Management Plan	smp
Targeted Brownfield Assessment Application	tbaapp
Targeted Brownfield Assessment Access Agreement	tbaaccessagree
Transfer Station Application	transferstationapp
Variance Requests	variancerequests
Water Resources Documents	
Application – Nonpoint Source	npsapp
Application – Onsite Wastewater Treatment System	owtsapp
Application - RIPDES	ripdesapp
Application – UIC Closure	uicappclosure
Application - UIC Order of Approval	uicorderapprovalapp
Application - UIC Stormwater Systems	uicappstormwater
Application - Wetlands	wetapp
Groundwater Quality Certification Request Form	gwaterqualcertreqform
Local Groundwater Protection Comprehensive Plan	gwpropl
Municipal Wellhead Protection Plan	whpp
Well Completion Report Form	wellcomprptform
Well Drilling Program Application for Variance	wdappvariance

Appendix B – List of Programs Impacted by the SOP

Waste Management –
- Site Investigation & Voluntary Clean up Program (si&vcp)
- Brownfields Clean up Program (bcp)
- Targeted Brownfield Assessment Program (tbap)
- NPL and DoD Program (fp)
- Pre-remedial Program (prp)
- Lust Program (lust)
- Waste Facilities Management Program (wfm)

Air Resources
- Air Pollution Inventory (api)
- Preconstruction Permitting Program (ppp)
- Title V Operating Permit Program (opp)

OTCA
- Dredge Permitting Program (dpp)
- ERP Program (erp)

Compliance & Inspection
- All Enforcement Programs (oci)

Water Resources
- Ambient River Monitoring Program (armp)
- Lake Water Quality Monitoring Program (lwqmp)
- Fixed Site Monitoring Network (fsmn)
- TMDL Program (tmdl)
- Surface Water Monitoring & Assessment Program (swmap)
- RIPDES Program (ripdes)
- Nonpoint Source Program (nps)
- Onsite Wastewater Treatment Systems (owts)
- UIC Program (uic)
- User Fee Program (ufp)
- Water Quality Certification Program (wqc)
- WWTF O&M Program (wwtf)
- Wetlands (wet)

Standard Operating Procedure Approvals

Quality Assurance Manager:

Thomas Getz _____   Thomas Getz*_____   Date: _02/02/09_
Print Name   Signature

Assistant Director of Water Resources

Alicia Good _____   Alicia Good*_____   Date: _03/04/09_
Print Name   Signature

Assistant Director of Air, Waste and Compliance

Terrence Gray _____   Terrence Gray*_____   Date: 02/06/09
 Print Name   Signature

Associate Director of Natural Resources

Larry Mouradjian _____   Larry Mouradjian*_____   Date: 02/06/09
Print Name   Signature

Director, DEM

W. Michael Sullivan ____   W. Michael Sullivan*_____   Date: 03/06/09
Print Name   Signature
Actual signatures are on the original document.

DISTRIBUTION:

(X) Office of Air Resources ....By: TDG__ Date: 03/10/09_
(X) Division of Agriculture...By: TDG__ Date: 03/10/09_
(X) Office of Waste Management..By: TDG__ Date: 03/10/09_
(X) Office of Compliance and Inspection............................By: TDG__ Date: 03/10/09_
(X) Office of Technical and Customer Assistance................By: TDG__ Date: 03/10/09_
(X) Groundwater and Wetlands Protection.........................By: TDG__ Date: 03/10/09_
(X) Surface Water Protection ....By: TDG__ Date: 03/10/09_
(X) Water Quality and Standards ....By: TDG__ Date: 03/10/09_
(X) Office of the Director ....By: TDG__ Date: 03/10/09_
(X) Quality Management Team ....By: TDG__ Date: 03/10/09_

Title: Electronic Document PDF Submission Standard Operating Procedure

Originator Name: T. Getz /T. Epstein/Quality Team