

Submitting Record of Site Condition (RoSC): Intent of Submission

Intended User: Authorized representatives of AER regulated licensees and assigned delegates

Overview

This quick reference guide (QRG) provides additional information on the “Intent of Submission” selection within the Record of Site Condition (RoSC) module in OneStop.

Intent of Submission

Intent of submission identifies which legislative role the submission is intended to fulfill:

- Providing details on remedial measures as required by the *Environmental Protection and Enhancement Act (EPEA)*.
- Seeking a regulatory decision for a submission (e.g., Remediation Certificate Application)

This legislative role is identified by considering two questions:

- What is the intent of submission?
- What submission best fulfills that intent?

Appropriate selections for the intent of submission are required for the AER to systematically recognize submissions that require a regulatory decision.

Important:

The submission type does not need to match the title of the professional report(s) attached to the RoSC.

Regulatory Decision Terminology

Accepted

Status indicating the RoSC has been accepted for intake and has met administrative review. This is different from regulatory acceptance.

Returned	Status indicating an incomplete submission.
Evaluation	Where information is reviewed in a context specific to the submission type, but formal acceptance is not required or provided.
Regulatory Acceptance	Formal communication of a regulatory decision where information has been reviewed by the AER and found to be acceptable.

OneStop will display a submission status of either **Accepted** or **Returned** after a decision has been rendered, whether it is a regulatory decision or not. These submission statuses are considered administrative and do not indicate formal regulatory acceptance for any plans or submissions that require it.

A letter providing regulatory acceptance, rejection, or comments from an evaluation (in the case of Contamination Reviews for Reclamation and Site-Specific Risk Assessments) will be attached when the submission requires a regulatory decision. Submission types and associated regulatory decisions are summarized in Table 1.

Whether a regulatory decision is required, the licensee is responsible for managing the site and implementing remedial measures in accordance with the applicable legislation including, submitting remedial action plans (RAPs) in fulfillment of the *Remediation Regulation*, section 2.2.

Intent of Submission Options

The RoSC provides three intent of submission options to choose from:

- Contaminant Identification and Characterization
- Contamination Management
- Regulatory or Administrative Closure of Contamination

You may select multiple submission types that fulfill one or both of Contamination Identification and Characterization and Contamination Management intents. Submission types that fulfill the Regulatory or Administrative Closure of Contamination intent may **not** be submitted together with submission types that fulfill the other intents. When indicating the submission(s) that best fulfill the intent(s), be aware – the entire OneStop RoSC submission may be returned if requirements of any one of the included submissions are not satisfied.

Example: An RoSC and professional reports are fulfilling the intents of a RAP and a site-specific risk assessment (SSRA). If an element of the SSRA is incomplete and cannot be accepted, the entire submission will be returned. In this case, both the RAP and the SSRA will not be accepted.

Each intent of submission has its own set of submission types that best fulfill it.

What is the intent of submission? *	Contaminant Identification and Characterization	Contamination Management	Regulatory or Administrative Closure of Contamination
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Contaminant Identification and Characterization

This intent is best suited for submissions where work has been done to identify if contamination is present.

- Evaluate the extent of contamination (development of a conceptual site model), and/or assess the risk of contamination to relevant receptors.

No submission types under this intent require a regulatory decision. Phase 2 Environmental Site Assessments that investigated a site and found no evidence of contamination (i.e., Phase 2 that meets Tier 1) may be submitted under this intent.

Contamination Management

This intent is best suited for providing information on remedial measures and compliance with the *Remediation Regulation*. This intent applies to RAPs, risk management plans (RMPs), SSRAs, and other submissions where regulatory acceptance or evaluation is required, as well as submissions that do not require regulatory acceptance, such as reports detailing remediation or ongoing RAP or RMP activities.

Important:

Ongoing reporting for an existing RAP or RMP and remediation reports do not require regulatory acceptance. However, regulatory acceptance will be required if “Yes” is selected for the question, “Does the submission contain a request to modify the previously accepted program or plan?”

Regulatory or Administrative Closure of Contamination

This intent provides options for contamination closure submissions when remedial measures are no longer required. Submission types under this intent require regulatory acceptance, except for the Contamination Review for Reclamation (regulatory evaluation) and the Oilfield Waste Management (WM) Undergone Closure Contamination Review. If **Regulatory or Administrative Closure of Contamination** is selected as the intent, no other intents can be selected (and vice versa).

What is the intent of submission? *	Contaminant Identification and Characterization	Contamination Management	Regulatory or Administrative Closure of Contamination
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Important:

Applying for closure of contamination before site closure is an option at any point in the lifecycle (e.g., applying for a Tier 2 compliance letter before reclamation).

Submission Types

When one or more submission intent(s) are selected, additional selections will appear listing options that best fulfil the intent. Table 2 summarizes the submission types and scenarios.

Contaminant Identification and Characterization

- Groundwater Monitoring Report
- Groundwater Monitoring Update
- Soil Monitoring Report
- Surveillance Monitoring Report
- Phase 2 Environmental Site Assessment Report
- Other

Applicable scenarios for selecting these submission types are listed below:

- Submission required by *EPEA* approval:
 - **Groundwater Monitoring Report**
 - **Groundwater Monitoring Update**
 - **Soil Monitoring Report**
 - **Surveillance Monitoring Report**
- A Phase 2 Environmental Site Assessment (ESA) has been completed for a new release, or new information is being provided (as per the *Remediation Regulation*):
 - **Phase 2 Environmental Site Assessment Report:** Includes reports detailing any site characterization or monitoring activities that are not associated with an *EPEA* approval, which includes assessments that conclude there is no evidence of contamination (i.e., site meets Tier 1). This selection informs the AER of the current understanding of the site but is not subject to any regulatory acceptance.
- None of the above scenarios are relevant:
 - **Other:** Contact csusubmissions@ aer.ca before using this submission type. In most cases, a submission would fall under one of the submission types above.

Contamination Management

- Decommissioning Report
- Environmental Summary Report
- Soil Management Report
- Remediation Report
- Remedial Action Plan
- RoSC and Professional Report serving as a Remedial Action Plan
- Ongoing reporting of an accepted Remedial Action Plan or Risk Management Plan
- Risk Management Plan
- Site-Specific Risk Assessment
- Other

Applicable scenarios for selecting these submission types are listed below:

- Submission required by *EPEA* approval:
 - **Decommissioning Report**
 - **Environmental Summary Report**
 - **Soil Management Report**
- Detailing remediation results, which may include partial remediation:
 - **Remediation Report:** No formal acceptance of guidelines is provided when submitting a remediation report. Interim reports detailing partial remediation for releases that will be fully remediated within two years of discovery, may be submitted under this option. Where contamination management is ongoing and a RAP has been accepted, see “Ongoing reporting of an accepted Remedial Action Plan or Risk Management Plan.”

Important:

If **Remediation Report** is selected to comply with the *Remediation Regulation* S2.2(1)(b), ensure that remediation has been completed to the applicable guidelines. Outstanding potential for adverse effects will require a RAP submission.

- Submission of a RAP as required by section 2.2(2) of the *Remediation Regulation*, an *EPEA* approval, or at the director's request:
 - **Remedial Action Plan:** Written acceptance will be provided for RAPs or changes/updates to existing RAPs.
- A report and RoSC are serving the function of a RAP:
 - **RoSC and Professional Report serving as a Remedial Action Plan:** Information provided in the RoSC (specifically next steps and timelines), and the professional report provides elements of a RAP and fulfills the requirements under section 2.2(2) of the *Remediation Regulation*. Written acceptance of timelines for remedial actions will be provided for RoSCs and professional reports serving as RAPs.

Important:

This option may be used when submitting a Phase 2 Environmental Site Assessment that serves the purpose of a RAP under the *Remediation Regulation*. In this case, reporting requirements for both the Phase 2 Environmental Site Assessment and RAP will be considered met.

- Details of the implementation of a RAP or risk management plan (RMP):
 - **Ongoing reporting of an accepted Remedial Action Plan or Risk Management Plan:** No formal acceptance for ongoing update reports on a RAP or RMP is provided.
 - If changes to any elements of the RAP or RMP occur, select **Yes** to the remedial measures question, “Does the submission contain a request to modify the previously accepted program or plan?” after indicating there is an accepted RAP or RMP associated with the site. In this case, the submission will be considered a new RAP or RMP and will be reviewed for acceptance.
- A formal RMP is required as per the *Risk Management Plan Guide*.
 - **Risk Management Plan:** Written acceptance will be provided for RMPs or changes/updates to existing RMPs.
- Site-specific risk assessment as per *Alberta Tier 2 Soil and Groundwater Remediation Guidelines* has been conducted:
 - **Site-Specific Risk Assessment:** An evaluation of the submission will only be provided if the conditional question is answered “Yes.” See image below.

Are you requesting review and consultation of the Site-Specific Risk Assessment from the Regulator? *	Yes	No
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Important:

Ensure that conditions requiring an SSRA consultation are met for this submission type. Using routine, prescribed methodology to develop Tier 2 guidelines (i.e., pathway elimination, guideline adjustment, SST Tier 2A/B) does not constitute appropriate conditions for requesting SSRA review and consultation. See section 3.3.3 of [Manual 021: Contamination Management](#) for more information.

Note: The AER does not routinely evaluate the application of prescribed Tier 2 approaches prior to closure. As such, when SSRA review, and consultation is requested the SSRA must clearly describe the elements within the report that are beyond prescribed Tier 2 approaches. Failure to efficiently indicate which elements are beyond prescribed Tier 2 approaches may result in extended review times and/or returned submissions.

- None of the provided intents are relevant:
 - **Other:** Contact csusubmissions@aer.ca before using this submission type. A regulatory decision may not be provided with this selection.

Regulatory or Administrative Closure of Contamination

- Oilfield Waste Management (WM) Undergone Closure Contamination Review
- Application for Tier 2 Compliance Letter
- Remediation Certificate Application
- Contamination Review for Reclamation

Applicable scenarios for selecting these submission types are listed below:

- When a submitter is seeking a change of status to undergone closure of an oilfield waste management facility under *Directive 058*, section 9.7:
 - **Oilfield Waste Management (WM) Undergone Closure Contamination Review:** Professional report(s) and RoSC are being submitted in OneStop as supporting documentation for an undergone closure application (submitted in the Integrated Application Registry [IAR]).

Important:

This selection only applies to waste management facilities. Ensure the waste management approval number is entered in the Related Entities section.

- When seeking formal acceptance for a site that meets Tier 2 remediation guidelines and remediation is not required:
 - **Application for Tier 2 Compliance Letter:** As per section 2.5(1) of the *Remediation Regulation*, written acceptance will be provided for Tier 2 Compliance Letter applications.
- Application for a remediation certificate under section 3(1) of the *Remediation Regulation*:
 - **Remediation Certificate Application:** Written acceptance will be provided for remediation certificate applications.

Important:

You will have the option to select either limited or site-based when Remediation Certificate Application is selected.

What kind of Remediation Certificate are you applying for? *	<div>▼</div> <div>Limited Remediation Certificate</div> <div>Site-Based Remediation Certificate</div>
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- Submission of necessary documents in support of a reclamation certificate application, which may include a request for review of Tier 2 approaches in advance of reclamation activities:
 - **Contamination Review for Reclamation:** All reclamation certificate applications which include contamination management reports must include an RoSC with this submission type selected (refer to section 2.4 of *Manual 021* for details on when RoSCs are required). In cases where the site meets Tier 1, a standard review will occur. The application of Tier 2 guidelines, including justification for minor exceedances, will undergo additional review by the AER.

When selecting this submission type, contamination management must be complete for the entire site (this may be in advance of reclamation efforts or after reclamation has been complete).

The submission must contain all contamination-related information required for a reclamation certificate application. See section 11.5.1 of *Manual 021* and the [Contamination Review for Reclamation Submission Checklist](#) for more information.

Important:

Where an RoSC is required for a reclamation certificate application, you must submit the RoSC before initiating the reclamation certificate application and include the RoSC as a related submission. The RoSC status must be “Accepted” to attach it as a related submission within the Reclamation Certificate Application module.

Table 1. Summary of RoSC Submission Types and Submission Status Based on Requirement for Regulatory Decision

Regulatory Decision Involved	Submission Status		Submission Types
	Accepted	Returned	
No	<ul style="list-style-type: none"> Submission received in OneStop. Additional requirements for the site, if any, will be attached to the decision. 	<ul style="list-style-type: none"> RoSC administratively incomplete and requires resubmission. Identified deficiencies attached with decision. 	<ul style="list-style-type: none"> Groundwater Monitoring Report Groundwater Monitoring Update Soil Monitoring Report Surveillance Monitoring Report Phase 2 Environmental Site Assessment Report Decommissioning Report Environmental Summary Report Soil Management Report Remediation Report Ongoing reporting of an accepted Remedial Action Plan or Risk Management Plan¹ Oilfield Waste Management (WM) Undergone Closure Contamination Review
Yes	<ul style="list-style-type: none"> Submission accepted in OneStop and review for regulatory acceptance provided. Written acceptance or evaluation comments attached with decision (except for reclamation certificate application submissions). Decision may be accompanied by additional requirements for the site. 	<ul style="list-style-type: none"> RoSC administratively incomplete and requires resubmission. Identified deficiencies attached with decision. <p>or</p> <ul style="list-style-type: none"> Regulatory acceptance cannot be provided and revisions to the professional report(s) are required before resubmission. Identified deficiencies attached with decision. Decision may be accompanied by additional requirements for the site. 	<ul style="list-style-type: none"> Remedial Action Plan RoSC and Professional Report serving as a Remedial Action Plan Risk Management Plan Site-Specific Risk Assessment (Consultation Requested)² Contamination Review for Reclamation² Application for Tier 2 Compliance Letter Remediation Certificate Application

¹ Regulatory acceptance will be required if **Yes** is selected for the question, "Does the submission contain a request to modify the previously accepted program or plan?"

² Formal acceptance is not provided; however, an evaluation of the submission is undertaken.

Table 2 Summary of Record of Site Condition Submission Types and Examples of Applicable Scenarios

Intent of Submission	Submission Type	Routine Monitoring	Incident response	Facility monitoring	EPEA Approval compliance	Proposing remediation and/or remedial measures	Proposing risk management	May contain risk management elements	Reporting on contamination management	Detailing remediation results (S. 2.2(1)(b) Remediation Regulation)	Seeking regulatory acceptance/evaluation of contamination endpoints	Infrastructure removal	Contamination closure	Regulatory decision
Contamination Identification and Characterization	Groundwater Monitoring Report													
	Groundwater Monitoring Update													
	Soil Monitoring Report													
	Surveillance Monitoring Report													
	Phase 2 Environmental Site Assessment Report													
Contamination Management	Decommissioning Report													
	Environmental Summary Report													
	Soil Management Report													
	Remediation Report													
	Remedial Action Plan													
	RoSC and Professional Report serving as a Remedial Action Plan													
	Ongoing reporting of an accepted Remedial Action Plan or Risk Management Plan ¹													
	Risk Management Plan													
	Site-Specific Risk Assessment (Consultation Requested)													
Regulatory or Administrative Closure of Contamination	Oilfield Waste Management (WM) Undergone Closure Contamination Review													
	Application for Tier 2 Compliance Letter													
	Remediation Certificate Application													
	Contamination Review for Reclamation													

¹ Regulatory acceptance will be required if **Yes** is selected for the question, “Does the submission contain a request to modify the previously accepted program or plan?”

Note: The scenarios shown above are not exhaustive. This table is intended to be used as a general reference to aid in selecting the intent of submission. 