

**APPLICATION FOR  
CLEAN WATER ACT SECTION 401 WATER QUALITY CERTIFICATION  
AND/OR WASTE DISCHARGE REQUIREMENTS FOR  
PROJECTS INVOLVING DISCHARGE OF DREDGED AND/OR FILL MATERIAL  
TO WATERS OF THE U.S. AND/OR WATERS OF THE STATE**

California Regional Water Quality Control Board, Lahontan Region (Water Board)

**IMPORTANT:** Complete this form if you are proposing dredge and/or fill activities in (1) waters of the U.S. subject to a Clean Water Act (CWA) section 404 permit from the U.S. Army Corps of Engineers (Corps) and a state section 401 water quality certification (WQC), or (2) waters of the State, subject to State issuance of Porter-Cologne Water Quality Control Act Waste Discharge Requirements (WDRs)<sup>1</sup>. If the project involves a Federal Energy Regulatory Commission (FERC) license or amendment to a FERC license, a 401 WQC application should be sent to the State Water Resources Control Board's Division of Water Rights. Please use the *Instructions for Completing the Application (Instructions)* for guidance in filling out this form (see [http://www.waterboards.ca.gov/lahontan/water\\_issues/programs/clean\\_water\\_act\\_401/index.shtml](http://www.waterboards.ca.gov/lahontan/water_issues/programs/clean_water_act_401/index.shtml)). **If this application form is not complete, action on your application may be delayed and/or certification may be denied.** When attaching additional sheets to supplement information provided within the form, the **supplemental documents must be specifically referenced (by page number) within the application.**

**1. OWNER AND AGENT INFORMATION**

a) Applicant name and/or organization:	b) Agent Name and/or Organization (if applicable):
Address:	Address:
Phone No.	Phone No.
Fax No.	Fax No.
E-mail address:	E-mail address:
Have you previously contacted the Water Board staff regarding this project? <input type="checkbox"/> NO <input type="checkbox"/> YES	
Staff contacted _____ Date(s) contacted _____	

**STATEMENT OF AUTHORIZATION**

I hereby authorize \_\_\_\_\_ to act in my behalf as my agent in the processing of this Clean Water Act Section 401, or other proposed dredge/fill activity, Application (Application), and to furnish upon request, supplemental information in support of this Application.

\_\_\_\_\_  
Applicant's Title and Name

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Date

<sup>1</sup> In some cases where a CWA section 404 permit will not be issued by the Corps for the project, coverage under General WDRs (GWDRs) may be appropriate. This application can be used to apply for coverage under the following GWDRs:

- Lahontan Water Board Order No. R6T-2003-0004, *GWDRs for Minor Streambed/Lakebed Alteration Projects Excluding the Lake Tahoe Hydrologic Unit*, for soil disturbing work within the high water mark of water bodies (excluding the Tahoe basin) in the Lahontan Region or the 100-year floodplain areas in the Truckee and Little Truckee River Hydrologic Units, and is not regulated by the Army Corps of Engineers under Clean Water Act section 404.
- State Water Resources Control Board Order No. 2004-0004-DWQ, *Statewide GWDRs for Dredged or Fill Discharges to Waters Deemed by the U.S. Army Corps of Engineers to be Outside of Federal Jurisdiction*, for projects with proposed dredged and/or fill discharges to waters of the State that do not exceed two-tenths of an acre, 400 linear feet of stream bank or shoreline, and 50 cubic yards of dredged material. ("Waters of the State" is defined pursuant to Water Code section 13050, subdivision (e) as "any surface water or groundwater, including saline waters, within the boundaries of the state.") Additional information and applications for the above-cited Orders can be found at the Water Board's website (<http://www.waterboards.ca.gov/lahontan/>) under links to Permitting Questions/General Permits.

## 2. PROJECT INFORMATION

<b>Project Name or Title:</b>	
<b>Project Location Information</b>	
<b>Street Address (if applicable):</b>	
<b>City, Town or Place Name:</b>	
<b>County:</b>	
<b>Latitude and Longitude</b> (in decimal format) for center of project, <u>and</u> either end of project for linear projects <u>or</u> at least 3 locations for non-linear projects	<b>Latitude</b> _____ <b>Longitude</b> _____ <b>(center)</b>
	<b>Latitude</b> _____ <b>Longitude</b> _____
	<b>Latitude</b> _____ <b>Longitude</b> _____
	<b>Latitude</b> _____ <b>Longitude</b> _____
	<b>Latitude</b> _____ <b>Longitude</b> _____
	<b>Latitude</b> _____ <b>Longitude</b> _____
<b>Directions to access site:</b>	
<b>Parcel Number(s) (if applicable):</b>	
<b>Other locating information:</b>	
<input type="checkbox"/> Attach topographic maps and site plans of required quality and detail that clearly indicate the (1) regional location of the project area, (2) existing pre-project conditions, and (3) proposed post-project conditions and the location existing waters on-site or in proximity to the site. <b>See Attachment 1 for map and drawing recommendations.</b>	
<b>Overall Project scope, purpose(s) and final goal (for example: development, stabilization, restoration, replacement, etc.):</b>	
<b>Project Description</b> (Provide a complete detailed description of entire activity. Refer to the checklist in Section 2 of the <i>Instructions</i> for assistance on what information to include. Attach additional pages as necessary.)	
<b>Total Project Size</b> (area within the boundaries of the project in square feet and/or acres):	
<b>Site description of the entire project area</b> (including areas outside jurisdictional waters):	
<b>Area and linear feet of waterbodies present within the Project area:</b> Total Area: _____ square feet _____ acres;      Total Linear Feet: _____ feet Type (stream, wetland, lake, playa, riparian):	
<b>Proposed Schedule</b> (proposed start date, duration, inactive periods, and completion dates):	

**3. WATERBODY IMPACT: (The following must be completed for each proposed action where fill or other material will be temporarily or permanently discharged to a wetland or other waters of the U.S. or State, and/or where material will be excavated from a waters of the U.S or State. Include any temporary disturbance to wetland or other waters.)**

**a) Waterbody Name(s)** Clearly indicate on a published (for example, USGS) map of suitable detail, quality, and scale to allow the certifying agency to easily identify the area(s) and waterbody(ies) receiving any discharge. Information below should be included on the map. **See Attachment 1 for map and drawing recommendations.**

**b) Photos:** Original, dated photographs clearly illustrating impact area (location of photo views should be noted on plans; for repairs include photos of existing structures).

**c) Fill and Excavation Information:** Indicate in ACRES and/or LINEAR FEET the proposed waters to be impacted, and identify the impact(s) as permanent and/or temporary for each waterbody type listed below:

<b>i. Fill-related Impacts</b> (for definition of fill, see <i>Instructions</i> )						
<b>Waterbody Type</b>	<b>Permanent</b>			<b>Temporary</b>		
	<b>Acres</b>	<b>Linear Feet</b>	<b>Fill Volume</b>	<b>Acres</b>	<b>Linear Feet</b>	<b>Fill Volume</b>
Wetland						
Lake						
Stream						
River						
Riparian						
Playa						
Other						

**Mark with X all wetland and/or other waters that would be impacted by proposed project:**

<b>Riverine</b>	<b>Lacustrine</b> (assoc. w/ lakes)	<b>Palustrine</b> (wet areas – either connected or isolated)	
<input type="checkbox"/> Intermittent Stream	<input type="checkbox"/> Lake	<input type="checkbox"/> Freshwater Marsh	<input type="checkbox"/> Spring
<input type="checkbox"/> Ephemeral Stream	<input type="checkbox"/> Pond	<input type="checkbox"/> Salt Marsh (non-tidal)	<input type="checkbox"/> Bog
<input type="checkbox"/> Creek	<input type="checkbox"/> Lagoon	<input type="checkbox"/> Seasonal Wetland	<input type="checkbox"/> Fen
<input type="checkbox"/> Swale	<input type="checkbox"/> Reservoir	<input type="checkbox"/> Vernal Pool	
<input type="checkbox"/> River	<input type="checkbox"/> Playa	<input type="checkbox"/> Seep	<input type="checkbox"/> Other (_____)
<input type="checkbox"/> Floodplain	<input type="checkbox"/> Other (_____)	<input type="checkbox"/> Wet Meadow/Pasture	

**If the proposed Project is in flowing waters:**

- (a) Describe how water will be diverted around work area (include Water Diversion Plan, if applicable).
- (b) Flow rates and volumes for the two-, ten-, fifty- and 100-year storm events ( $Q_2$ ,  $Q_{10}$ ,  $Q_{50}$ ,  $Q_{100}$ ), or any other recurrent interval determined to be necessary for the full evaluation of effects of the proposed activity, may be required for the completion of the application, at the discretion of the Water Board. If the applicant has knowledge indicating that flow rates and volumes or other pertinent hydrological data would be necessary for the full evaluation of the project, the applicant should provide that information with the application.
- (c) If the proposed Project includes bank hardening, hydraulic constrictions (e.g.; undersized culverts, bridges, etc.) or other potentially channel destabilizing influences, describe how the Project proposes to mitigate these influences.

**Indicate all type(s) of material, including earthen, proposed to be discharged to wetlands and/or other waters of State or U.S.:**

**ii. Dredge/Excavation Impacts** (for definition of dredge, see *Instructions*)

Purpose: \_\_\_\_\_

Is this  new dredging or  maintenance dredging?

Type of material to be dredged: \_\_\_\_\_

Dredging Method: \_\_\_\_\_

Depth below ordinary high water (OHW): \_\_\_\_\_ Area in acres or square feet: \_\_\_\_\_

Cubic Yards: above OHW: \_\_\_\_\_ below OHW: \_\_\_\_\_

Method of Transfer and Containment: \_\_\_\_\_

Method and location of spoil disposal: \_\_\_\_\_

Results of analyses conducted on dredged material composition: \_\_\_\_\_

**Mark with X all wetland and/or other waters that would be impacted by proposed dredging project:**

<b>Riverine</b>	<b>Lacustrine</b> (assoc. w/ lakes)	<b>Palustrine</b> (wet areas – either connected or isolated)	
<input type="checkbox"/> Intermittent Stream	<input type="checkbox"/> Lake	<input type="checkbox"/> Freshwater Marsh	<input type="checkbox"/> Spring
<input type="checkbox"/> Ephemeral Stream	<input type="checkbox"/> Pond	<input type="checkbox"/> Brackish Marsh	<input type="checkbox"/> Bog
<input type="checkbox"/> Creek	<input type="checkbox"/> Lagoon	<input type="checkbox"/> Seasonal Wetland	<input type="checkbox"/> Fen
<input type="checkbox"/> Swale	<input type="checkbox"/> Reservoir	<input type="checkbox"/> Vernal Pool	
<input type="checkbox"/> Riparian	<input type="checkbox"/> Playa	<input type="checkbox"/> Seep	<input type="checkbox"/> Other (_____)
<input type="checkbox"/> Floodplain	<input type="checkbox"/> Other (_____)	<input type="checkbox"/> Wet Meadow/Pasture	

**d) Is the water body “isolated” (excluded from CWA regulation per Court decisions or CWA exemptions – see *Instructions* for definition of “isolated”)?**  Yes  No If yes, provide U.S. Army Corps of Engineers (Corps) disclaimer letter or other source of disclaimer information.

**e) Does the proposed project involve in-channel hydromodification, floodplain modification, stream restoration, or bank stabilization?**  Yes  No

If yes, completing the checklist in Attachment 2 may be required. If the applicant has knowledge sufficient to complete the checklist, the applicant should provide that information with the application. See *Instructions* for more information.

**f) Is any portion of the proposed project in a Stream Environment Zone (Lake Tahoe watershed only) or 100-year floodplain of Lake Tahoe or its tributaries (see *Instructions* for definitions)?**

Yes  No If yes, see Basin Plan prohibition requirements in Attachment 3 for the Lake Tahoe basin. Attach information to support the Water Board findings required to consider exempting the Project from applicable Basin Plan prohibitions.

**g) Is any portion of the proposed project in the 100-year floodplain of the Truckee River or its tributaries (see *Instructions* for definitions)?**  Yes  No

If yes, see Basin Plan prohibition requirements in Attachment 4 for Truckee or Little Truckee River watersheds. Attach information to support the Water Board findings required to consider exempting the Project from applicable Basin Plan prohibitions.

**4. DELINEATION INFORMATION for WETLANDS AND OTHER WATERS:**

Name of person delineating extent of waters of U.S. and/or waters of the State:	Date(s) of delineation (attach delineation worksheets):
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Title:

Affiliation and Statement of Qualifications:

**Was the delineation performed according to the Corps’ Supplemental Guidelines?**

**a) Arid West Supplement:**  Yes  No **b) Western Mountains, Valleys and Coast Supplement:**  Yes  No

**Has the delineation been verified by the Corps?**  Yes  No

If no, provide delineation map sent to Corps for verification. If yes, provide date of verification \_\_\_\_\_.

**Provide a copy of the verification letter from Corps**  **and verified delineation map** .

## 5. IMPACT AVOIDANCE

**AVOIDANCE OF DIRECT IMPACTS** Describe alternatives considered, including alternative sites to avoid impacts to waterbodies within the project area, including, but not limited to, redesigning the project to completely avoid all impacts to waters. See checklist within *Instructions* for assistance on what information to include.

## 6. IMPACT MINIMIZATION

### MINIMIZATION OF DIRECT IMPACTS

a) If project impacts are unavoidable, describe alternatives analyzed to minimize impacts to water bodies within the project area. Examples include, but are not limited to, bridge or arch culvert instead of round culvert, bioengineering stabilization practices instead of riprap alone. Discuss both in terms of temporary (for example, land disturbance by grading) and permanent impacts (for example, new paving). See *Instructions* for assistance on what information to include.

b) List ALL Best Management Practices (BMPs) proposed to minimize impacts during project implementation and post-project to ensure water quality impacts are minimized. See the checklist in the *Instructions* for assistance on what information to include.)

#### 1. Construction BMPs

- Summary of Erosion and Sediment Control and Stormwater Treatment Measures
  
- Summary of Source Control Measures

#### 2. Post-Construction BMPs

## 7. COMPENSATORY MITIGATION

**This section must be completed if there are unavoidable impacts.**

a) Goals of Mitigation:

b) Describe the mitigation area and mitigation site characteristics in a Draft Compensatory Mitigation Plan using the Minimum Requirements for a Draft Compensatory Mitigation Plan in Attachment 5.

**7. COMPENSATORY MITIGATION (continued)**

**c) Proposed Mitigation Site:**

Does mitigation involve OFFSITE (outside project area) temporary or permanent impacts not included in this application?  Yes  No

If yes, has an Application been provided for dredge and fill impacts at the site used for mitigation?  Yes  No

If not, explain:

**d) Indicate in ACRES and LINEAR FEET** (where appropriate) the total quantity of wetlands or other **waters** proposed to be created, restored and/or enhanced for purposes of providing compensatory mitigation (see *Instructions* for the terms created, restored, enhanced, preserved):

<b>Water Body Type</b>	<b>Created</b> (acres, linear feet)	<b>Restored</b> (acres, linear feet)	<b>Enhanced</b> (acres, linear feet)	<b>Preserved</b> (acres, linear feet)
Wetland				
Stream				
Lake/Reservoir				
Riparian				
Other				
Isolated Waters				

Is the mitigation site owned by the applicant?  Yes  No

If no, provide the name(s), address(es), and phone number(s) of the land owner and evidence (e.g., agreements, contracts, etc.) that the applicant has the necessary approvals to implement mitigation at this location. If the land is to be purchased, provide the expected date that the purchase will be complete.

**e) Provide the location of the Compensatory Mitigation:**

Street Address \_\_\_\_\_

County \_\_\_\_\_ City \_\_\_\_\_

Assessor's Parcel Number(s) \_\_\_\_\_

Hydrologic Unit, Area, and Subarea \_\_\_\_\_

Latitude \_\_\_\_\_ Longitude \_\_\_\_\_ (Center Reading)

Latitude \_\_\_\_\_ Longitude \_\_\_\_\_

Latitude \_\_\_\_\_ Longitude \_\_\_\_\_

Latitude \_\_\_\_\_ Longitude \_\_\_\_\_

Latitude \_\_\_\_\_ Longitude \_\_\_\_\_

**f) Expected Construction Completion Date for Mitigation:**

**g) Contact information for person or organization monitoring:**

Name: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_ Fax: \_\_\_\_\_

Email: \_\_\_\_\_

**h) MITIGATION BANK/IN-LIEU FEE PROGRAM** (If proposed, See *Instructions*.)

Mitigation Bank/In-Lieu Fee Name: \_\_\_\_\_

Name of Mitigation Bank/In-Lieu Fee Operator: \_\_\_\_\_

Office Address of Operator/Phone Number: \_\_\_\_\_

Mitigation Bank/In-Lieu Fee Location: Latitude: \_\_\_\_\_ Longitude: \_\_\_\_\_

County: \_\_\_\_\_ City: \_\_\_\_\_

Mitigation Bank/In-Lieu Fee Water Body type(s): \_\_\_\_\_

Mitigation Area Purchased (acres or linear feet) and cost (dollar): \_\_\_\_\_

**8. THREATENED/ENDANGERED SPECIES**

Attach any Biological Assessments, Surveys, Formal Consultation Determination letters, and Mitigation Proposals as necessary, completed or available.

Is coordination with the US Fish and Wildlife Service required for this project according to the Federal Endangered Species Act?  
 If yes, list species that could be impacted: \_\_\_\_\_  
 \_\_\_\_\_,  
 and provide Biological Report or Assessment.  
 Yes (provide copy of Biological Report)       No (explain basis of determination below)

If you have attached additional documentation, cite here and index them within the application package: \_\_\_\_\_

Is coordination with the State of California Department of Fish and Game required for this project according to the California Endangered Species Act?  
 Yes (provide copy of Biological Report)       No (explain basis of determination below)

**9. FEDERAL PERMIT(S) APPLIED FOR OR ISSUED** (e.g., Army Corps of Engineers Clean Water Act Section 404 Permit – Individual or Nationwide) Provide copies of the permit application(s) and name(s) of staff contacts within each agency.

AGENCY & CONTACT INFO	PERMIT TITLE	FILE DATE	FILE NUMBER (if known)	Issuance Date (if issued):	PERMIT TYPE (if known, i.e. Nationwide Permit Number(s), Regional General Permit No.(s), or Individual Permit)
Does the project require a Federal Energy Regulatory Commission (FERC) license or amendment to a FERC license? <input type="checkbox"/> Yes <input type="checkbox"/> No    If yes, please submit 401 WQC application to State Water Board.					

**10. STATE LICENSE(S), PERMIT(S) OR AGREEMENT(S) APPLIED FOR OR ISSUED**

(Please list all other required license(s), permit(s), or agreement(s), including local regulatory approvals, and submit a final or draft copy if available. Include information on any de-watering, NPDES permit, storm water construction permits, or Streambed or Lakebed Alteration Agreements).

AGENCY & CONTACT INFORMATION	LICENSE, PERMIT, or AGREEMENT	PERMIT NUMBER	APPROVAL DATE
Does the project involve more than one acre of land disturbance and thus require an NPDES Storm Water Construction Permit? <input type="checkbox"/> Yes <input type="checkbox"/> No Has a Storm Water Pollution Prevention Plan been prepared? <input type="checkbox"/> Yes (attach copy) <input type="checkbox"/> No If no, explain why no copy has been prepared:			

**11. CALIFORNIA ENVIRONMENTAL QUALITY ACT (CEQA) COMPLIANCE**  
(California Public Resources Code section 21000 et seq.)

**CEQA Document Type:** (Environmental Impact Report, Negative Declaration, etc.) \_\_\_\_\_  
**CEQA Project Title:** \_\_\_\_\_  
**Lead Agency and Contact Information:**  
**Agency:** \_\_\_\_\_ **Contact Name:** \_\_\_\_\_ **Phone No.:** (\_\_\_\_) \_\_\_\_\_  
**Address:**  
\_\_\_\_\_  
**State Clearinghouse No.:** \_\_\_\_\_  
Has the document been certified/approved by the Lead Agency and/or has a Notice of Exemption been filed?  
 Yes  No  
If yes, include a copy of the certification. If no, provide the expected approval date and document type.

**12. APPLICATION FEE**

Provide an initial fee deposit of \$944.00 with the application per Title 23, Division 3, Chapter 9, Article 1, Sections 2200, 2200.4, 2200.5 And 2200.6 of the California Code of Regulations. Additional fees, based on the extent of impacts, may be due upon certification. A fee schedule and calculator can be found at: [http://www.waterboards.ca.gov/water\\_issues/programs/cwa401](http://www.waterboards.ca.gov/water_issues/programs/cwa401), but if additional fees are required, you will be notified in writing. **Make the check for \$944.00 payable to: State Water Resources Control Board.**  
**Is a check enclosed?**  
 **Yes: Check Number:** \_\_\_\_\_, **Amount: \$** \_\_\_\_\_  
 **No (explain why)**

**13. PAST/FUTURE PROPOSALS BY THE APPLICANT**

**Briefly list/describe any projects carried out in the last five years or planned for implementation in the next five years that are in any way related to the proposed activity or that impact the same receiving body of water.**

**14. HAS ANY PORTION OF THE WORK BEEN INITIATED?**

**No work within waters of the State and or U.S. has occurred.**  
 **Yes. Describe the initiated work within waters of the State and/or U.S., and explain why it was initiated prior to obtaining a permit. Indicate whether any enforcement action has been taken by any government agency (federal, state, or local agency). Attach additional pages as necessary.**

**15. CERTIFICATION**

The person certifying this application must meet one of the following descriptions and be acting on behalf of the applicant listed in Item 1:

- I certify that I am the owner of property on which proposed project would occur.
- I certify that as a municipal agency, I am a principal executive officer or ranking elected official.
- I certify that as a state agency or other non-federal public agency, I am a principal executive officer or ranking elected official.
- I certify that for a federal agency, I am the chief executive officer of the agency, or I am the senior executive officer having responsibility for the overall operations of a principal geographic unit of the agency.
- I certify that I am a general partner for a partnership.
- I certify that I am the proprietor for a sole proprietorship.
- I certify that for a corporation or association, I am the President, Vice President, Secretary, or Treasurer of the corporation or association and in charge of a principal business function, or I perform similar policy or decision making functions for the corporation or association:

- I certify that for a corporation, I am the Manager of one or more manufacturing, production, or operating facilities employing more than 250 persons or having gross annual sales or expenditures exceeding \$25 million (in second-quarter 1980 dollars), and authority to sign documents has been assigned or delegated to me in accordance with corporate procedures.
- I certify that for a trust, I am a trustee.

This application and/or discharge report is filed for proposed work impacting waters of the State and/or waters of the U.S. described in this application. I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations. I further certify that I possess the authority to undertake the work described herein. In addition, if impacts to waters deemed by the US Army Corps of Engineers to be outside federal jurisdiction are proposed, I certify that the provisions of Water Board Order R6T-2003-0004 or State Water Board Order No. 2004-0004-DWQ will be complied with.

\_\_\_\_\_  
Signature of Applicant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name & Title of Applicant

Mail the completed application package to the appropriate office based on project location:

**For projects north of Conway Summit:**

Lahontan Regional Water Quality Control Board  
Water Quality Certification Program  
2501 Lake Tahoe Blvd.  
South Lake Tahoe, CA 96151

**For projects south of Conway Summit:**

Lahontan Regional Water Quality Control Board  
Water Quality Certification Program  
14440 Civic Drive, Suite 200  
Victorville, CA 92392

**Is your application complete? Did you:**

- Include the \$944 application fee?
- Complete all fields within this application, and refer to the *Instructions* for additional guidance on what information is required?

**Attachments:**

- 1) Minimum Requirements for Maps and Drawings
- 2) Stream Hydrology Checklist
- 3) Exemption criteria for Basin Plan Prohibition for Lake Tahoe and its tributaries
- 4) Exemption criteria for Basin Plan Prohibition for Truckee and Little Truckee Rivers and its tributaries
- 5) Minimum Requirements for a Draft Compensatory Mitigation Plan