



Central Valley Regional Water Quality Control Board

30 March 2017

Sutha Suthahar
Caltrans District 3
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Marysville, CA 94901

CERTIFIED MAIL
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CLEAN WATER ACT SECTION 401 WATER QUALITY CERTIFICATION AND ORDER FOR THE SAC-05 HOV LANES – PHASE 1 PROJECT, SACRAMENTO COUNTY (WDID#5A34CR00671)

Enclosed please find a Clean Water Act Section 401 Water Quality Certification and Order, authorized by Central Valley Regional Water Quality Control Board Executive Officer, Pamela C. Creedon. This Order is issued to Caltrans District 3 for SAC-05 HOV Lanes – Phase 1 Project (Project). Attachments A through F of the Enclosure are also part of the Order.

This Order is issued in response to an application submitted by Caltrans District 3 for proposed Project discharges to waters of the state, to ensure that the water quality standards for all waters of the state impacted by the Project are met. You may proceed with your Project according to the terms and conditions of the enclosed Order.

Please review your Order carefully to ensure that you understand all aspects of the Order. Note that this Order requires reporting and notification types. Requirements for the content of these reporting and notification types are detailed in Attachment F, including specifications for photo and map documentation during the Project. Written reports and notifications must be submitted using the Reporting and Notification Cover Sheet located in Attachment F, which must be signed by the Permittee or an authorized representative.

These reports, notifications, and other submissions must be submitted in a searchable Portable Document Format (PDF). Documents less than 50 MB must be emailed to: centralvalleysacramento@waterboards.ca.gov. In the subject line of the email, include the Central Valley Water Board Contact, Project name, and WDID. Documents that are 50 MB or larger must be transferred to a disk and mailed to the Central Valley Water Board Contact.

If you require further assistance, please contact me by phone at (916) 464-4644 or by email at Stephanie.Tadlock@waterboards.ca.gov. You may also contact Elizabeth Lee, Unit Supervisor, by phone at (916) 464-4787 or by email at Elizabeth.Lee@waterboards.ca.gov.

Original Signed By:

Stephanie Tadlock
Environmental Scientist
401 Water Quality Certification Unit

Enclosures (1): Order for SAC-05 HOV Lanes – Phase 1 Project

KARL E. LONGLEY SCD, P.E., CHAIR | PAMELA C. CREEDON P.E., BCEE, EXECUTIVE OFFICER

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Central Valley Regional Water Quality Control Board

CLEAN WATER ACT SECTION 401 WATER QUALITY CERTIFICATION AND ORDER

Effective Date: 30 March 2017
Expiration Date: 29 March 2022
Program Type: Fill/Excavation

Reg. Meas. ID: 409922
Place ID: 829265
WDID: 5A34CR00671
USACOE: SPK-2016-00819

Project Type: Roads and Highways

Project: SAC-05 HOV Lanes – Phase 1 (Project)

Applicant: Sutha Suthahar
Applicant Contact: Caltrans District 3
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If you have any questions, please call Central Valley Regional Water Quality Control Board (Central Valley Water Board) Staff listed above or (916) 464-3291 and ask to speak with the Water Quality Certification Unit Supervisor.

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I. Order

This Clean Water Act (CWA) section 401 Water Quality Certification action and Order (Order) is issued at the request of Caltrans District 3 (herein after Permittee) for the Project. This Order is for the purpose described in application and supplemental information submitted by the Permittee. The application was received on 9 October 2016. The application was deemed complete on 15 November 2016. Central Valley Water Board staff requested additional information necessary to supplement the contents of the complete application and the Permittee responded to the request for supplemental information on the following dates (Table 1).

| Table 1: Record of Supplemental Application Information | |
|--|--|
| Date of Request for Supplemental Information | Date all requested information was received. |
| 15 November 2016 | 19 December 2016 |

II. Public Notice

The Central Valley Water Board provided public notice of the application pursuant to California Code of Regulations, title 23, section 3858 from 21 October 2016 to 11 November 2016. Public notice regarding the Environmental Impact Report/Environmental Impact Statement is described in Attachment C, CEQA Findings of Fact.

III. Project Purpose

The purpose of the Project is to provide congestion reduction on a heavily used commuter and interregional roadway during commuting hours and periods of high traffic volume.

IV. Project Description

The Project includes constructing High Occupancy Vehicle (HOV) lanes in the median in both southbound and northbound directions on Interstate 5 (I-5) from approximately 0.3 miles south of Beach Lake Bridge and the US 50/I-5 junction. At Florin Road, the existing median will be reduced and outside shoulders will be widened to accommodate the new HOV lane. Several overcrossings and bridges will require structural modifications to accommodate additional traffic lanes, between post mile 9.7 to 22.5.

V. Project Location

Address: I-5, Highway Post Miles 12.6 - 22.5

County: Sacramento

Nearest City: Elk Grove

Township 7 North, Range 4 East, MDB&M.

Latitude: 38°26'23.380"N and Longitude: 121°29'24.524"W

Maps showing the Project location is found in Attachment A of this Order.

VI. Project Impact and Receiving Waters Information

The Project is located within the jurisdiction of the Central Valley Water Board. Receiving waters and groundwater potentially impacted by this Project are protected in accordance with the Water Quality Control Plan for the Sacramento River and San Joaquin River Basins,

Fourth Edition, revised April 2016 (Basin Plan) The plan for the region and other plans and policies may be accessed online at: http://www.waterboards.ca.gov/plans_policies/. The Basin Plan includes water quality standards, which consist of existing and potential beneficial uses of waters of the state, water quality objectives to protect those uses, and the state and federal antidegradation policies.

It is the policy of the State of California that every human being has the right to safe, clean, affordable, and accessible water adequate for human consumption, cooking, and sanitary purposes. This Order promotes that policy by requiring discharges to meet maximum contaminant levels designed to protect human health and ensure that water is safe for domestic use.

Project impact and receiving waters information can be found in Attachment B. Table 1 of Attachment B shows the receiving waters and beneficial uses of waters of the state impacted by the Project. Individual impact location and quantity is shown in Table 2 of Attachment B.

VII. Description of Direct Impacts to Waters of the State

The I-5/SR 160 separation at Beach Lake Bridge at Morrison Creek will be combined into a single span crossing. Abutment slopes will be pulled back and cast-in-place retaining walls will be constructed. A new 36-inch water main will be relocated to accommodate the new bridge footings. The existing storm water drainage system will be improved to accommodate increased storm water runoff due to a wider median and reduced shoulder capacity. Approximately 70, 18-inch diameter concrete piles will be placed into waters of the state to support the new HOV lane additions. In addition, approximately 1.82 cubic yards of permanent fill will be placed into waters of the state.

Wet concrete will be placed within wetlands and other waters of the state. Temporary cofferdams will be placed into Morrison Creek to dewater the work area and will be removed after construction activities are completed. Total Project fill/excavation quantities for all impacts are summarized in Table 2.

| Table 2: Total Project Fill/Excavation Quantity | | | | | | | | | |
|---|-------------------------------|-----------------|-----------------|-----------------------|----------|-------------|--|----------|----------|
| Aquatic Resource Type | Temporary Impact ¹ | | | Permanent Impact | | | | | |
| | | | | Physical Loss of Area | | | Degradation of Ecological Condition Only | | |
| | Acres | CY ² | LF ² | Acres | CY | LF | Acres | CY | LF |
| Stream Channel | 0.0040 | - | 3.0 | 0.0002 | - | 10.5 | - | - | - |
| Wetland | 3.8360 | - | - | 0.0030 | - | - | - | - | - |
| Total | 3.8400 | - | 3.0 | 0.0032 | - | 10.5 | - | - | - |

VIII. Description of Indirect Impacts to Waters of the State – NOT APPLICABLE

IX. Avoidance and Minimization

Additional direct and indirect impacts to sensitive biological resources, including wetland and riparian areas, throughout the project area will be avoided or minimized by designating these features outside of the construction impact area as environmentally sensitive areas (ESAs) on

¹ Includes only temporary direct impacts to waters of the state and does not include upland areas of temporary disturbance which could result in a discharge to waters of the state.

² Cubic Yards (CY); Linear Feet (LF)

project plans and in project specifications. Contractor encroachment into ESAs will be prohibited (including the staging/operation of heavy equipment or casting of excavation materials). ESA provisions will remain in place until all construction activities are complete. Vegetation removal will be limited to the absolute minimum area required for construction. Trimming vegetation to ground level is preferred over removal. Mitigation measures will be implemented to contain construction related materials from entering surface waters during in-water work. Best Management Practices (BPMs) utilized for erosion control will be implemented and in place prior to, during, and after construction.

X. Compensatory Mitigation

The Permittee has agreed to provide compensatory mitigation described in section VII for temporary impacts that have temporal loss and/or degradation of ecological condition.

The Permittee has agreed to provide compensatory mitigation for direct impacts, described in section VII for permanent impacts.

XI. California Environmental Quality Act (CEQA)

On 26 June 2013, the California Department of Transportation, as lead agency, certified an Environmental Impact Report/Environmental Impact Statement (EIR/EIS) (State Clearinghouse (SCH) No. 2011042026) for the Project and filed a Notice of Determination (NOD) at the SCH on 28 June 2013. Pursuant to CEQA, the Central Valley Water Board has made Findings of Facts (Findings) which support the issuance of this Order and are included in Attachment C.

XII. Petitions for Reconsideration

Any person aggrieved by this action may petition the State Water Resources Control Board to reconsider this Order in accordance with California Code of Regulations, title 23, section 3867. A petition for reconsideration must be submitted in writing and received within 30 calendar days of the issuance of this Order.

XIII. Fees Received

An application fee of \$21,814.00 was received on 16 December 2016. The fee amount was determined as required by California Code of Regulations, title 23, sections 3833(b)(3) and 2200(a)(3), and was calculated as category A - Fill & Excavation Discharges (fee code 84) with the dredge and fill fee calculator.

XIV. Conditions

The Central Valley Water Board has independently reviewed the record of the Project to analyze impacts to water quality and designated beneficial uses within the watershed of the Project. In accordance with this Order, the Permittee may proceed with the Project under the following terms and conditions:

A. Authorization

Impacts to waters of the state shall not exceed quantities shown in Table 2.

B. Reporting and Notification Requirements

The following section details the reporting and notification types and timing of submittals. Requirements for the content of these reporting and notification types are detailed in Attachment F, including specifications for photo and map documentation during the Project. Written reports and notifications must be submitted using the Reporting and

Notification Cover Sheet located in Attachment F which must be signed by the Permittee or an authorized representative.

The Permittee must submit all notifications, submissions, materials, data, correspondence, and reports in a searchable Portable Document Format (PDF). Documents less than 50 MB must be emailed to: CentralValleySacramento@waterboards.ca.gov.

In the subject line of the email, include the Central Valley Water Board Contact, Project name, and WDID. Documents that are 50 MB or larger must be transferred to a disk and mailed to the Central Valley Water Board Contact.

1. Project Reporting

- a. Monthly Reporting:** The Permittee must submit a Monthly Report to the Central Valley Water Board on the 1st day of each month beginning the month after the effective date of this Order. Monthly reporting shall continue until the Central Valley Water Board issues a Notice of Project Complete Letter to the Permittee.

If no water quality sampling is required, the Permittee shall submit a written statement stating, "No sampling was required" within two weeks on initiation of in-water construction, and every month thereafter.

- b. Annual Reporting:** The Permittee shall submit an Annual Report each year on the 1st day of April, starting one year after the effective date of the Order. Annual reporting shall continue until a Notice of Project Complete Letter is issued to the Permittee.

2. Project Status Notifications

- a. Commencement of Construction:** The Permittee shall submit a Commencement of Construction Report at least seven (7) days prior to start of initial ground disturbance activities and corresponding Waste Discharge Identification Number (WDID#) issued under the NPDES General Permit for Storm Water Discharges Associated with Construction and Land Disturbance Activities (Order No. 2009-0009-DWQ; NPDES No. CAS000002).

- b. Request for Notice of Completion of Discharges Letter:** The Permittee shall submit a Request for Notice of Completion of Discharges Letter following completion of active Project construction activities, including any required restoration and permittee-responsible mitigation. This request shall be submitted to the Central Valley Water Board staff within thirty (30) days following completion of all Project construction activities. Upon acceptance of the request, Central Valley Water Board staff shall issue a Notice of Completion of Discharges Letter to the Permittee which will end the active discharge period and associated annual fees.

- c. Request for Notice of Project Complete Letter:** The Permittee shall submit a Request for Notice of Project Complete Letter when construction and/or any post-construction monitoring is complete,³ and no further Project activities will occur.

³ Completion of post-construction monitoring shall be determined by Central Valley Water Board staff and shall be contingent on successful attainment of restoration and mitigation performance criteria.

This request shall be submitted to Central Valley Water Board staff within thirty (30) days following completion of all Project activities. Upon approval of the request, the Central Valley Water Board staff shall issue a Notice of Project Complete Letter to the Permittee which will end the post discharge monitoring period and associated annual fees.

3. Conditional Notifications and Reports: The following notifications and reports are required as appropriate.

a. Accidental Discharges of Hazardous Materials⁴

Following an accidental discharge of a reportable quantity of a hazardous material, sewage, or an unknown material, the following applies (Wat. Code, § 13271):

- i. As soon as (A) Permittee has knowledge of the discharge or noncompliance, (B) notification is possible, and (C) notification can be provided without substantially impeding cleanup or other emergency measures then:
 - first call – 911 (to notify local response agency)
 - then call – Office of Emergency Services (OES) State Warning Center at:(800) 852-7550 or (916) 845-8911
 - Lastly follow the required OES procedures as set forth in:
http://www.caloes.ca.gov/FireRescueSite/Documents/CalOES-Spill_Booklet_Feb2014_FINAL_BW_Acc.pdf
- ii. Following notification to OES, the Permittee shall notify Central Valley Water Board, as soon as practicable (ideally within 24 hours). Notification may be via delivered written notice, email, or other verifiable means in accordance with section XIV.B.
- iii. Within five (5) working days of notification to the Central Valley Water Board, the Permittee must submit an Accidental Discharge of Hazardous Material Report.

b. Violation of Compliance with Water Quality Standards: The Permittee shall notify the Central Valley Water Board of any event causing a violation of compliance with water quality standards. Notification may be via delivered written notice, email, or other verifiable means in accordance with section XIV.B.

- i. This notification must be followed within three (3) working days by submission of a Violation of Compliance with Water Quality Standards Report.

c. In-Water Work and Diversions

- i. The Permittee shall notify the Central Valley Water Board at least forty-eight (48) hours prior to initiating work in water or stream diversions. Notification may be via delivered written notice, email, or other verifiable means in accordance with section XIV.B.

⁴ "Hazardous material" means any material that, because of its quantity, concentration, or physical or chemical characteristics, poses a significant present or potential hazard to human health and safety or to the environment if released into the workplace or the environment. "Hazardous materials" include, but are not limited to, hazardous substances, hazardous waste, and any material that a handler or the administering agency has a reasonable basis for believing that it would be injurious to the health and safety of persons or harmful to the environment if released into the workplace or the environment. (Health & Saf. Code, § 25501.)

- ii. Within three (3) working days following completion of work in water or stream diversions, an In-Water Work/Diversions Water Quality Monitoring Report must be submitted to Central Valley Water Board staff.

d. Modifications to Project

Project modifications may require an amendment of this Order. The Permittee shall give advance notice to Central Valley Water Board staff if Project implementation as described in the application materials is altered in any way or by the imposition of subsequent permit conditions by any local, state or federal regulatory authority by submitting a Modifications to Project Report. The Permittee shall inform Central Valley Water Board staff of any Project modifications that will interfere with the Permittee's compliance with this Order. Notification may be made in accordance with conditions in the certification deviation section of this Order.

e. Transfer of Property Ownership: This Order is not transferable in its entirety or in part to any person or organization except after notice to the Central Valley Water Board in accordance with the following terms:

- i. The Permittee must notify the Central Valley Water Board of any change in ownership or interest in ownership of the Project area by submitting a Transfer of Property Ownership Report. The Permittee and purchaser must sign and date the notification and provide such notification to the Central Valley Water Board at least 10 days prior to the transfer of ownership.
- ii. Until such time as this Order has been modified to name the purchaser as the permittee, the Permittee shall continue to be responsible for all requirements set forth in this Order.

f. Transfer of Long-Term BMP Maintenance: If maintenance responsibility for post-construction BMPs is legally transferred, the Permittee must submit to the Central Valley Water Board a copy of such documentation and must provide the transferee with a copy of a long-term BMP maintenance plan that complies with manufacturer or designer specifications. The Permittee must provide such notification to the Central Valley Water Board with a Transfer of Long-Term BMP Maintenance Report at least 10 days prior to the transfer of BMP maintenance responsibility.

C. Water Quality Monitoring

1. **General:** Continuous visual surface water monitoring shall be conducted during active construction periods to detect accidental discharge of construction related pollutants (e.g. oil and grease, turbidity plume, or uncured concrete). The Permittee shall perform surface water sampling:
 - a. when perform any in-water work;
 - b. during the entire duration of temporary surface water diversions;
 - c. in the event that the Project activities result in any materials reaching surface waters; or
 - d. when any activities result in the creation of a visible plume in surface waters.
2. **Accidental Discharges/Noncompliance:** Upon occurrence of an accidental discharge of hazardous materials or a violation of compliance with a water quality

standard, Central Valley Water Board staff may require water quality monitoring based on the discharge constituents and/or related water quality objectives and beneficial uses.

3. In-Water Work or Diversions:

During planned in-water work or during the entire duration of temporary water diversions, any discharge(s) to waters of the state shall conform to the following water quality standards:

- a. Waters shall not contain oils, grease, waxes, or other materials in concentrations that cause nuisance, result in a visible film or coating on the surface of the water, or on objects in the water, or otherwise adversely affect beneficial uses.
- b. Activities shall not cause turbidity increases in surface water to exceed:
 - i. where natural turbidity is less than 1 Nephelometric Turbidity Units (NTUs), controllable factors shall not cause downstream turbidity to exceed 2 NTUs;
 - ii. where natural turbidity is between 1 and 5 NTUs, increases shall not exceed 1 NTU;
 - iii. where natural turbidity is between 5 and 50 NTUs, increases shall not exceed 20 percent;
 - iv. where natural turbidity is between 50 and 100 NTUs, increases shall not exceed 10 NTUs; and
 - v. where natural turbidity is greater than 100 NTUs, increases shall not exceed 10 percent.

Appropriate averaging periods may be applied, provided that beneficial uses will be fully protected.

For Delta waters, the general objectives for turbidity apply subject to the following: except for periods of storm runoff, the turbidity of Delta waters shall not exceed 50 NTUs in the waters of the Central Delta and 150 NTUs in other Delta waters.

- c. Activities shall not cause settleable matter to exceed 0.1 mL/L in surface waters as measured in surface waters and within 300 feet downstream of the Project.

Sampling during in-water work or during the entire duration of temporary water diversions shall be conducted in accordance with Table 3 sampling parameters.⁵ The sampling requirements in Table 3 shall be conducted upstream out of the influence of

⁵ Pollutants shall be analyzed using the analytical methods described in 40 Code of Federal Regulations Part 136; where no methods are specified for a given pollutant, the method shall be approved by Central Valley Water Board staff. Grab samples shall be taken between the surface and mid-depth and not be collected at the same time each day to get a complete representation of variations in the receiving water. A hand-held field meter may be used, provided the meter utilizes a U.S. EPA-approved algorithm/method and is calibrated and maintained in accordance with the manufacturer's instructions. A calibration and maintenance log for each meter used for monitoring shall be maintained onsite.

the Project, and approximately 300 feet downstream of the work area. The sampling in Table 3 shall be conducted in the wetland outside the influence of the Project to obtain a representative sample and within the in-water work area, discharge area, or within the visible plume to characterize the discharge to the lake.

The sampling frequency may be modified for certain projects with written approval from Central Valley Water Board staff. A surface water monitoring report, as described in Attachment F, shall be submitted within two weeks on initiation of in-water construction, and every two weeks thereafter. In reporting the data, the Permittee shall arrange the data in tabular form so that the sampling locations, date, constituents, and concentrations are readily discernible. The data shall be summarized in such a manner to illustrate clearly whether the Project complies with Order requirements. The report shall include surface water sampling results, visual observations, and identification of the turbidity increase in the receiving water applicable to the natural turbidity conditions specified in the turbidity criteria in XIV.C.3.d.

| Parameter | Unit of Measurement | Type of Sample | Minimum Frequency |
|---------------------|---------------------|----------------|-------------------|
| Oil and Grease | N/A | Visual | Continuous |
| pH | Standard Units | Grab | Every 4 hours |
| Turbidity | NTU | Grab | Every 4 hours |
| Settleable Material | ml/L | Grab | Every 4 hours |

- 4. Post-Construction:** Visually inspect the Project site during the rainy season for one year to ensure excessive erosion, stream instability, or other water quality pollution is not occurring in or downstream of the Project site. If water quality pollution is occurring, contact the Central Valley Water Board staff member overseeing the Project within three (3) working days. The Central Valley Water Board may require the submission of a Violation of Compliance with Water Quality Standards Report. Additional permits may be required to carry out any necessary site remediation.

D. Standard

1. This Order is subject to modification or revocation upon administrative or judicial review, including review and amendment pursuant to Water Code section 13330, and California Code of Regulations, title 23, chapter 28, Article 6 commencing with sections 3867-3869, inclusive. Additionally, the Central Valley Water Board reserves the right to suspend, cancel, or modify and reissue this Order, after providing notice to the Permittee, if the Central Valley Water Board determines that: the Project fails to comply with any of the conditions of this Order; or, when necessary to implement any new or revised water quality standards and implementation plans adopted or approved pursuant to the Porter-Cologne Water Quality Control Act (Wat. Code, § 13000 et seq.) or federal Clean Water Act section 303 (33 U.S.C. § 1313). For purposes of Clean Water Act section 401(d), the condition constitutes a limitation necessary to assure compliance with water quality standards and appropriate requirements of state law.
2. This Order is not intended and shall not be construed to apply to any activity involving a hydroelectric facility requiring a Federal Energy Regulatory Commission (FERC) license or an amendment to a FERC license, unless the pertinent certification application was filed pursuant to subsection 3855(b) of chapter 28, title 23 of the

California Code of Regulations, and that application specifically identified that a FERC license or amendment to a FERC license for a hydroelectric facility was being sought.

3. This Order is conditioned upon total payment of any fee required under title 23 of the California Code of Regulations and owed by the Permittee.
4. In the event of any violation or threatened violation of the conditions of this Order, the violation or threatened violation shall be subject to any remedies, penalties, process, or sanctions as provided for under state and federal law. For purposes of Clean Water Act, section 401(d), the applicability of any state law authorizing remedies, penalties, processes, or sanctions for the violation or threatened violation constitutes a limitation necessary to assure compliance with the water quality standards and other pertinent requirements incorporated into this Order.

E. General Compliance

1. Failure to comply with any condition of this Order shall constitute a violation of the Porter-Cologne Water Quality Control Act and the Clean Water Act. The Permittee and/or discharger may then be subject to administrative and/or civil liability pursuant to Water Code section 13385.
2. Permitted actions must not cause a violation of any applicable water quality standards, including impairment of designated beneficial uses for receiving waters as adopted in the Basin Plans by any applicable Central Valley Water Board or any applicable State Water Board (collectively Water Boards) water quality control plan or policy. The source of any such discharge must be eliminated as soon as practicable.
3. In response to a suspected violation of any condition of this Order, the Central Valley Water Board may require the holder of this Order to furnish, under penalty of perjury, any technical or monitoring reports the Water Boards deem appropriate, provided that the burden, including costs, of the reports shall bear a reasonable relationship to the need for the reports and the benefits to be obtained from the reports. The additional monitoring requirements ensure that permitted discharges and activities comport with any applicable effluent limitations, water quality standards, and/or other appropriate requirement of state law.
4. The Permittee must, at all times, fully comply with engineering plans, specifications, and technical reports submitted to support this Order; and all subsequent submittals required as part of this Order. The conditions within this Order and Attachments supersede conflicting provisions within Permittee submittals.
5. This Order and all of its conditions contained herein continue to have full force and effect regardless of the expiration or revocation of any federal license or permit issued for the Project. For purposes of Clean Water Act, section 401(d), this condition constitutes a limitation necessary to assure compliance with the water quality standards and other pertinent requirements of state law.
6. The Permittee shall adhere to all requirements in the mitigation monitoring and reporting program (MMRP) (include title and date of MMRP) which is incorporated herein by reference and any additional measures as outlined in Attachment [X], CEQA Findings of Fact.

- F. Construction General Permit Requirement:** The Permittee shall obtain coverage under the National Pollutant Discharge Elimination System (NPDES) General Permit for Storm Water Discharges Associated with Construction and Land Disturbance Activities

Order No. 2009-0009-DWQ, as amended, for discharges to surface waters comprised of storm water associated with construction activity, including, but not limited to, demolition, clearing, grading, excavation, and other land disturbance activities of one or more acres, or where projects disturb less than one acre but are part of a larger common plan of development that in total disturbs one or more acres.

G. Administrative

1. Signatory requirements for all document submittals required by this Order are presented in Attachment D of this Order.
2. This Order does not authorize any act which results in the taking of a threatened, endangered or candidate species or any act, which is now prohibited, or becomes prohibited in the future, under either the California Endangered Species Act (Fish & G. Code, §§ 2050-2097) or the federal Endangered Species Act (16 U.S.C. §§ 1531-1544). If a “take” will result from any act authorized under this Order held by the Permittee, the Permittee must obtain authorization for the take prior to any construction or operation of the portion of the Project that may result in a take. The Permittee is responsible for meeting all requirements of the applicable endangered species act for the Project authorized under this Order.
3. The Permittee shall grant Central Valley Water Board staff, or an authorized representative (including an authorized contractor acting as a Water Board representative), upon presentation of credentials and other documents as may be required by law, permission to:
 - a. Enter upon the Project or compensatory mitigation site(s) premises where a regulated facility or activity is located or conducted, or where records are kept.
 - b. Have access to and copy any records that are kept and are relevant to the Project or the requirements of this Order.
 - c. Inspect any facilities, equipment (including monitoring and control equipment), practices, or operations regulated or required under this Order.
 - d. Sample or monitor for the purposes of assuring Order compliance.
4. A copy of this Order shall be provided to any consultants, contractors, and subcontractors working on the Project. Copies of this Order shall remain at the Project site for the duration of this Order. The Permittee shall be responsible for work conducted by its consultants, contractors, and any subcontractors.
5. A copy of this Order must be available at the Project site(s) during construction for review by site personnel and agencies. All personnel performing work on the Project shall be familiar with the content of this Order and its posted location at the Project site.

H. Construction

1. Dewatering

- a. The Permittee shall develop and maintain on-site a Surface Water Diversion and/or Dewatering Plan(s). The Plan(s) must be developed prior to initiation of any water diversions. The Plan(s) shall include the proposed method and duration of diversion activities and include water quality monitoring conducted, as described in section XIV.C.3, during the entire duration of dewatering and diversion activities.

The Plan(s) must be consistent with this Order and must be made available to the Central Valley Water Board staff upon request.

- b. For any temporary dam or other artificial obstruction being constructed, maintained, or placed in operation, sufficient water shall at all times be allowed to pass downstream, to maintain beneficial uses of waters of the state below the dam. Construction, dewatering, and removal of temporary cofferdams shall not violate section XIV.C.3.
- c. The temporary dam or other artificial obstruction shall only be built from clean materials such as sandbags, gravel bags, water dams, or clean/washed gravel which will cause little or no siltation. Stream flow shall be temporarily diverted using gravity flow through temporary culverts/pipes or pumped around the work site with the use of hoses.
- d. If water is present, the area must be dewatered prior to start of work.
- e. This Order does not allow permanent water diversion of flow from the receiving water. This Order is invalid if any water is permanently diverted as a part of the project.

2. Directional Drilling

- a. If installation or relocation of dry and/or wet utility lines is anticipated, the Applicant shall develop and submit Dry and Wet Utility Work Plan to the Central Valley Water Board Contact indicated in this Certification prior to commencement of dry and wet utility construction. The Dry and Wet Utility Plan must cover all phases of the certified project that will impact waters of the United States OR state OR United States and waters of the state, and shall be consistent with this Certification.

The Dry and Wet Utility Plan shall include the types of dry and wet utilities to be removed and installed, method and duration of activities, structure configuration, construction materials, equipment, erosion and sediment controls, and a map or drawing indicating the location(s) of dry and wet utility work, as related to any water of the United States OR state OR United States and waters of the state, in the Project area.

Should the methodology for dry and wet utility work include directional drilling, the Dry and Wet Utility Plan shall incorporate a Directional Drilling Plan to address potential frac-outs. The Directional Drilling Plan shall include, but not be limited to, a description of directional drilling activities, dry and wet utility routes, crossing locations and methods, and other geotechnical considerations (i.e., surficial overburden deposits, clays and shales, bedrock formations, hydrogeology), and a reporting procedure should any level of discharge from a frac-out occur, regardless of the discharge size.

The Directional Drilling Plan must be stamped by a California Registered Geologist or Engineer.

3. Dredging – NOT APPLICABLE

4. Fugitive Dust – NOT APPLICABLE

5. Good Site Management “Housekeeping”

- a. The Permittee shall develop and maintain onsite a project-specific Spill Prevention, Containment and Cleanup Plan outlining the practices to prevent, minimize, and/or clean up potential spills during construction of the Project. The Plan must detail the Project elements, construction equipment types and location, access and staging and construction sequence. The Plan must be made available to the Central Valley Water Board staff upon request.
- b. Refueling of equipment within the floodplain or within 300 feet of the waterway is prohibited. If critical equipment must be refueled within 300 feet of the waterway, spill prevention and countermeasures must be implemented to avoid spills. Refueling areas shall be provided with secondary containment including drip pans and/or placement of absorbent material. No hazardous materials, pesticides, fuels, lubricants, oils, hydraulic fluids, or other construction-related potentially hazardous substances should be stored within a floodplain or within 300 feet of a waterway. The Permittee must perform frequent inspections of construction equipment prior to utilizing it near surface waters to ensure leaks from the equipment are not occurring and are not a threat to water quality.
- c. All materials resulting from the Project shall be removed from the site and disposed of properly.

6. Hazardous Materials

- a. The discharge of petroleum products, any construction materials, hazardous materials, pesticides, fuels, lubricants, oils, hydraulic fluids, raw cement, concrete or the washing thereof, asphalt, paint, coating material, drilling fluids, or other substances potentially hazardous to fish and wildlife resulting from or disturbed by project-related activities is prohibited and shall be prevented from contaminating the soil and/or entering waters of the state. In the event of a prohibited discharge, the Permittee shall comply with notification requirements in sections XIV.B.3.a and XIV.B.3.b.
- b. Concrete must be completely cured before coming into contact with waters of the United States and waters of the state. Surface water that contacts wet concrete must be pumped out and disposed of at an appropriate off-site commercial facility, which is authorized to accept concrete wastes.

7. Invasive Species and Soil Borne Pathogens – NOT APPLICABLE

8. In-Water Work

- a. In-water work shall occur during periods of no precipitation.

9. Post-Construction Storm Water Management

- a. The Permittee must minimize the short and long-term impacts on receiving water quality from the Project by implementing the following post-construction storm water management practices and as required by local agency permitting the Project, as appropriate:
 - i. Minimize the amount of impervious surface;
 - ii. Reduce peak runoff flows;
 - iii. Provide treatment BMPs to reduce pollutants in runoff;

- iv. Ensure existing waters of the state (e.g., wetlands, vernal pools, or creeks) are not used as pollutant source controls and/or treatment controls;
 - v. Preserve and where possible, create or restore areas that provide important water quality benefits, such as riparian corridors, wetlands, and buffer zones;
 - vi. Limit disturbances of natural water bodies and natural drainage systems caused by development (including development of roads, highways, and bridges);
 - vii. Use existing drainage master plans or studies to ensure incorporation of structural and non-structural BMPs to mitigate the projected pollutant load increases in surface water runoff;
 - viii. Identify and avoid development in areas that are particularly susceptible to erosion and sediment loss, or establish development guidance that protects areas from erosion/ sediment loss; and
 - ix. Control post-development peak storm water run-off discharge rates and velocities to prevent or reduce downstream erosion, and to protect stream habitat.
- b. The Permittee shall ensure that all development within the Project provides verification of maintenance provisions for post-construction structural and treatment control BMPs as required by the local agency permitting the Project. Verification shall include one or more of the following, as applicable:
- i. The developer's signed statement accepting responsibility for maintenance until the maintenance responsibility is legally transferred to another party; or
 - ii. Written conditions in the sales or lease agreement that require the recipient to assume responsibility for maintenance; or
 - iii. Written text in Project conditions, covenants and restrictions for residential properties assigning maintenance responsibilities to a home owner's association, or other appropriate group, for maintenance of structural and treatment control BMPs; or
 - iv. Any other legally enforceable agreement that assigns responsibility for storm water BMPs maintenance.

10. Roads

- a. The Permittee shall develop and maintain a Transportation Management Plan (Plan) that includes soil stabilization practices, sediment control practices, tracking control practices, and wind erosion control practices. In addition, the Plan must include non-storm water controls, waste management and material pollution controls. The Plan must be developed prior to initiation of any activities that modify existing stormwater drainage facilities. The Plan must be consistent with this Order and must be made available to the Central Valley Water Board staff upon request.

11. Sediment Control

- a. Except for activities permitted by the United States Army Corps of Engineers under Section 404 of the Clean Water Act and/or Section 10 of the Rivers and Harbors

Act, soil, silt, or other organic materials shall not be placed where such materials could pass into surface water or surface water drainage courses.

- b. Silt fencing, straw wattles, or other effective management practices must be used along the construction zone to minimize soil or sediment along the embankments from migrating into the waters of the state through the entire duration of the Project.
- c. The use of netting material (e.g., monofilament-based erosion blankets) that could trap aquatic dependent wildlife is prohibited within the Project area.

12. Special Status Species

- a. If Valley elderberry longhorn beetle are discovered within 100 feet of the Project area, the Permittee shall implement the United States Fish and Wildlife Conservation Guidelines for the Valley Elderberry Longhorn Beetle dated 9 July 1999.

13. Stabilization/Erosion Control

- a. All areas disturbed by Project activities shall be protected from washout and erosion.
- b. Hydroseeding shall be performed with California native seed mix.

14. Storm Water

- a. During the construction phase, the Permittee must employ strategies to minimize erosion and the introduction of pollutants into storm water runoff. These strategies must include the following:
 - i. The Storm Water Pollution Prevention Plan must be prepared during the Project planning and design phases and implemented, as appropriate, before construction; and
 - ii. An effective combination of erosion and sediment control Best Management Practices (BMPs) must be implemented and adequately working prior to the rainy season and during all phases of construction.

I. Site Specific – NOT APPLICABLE

J. Total Maximum Daily Load (TMDL) – NOT APPLICABLE

K. Mitigation for Temporary Impacts

1. The Permittee shall restore all areas of temporary impacts, including Project site upland areas, which could result in a discharge to waters of the state to pre-construction contours and conditions upon completion of construction activities
2. The Central Valley Water Board may extend the monitoring period beyond requirements of the restoration plan upon a determination by the Executive Officer that the performance standards have not been met or are not likely to be met within the monitoring period.
3. If restoration of temporary impacts to waters of the state is not completed within 90 days of the impacts, compensatory mitigation may be required to offset temporal loss of waters of the state.

| Table 4: Required Project Mitigation Quantity for Temporary Impacts ⁶ | | | | | | | | |
|--|------------------------|-------|---------------------|---------------|------|------|-------|---------|
| Aquatic Resource Type | Mit. Type ⁷ | Units | Method ⁸ | | | | | |
| | | | Est. | Re-est. | Reh. | Enh. | Pres. | Unknown |
| Wetland | PR | Acres | - | 3.8360 | - | - | - | - |
| Stream Channel | PR | Acres | - | 0.0040 | - | - | - | - |
| Total | | | - | 3.8400 | - | - | - | - |

L. Compensatory Mitigation for Permanent Impacts⁹

1. Final Compensatory Mitigation Plan

The Permittee shall provide compensatory mitigation for impacts to waters of the state in accordance with the Final Environmental Impact Report and Mitigation and Monitoring Plan (MMRP) and incorporated herein by reference. Any deviations from, or revisions to, the MMRP must be pre-approved by Central Valley Water Board staff. The monitoring period shall continue until the Central Valley Water Board staff determines that performance standards have been met. This may require the monitoring period to be extended.

2. Irrevocable Letter of Credit – NOT APPLICABLE

3. Purchase of Mitigation Credits by Permittee for Compensatory Mitigation

- a. A copy of the fully executed agreement for the purchase of mitigation credits shall be provided to the Central Valley Water Board within 90 days of authorized impacts.
- b. The Permittee shall retain responsibility for providing the compensatory mitigation and long-term management until Central Valley Water Board staff has received documentation of the credit purchase and the transfer agreement between the Permittee and the seller of credits.

| Table 5: Required Project Compensatory Mitigation Quantity for Permanent Physical Loss of Area ¹⁰ |
|--|
|--|

⁶ For Staff use only: Record quantities in CIWQS table side B for mitigation for temporary impacts and for permanent degradation of ecological condition; ecological restoration/enhancement projects.

⁷ Mitigation type for onsite restoration of temporary impacts is Permittee Responsible (PR).

⁸ Methods: establishment (Est.), reestablishment (Re-est.), rehabilitation (Reh.), enhancement (Enh.), preservation (Pres.). Unknown applies to advance credits with an unknown method and or location.

⁹ Compensatory Mitigation is for permanent physical loss and permanent ecological degradation of a water of the state.

¹⁰ For Staff use only: Record quantities in CIWQS table side A for Compensatory Mitigation for Permanent Physical Loss of Area.

| Aquatic Resource Type | Comp Mit. Type ¹¹ | Units | Method ¹² | | | | | |
|-----------------------|------------------------------|-------|----------------------|---------|--------|------|-------|---------|
| | | | Est. | Re-est. | Reh. | Enh. | Pres. | Unknown |
| Wetland | MB | Acres | 0.0030 | - | - | - | - | - |
| Stream Channel | MB | Acres | - | - | 0.0002 | - | - | - |

M. Certification Deviation

1. Minor modifications of Project locations or predicted impacts may be necessary as a result of unforeseen field conditions, necessary engineering re-design, construction concerns, or similar reasons. Some of these prospective Project modifications may have impacts on water quality. Some modifications of Project locations or predicted impacts may qualify as Certification Deviations as set forth in Attachment E. For purposes of this Certification, a "Certification Deviation" is a Project locational or impact modification that does not require an immediate amendment of the Order, because the Central Valley Water Board has determined that any potential water quality impacts that may result from the change are sufficiently addressed by the Order conditions and the CEQA Findings. After the termination of construction, this Order will be formally amended to reflect all authorized Certification Deviations and any resulting adjustments to the amount of water resource impacts and required compensatory mitigation amounts.
2. A Project modification shall not be granted a Certification Deviation if it warrants or necessitates changes that are not addressed by the Order conditions or the CEQA environmental document such that the Project impacts are not addressed in the Project's environmental document or the conditions of this Order. In this case a supplemental environmental review and different Order will be required.

¹¹ Compensatory mitigation type may be: In-Lieu-Fee (ILF); Mitigation Bank (MB); Permittee-Responsible (PR)

¹² Methods: establishment (Est.), reestablishment (Re-est.), rehabilitation (Reh.), enhancement (Enh.), preservation (Pres.). Unknown applies to advance credits with an unknown method and or location.

XV. Water Quality Certification

I hereby issue the Order for the SAC_05 HOV Lanes – Phase 1 Project, 5A34CR00671 certifying that as long as all of the conditions listed in this Order are met, any discharge from the referenced Project will comply with the applicable provisions of Clean Water Act sections 301 (Effluent Limitations), 302 (Water Quality Related Effluent Limitations), 303 (Water Quality Standards and Implementation Plans), 306 (National Standards of Performance), and 307 (Toxic and Pretreatment Effluent Standards). This discharge is also regulated pursuant to State Water Board Water Quality Order No. 2003-0017-DWQ which authorizes this Order to serve as Waste Discharge Requirements pursuant to the Porter-Cologne Water Quality Control Act (Wat. Code, § 13000 et seq.).

Except insofar as may be modified by any preceding conditions, all Order actions are contingent on: (a) the discharge being limited and all proposed mitigation being completed in strict compliance with the conditions of this Order and the attachments to this Order; and, (b) compliance with all applicable requirements of Statewide Water Quality Control Plans and Policies, the Regional Water Boards' Water Quality Control Plans and Policies.

Original Signed By Andrew Altevogt for:

4/10/2017

Pamela C. Creedon
Executive Officer
Central Valley Regional Water Quality Control Board

Date

Attachment A Project Map
Attachment B Receiving Waters, Impact, and Mitigation Information
Attachment C CEQA Findings of Facts
Attachment D Signatory Requirements
Attachment E Certification Deviation Procedures
Attachment F Report and Notification Requirements

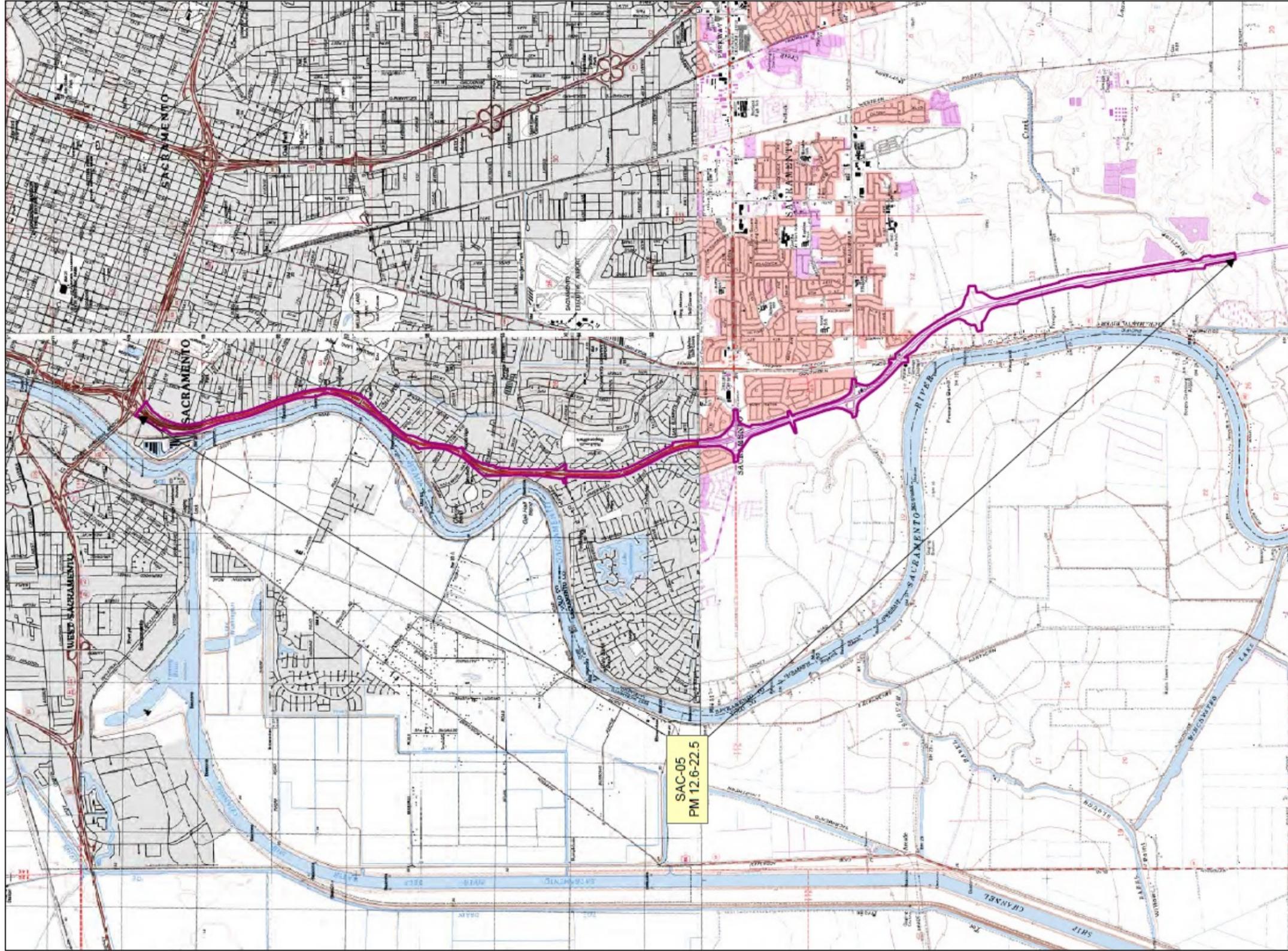


Figure 1 – Location Map
SAC-05 HOV Lanes Phase 1 Project
EA: 03-3c0010
Interstate Highway 5 in Sacramento County, CA

Datum: North American Datum, 1983
Projection: California State Plane, California Zone 2
Location Map Prepared on September 6, 2016 By
Jason Meigs, Associate Environmental Planner - NS
California Department of Transportation, District 3
Aerial Photography: ESRI "ESRI Imagery_2D.lyr"
This Photo Taken on May 15, 2002

LEGEND

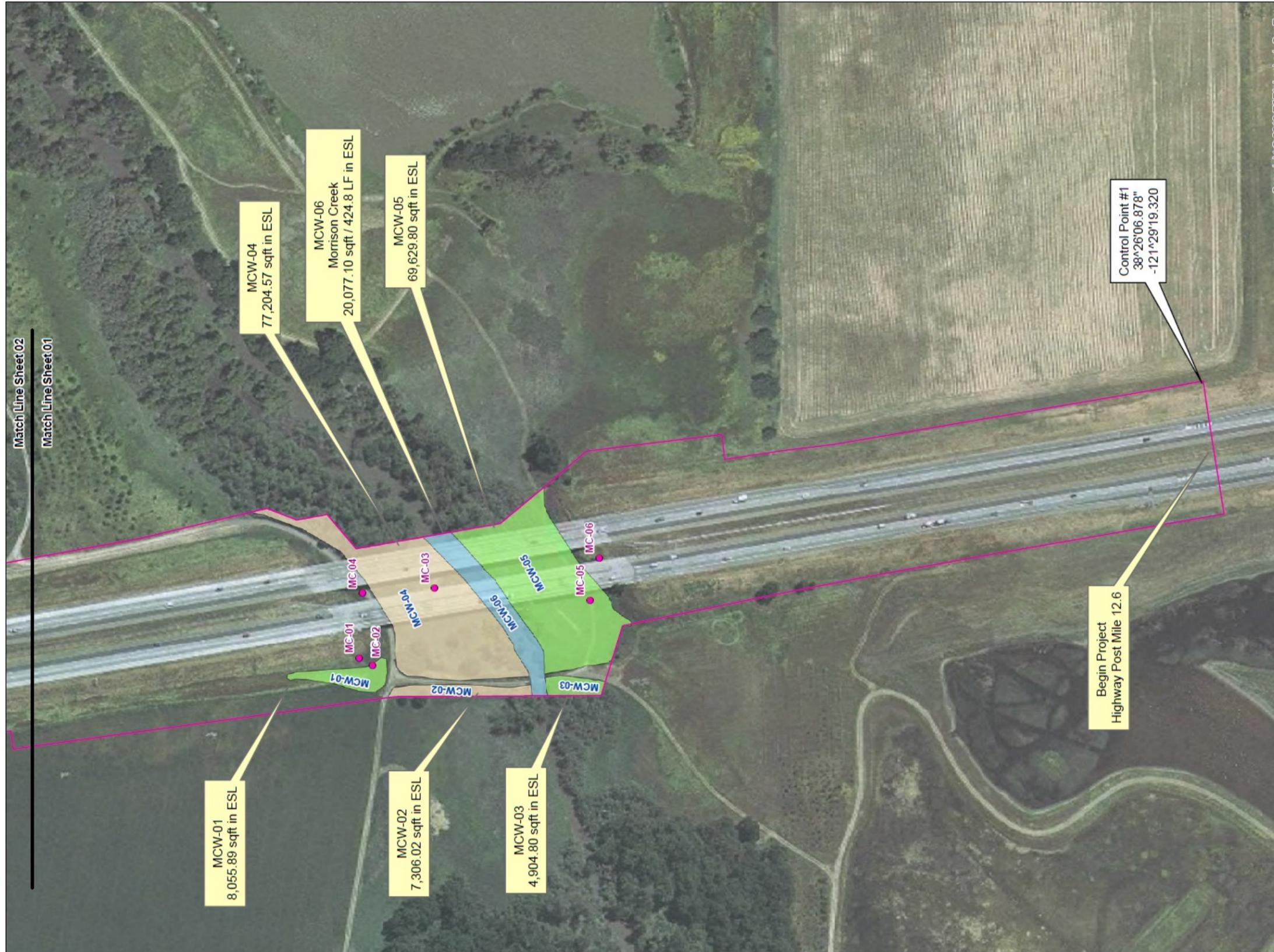
 Phase 1 ESL

Sacramento West, Florin, and Ciaksburg
7.5-minute USGS Quadrangles

1:48,000
1 inch = 4,000 feet

0 2,500 5,000 10,000 Feet





Delineation Map - Sheet 01
SAC-05 HOV Lanes Phase 1 Project
EA: 03-3c0010
Interstate Highway 5 in Sacramento County, CA

Datum: North American Datum 1983
 Projection: California State Plane, California Zone 2
 Delineation Map Prepared on September 8, 2016 By
 Jason Meigs, Associate Environmental Planner - NS
 California Department of Transportation, District 3
 Aerial Photography: ESRI "ESRI_imagery_2D.lyr"
 This Photo Taken on May 15, 2002

LEGEND

- Data Points
- Phase 1 ESL
- Waters
 - Ditches
 - Other Waters
 - Perennial Wetlands
 - Riparian Wetland
 - Seasonal Wetland
 - Wetlands

1:2,400
 1 inch = 200 feet
 0 100 200 400 Feet

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Receiving Waters

The following table shows the receiving waters associated with each impact site.

| Table 1: Receiving Water(s) Information | | | | | | | |
|--|-----------------|--------------------------------|------------------------------|------------------------------------|---|---|--------------------------|
| Site ID | Waterbody Name | Impacted Aquatic Resource Type | Water Board Hydrologic Units | Receiving Waters | Receiving Waters Beneficial Uses | 303d Listing Pollutant | CRAM AA ID ¹³ |
| MCW-01 | Unnamed wetland | Wetland | 519.11 | Morrison Creek | N/A | Diazinon, PCP, Pyrethroids, Sediment Toxicity | N/A |
| MCW-02 | Unnamed wetland | Wetland | 519.11 | Morrison Creek | N/A | Diazinon, PCP, Pyrethroids, Sediment Toxicity | N/A |
| MCW-03 | Unnamed wetland | Wetland | 519.11 | Morrison Creek | N/A | Diazinon, PCP, Pyrethroids, Sediment Toxicity | N/A |
| MCW-04 | Unnamed wetland | Wetland | 519.11 | Morrison Creek | N/A | Diazinon, PCP, Pyrethroids, Sediment Toxicity | N/A |
| MCW-05 | Unnamed wetland | Wetland | 519.11 | Morrison Creek | N/A | Diazinon, PCP, Pyrethroids, Sediment Toxicity | N/A |
| MCW-06 | Morrison Creek | Stream Channel | 510.00 | Sacramento River (Delta Waterways) | MUN, AGR, PRO, IND, POW, REC-1, REC-2, FRESH(WARM), FRESH(COLD), MIGR(WARM), MIGR(COLD), SPAWN, WILD, NAV | Chlordane, Chlorpyrifos, DDT, Diazinon, Dieldrin, Diuron, Invasive Species, Group A Pesticides, Mercury, PCBs | N/A |

¹³ California Rapid Assessment Method (CRAM) score of impacted sites provided by the Permittee.

Individual Direct Impact Locations

The following table shows individual impact locations.

| Table 2: Individual Direct Impact Information | | | | | | | | | | | |
|--|---------------|-----------------|--------------------------------------|-------------------------------------|------------------------|--------|-------------|-------------|-----------------|-------------|-------------|
| Site ID | Latitude | Longitude | Indirect Impact Requiring Mitigation | | Direct Impact Duration | Dredge | | | Fill/Excavation | | |
| | | | Yes | No | | Acres | Cubic Yards | Linear Feet | Acres | Cubic Yards | Linear Feet |
| MCW-01 | 38°26'25.167" | -121°29'27.428" | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Temporary | - | - | - | 0.1850 | - | - |
| | | | | | Permanent | - | - | - | - | - | - |
| MCW-02 | 38°26'22.842" | -121°29'27.773" | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Temporary | - | - | - | 0.1680 | - | - |
| | | | | | Permanent | - | - | - | - | - | - |
| MCW-03 | 38°26'20.715" | -121°29'27.660" | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Temporary | - | - | - | 0.1130 | - | - |
| | | | | | Permanent | - | - | - | 0.0020 | - | - |
| MCW-04 | 38°26'23.774" | -121°29'24.853" | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Temporary | - | - | - | 1.7720 | - | - |
| | | | | | Permanent | - | - | - | 0.0010 | - | - |
| MCW-05 | 38°26'21.388" | -121°29'24.360" | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Temporary | - | - | - | 1.5980 | - | - |
| | | | | | Permanent | - | - | - | - | - | - |
| MCW-06 | 38°26'22.648" | -121°29'24.548" | <input type="checkbox"/> | <input checked="" type="checkbox"/> | Temporary | - | - | - | 0.0040 | - | 3 |
| | | | | | Permanent | - | - | - | 0.0002 | - | 10.5 |

Compensatory Mitigation Information

The following table(s) show individual compensatory mitigation information and locations.

| Table 3: Onsite Permittee Responsible Compensatory Mitigation¹⁴ | | | | | |
|---|---------------|-----------------|-----------------------|---------------------|-------------|
| Site ID | Lat. | Long. | Aquatic Resource Type | Mitigation Quantity | |
| | | | | Acres | Linear Feet |
| MCW-06 | 38°26'22.648" | -121°29'24.548" | Stream Channel | 0.0042 | - |

¹⁴ Mitigation site is analyzed in the Project CEQA document.

| Table 4: Mitigation Bank | | | |
|------------------------------|------------|---|-------------|
| Mitigation Bank | Name: | Cosumnes Floodplain Mitigation Bank | |
| | Website: | http://www.wesmitigation.com/cosumnes-floodplain-mitigation-bank/ | |
| Contact Information | Name: | Travis Hemmen | |
| | Phone: | (916) 646-3644 | |
| | Email: | themmen@westervelt.com | |
| Mitigation Location | County: | Sacramento | |
| | Latitude: | TBD | |
| | Longitude: | TBD | |
| Aquatic Resource Credit Type | | Mitigation Quantity | |
| | | Acres | Linear Feet |
| | | Number of Credits Purchased | |
| Floodplain Mosaic | | 0.003 | - |
| | | | 0.003 |

A. Environmental Review

On 26 June 2013, Caltrans District 3, as lead agency, certified a Final Environmental Impact Report (FEIR) (State Clearinghouse (SCH) No. 2011042026) for the Project and filed a Notice of Determination (NOD) at the SCH on 28 June 2013. The Central Valley Water Board is a responsible agency under CEQA (Pub. Resources Code, § 21069) and in making its determinations and findings, must presume that Caltrans District 3's certified environmental document comports with the requirements of CEQA and is valid. (Pub. Resources Code, § 21167.3.) The Central Valley Water Board has reviewed and considered the environmental document and finds that the environmental document prepared by Caltrans District 3 addresses the Project's water resource impacts. (Cal. Code Regs., tit. 14, § 15096, subd. (f).) The environmental document includes the mitigation monitoring and reporting program (MMRP) developed by Caltrans District 3 for all mitigation measures that have been adopted for the Project to reduce potential significant impacts. (Pub. Resources Code, § 21081.6, subd. (a)(1); Cal. Code Regs., tit. 14, § 15091, subd. (d).)

B. Incorporation by Reference

Pursuant to CEQA, these Findings of Facts (Findings) support the issuance of this Order based on the Project FEIR, the application for this Order, and other supplemental documentation.

All CEQA project impacts, including those discussed in subsection C below, are analyzed in detail in the Project FEIR which is incorporated herein by reference.

Requirements under the purview of the Central Valley Water Board in the MMRP are incorporated herein by reference.

The Permittee's application for this Order, including all supplemental information provided, is incorporated herein by reference.

C. Findings

The FEIR describes the potential significant environmental effects to water resources. Having considered the whole of the record, the Central Valley Water Board makes the following findings:

Findings regarding impacts that will be avoided or mitigated to a less than significant level. (Pub. Resources Code, § 21081, subd. (a)(1); Cal. Code Regs., tit. 14, § 15091, subd. (a)(1).)

Changes or alterations have been required in, or incorporated into, the Project which avoid or substantially lessen the significant environmental effect as identified in the FEIR.

a.i. Potential Significant Impact:

Increase in storm water runoff that can contribute to degradation of beneficial uses; permanent and temporary impacts to wetlands; permanent and temporary impacts to Morrison Creek (other waters); alteration of hydrology; human intrusion resulting from increased development; and the introduction or increase of pesticides, predators, and weedy non-native vegetation; impacts to giant garter snake habitat; may affect but is not likely to adversely affect conservancy fairy shrimp, vernal pool fairy shrimp, valley elderberry longhorn beetle, vernal pool tadpole shrimp, Central Valley steelhead,

Central Valley spring-run chinook salmon, and Sacramento River winter-run chinook salmon.

a.ii. Facts in Support of Finding:

Hydrology and Floodplains

- Three beam barrier will be constructed from the south levee to the north levee of the South Reach of Beach Lake.
- The existing roadway profile may be extended to the concrete median barrier, but transitions will be required on each side of the South Reach of Beach Lake to ensure that the existing roadway profile is not elevated in the MBGR section.

Water Quality and Storm Water Runoff

- The project shall adhere to the conditions of the Caltrans Statewide NPDES Permit CAS # 000003, (Order # 2012-0011-DWQ), issued by the State Water Resources Control Board. The Statewide Construction General Permit (Order No. 2009-009-DWQ) is also required.
- The disturbed soil area (DSA) is approximately 93 acres and it is anticipated that a Storm Water Pollution Prevention Plan (SWPPP) level of temporary pollution controls will be specified for the project; (Standard Special Provision 07-345) therefore shall be included in the PS&E to address these temporary construction water pollution control measures. These measures must address soil stabilization practices, sediment control practices, tracking control practices, and wind erosion control practices. In addition, the project plan must include non-storm water controls, waste management and material pollution controls.
- As directed by Caltrans' Storm Water Management Plan (SWMP) and the Project Planning and Design Guide (PPDG), an evaluation of the project using the most recent approved evaluation guide is essential in determining if the incorporation of permanent storm water runoff treatment measures are required for this project.
- Since there are no Caltrans targeted design constituents, the treatment BMPs should be designed for general-purpose pollutant removal. Currently, Infiltration Devices, Biofiltration Strips, Wet Basins, Biofiltration swales, Austin Sand Filters, Detention Devices, Delaware Filters, and Multi-Chamber Treatment Trains are treatment measures that are approved for general purpose.
- Special care is required when handling and storing contaminated soil, including soil contaminated with aerially deposited lead (ADL). The quantity of the contaminated soil, its level of contamination, where it will be stored, and when this activity will take place (winter/summer season) are all storm water pollution concerns and should be described in detail in the appropriate Special Provision section of the contract. These issues should also be addressed in the SWPPP. Section H.9 of the Caltrans Statewide NPDES Permit requires notification of the appropriate Regional Water Quality Control Board (RWQCB) if the project involves reuse of ADL contaminated soil 30 days prior to advertisement for bids. This is to allow the RWQCB to determine any need for the development of Waste Discharge Requirements. Disposal of Portland concrete cement grooving or grinding residues shall be in accordance with all federal, state and local laws and regulations. Handling and storage requirements should be described in the Special Provisions and procedures should be addressed in the SWPPP.
- A separate WDR from CVRWQCB will be required for the operations of a concrete batch plant. Contractor batch plants located outside the right-of-way (ROW) shall

obtain coverage under the Statewide General Permit for Stormwater Discharges Associated with Industrial Activities (Order No. 97-03-DWQ).

- Section 401 of the Clean Water Act requires any project that may result in a discharge to waters of the United States to obtain certification from the state that the discharge will comply with other provisions of the Act. This project may require a 401 permit from the CVRWQCB.
- This project may result in storm water discharges to storm water drainage systems owned and operated by local MS4 permit holders. As required by the 2012 Caltrans MS4 NPDES permit, Section G.1.a., compliance with local MS4 permits is expected and therefore coordination is required.
- Standard Special Provision 07-346 (Construction Site Management) will be considered during PS&E to control potential sources of water pollution before it encounters any storm water system or watercourse. It requires the Contractor to control material pollution, manage waste and non-storm water at the construction site. The Contractor-prepared SWPPP must incorporate appropriate Temporary Construction Site BMPs to implement effective handling, storage, use and disposal practices during construction activities.
- Caltrans will submit the Permit Registration Documents with RWQCB.
- Upon completion of the project, submittal of a Notice of Construction Completion (NOCC) to the CVRWQCB is required to indicate that project construction is completed and the SWPPP is no longer in effect.

Biological Environment

01 – Establish Environmentally Sensitive Areas

Additional direct and indirect impacts to sensitive biological resources, including wetland and riparian areas, throughout the project area will be avoided or minimized by designating these features outside of the construction impact area as “environmentally sensitive areas” (ESAs) on project plans and in project specifications. ESA information will be shown on contract plans and discussed in the Special Provisions. ESA provisions may include, but are not limited to, the use of temporary orange fencing to delineate the proposed limit of work in areas adjacent to sensitive resources, or to delineate and exclude sensitive resources from potential construction impacts. Contractor encroachment into ESAs will be prohibited (including the staging/operation of heavy equipment or casting of excavation materials). ESA provisions shall be implemented as a first order of work, and remain in place until all construction activities are complete.

02 – Limit Vegetation Removal

Vegetation removal will be limited to the absolute minimum area required for construction. Trimming vegetation to ground level is preferred over removal.

03 – Containment Measures/Construction Site Best Management Practices

Measures will be employed to prevent any construction material or debris from entering surface waters or their channels. Best Management Practices (BMPs) for erosion control will be implemented and in place prior to, during, and after construction in order to ensure that no silt or sediment enters surface waters.

Any additional measures included in the 401 certification, 1602 Agreement, or 404 permit will be complied with. BMPs include but are not limited to:

- Where working areas encroach on live or dry streams, lakes, or wetlands, RWQCB-approved physical barriers adequate to prevent the flow or discharge of sediment into these systems will be constructed and maintained between working areas and streams, lakes and wetlands. During construction of the barriers, discharge of sediment into streams shall be held to a minimum. Discharge will be contained through the use RWQCB-approved measures that will keep sediment from entering protected waters.
- Oily or greasy substances originating from the Contractor's operations will not be allowed to enter or be placed where they will later enter a live or dry stream, pond, or wetland.
- Asphalt concrete will not be allowed to enter a live or dry stream, pond, or wetland.

04 – Minimize Disturbance to Creek Channel and Adjacent Areas

Disruption of the streambeds and adjacent riparian and wetland areas will be minimized. All stream, riparian, and wetland habitat areas outside of the construction limits will be designated as ESAs as detailed in Measure 01.

05 – Restore Wetland, Riparian, and Stream Habitat Disturbed by

Construction

Upon completion of the construction project, streambanks will be permanently stabilized and the wetland and riparian areas temporarily impacted will be replanted with appropriate native species. Species that will be used for the restoration will include willow species (*Salix* sp.), California button willow, and other native wetland and riparian species occurring in these areas. Stream channels will be regraded to preconstruction conditions.

A restoration and monitoring plan will be prepared by the Caltrans Landscape Architecture Branch and will be submitted for approval by the appropriate agencies prior to project permitting. The restoration plan will outline and detail all planting and erosion control activities, and all associated proposed monitoring activities (including length and timing of monitoring, success criteria, remedial actions, and documentation).

06 – Dewatering Activities

Dewatering of the creek bed and/or a temporary stream diversion may be necessary where bridge expansion is proposed. All dewatering activities will observe Measure 03. Any intakes that may be required for water pumps associated with wetting/irrigation/de-watering of sites shall be screened to RWQCB specifications to avoid the intake of fish.

If dewatering of a site is deemed necessary, a temporary sediment-settling basin will be constructed downstream of the activity. All discharge waters associated with the

dewatering activities will be pumped into the constructed basin before being allowed to re-enter project area drainages.

07 – Restrict Timing of In-Stream Activities

Project construction activities within aquatic features will not take place until there is a low-flow condition. It is predicted that in most years, the seasonal low-flow or dry period occurs between June 15th and October 15th; however, work within the drainages (i.e., Morrison Creek) will be subject to stream conditions and permit restrictions.

08 – Pre-construction Plant Surveys

Prior to construction, surveys will be conducted to verify the extent of the Sanford's arrowhead population at Morrison Creek, and this population will be designated as an ESA as described in Measure 01.

If it is determined that complete avoidance of this species is not feasible, then CDFG will be contacted to determine the proper course of action to minimize or offset impacts to this species.

09 – Restrict Timing of Woody Vegetation Removal

If possible, the removal of any woody vegetation (trees and shrubs) required for the project will be completed between September 1 and February 15, prior to project construction, outside of the predicted nesting season for raptors and migratory birds in this area. Vegetation removal outside this time period may not proceed until a survey by a qualified biologist determines no nests are present or in use.

10 – Nesting Bird Surveys

If woody vegetation removal, construction, grading, or other project-related improvements are scheduled during the nesting season of protected raptors and migratory birds (February 16th to August 31st), a focused survey for active bird nests will be conducted by a qualified biologist no more than 10 days prior to the beginning of project-related activities. If active nests are found, Caltrans shall consult with USFWS regarding appropriate action to comply with the Migratory Bird Treaty Act of 1918 and with CDFG to comply with provisions of the Fish and Wildlife Code of California. If a lapse in project related work of 10 days or longer occurs, another survey and, if required, consultation with USFWS and CDFG will be required before the work can be reinitiated.

11 – Pre-construction Pond Turtle Surveys

Prior to the start of construction activities, suitable habitat within the ESL (Morrison Creek) will be surveyed by a qualified biologist for the presence of northwestern pond turtles. If pond turtles are observed in the project area, they will be relocated outside of the work area.

Upon completion of the turtle relocation effort, temporary screen fencing (i.e., silt fencing) should be placed around the work area at strategic locations to minimize the

possibility of turtles reentering construction areas. Installation of fencing should occur under the supervision of a qualified biologist.

12 – Pre-construction Burrowing Owl Surveys

A qualified biologist shall survey suitable habitat in the ESL and adjacent areas for burrowing owls no more than 30 days prior to the start of construction. If burrowing owls or their sign is identified, CDFG shall be contacted to determine the best course of action.

13 – Pre-construction Surveys for Swainson's Hawks

Pre-construction surveys will be performed by a qualified biologist according to CDFG guidelines to determine if Swainson's hawks are nesting within 0.25 mile of the proposed project area. Caltrans will consult with CDFG regarding the need for further action if no Swainson's hawks are recorded nesting within 0.25 mile of the proposed project site during the said construction season.

During construction, a qualified avian biologist will be present daily, on site, monitoring the behavior of any Swainson's hawks nesting within 0.25 mile of the proposed project area. All construction activities will stop if the birds exhibit erratic behavior and construction will not resume until the avian biologist confirms that the bird's behavior has normalized.

14 – Protection of Elderberry Shrubs

Prior to construction, ESAs will be designated 20 feet from the dripline of all elderberry shrubs in the ESL, as detailed in Measure 01. If construction will take place within 20 feet of an elderberry shrub, the ESA will be designated as far from the dripline as feasible to allow construction to take place.

15 – Pre-Construction Roosting Bat Surveys

All suitable roosting habitat that will be impacted (i.e., bridges, trees ≥ 12 " diameter at breast height) will be surveyed prior to construction. If active bat day or maternity roosts are found, Caltrans shall consult with CDFG regarding appropriate action to comply with provisions of the Fish and Wildlife Code of California.

16 – Bat and Bird Exclusion Measures

If bat day or maternity roosts are identified in the ESL within the project footprint, roosting prevention measures will be implemented. Roosting prevention measures may include scheduling activities outside of the anticipated roosting dates, installing exclusionary devices, and other measures approved by a qualified biologist and CDFG.

Because work will occur during the migratory bird nesting season (February 16 – August 31), structure nesting birds will be excluded, if necessary, by a qualified company, prior to onset of the breeding season. Where necessary, exclusion structures (e.g., netting and weep hole plugs) will be left in place and maintained through August 31 of each breeding season, or until the work is complete.

17 – Giant Garter Snake Avoidance and Minimization Measures

Following project completion, all areas temporarily disturbed during construction shall be restored following the “Standard Avoidance and Minimization Measures During Construction Activities in Giant Garter Snake (*Thamnophis gigas*) Habitat” (Appendix C of the Programmatic Biological Opinion on the Effects of Small Highway Projects on the Threatened Giant Garter Snake in Butte, Colusa, Glenn, Sacramento, San Joaquin, Solano, Sutter, Yolo, and Yuba Counties, California) (hereafter, Programmatic BO) (USFWS No. 1-1-03-F-0154, dated January 24, 2005) outlined below.

- When feasible, avoid construction activities within 200 feet from the banks of giant garter snake aquatic habitat. Confine movement of heavy equipment to existing roadways to minimize habitat disturbance.
- Construction activity within habitat should be conducted between May 1 and October 1. This is the active period for giant garter snakes and direct mortality is lessened, because snakes are expected to actively move and avoid danger. Between October 2 and April 30 contact the USFWS’s Sacramento Fish and Wildlife Office to determine if additional measures are necessary to minimize and avoid take.
- Confine clearing to the minimal area necessary to facilitate construction activities. Flag and designate avoided giant garter snake habitat within or adjacent to the project area as ESAs, as outlined in Measure 01. These areas should be avoided by all construction personnel.
- Construction personnel should receive USFWS-approved worker environmental awareness training. This training instructs workers to recognize giant garter snakes and their habitat(s).
- 24-hours prior to construction activities, the ESL will be surveyed for giant garter snakes. Surveys of the ESL will be repeated if a lapse in construction activity of two weeks or greater has occurred. If a snake is encountered during construction, activities shall cease until appropriate corrective measures have been completed or it has been determined that the snake will not be harmed. Report any sightings and any incidental take to the USFWS immediately by telephone at (916) 414-6600.
- Any dewatered habitat should remain dry for at least 15 consecutive days after April 15 and prior to excavating or filling of the dewatered habitat.
- After completion of construction activities, remove any temporary fill and construction debris and, wherever feasible, restore disturbed areas to pre-project conditions. Restoration work may include such activities as replanting species removed from banks or replanting emergent vegetation in the active channel.
- Follow the conservation measures in the table below to minimize the effects of loss and disturbance of habitat on giant garter snakes. Replacement ratios are based on the acreage and on the duration of disturbance.

D. Determination

The Central Valley Water Board has determined that the Project, when implemented in accordance with the MMRP and the conditions in this Order, will not result in any significant adverse water quality or supply impacts. (Cal. Code Regs., tit. 14, § 15096, subd. (h).) The Central Valley Water Board will file a NOD with the SCH within five (5)

working days from the issuance of this Order. (Cal. Code Regs., tit. 14, §§ 15096, subd. (i).)

Copies of this Form

In order to identify your project, it is necessary to include a copy of the Project specific Cover Sheet below with your report: please retain for your records. If you need to obtain a copy of the Cover Sheet you may download a copy of this Order as follows:

1. Go to: http://www.waterboards.ca.gov/water_issues/programs/cwa401/certifications.shtml
2. Find your Order in the table based on Applicant, Date, and Subject headers.

Report Submittal Instructions

1. Check the box on the Report and Notification Cover Sheet next to the report or notification you are submitting.
 - **Part A (Annual Report):** This report will be submitted annually from the anniversary of Project effective date until a Notice of Project Complete Letter is issued.
 - **Part B (Project Status Notifications):** Used to notify the Central Valley Water Board of the status of the Project schedule that may affect Project billing.
 - **Part C (Conditional Notifications and Reports):** Required on a case by case basis for accidental discharges of hazardous materials, violation of compliance with water quality standards, notification of in-water work, or other reports.
2. Sign the Report and Notification Cover Sheet and attach all information requested for the Report Type.
3. **Electronic Report Submittal Instructions:**
 - Submit signed Report and Notification Cover Sheet and required information via email to: centralvalleysacramento@waterboards.ca.gov and cc: Stephanie.Tadlock@waterboards.ca.gov
 - Include in the subject line of the email:
Subject: ATTN: Stephanie Tadlock; Reg. Measure ID: 409922_Report

Definition of Reporting Terms

1. **Active Discharge Period:** The active discharge period begins with the effective date of this Order and ends on the date that the Permittee receives a Notice of Completion of Discharges Letter or, if no post-construction monitoring is required, a Notice of Project Complete Letter. The Active Discharge Period includes all elements of the Project including site construction and restoration, and any Permittee responsible compensatory mitigation construction.
2. **Request for Notice of Completion of Discharges Letter:** This request by the Permittee to the Central Valley Water Board staff pertains to projects that have post construction monitoring requirements, e.g. if site restoration was required to be monitored for 5 years following construction. Central Valley Water Board staff will review the request and send a Completion of Discharges Letter to the Permittee upon approval. This letter will initiate the post-discharge monitoring period and a change in fees from the annual

active discharge fee to the annual post-discharge monitoring fee.

3. **Request for Notice of Project Complete Letter:** This request by the Permittee to the Central Valley Water Board staff pertains to projects that either have completed post-construction monitoring and achieved performance standards or have no post-construction monitoring requirements, and no further Project activities are planned. Central Valley Water Board staff will review the request and send a Project Complete Letter to the Permittee upon approval. Termination of annual invoicing of fees will correspond with the date of this letter.
4. **Post-Discharge Monitoring Period:** The post-discharge monitoring period begins on the date of the Notice of Completion of Discharges Letter and ends on the date of the Notice of Project Complete Letter issued by the Central Valley Water Board staff. The Post-Discharge Monitoring Period includes continued water quality monitoring or compensatory mitigation monitoring.
5. **Effective Date:** 30 March 2017

Map/Photo Documentation Information

When submitting maps or photos, please use the following formats.

1. **Map Format Information:**

Preferred map formats of at least 1:24000 (1" = 2000') detail (listed in order of preference):

- **GIS shapefiles:** The shapefiles must depict the boundaries of all project areas and extent of aquatic resources impacted. Each shape should be attributed with the extent/type of aquatic resources impacted. Features and boundaries should be accurate to within 33 feet (10 meters). Identify datum/projection used and if possible, provide map with a North American Datum of 1983 (NAD38) in the California Teale Albers projection in feet.
- **Google KML files** saved from Google Maps: My Maps or Google Earth Pro. Maps must show the boundaries of all project areas and extent/type of aquatic resources impacted. Include URL(s) of maps. If this format is used include a spreadsheet with the object ID and attributed with the extent/type of aquatic resources impacted.
- **Other electronic format** (CAD or illustration format) that provides a context for location (inclusion of landmarks, known structures, geographic coordinates, or USGS DRG or DOQQ). Maps must show the boundaries of all project areas and extent/type of aquatic resources impacted. If this format is used include a spreadsheet with the object ID and attributed with the extent/type of aquatic resources impacted.
- Aquatic resource maps marked on paper **USGS 7.5 minute topographic maps** or **Digital Orthophoto Quarter Quads (DOQQ)** printouts. Maps must show the boundaries of all project areas and extent/type of aquatic resources impacted. If this format is used include a spreadsheet with the object ID and attributed with the extent/type of aquatic resources impacted.

2. **Photo-Documentation:** Include a unique identifier, date stamp, written description of photo details, and latitude/longitude (in decimal degrees) or map indicating location of photo. Successive photos should be taken from the same vantage point to compare pre/post construction conditions.

REPORT AND NOTIFICATION COVER SHEET

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|-------------------------------|------------------------------------|------------------|--------|
| Project: | SAC-05 HOV Lanes – Phase 1 Project | | |
| Permittee: | Caltrans District 3 | | |
| Reg. Meas. ID: | 409922 | Place ID: | 829265 |
| Order Effective Date: | 30 March 2017 | | |
| Order Expiration Date: | 29 March 2022 | | |

Report Type Submitted

| Part A – Project Reporting | |
|--|--|
| Report Type 1 | <input type="checkbox"/> Monthly Report |
| Report Type 2 | <input type="checkbox"/> Annual Report |
| Part B - Project Status Notifications | |
| Report Type 3 | <input type="checkbox"/> Commencement of Construction |
| Report Type 4 | <input type="checkbox"/> Request for Notice of Completion of Discharges Letter |
| Report Type 5 | <input type="checkbox"/> Request for Notice of Project Complete Letter |
| Part C - Conditional Notifications and Reports | |
| Report Type 6 | <input type="checkbox"/> Accidental Discharge of Hazardous Material Report |
| Report Type 7 | <input type="checkbox"/> Violation of Compliance with Water Quality Standards Report |
| Report Type 8 | <input type="checkbox"/> In-Water Work/Diversions Water Quality Monitoring Report |
| Report Type 9 | <input type="checkbox"/> Modifications to Project Report |
| Report Type 10 | <input type="checkbox"/> Transfer of Property Ownership Report |
| Report Type 11 | <input type="checkbox"/> Transfer of Long-Term BMP Maintenance Report |

“I certify under penalty of law that I have personally examined and am familiar with the information submitted in this document and all attachments and that, based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the information is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.”

Print Name ¹

Affiliation and Job Title

Signature

Date

¹STATEMENT OF AUTHORIZATION (include if authorization has changed since application was submitted)

I hereby authorize _____ to act in my behalf as my representative in the submittal of this report, and to furnish upon request, supplemental information in support of this submittal.

Permittee's Signature

Date

***This Report and Notification Cover Sheet must be signed by the Permittee or a duly authorized representative and included with all written submittals.**

Part A – Project Reporting

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| Report Type 1 | Monthly Report |
| Report Purpose | Notifies Central Valley Water Board staff of the Project status and environmental compliance activities on a monthly basis. |
| When to Submit | On the 1st day of each month until a Notice of Project Complete Letter is issued to the Permittee. |
| Report Contents | <ol style="list-style-type: none"> 1. Construction Summary Describe Project progress and schedule including initial ground disturbance, site clearing and grubbing, road construction, site construction, and the implementation status of construction storm water Best Management Practices (BMPs¹⁵). If construction has not started, provide estimated start date. 2. Event Summary Describe distinct Project activities and occurrences, including environmental monitoring, surveys, and inspections. 3. Photo Summary Provide photos of Project activities. For each photo, include a unique site identifier, date stamp, written description of photo details, and latitude/longitude (in decimal degrees) or map indicating location of photo. Successive photos should be taken from the same vantage point to compare pre/post construction conditions. 4. Compliance Summary <ol style="list-style-type: none"> a) List name and organization of environmental surveyors, monitors, and inspectors involved with monitoring environmental compliance for the reporting period. b) List associated monitoring reports for the reporting period. Include sampling reports. If no sampling was required, a monitoring report must be submitted stated, “No sampling was required”. c) Summarize observed incidences of non-compliance, compliance issues, minor problems, or occurrences. d) Describe each observed incidence in detail. List monitor name and |

¹⁵ Best Management Practices (BMPs) is a term used to describe a type of water pollution or environmental control.

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| | organization, date, location, type of incident, corrective action taken (if any), status, and resolution. |
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| Report Type 2 | Annual Report |
| Report Purpose | Notify the Central Valley Water Board staff of Project status during both the active discharge and post-discharge monitoring periods. |
| When to Submit | Annual reports shall be submitted each year on the 1st day of April one year after the effective date of the Order. Annual reports shall continue until a Notice of Project Complete Letter is issued to the Permittee. |
| Report Contents | <p>The contents of the annual report shall include the topics indicated below for each project period. Report contents are outlined in Annual Report Topics below.</p> <p><u>During the Active Discharge Period</u></p> <ul style="list-style-type: none"> • Topic 1: Construction Summary • Topic 2: Mitigation for Temporary Impacts Status • Topic 3: Compensatory Mitigation for Permanent Impacts Status <p><u>During the Post-Discharge Monitoring Period</u></p> <ul style="list-style-type: none"> • Topic 2: Mitigation for Temporary Impacts Status • Topic 3: Compensatory Mitigation for Permanent Impacts Status |
| Annual Report Topics (1-3) | |
| Annual Report Topic 1 | Construction Summary |
| When to Submit | With the annual report during the Active Discharge Period. |
| Report Contents | <ol style="list-style-type: none"> 1. Project progress and schedule including initial ground disturbance, site clearing and grubbing, road construction, site construction, and the implementation status of construction storm water best management practices (BMPs). If construction has not started, provide estimated start date and reasons for delay. 2. Map showing general Project progress. 3. If applicable: <ol style="list-style-type: none"> a. Summary of Conditional Notification and Report Types 6 and 7 (Part C below). b. Summary of Certification Deviations. See Certification Deviation Attachment for further information. |
| Annual Report Topic 2 | Mitigation for Temporary Impacts Status |
| When to Submit | With the annual report during both the Active Discharge Period and Post-Discharge Monitoring Period. |

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| Report Contents | <ol style="list-style-type: none"> 1. Planned date of initiation and map showing locations of mitigation for temporary impacts to waters of the state and all upland areas of temporary disturbance which could result in a discharge to waters of the state. 2. If mitigation for temporary impacts has already commenced, provide a map and information concerning attainment of performance standards contained in the restoration plan. |
| Annual Report Topic 3 | Compensatory Mitigation for Permanent Impacts Status |
| When to Submit | With the annual report during both the Active Discharge Period and Post-Discharge Monitoring Period. |
| Report Contents | <p>*If not applicable report N/A.</p> <p>Part A. Permittee Responsible</p> <ol style="list-style-type: none"> 1. Planned date of initiation of compensatory mitigation site installation. 2. If installation is in progress, a map of what has been completed to date. 3. If the compensatory mitigation site has been installed, provide a final map and information concerning attainment of performance standards contained in the compensatory mitigation plan. <p>Part B. Mitigation Bank or In-Lieu Fee</p> <ol style="list-style-type: none"> 1. Status or proof of purchase of credit types and quantities. 2. Include the name of bank/ILF Program and contact information. 3. If ILF, location of project and type if known. |

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| Part B – Project Status Notifications |
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| Report Type 3 | Commencement of Construction |
| Report Purpose | Notify Central Valley Water Board staff prior to the start of construction. |
| When to Submit | Must be received at least seven (7) days prior to start of initial ground disturbance activities. |
| Report Contents | <ol style="list-style-type: none"> 1. Date of commencement of construction. 2. Anticipated date when discharges to waters of the state will occur. 3. Project schedule milestones including a schedule for onsite compensatory mitigation, if applicable. 4. Construction Storm Water General Permit WDID No. |

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| Report Type 4 | Request for Notice of Completion of Discharges Letter |
| Report Purpose | Notify Central Valley Water Board staff that post-construction monitoring is required and that active Project construction, including any mitigation and permittee responsible compensatory mitigation, is complete. |
| When to Submit | Must be received by Central Valley Water Board staff within thirty (30) days following completion of all Project construction activities. |

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| Report Contents | <ol style="list-style-type: none"> 1. Status of storm water Notice of Termination(s), if applicable. 2. Status of post-construction storm water BMP installation. 3. Pre- and post-photo documentation of all Project activity sites where the discharge of dredge and/or fill/excavation was authorized. 4. Summary of Certification Deviation discharge quantities compared to initial authorized impacts to waters of the state, if applicable. 5. An updated monitoring schedule for mitigation for temporary impacts to waters of the state and permittee responsible compensatory mitigation during the post-discharge monitoring period, if applicable. |
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| Report Type 5 | Request for Notice of Project Complete Letter |
| Report Purpose | Notify Central Valley Water Board staff that construction and/or any post-construction monitoring is complete, or is not required, and no further Project activity is planned. |
| When to Submit | Must be received by Central Valley Water Board staff within thirty (30) days following completion of all Project activities. |
| Report Contents | <p>Part A: Mitigation for Temporary Impacts</p> <ol style="list-style-type: none"> 1. A report establishing that the performance standards outlined in the restoration plan have been met for Project site upland areas of temporary disturbance which could result in a discharge to waters of the state. 2. A report establishing that the performance standards outlined in the restoration plan have been met for restored areas of temporary impacts to waters of the state. Pre- and post-photo documentation of all restoration sites. <p>Part B: Permittee Responsible Compensatory Mitigation</p> <ol style="list-style-type: none"> 3. A report establishing that the performance standards outlined in the compensatory mitigation plan have been met. 4. Status on the implementation of the long-term maintenance and management plan and funding of endowment. 5. Pre- and post-photo documentation of all compensatory mitigation sites. 6. Final maps of all compensatory mitigation areas (including buffers). <p>Part C: Post-Construction Storm Water BMPs</p> <ol style="list-style-type: none"> 7. Date of storm water Notice of Termination(s), if applicable. 8. Report status and functionality of all post-construction BMPs. |

Part C – Conditional Notifications and Reports

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| Report Type 6 | Accidental Discharge of Hazardous Material Report |
| Report Purpose | Notifies Central Valley Water Board staff that an accidental discharge of hazardous material has occurred. |
| When to Submit | Within five (5) working days following the date of an accidental discharge. Continue reporting as required by Central Valley Water Board staff. |
| Report Contents | <ol style="list-style-type: none"> 1. The report shall include the OES Incident/Assessment Form, a full description and map of the accidental discharge incident (i.e. location, time and date, source, discharge constituent and quantity, aerial extent, and photo documentation). If applicable, the OES Written Follow-Up Report may be substituted. 2. If applicable, any required sampling data, a full description of the sampling methods including frequency/dates and times of sampling, equipment, locations of sampling sites. 3. Locations and construction specifications of any barriers, including silt curtains or diverting structures, and any associated trenching or anchoring. |

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| Report Type 7 | Violation of Compliance with Water Quality Standards Report |
| Report Purpose | Notifies Central Valley Water Board staff that a violation of compliance with water quality standards has occurred. |
| When to Submit | The Permittee shall report any event that causes a violation of water quality standards within three (3) working days of the noncompliance event notification to Central Valley Water Board staff. |
| Report Contents | The report shall include: the cause; the location shown on a map; and the period of the noncompliance including exact dates and times. If the noncompliance has not been corrected, include: the anticipated time it is expected to continue; the steps taken or planned to reduce, eliminate, and prevent reoccurrence of the noncompliance; and any monitoring results if required by Central Valley Water Board staff. |

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| Report Type 8 | In-Water Work and Diversions Water Quality Monitoring Report |
| Report Purpose | Notifies Central Valley Water Board staff of the start and completion of in-water work. Reports the sampling results during in-water work and during the entire duration of temporary surface water diversions. |
| When to Submit | Seven (7) days prior to the start of in-water work. Within three (3) working days following the completion of in-water work. Surface water monitoring reports to be submitted two (2) weeks on initiation of in-water construction and during entire duration of temporary surface water diversions. Continue reporting in accordance with the approved water quality monitoring plan or as indicated in XIV.C.3. |
| Report Contents | As required by the approved water quality monitoring plan or as indicated in XIV.C.3. |

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| Report Type 9 | Modifications to Project Report |
| Report Purpose | Notifies Central Valley Water Board staff if the Project, as described in the application materials, is altered in any way or by the imposition of subsequent permit conditions by any local, state or federal regulatory authority. |
| When to Submit | If Project implementation as described in the application materials is altered in any way or by the imposition of subsequent permit conditions by any local, state or federal regulatory authority. |
| Report Contents | A description and location of any alterations to Project implementation. Identification of any Project modifications that will interfere with the Permittee's compliance with the Order. |

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| Report Type 10 | Transfer of Property Ownership Report |
| Report Purpose | Notifies Central Valley Water Board staff of change in ownership of the Project or Permittee-responsible mitigation area. |
| When to Submit | At least 10 working days prior to the transfer of ownership. |
| Report Contents | <ol style="list-style-type: none"> 1. A statement that the Permittee has provided the purchaser with a copy of this Order and that the purchaser understands and accepts: <ol style="list-style-type: none"> a. the Order's requirements and the obligation to implement them or be subject to administrative and/or civil liability for failure to do so; and b. responsibility for compliance with any long-term BMP¹⁶ maintenance plan requirements in this Order. 2. A statement that the Permittee has informed the purchaser to submit a written request to the Central Valley Water Board to be named as the permittee in a revised order. |

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| Report Type 11 | Transfer of Long-Term BMP Maintenance Report |
| Report Purpose | Notifies Central Valley Water Board staff of transfer of long-term BMP maintenance responsibility. |
| When to Submit | At least 10 working days prior to the transfer of BMP maintenance responsibility. |
| Report Contents | A copy of the legal document transferring maintenance responsibility of post-construction BMPs. |

¹⁶ Best Management Practices (BMPs) is a term used to describe a type of water pollution or environmental control.

SIGNATORY REQUIREMENTS

*All Documents Submitted In Compliance With This Order
Shall Meet The Following Signatory Requirements:*

1. All applications, reports, or information submitted to the Central Valley Water Quality Control Board (Central Valley Water Board) must be signed and certified as follows:
 - a) For a corporation, by a responsible corporate officer of at least the level of vice-president.
 - b) For a partnership or sole proprietorship, by a general partner or proprietor, respectively.
 - c) For a municipality, or a state, federal, or other public agency, by either a principal executive officer or ranking elected official.
2. A duly authorized representative of a person designated in items 1.a through 1.c above may sign documents if:
 - a) The authorization is made in writing by a person described in items 1.a through 1.c above.
 - b) The authorization specifies either an individual or position having responsibility for the overall operation of the regulated activity.
 - c) The written authorization is submitted to the Central Valley Water Board Staff Contact prior to submitting any documents listed in item 1 above.
3. Any person signing a document under this section shall make the following certification:

“I certify under penalty of law that I have personally examined and am familiar with the information submitted in this document and all attachments and that, based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the information is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.”

Certification Deviation Procedures

Introduction

These procedures are put into place to preclude the need for Order amendments for minor changes in the Project routing or location. Minor changes or modifications in project activities are often required by the Permittee following start of construction. These deviations may potentially increase or decrease impacts to waters of the state. In such cases, a Certification Deviation, as defined in Section L of the Order, may be requested by the Permittee as set forth below:

Process Steps

Who may apply: The Permittee or the Permittee's duly authorized representative or agent (hereinafter, "Permittee") for this Order.

How to apply: By letter or email to the 401 staff designated as the contact for this Order.

Certification Deviation Request: The Permittee will request verification from the Central Valley Water Board staff that the project change qualifies as a Certification Deviation, as opposed to requiring an amendment to the Order. The request should:

1. Describe the Project change or modification:
 - a. Proposed activity description and purpose;
 - b. Why the proposed activity is considered minor in terms of impacts to waters of the state;
 - c. How the Project activity is currently addressed in the Order; and,
 - d. Why a Certification Deviation is necessary for the Project.
2. Describe location (latitude/longitude coordinates), the date(s) it will occur, as well as associated impact information (i.e., temporary or permanent, federal or non-federal jurisdiction, water body name/type, estimated impact area, etc.) and minimization measures to be implemented.
3. Provide all updated environmental survey information for the new impact area.
4. Provide a map that includes the activity boundaries with photos of the site.
5. Provide verification of any mitigation needed according to the Order conditions.
6. Provide any other information required by Central Valley Water Board staff to determine whether the Project change or modification necessitates additional environmental review. (Cal. Code Regs., tit. 14, §§ 15061, 15162-15164.)

Post-Discharge Certification Deviation Reporting:

1. Within 30 calendar days of completing the approved Certification Deviation activity, the Permittee will provide a post-discharge activity report that includes the following information:
 - a. Activity description and purpose;
 - b. Activity location, start date, and completion date;
 - c. Erosion control and pollution prevention measures applied;
 - d. The net change in impact area by water body type(s) in acres, linear feet and cubic yards;
 - e. Mitigation plan, if applicable; and,
 - f. Map of activity location and boundaries; post-construction photos.

Annual Summary Deviation Report:

1. Until a Notice of Completion of Discharges Letter or Notice of Project Complete Letter is issued, include in the Annual Project Report (see Construction Notification and Reporting attachment) a compilation of all Certification Deviation activities through the reporting period with the following information:
 - a. Site name(s).
 - b. Date(s) of Certification Deviation approval.
 - c. Location(s) of authorized activities.
 - d. Impact area(s) by water body type prior to activity in acres, linear feet and cubic yards, as originally authorized in the Order.
 - e. Actual impact area(s) by water body type in, acres, linear feet and cubic yards, due to Certification Deviation activity(ies).
 - f. The net change in impact area by water body type(s) in acres, linear feet and cubic yards;
 - g. Mitigation to be provided (approved mitigation ratio and amount).