



**Connecticut Department of
Energy & Environmental Protection**

**General Permit to Conduct Repairs
and Alterations to Dams: Approval
of Filing Required**

Form GP-016-3(a)

Form for use by dam owner or associated party **with CT Licensed Professional Engineer oversight** to authorized activities in Section 3(a) of the General Permit Approval of the Filing Required Categories.

CPPU USE ONLY	
App #:	_____
Doc #:	_____
Check #:	_____
Program: Dam Safety EI: Dam Safety GP-016 - 3(a) Approval	

Please complete this form and include all indicated attachments to ensure the proper handling of your filing. Print or type unless otherwise noted. You must submit the filing fee along with this completed form and required supplemental information and provide the notice to the municipality and shall not initiate the proposed activities until approval of this filing in writing has been received.

Part I: Filing Type (Check the box to acknowledge the type of filing)

This filing is: (check)		
<input type="checkbox"/> A filing certified by a CT licensed professional engineer for repair and alteration activities authorized under Section 3(a) of the General Permit to Conduct Repairs and Alterations to Dams, Approval of Filing Required Categories for activities to be conducted with professional engineering oversight.		
Town where Dam is located:	Name of Dam:	CT DamID#:
Brief Description of Project:		

Part II: Fee Information (Check or money order payable to: "Department of Energy and Environmental Protection")

A fee must be submitted with this filing. The fee for municipalities is 50% of the filing fee. The filing will not be processed and the authorization is not activated without the fee. The fee is non-refundable.		
All work authorized by this filing must be completed and the reporting and record keeping requirements of Section 5(b) of the subject General Permit must be complied with before a subsequent filing will be accepted.		
General Permit to Conduct Repairs and Alterations to Dams (DEEP-IWRD-GP-016)		Fee
<input type="checkbox"/>	Filing Fee for activities authorized under Section 3(a) of the General Permit: [#2065]	\$250.00
<input type="checkbox"/>	Indicate whether a 50% municipal discount applies. Less Applicable Discount:	-
	Amount Remitted:	

Part III: Filing Party / Registrant Information

- If the party filing is a corporation, limited liability company, limited partnership, limited liability partnership, or a statutory trust, it must be registered with the Secretary of State. If applicable, the filing party's name shall be stated **exactly** as it is registered with the Secretary of State. Please note, for those entities registered with the Secretary of State, the registered name will be the name used by DEEP. This information can be accessed at the Secretary of State's database (CONCORD). (www.concord-sots.ct.gov/CONCORD/index.jsp)
- If the party filing is an individual, provide the legal name (include suffix) in the following format: First Name; Middle Initial; Last Name; Suffix (Jr, Sr., II, III, etc.).
- If there are any changes or corrections to your company/facility or individual mailing or billing address or contact information, please complete and submit the [Request to Change Company/Individual Information](#) to the address indicated on the form. If there is a change in name of the entity holding a DEEP license or a change in ownership, contact the Office of Planning and Program Development (OPPD) at 860-424-3003. For any other changes you must contact the specific program from which you hold a current DEEP license.

1. Filing Party Name:		
Mailing Address:		
City/Town:	State:	Zip Code:
Business Phone:	ext.:	
Contact Person:	Phone:	ext.
*E-mail:		
<p>*By providing this e-mail address you are agreeing to receive official correspondence from DEEP, at this electronic address, concerning the subject filing. Please remember to check your security settings to be sure you can receive e-mails from "ct.gov" addresses. Also, please notify DEEP if your e-mail address changes.</p>		
a) Filing Party Type (check one):		
<input type="checkbox"/> individual	<input type="checkbox"/> federal agency	<input type="checkbox"/> state agency
<input type="checkbox"/> *business entity (*If a business entity complete i through iii):	<input type="checkbox"/> municipality	<input type="checkbox"/> tribal
i) check type: <input type="checkbox"/> corporation <input type="checkbox"/> limited liability company <input type="checkbox"/> limited partnership		
<input type="checkbox"/> limited liability partnership <input type="checkbox"/> statutory trust <input type="checkbox"/> Other: _____		
ii) Provide Secretary of the State business ID #: _____ This information can be accessed at the Secretary of State's database (CONCORD). (www.concord-sots.ct.gov/CONCORD/index.jsp)		
iii) <input type="checkbox"/> Check here if your business is NOT registered with the Secretary of State's office.		
<input type="checkbox"/> Check here if any co-filers. If so, attach additional sheet(s) with the required information as requested above.		
b) Filing Party's interest in the property and the dam at which the proposed activity is to be conducted:		
<input type="checkbox"/> site / dam / property owner	<input type="checkbox"/> option holder	<input type="checkbox"/> lessee
<input type="checkbox"/> easement holder	<input type="checkbox"/> operator	<input type="checkbox"/> other (specify): _____

Part III: Filing Party Information (continued)

2. Primary contact for departmental correspondence and inquiries, if different than the filing party.

Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Contact Person:

Phone:

ext.

*E-mail:

*By providing this e-mail address you are agreeing to receive official correspondence from DEEP, at this electronic address, concerning the subject filing. Please remember to check your security settings to be sure you can receive e-mails from "ct.gov" addresses. Also, please notify DEEP if your e-mail address changes.

3. Connecticut Licensed Professional Engineer retained to provide oversight in preparing the filing, designing the dam repairs and alterations, and constructing the authorized activities.

Firm Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Contact Person:

Phone:

ext.

E-mail:

Service Provided:

4. Consultant employed or retained to assist in preparing the filing or in designing or constructing the activity.

Firm Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Contact Person:

Phone:

ext.

E-mail:

Service Provided:

5. Owner of the land containing all or part of the dam, if different than the filing party:

Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Contact Person:

Phone:

ext.

E-mail:

List the municipal assessor's map/block/lot numbers of the parcel containing all or part of the dam.

Town:

Map:

Block

Lot

- Check here if additional sheets are necessary to list additional owners of property containing the dam, and label and attach them to this form.

Part IV: Site Information

1. DAM and WATERBODY NAME, LOCATION, USE, and PROPOSED DATES OF ACTIVITIES. Please provide the following general information regarding the subject dam and impoundment.

- a. Name of Dam: _____ CT DamID: _____
- b. Name of Waterbody: _____
- c. Nearest Street Address to the dam: # & Street: _____ City/Town: _____
- d. Instructions for access to the dam: _____
- e. Location of dam: Latitude _____ Longitude (-) _____
Note: a labeled location map should be included as Attachment 2.
- f. Describe the uses of the dam and impounded water: _____
- g. Proposed date of initiation of the activities to be authorized:
Note: Section 5(b) of the subject general permit requires a notice to DEEP if the activity is not initiated within 60 days of the date of filing.
- h. Proposed date of completion of the activities to be authorized:
Note: The subject permit allows up to 3 years to complete the work. Section 5(b) of the subject general permit requires completion notices and reports.

2. DAM TYPE, SIZE, and IMPOUNDMENT CAPACITY. These parameters are used in Part V below. If unsure of any of these parameters, please contact the DEEP Dam Safety program permitting staff at 860-424-3706 or by email at DEEP.DamSafety@ct.gov

- a. Enter the official Dam Height: _____ ft.
- b. Enter the official Dam Length: _____ ft.
- c. Enter the official Impoundment Storage volume: _____ acre feet.
- d. This dam is (check one): Earth Embankment Dam Concrete Gravity Dam
Note: earthen dams including concrete or masonry walls are considered Earth Embankment Dams.

3. FISHERIES REVIEW- DRAWDOWN OF IMPOUNDMENT. Is an impoundment drawdown of more than 3" inches below the principal spillway necessary for the completion of any of the activities for which authorization is sought? Yes No

If **yes**, before you file this application, you must contact the DEEP Inland Fisheries division for a consultation regarding your proposal. Identified fisheries interests at the subject dam typically must be incorporated into the project.

The consultation is usually initiated by submitting the form entitled "Request for Determination of Need for Fishway for Dam Safety Permit," which is available on the Dam Safety Website www.ct.gov/deep/dams or on the DEEP Inland Fisheries Division [Fisheries Management Programs](#) webpage. Once you have heard back from the Inland Fisheries staff, include a copy of your request, the response you received, and include how you have incorporated the requirements of the staff with this filing as Attachment 3.

4. ENDANGERED OR THREATENED SPECIES: According to the current "State and Federal Listed Species and Natural Communities Map", is the project site located within an area identified as a habitat for endangered, threatened or special concern species? Yes No Date of Map: _____

If **yes**, before you file this application, you must complete and submit a [Request for NDDDB State Listed Species Review Form](#) (DEEP-APP-007) to the address specified on the form. Please note NDDDB review generally takes 4 to 6 weeks and may require additional documentation. Once you have heard back from the NDDDB staff, include a copy of your request, the response you received, and include how you have incorporated the requirements of the NDDDB staff with this filing as Attachment 4. For more information visit the DEEP website at www.ct.gov/deep/nddbrequest or call the NDDDB at 860-424-3011.

Part IV: Site Information (continued)

- 5. FILL IN WETLANDS.** Does the proposed work include any filling of federally regulated wetlands?
 Yes No If **yes**, before you file this application, you must contact the US Army Corps of Engineers and file Appendix 1a: Category 1 Certification Form and obtain coverage under the Department of the Army General Permit for the State of Connecticut. Category 1 is generally applicable to authorize fill areas less than 5000 square feet. A copy of the confirmation from the US Army Corps of Engineers that the activity is covered within Category 1 must be included with this filing as Attachment 5. Projects with greater than 5000 square feet of wetlands filling are not eligible under this general permit.
- 6. BEST MANAGEMENT PRACTICES.** Will the proposed activities occur in or will equipment traverse wetlands or floodplains or watercourses to reach work areas with the potential to cause erosion and sedimentation or release pollution? Yes No
If **yes**, a detailed description of the pollution prevention and best management practices that will be implemented to minimize construction in and disturbance of floodplains, wetlands, and watercourses, and prevent pollution is required and must be included as Attachment 6.
- 7. AQUIFER PROTECTION AREAS:** Is the site located within a mapped Level A or Level B [Aquifer Protection Area](#), as defined in CGS section 22a-354a through 22a-354bb?
 Yes No If **yes**, check one: Level A or Level B
If **Level A**, are any of the [regulated activities](#), as defined in RCSA section 22a-354i-1(34), conducted on this site? Yes No If **yes**, and your business is **not** already registered with the Aquifer Protection Program, contact the [local aquifer protection agent](#) or DEEP to take appropriate actions. For more information on the Aquifer Protection Area Program at www.ct.gov/deep/aquiferprotection or contact the program at 860-424-3020.
- 8. NOTICE TO MUNICIPALITY:** Have you submitted the required [Notice to Municipality](#) and obtained a copy of the submitted notice showing the municipal received stamp?
 Yes No If **yes**, Include the copy of the submitted notice as Attachment 7. If **no**, be advised that the work cannot start until minimally 2 weeks after submitting the notice to the municipality and the copy of the submitted notice must be received by DEEP before beginning work.
- 9. CONSERVATION OR PRESERVATION RESTRICTION:** Is the property subject to a conservation or preservation restriction? Yes No If **Yes**, proof of written notice of this filing to the holder of such restriction or a letter from the holder of such restriction verifying that this filing is in compliance with the terms of the restriction, must be submitted as Attachment 8.
- 10. INDIAN LANDS:** Is the dam located on federally recognized Indian lands? Yes No
- 11. COASTAL BOUNDARY:** Is the activity which is the subject of this filing located within the coastal boundary as delineated on DEEP approved coastal boundary maps? Yes No
If **yes**, and this filing is for a new authorization or a modification of an existing authorization where the physical footprint of the subject activity is modified, you must submit a [Coastal Consistency Review Form](#) (DEEP-APP-004) with your application as Attachment 9.
Information on the coastal boundary is available at www.cteco.uconn.edu/map_catalog.asp
Select the town and then select coastal boundary. If the town is not within the coastal boundary you will not be able to select the coastal boundary map. The Coastal Boundary Map is also available at the municipal town hall or can be obtained from DEEP Maps and Publications (860-424-3555).

Part V: Dam Repair and Alteration Specific Information

To complete the sections below, you must refer to the **General Permit to Conduct Repairs and Alterations to Dams – Approval of Filing Categories (DEEP-IWRD-GP-016)**.

Place a check in the box next to each activity you propose to conduct at the dam under this filing and complete the questions to describe the extent of the activity as within the limits of the subject general permit.

These activities may be conducted on any size dam or impoundment provided a professional engineer has been retained and will oversee the filing and the work. The maximum amounts of work allowed under this filing are indicated in each category. Please refer to the subject permit to confirm authorization.

When necessary to describe the work include drawings and/or plans (11 x 17 preferred) in Attachment 1 and descriptions of the proposed work and supporting information such as computations and material descriptions, procedures to be used, etc. in Attachment 1-A (see Part VI below).

If quantities of work needed exceed these amounts, an individual permit is required. Please refer to the [Permit Application Guidance](#) applicable to individual Dam Safety Permits.

Part V. Activities to be conducted with Connecticut licensed professional engineer oversight.

Refer to Section 3(a) of the subject general permit for the following activities: (check all that apply)

- 1) **Installation of Engineered Toe Drain Systems.**
You may install up to 400 linear feet of new engineered toe drains. Filing must include in Attachment 1 drawings with plan, profile, cross section views, and details necessary as required by section 3(a)7 of the subject general permit.
Proposed total length of new engineered toe drain to be installed:

- 2) **Minor repair, removal, and replacement of trash racks, gate valves and sluice gates**
You may construct minor repairs to or replacement of these structures. The filing must include documentation of the infrastructure that is to be repaired or removed or replaced and reasons for the work, the materials to be used, and procedures proposed within Attachments 1 and 1-A.
Description of the proposed minor repair:

- 3) **Placing up to 150 square yards of riprap on dams, along embankments and within spillway discharge channels.**
You may install up to 150 square yards of riprap to restore existing riprapped areas or in new areas where necessary per filing. Refer to Section 3(a)4 of the subject general permit for design and filing requirements and US Army Corps of Engineers wetland permitting requirements.
Proposed total area of riprap installation under this filing: square yards.

- 4) **Removing tree root systems and restoration of dam embankment crest and slopes where the tree density is less than 2 trees per 100 square feet.** *The tree density on the crest and slope shall be computed by counting the number of trees or tree stumps on the dam greater than 3" diameter at ground level on the top, the upstream and downstream embankment slopes, and within 25 feet of the downstream toe, and the abutment / embankment contacts and dividing by the square footage of the areas of the dam with tree overgrowth and multiplying that by 100.*
Count of number of trees greater than 3" diameter on the dam:
Total area in square feet of the dam with tree overgrowth:
Formula: (number of trees / total area in square feet) x 100.
Computed tree density: trees / 100 square feet. (must not exceed 2.0)

Part V: Dam Repair and Alteration Specific Information (continued)

- 5) **Filling Animal Burrows in upstream and downstream slopes.**
You may fill up to 25 burrows under this filing. For burrows located within the phreatic surface of the dam the filing must include an evaluation of the need for an embankment filter and toe drainage system. Refer to Section 3(a)5 of the subject general permit for additional requirements.

Proposed number of animal burrows to be filled under this filing: burrows

- 6) **Repairs to and construction of concrete structures on dams.**
Use the parameters from Part IV 2(d) in one of the following formulas to determine the maximum volume of concrete repair that is allowed per filing. Refer to Section 3(a)6 of the subject general permit for further information and limitations to the authorization.

Brief description of proposed concrete repair / construction:

Earth Embankment Dams:

Dam Length X Dam Height / 100 = Max cubic yards of concrete.

Proposed volume of concrete structure repair under this filing: cubic yards.

-or-

Concrete Gravity Dams:

Dam Length X Dam Height / 50 = Max cubic yards of concrete.

Proposed volume of concrete structure repair under this filing: cubic yards.

- 7) **Repointing voids and repairs to masonry on the dam.**
Refer to the limitations for this activity in Section 3(a)7 of the subject general permit. The filing must include documentation showing areas needing repairs. For repair to downstream faces of dams, include information as required by Sections 3(a)7 of the subject general permit.

Brief description of proposed masonry repair:

Height of masonry wall to be rebuilt: feet. *(no more than 6 feet vertically may be removed).*

Total square footage of masonry to be rebuilt: *(no more than 250 square feet)*

- 8) **Sliplining and Grouting Existing Outlet Pipes.**
You may slipline non-deformed existing outlet pipes of any size and length. Refer to Section 3(a)8 of the subject general permit for additional requirements and the information that must be included in Attachments 1 and 1-A.

Length of existing pipe to be sliplined: feet. Diameter of existing pipe: inches.

Describe liner pipe (material, diameter):

Check boxes below to acknowledge:

- The existing pipe has been inspected and is not deformed and will accept a liner.
Include notes regarding the condition of the pipe in Attachment 1-A. A check mark indicates that the pipe has been inspected and a report included in Attachment 1-A.
- Computations have been included in Attachment 1-A indicating that the capacity of the outlet has not been reduced or that adequate capacity will remain.
A check mark indicates that the computations are included in Attachment 1-A.

Part V: Dam Repair and Alteration Specific Information (continued)

- 9) **Grouting Voids. Gravity fed cement or pressure injection chemical grouting.**
You may conduct grouting in volumes as needed to fill voids provided the grouting is supervised by a professional engineer and the filing includes a plan view of areas to be grouted, procedures proposed, and proposed materials to be used in Attachments 1 and 1-A.

Brief description of proposed grouting project:

- 10) **Installing a Footbridge or Vehicular Bridge over Spillways.**
You may install a new bridge to span the spillway with professional engineering design and oversight. The installation must not significantly reduce necessary spillway capacity. Include the information required in Section 3(a)10 of the subject general permit within attachments 1 and 1-A.

Length between spillway abutments / bridge bearing plates: ft.

Design storm maximum pond elevation: datum:

Proposed low chord of bridge elevation: datum:

- 11) **Digging test pits, drilling soil borings, installing piezometers.**
You may conduct investigatory excavations and drilling The filing shall include a plan of investigation and Include a drawing or plan showing proposed test pit / boring locations in Attachment 1. After work is concluded a report documenting all findings must be prepared and maintained by the dam owner and provided to the commissioner upon request.

Reason for and description of the proposed investigation:

- 12) **Removal of DEEP Dam Safety confirmed class A (Low) or class BB (moderate) downstream hazard dam.**
All the documentation required by Section 3(a)12 of the subject general permit must be included with the filing in Attachments 1 and 1-A unless otherwise instructed by program staff.

DEEP Confirmed hazard classification:

Brief description of the proposed dam removal project:

Part V: Dam Repair and Alteration Specific Information (continued)

- 13) **Stabilization of a naturally breached dam.**
All the documentation required by the Section 3(a)13 of the subject general permit must be included with this filing in Attachments 1 and 1-A.

Brief description of the proposed breach stabilization project:

- 14) **Removal of weir boards or creation of a notch in a spillway to incrementally lower an impoundment and mobilize upper level sediments in impoundments behind a dam scheduled for removal.**
All the documentation required by Section 3(a)14 of the subject general permit must be included with this filing in Attachments 1 and 1-A.

Brief description of the proposed weir board removal activity:

- 15) **Installation of fishways at spillways which do not reduce the capacity of the primary or auxiliary spillways.**
All the documentation required by Section 3(a)15 of the subject general permit must be included with this filing in Attachments 1 and 1-A.

Brief description of the proposed fishway project:

- 16) **Improvements to spillway discharge channels to allow for fish migration by such means as rock weirs or other similar modifications.**
All the documentation required by Section 3(a)16 of the subject general permit must be included with this filing in Attachments 1 and 1-A.

Brief description of the proposed project:

Part VI: Supporting Documents

Check the applicable box below for each attachment being submitted with this filing form. When submitting any supporting documents, please label the documents minimally with the Dam name and DamID#, date of filing and be sure to include the Filing Party's name. Please include only one copy of each required attachment.

- Attachment 1: For proposed activities checked in Part V include photographs, sketches, and diagrams, necessary to depict the existing conditions and the proposed areas and quantities of repairs to be conducted. If site plans are necessary to depict the proposed activity, the filing shall include a scale drawing or drawings which include the signature and professional engineer stamp of the Connecticut licensed professional engineer. Drawing(s) (11x17 page size preferred) shall be at a minimum scale of 1"=40', include a scale bar, north arrow, title block, with dam name, CT Dam ID#, town, dam owners name, consultants name, date, and be labeled to show all features and depict the proposed work as within the limits of the authorizations of this permit.
- Attachment 1-A: Supplemental Information. Include this attachment when engineering data, computations, and information describing the type and quantities of materials to be used or placed is necessary. Include details of construction methods and a sequence of construction which includes schedules for drawdown and refilling if needed.
- Attachment 2: If Attachments 1 and 1A do not have a location map, please include a 8.5" x 11" map with a minimum scale of 1:24,000 which includes labels indicating the location of the dam, street names, municipality name, the name of the dam, the CT DamID#, north arrow, and includes an arrow indicating the nearest location (street) address for access to the dam.
- Attachment 3: The response from the DEEP Inland Fisheries Division (IFD) to the filing of the consultation form regarding the fishway determination any concerns regarding drawdowns and fisheries interests in the proposed work.
- Attachment 4: The response from the DEEP wildlife division to the filing of the *Request for NDDDB State Listed Species Review Form* (DEEP-APP-007) if applicable.
- Attachment 5: Confirmation from the US Army Corps of Engineers in response to the Category 1 self certification filing, stating that the wetlands filling activity is covered by the permit, or that no permit is required for the activity, if applicable.
- Attachment 6: Include a description of the pollution prevention and best management practices that will be implemented to minimize construction in and disturbance of floodplains, wetlands, and watercourses, and prevent pollution. This may be omitted if there will be no activities or vehicular passage across these areas.
- Attachment 7: A copy of the filed Notice to Municipality (Using form: DEEP-IWRD-GP-014-015-016 Notice) which shows the stamp of the municipality indicating the date the notice was delivered to the municipality.
- Attachment 8: Conservation or Preservation Restriction Information. If applicable, include proof of written notice of this filing to the holder of such restriction or a letter from the holder of such restriction verifying that this filing is in compliance with the terms of the restriction Conservation or Preservation Restriction Information.
- Attachment 9: [Coastal Consistency Review Form](#) (DEEP-APP-004), if applicable.

Part VII-1: Filer Certification

The Filer *and* the individual(s) responsible for actually preparing the filing must sign this part. A filing will be considered incomplete unless all required signatures are provided. [If the filer is the preparer, please mark N/A in the spaces provided for the preparer.]

"I have personally examined and am familiar with the information submitted in this document and all attachments thereto, and I certify that based on reasonable investigation, including my inquiry of the individuals responsible for obtaining the information, the submitted information is true, accurate and complete to the best of my knowledge and belief.

I certify that this general permit filing is on complete and accurate forms as prescribed by the commissioner without alteration of the text.

I have read the general permit and agree to comply with the terms and conditions of the General Permit to Conduct Dam Repairs and Alterations – GP-016: Approval of Filing Required Categories.

I understand that a false statement in the submitted information may be punishable as a criminal offense, in accordance with section 22a-6 of the General Statutes, pursuant to section 53a-157b of the General Statutes, and in accordance with any other applicable statute."

Signature of Filing Party

Date

Name of Filing Party (print legibly or type)

Title (if applicable)

Signature of Preparer (if different than above)

Date

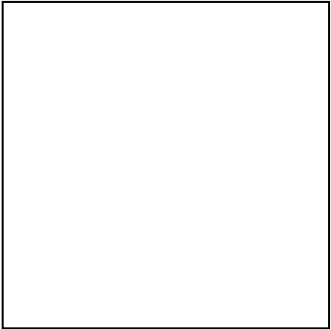
Name of Preparer (print legibly or type)

Title (if applicable)

- Check here if additional signatures are required. If so, please reproduce this sheet and attach signed copies to this sheet. You must include signatures of any person preparing any report or parts thereof required in this filing (i.e., professional engineers, surveyors, soil scientists, consultants, etc.)

Part VII-2: Professional Engineer Certification

The following certification must be signed by a Professional Engineer

"I hereby certify that the information provided in this filing has been examined by me and found to be true and correct in my professional judgment. I will provide on-site oversight during critical periods of the activities authorized by this filing and submit a work completion report or as-built record drawing as required by the permit."		
Signature of Professional Engineer		Date
Printed Name of Professional Engineer	Title	CT P.E. Number
Name of Firm _____		
Affix P.E. Stamp Here		
		

Note: Please submit **ONE** COPY of this completed Filing Form, Fee, and all Supporting Documents to:

CENTRAL PERMIT PROCESSING UNIT
DEPARTMENT OF ENERGY AND ENVIRONMENTAL PROTECTION
79 ELM STREET
HARTFORD, CT 06106-5127