

SECTION 408 PERMISSION GENERAL SUBMITTAL CHECKLIST

**United States Army Corps of Engineers, Los Angeles
District (USACE-SPL)**

The U.S. Army Corps of Engineers, Los Angeles District (USACE-SPL) provides the following checklist to assist you in providing a reviewable package when applying for permissions under the Section 408 Activity. The intent is to provide a general outline of what our reviewers need to complete an appropriate review and how to properly submit your reviewable package. Please refer to Engineering Circular 1165-2-220 for a complete guide to USACE Section 408 policy. For more information, please refer to www.spl.usace.army.mil/Missions/Section-408-Permits/.

Contact List

1. Do I need a 408 permit, 404 permit or not? -- Visit <https://www.spl.usace.army.mil/Missions/Permitting/> then fill up the Inquires checklist.
2. Request for a New Permit pre- application meeting - spl.408permits@usace.army.mil and John.Q.Lei@usace.army.mil with require documents
3. Submit New permit Application - spl.408permits@usace.army.mil
4. Completeness determination and Permit No- spl.408permits@usace.army.mil
5. Technical Review Comments and Resubmittal - John.Q.Lei@usace.army.mil and cc - spl.408permits@usace.army.mil
6. Environmental Review Comments & Resubmittal- Priyodarshi.Majumdar@usace.army.mil and cc - spl.408permits@usace.army.mil
7. Real Estate Review Comments and Resubmittal- John.Q.Lei@usace.army.mil and cc - spl.408permits@usace.army.mil
8. Operation and maintenance manual Resubmittal - John.Q.Lei@usace.army.mil and cc - spl.408permits@usace.army.mil

9. Permit Completeness Determination - John.Q.Lei@usace.army.mil and cc - spl.408permits@usace.army.mil
10. WRDA 214 Agreement- Michael.A.Lau@usace.army.mil and CC - spl.408permits@usace.army.mil. Only for WRDA 214 funding request, QRT report, MOA and Fund distribution.
11. 408 permit Extension and withdrawn - Rafiquel.I.Talukder@usace.army.mil and CC - spl.408permits@usace.army.mil.

NEW APPLICATION SUBMITTAL INSTRUCTIONS

Please provide the Complete Permission Package (below) digitally in a folder structure as shown in Figure 1.

- A - General
- B - Technical
- C - Operation and Maintenance
- D - Real Estate
- E - Environmental Compliance

Figure 1

COMPLETE PERMISSION PACKAGE CONTENTS

Please complete this checklist to the extent possible and submit with the "Application for Section 408 Permission" (CESPL Form 25).

- A. General Documentation
- B. Technical Analysis and Design Documentation
- C. Operation and Maintenance Documentation
- D. Real Estate Documentation
- E. Environmental Compliance Documentation

Please see the Real Estate Checklist, Technical Analysis and Design Checklist, Environmental Compliance Checklist, and Operations and Maintenance Checklist for details on what documentation is needed in order to submit a complete permission package.

GENERAL DOCUMENTATION

Please provide the following items:

- All 5 of 5 Section 408 Permission Submittal Checklist
- Completed CESPL Form 25 "Application for Section 408 Permission"
- Project Schedule
- Photographic Documentation of current conditions at the site
- Written Statement of No Objection** (applies where Federal Project is operated and maintained by the Non-Federal Sponsor and where the Requester is a Third Party).
- Written Statement of Operation and Maintenance Responsibility** (applies where Federal Project is operated and maintained by the Non-Federal Sponsor and where the Requester is a Third Party).
- Quality Control Certification by Requester

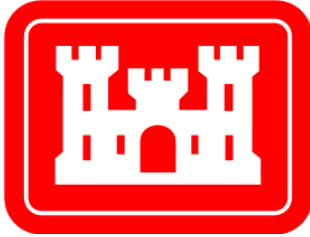
CIVIL/ CONSTRUCTION PLANS AND SPECIFICATIONS REVIEW REQUIREMENT

The requester must prepare **Construction Plans** depicting the proposed modifications in relation to the existing federally-constructed project. The plans need to be half-size (11"x17"), minimum 80%-95% level of detail and include the proposed alteration in relation to the existing federally-constructed project. All sheets must contain a title block containing the project name, name of the applicant, name the sheet preparer (if different than the applicant) and the date the sheet was prepared. Please include the following:

- Grading Plan with existing Topographic Information
- Layout, Profiles, and Cross-Sections of Proposed Alteration Sheets
- Structural Detail Sheets
- Temporary Construction Measures (Bypasses, Cofferdams, etc.)
- Staging, Disposal and Borrow Areas, Access and Detours
- Utility Location and Identification
- Traffic Control Plan
- Specifications.

See EC 1165-2-220, Appendix E-5 (Civil Section) for additional information.

Submit above applicable require documents in the Folder identify as "A-General "



**SECTION 408 PERMISSION
TECHNICAL SUBMITTAL CHECKLIST**
United States Army Corps of Engineers, Los Angeles
District (USACE-SPL)

The purpose of this checklist is to provide the Los Angeles District of the U.S. Army Corps of Engineers (USACE-SPL) technical review team sufficient information to analyze the proposed alteration/modification. This checklist will provide The list below is not all inclusive and may not apply to every situation; our technical reviewers may request additional documentation. Please refer to Engineering Circular 1165-2-220 for a complete guide to USACE Section 408 policy. For more information, please refer to www.spl.usace.army.mil/Missions/Section-408-Permits/.

USACE Design Standards will be applied. No other agencies design Standard plans or calculation will be approve or acceptable for proposed alteration.

TECHNICAL REVIEW AND DESIGN DOCUMENTATION

1. Are you proposing new construction? Yes No

2. What type of features will you impact with the new construction?

GEOTECHNICAL REVIEW (APPLICABLE FOR HORIZONTAL AND VERTICAL DRILLING ACTIVITY ONLY)

3. Will your work require horizontal or vertical drilling/boring? Yes No
4. Will your work require a subsurface geotechnical investigation? Yes No

If **Yes** to Question 3 or 4, please provide the following:

- Provide a Drilling/Work Plan which includes at minimum:
 - o As-built plan sheets with boring location, station/offset, and northing/easting coordinates
 - o Boring dimensions (hole-size and depth)
 - o A typical cross-section showing relevant USACE features in relation to the proposed explorations
 - o Drilling Equipment and Methods (e.g. Hollow Stem Auger, Rotary Wash, or HDD)

- If drilling will be performed through the concrete lined invert of the channel, the requester shall provide a method of nondestructive testing to ensure channel lining reinforcement will not be affected by drilling and provide a contingency plan for repair if reinforcement is compromised. Concrete repair methods should also be included.
- Proposed method of boring abandonment/backfilling
- Description of any in-situ testing
- Description of any instrumentation installation
- Staging Plan
- Access to the Drilling Location
- Emergency contact information of the Drilling Team

Refer to ER 1110-2-1807 (Drilling in Earth Embankments, Dams and Levees). A Template of Drilling/ Work plan can be found at:

<https://www.spl.usace.army.mil/Missions/Section-408-Permits/>

GEOTECHNICAL REVIEWS (NOT REQUIRE FOR HORIZONTAL AND VERTICAL DRILLING ACTIVITY)

A **Geotechnical Report/Memo** should be included addressing design considerations and recommendations pertinent to the proposed alteration. The report /memo should be applicable to the work being performed and specifically reference the proposed Section 408 Activity. The following is a list of analyses or information that may be necessary to consider for geotechnical design and assessing their impacts if proposed alterations alter the levee, floodwall or channel bank cross-section or penetrate the natural blanket or foundation. Please cite applicable USACE references as necessary.

- Structural Design Parameter and Requirements
- Method of Excavation and Installation/Backfill
- Compaction Reports and any other Pertinent Geotechnical Testing Reports performed during construction
- Results of Geotechnical Investigation (Boring Logs, Test Pit Logs, Laboratory Test Results when complete)
- Material Usage/Borrow/Waste/Transport/Hauling
- Type of Bedding/Filter Material Backfill
- Placement of Stockpiles, Heavy Equipment, or Other Surcharges
- Seepage Analysis
- Settlement Analysis
- Stability Analysis
- Erosion Control
- Vegetation

If a Section 408 Activity may not require a Geotech Report/ Memo. Then provide an **Executive Summary** with explanation addressing each of the item listed above is not applicable to your Section 408 Activity.

See ER 1165-02-220, Appendix E- 5 (Civil Section) for Additional Information.

STRUCTURAL REVIEW

If applicable, the following is a list of analyses or information will be require to evaluate the impacts of proposed alterations to concrete flood Wall, channel, Grouted Trapezoidal Channel, Concrete Joint structure, sheet piling, or drainage structures.

Please provide an **Executive Summary** for the Structural Analysis detailing how each of the below items is addressed or not addressed and how your project impacts the Federally-constructed project. Please cite applicable USACE references as necessary. The structural design of all structural connections to the foundation, structural system and elements must comply with UFC and IBC's vertical and lateral wind/earthquake load requirements.

- Design analysis and calculations for retaining walls and excavation support system
- Design of shallow or deep foundations, including bearing capacity and settlement analysis if the construction is located within the line of protection or right-of-way and creates potential seepage problems
- Stability analysis including sliding, overturning, bearing, flotation, uplift and any seismic load effects for any alteration to the channel walls and/or flood walls
- Structural drainage control methods
- Water stops and contraction/expansion joints

HYDROLOGIC AND HYDRAULICS ANALYSIS

If applicable, the purpose of a hydrologic and hydraulics system performance analysis is to determine the potential hydrologic and hydraulics impact of proposed alterations.

See EC 1165-2-220, Appendix H for additional information.

Please provide an **Executive Summary** for the Hydrologic and Hydraulics Analysis detailing how each of the below items is addressed or not addressed and how your project impacts the Federally-constructed project. Please cite applicable USACE references as necessary.

- Summary of existing conditions and future conditions with proposed alterations

- Changes in velocity
- Changes in water surface profiles and flow distribution
- Scour Analysis
- Sediment Transport Analysis
- Upstream and Downstream impacts of proposed alterations
- Sources of pertinent data
- Watershed Hydrology
- HEC-RAS Model or Similar (include electronic files)

Submit above applicable require documents in the “B-Technical” Folder

REFERENCES

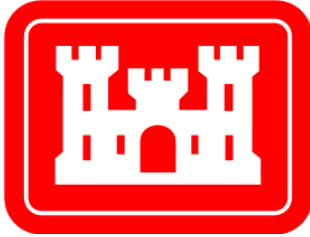
Please consider the following references in the design, construction, and/or work to be performed for the proposed alteration. These references are not inclusive but needs to be considered prior to submitting the Complete Permit Package. USACE publications are available from the Internet at: <http://www.usace.army.mil/library>.

The following table categorizes some of the relevant engineering guidance. Please reference EC 1165-2-220 for additional engineering guidance.

Access Roads	<ul style="list-style-type: none"> • EM 1110-2-1913, Design and Construction of Levees
Embankment Seepage	<ul style="list-style-type: none"> • EM 1110-2-1901, Seepage Analysis and Control for Dams • EM 1110-2-1913, Design and Construction of Levees
Erosion Protection	<ul style="list-style-type: none"> • EM 1110-2-1601, Hydraulic Design of Flood Control Channels • ETL 1110-2-120, Riprap Revetment Design • ETL 1110-2-334, Design and Construction of Grouted Riprap
Geotechnical Investigations	<ul style="list-style-type: none"> • ER 1110-1-1807, Drilling in Earth Embankments, Dams and Levees • EM 1110-2-1906, Laboratory Soil Testing • EM 1110-1-1804, Geotechnical Investigations • EM 1110-1-1906, Soil Sampling
Hydraulics	<ul style="list-style-type: none"> • EM 1110-2-1408, Routing of Floods through River Channels • EM 1110-2-1409, Backwater Curves in River Channels • EM 1110-2-1416, River Hydraulics • EM 1110-2-1601, Hydraulic Design of Flood Control Channels • EM 1110-2-1619, Risk-Based Analysis for Flood Damage Reduction Studies • FHWA-IP-90-014 Stream Stability at Highway Structures, Hydraulic Engineering Circular No. 20
Hydrology, Interior Drainage	<ul style="list-style-type: none"> • EM 1110-2-1405, Flood Hydrograph Analyses and Computations • EM 1110-2-1411, Standard Project Flood Determinations • EM 1110-2-1413, Hydrologic Analysis of Interior Areas • EM 1110-2-1417, Flood-Runoff Analysis

Levee Height and Geometry	<ul style="list-style-type: none"> • EM 1110-2-1913, Design and Construction of Levees • EM 1110-2-1619, Risk-Based Analysis for Flood Damage Reduction Studies • ER 1105-2-101, Risk Analysis for Flood Damage Reduction Studies
Operations and Maintenance	<ul style="list-style-type: none"> • ER 1110-2-401, Operation, Maintenance, Repair, Replacement, and Rehabilitation Manual for Projects and Separable Elements Managed by Project Sponsors
Sedimentation and Scour Analyses	<ul style="list-style-type: none"> • FHWA-IP-90-017 Evaluating Scour at Bridges, Hydraulic Engineering Circular No. 18 • EM 1110-2-4000, Sedimentation Investigations of Rivers and Reservoirs
Seismic	<ul style="list-style-type: none"> • ER 1110-2-1806, Earthquake Design & Evaluation of Civil Works Projects • EM 1110-2-1913, Design and Construction of Levees • ITL-92-11 The Seismic Design of Waterfront Retaining Structures
Settlement	<ul style="list-style-type: none"> • EM 1110-1-1904, Settlement Analysis • EM 1110-2-1913, Design and Construction of Levees
Slope and Channel Stability	<ul style="list-style-type: none"> • EM 1110-2-1902, Slope Stability • EM 1110-2-1418, Channel Stability Assessment for Flood Control Projects
Structural (Side-Drain Structures; Clear Cover Requirements, etc.)	<ul style="list-style-type: none"> • EM 1110-2-2000, Standard Practice for Concrete for Civil Works Structures • EM 1110-2-2007, Structural Design of Concrete Lined Flood Control Channels • EM 1110-2-2104, Strength Design for Reinforced Concrete Hydraulic Structures • EM 1110-2-2502, Retaining and Flood Walls • EM 1110-2-2504: Design of Sheet Pile Walls • EM 1110-2-2902, Conduits, Culverts and Pipes • ECB 2017-5 Revisions and Clarifications of EM 1110-2-2502 • ETL 1110-2-584 Design of Hydraulic Steel Structures
Vegetation	<ul style="list-style-type: none"> • EP-1110-2-18, Engineering and Design: Guidelines for Landscape Planting and Vegetation Management at Levees, Floodwalls, Embankment Dams, and Appurtenant Structures
Miscellaneous	<ul style="list-style-type: none"> • EC 1165-2-217, Water Resources Policies and Authorities, REVIEW POLICY FOR CIVIL WORKS • EM 1110-2-1914, Design, Construction, and Maintenance of Relief Wells • EM 1110-2-3102, General Principles of Pumping Station Design and Layout

	<ul style="list-style-type: none">• ER 1105-2-101, Risk Analysis for Flood Damage Reduction Studies• ER 1110-2-1150, Engineering and Design for Civil Works Projects• ASTM D5299-92, Standard Guide for Decommissioning Ground Water Wells, Vadose Zone Monitoring Devices, Boreholes, and Other Devices for Environmental Activities• 33 CFR 208.10, Local flood protection works; maintenance and operation of structures and facilities
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SECTION 408 PERMISSION OPERATION AND MAINTENANCE (O&M) SUBMITTAL CHECKLIST

**United States Army Corps of Engineers, Los Angeles
District (USACE-SPL)**

Is non-federal sponsor (Permit Requester/county) is responsible for O&M for this part of the USACE federally authorized project? Yes No

If Yes

Then non-federal sponsor (Permit Requester/County) must provide written documentation that the non-federal will be responsible for the operation and maintenance of the proposed Alteration.

If No

Then Requester will be responsible for the operation and maintenance of the proposed alteration. The Requester must identify any operations and maintenance requirements needed throughout the life of the proposed alteration and the responsible entity for the operations and maintenance into the future.

Please reference ER 1110-2-401, Operation, Maintenance, Repair, Replacement, and Rehabilitation Manual USACE publications are available from the Internet at: <http://www.usace.army.mil/library>.

An O&M Manual template for an addendum is provided as Appendix A below. A draft O&M Manual must submit with Section 408 Permit application, if applicable.

Submit above applicable require documents in the Folder identify as “C- O&M “

APPENDIX A
O&M Manual Addendum Guidance

OPERATIONS AND MAINTENANCE MANUAL ADDENDUM

PROJECT NAME

PERMIT/OUTGRANT NUMBER

BASIN/CHANNEL NAME

LOCATION (CITY AND STREETS)

DATE

TEMPLATE

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Appendix F – Inspection Checklist		FX
Appendix G – <i>*** Other Appendices as Needed***</i>		GX

SECTION 1 – INTRODUCTION

- 1-1 Purpose - ****Provide a general description of the overall project and purpose of the project.****
- 1-2 Location of the Project - ****Provide a detailed description of the project location including legal and verbal descriptions.****
- 1-3 References - ****Provide all appropriate references including reference to the existing O&M manual.****

SECTION 2 – PROJECT DESCRIPTION

- 2-1 Operation - ****Cover in detail the operations of the project that are necessary for the safe and efficient functioning of the project. This is to include whom is the responsible party and their contact information.****
- 2-2 Maintenance and Inspections - ****Cover the maintenance and inspection details required for the proper care and efficient operation of the various project elements. This is to include whom is the responsible party and their contact information.****
- 2-3 Emergency Operations - ****Present any emergency operation plans that cover preparations for the responses to project emergency conditions.****
- 2-4 Repair, Replacement, Rehabilitation, and Removal - ****Provide discussions on repair activities that are routine to maintain the project in a well kept condition, replacement activities for actions taken on worn-out elements or portion thereof to be replaced, rehabilitation activities necessary to bring deteriorated project back to its original condition, and removal activities that addresses responsibilities any actions necessary for removal of the feature after its service life.****
- 2-5 Regulatory Requirements - ****Although some activities which would normally be involved in maintenance of flood control are exempt from the statutory requirement for a Corps permit, or may be covered by a general permit, some maintenance activities may require specific authorization. Identify the operation and maintenance activities that will require a permit and those that are exempt.****

2-6 Easement Agreements - ****Should the proposing entity enter an new or existing easement agreement. This agreement does not diminish the overall responsibility of the proposing entity to operate and maintain the modified feature.****

SECTION 3 – PROJECT FEATURES

****Describe the features of this project****

SECTION 4 – SCHEDULE OF INSPECTION AND MAINTENANCE

****Provide a general schedule of what will be inspected and maintained and how****

SECTION 5 – UPDATING THE OPERATION AND MAINTENANCE MANUAL

****Provide how this Operation and Maintenance manual will be updated in the future if needed****

APPENDIX A

MARKED-UP PAGES FROM CURRENT O&M MANUAL

**** Insert pages from the existing O&M manual or other addendums that have been marked-up to direct readers to this addendum due to conflicts or changes. Each holder of an O&M manual should insert these pages into their copy of the document.****

APPENDIX B

AS-BUILT DRAWINGS

**** Insert 11" by 17" or other appropriately sized drawings to scale showing as-built conditions of the added feature or modifications.***. If as-built plans are not available then provide current construction Plan. Upon completion of the section 408 activity, please provide as-built plan*

APPENDIX C

TECHNICAL SPECIFICATIONS

**** Insert technical construction specifications/instructions of the added feature or modifications.****

APPENDIX D

CATALOG CUT SHEETS AND PERTINENT DATA

**** Insert catalog cut sheets, manufacturer's instructions, and/or any other pertinent data of the added feature or modifications.****

APPENDIX E

CONTACT LIST

****Include a list of contacts****

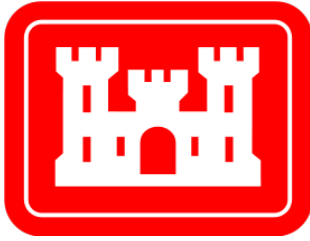
APPENDIX F

INSPECTION CHECKLIST

****Provide a sample inspection checklist that will be used during inspections****

APPENDIX G

****OTHER APPENDICES AS NEEDED****



SECTION 408 PERMISSION REAL ESTATE SUBMITTAL CHECKLIST

**United States Army Corps of Engineers, Los Angeles
District (USACE-SPL)**

Per EC 1165-2-220, a description of the Real Property (easement, permit, consent, etc.) required to support proposed Section 408 Activity must be provided. Applicant/Non-federal sponsors issuing permits, outgrants, or consents for alterations undertaken by others will ensure that the terms of the instrument or agreement are consistent with the terms and conditions of the Section 408 permission, if applicable.

Provide an exhibit showing proposed Section 408 Activity in the Property with APN number. (Hand drawn exhibit on County's APN map will be acceptable). Application may be considered incomplete without this exhibit.

When Non-Federal Sponsor (County/ District, Project Partners) is the Requester on behalf of a 3rd Party Permittee:

If the Requester has a Real Property interest (easement, permit, consent, etc.) on the Parcel, please provide the following:

- Copy of the real estate agreement between the Requester and Fee owner of this Property, and
- Copy of the real estate agreement between the 3rd Party Permittee and Fee owner, or
- A concurrency letter from Fee owner of the land that a real estate agreement will be provide to the Third Party Permittee.

If the Requester is the Fee owner of the Parcel, please provide the following:

- Copy of the easement agreement between the requester and 3rd Party Permittee, and
- Deed or any other evidence of Fee ownership of the land the requester.

If the Third-Party Permittee is the Fee owner of the Property, please provide the following:

- Deed (to verify Third Party Permittee is the Owner of the Land)
- A consent letter from the Requester

When the Non-Federal Sponsor (County/ District, Project Partners) is the Requester on behalf of their own in-house Project:

If the Requester has a Real Property interest (easement, consent, permit, etc.) on the Parcel, please provide the following:

- Copy of the real estate agreement between the Requester and Fee owner of the parcel.

If the Requester is the Fee owner of the Parcel, please provide the following:

- Deed or any other evidence of Fee ownership.

When 3rd Party Permittee submits a 408-permit application to U.S. Army Corps of Engineer

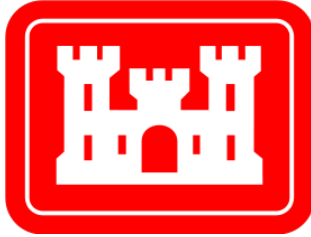
If the Third-Party Permittee is the Fee owner of the Property, please provide the following:

- Deed (to verify Third Party Permittee is the Owner of the Land), and
- A consent letter from the Non-Federal Sponsor (County/ District, Project Partners).

If the Third-Party Permittee has or will seek a Real Property interest over the Parcel, please provide the following:

- Copy of the real estate agreement between the Requester and Fee owner of the parcel and
- A consent letter from Non-Federal Sponsor (County/ District, Project Partners)

Submit above applicable require documents in the “D-Real Estate” Folder.



SECTION 408 PERMISSION NEPA COMPLIANCE SUBMITTAL CHECKLIST

**United States Army Corps of Engineers, Los Angeles
District (USACE-SPL)**

The purpose of this Checklist is to provide the Los Angeles District of the U.S. Army Corps of Engineers (USACE-SPL) sufficient information to determine if a Categorical Exclusion is legally sufficient, if an Environmental Assessment (EA) or an Environmental Impact Statement (EIS) is required to comply with the National Environmental Protection Act (NEPA). It is recommended the individual filling out this portion of the checklist is familiar with environmental compliance undertaken for the proposed project.

Please Provide an Environmental Compliance POC, the POC should be familiar with environmental compliance undertaken for this proposed project. Please include e-mail address and phone number where the individual can be reached during normal business hours.

Environmental Compliance POC Contact Information:

Name:

Affiliation:

Phone:

E-mail:

(Application will not proceed without POC contact information)

Note:

If a Section 408 Permit and a Regulatory Standard Individual permit are both required for the same proposed alteration/activity, then a single environmental compliance decision document can cover both the Section 408 and Regulatory Permit NEPA Compliance requirement. A sample Environmental Assessment may be found at:

<https://www.spl.usace.army.mil/Missions/Section-408-Permits/>

PROJECT DESCRIPTION

Please provide a detailed and complete project description, including all areas of disturbance to the federal structure or other structures; include areas to be used for ingress, egress, or staging of materials or equipment. Fully describe construction techniques to be used on that part of the project for which a 408 permit is required. If a Section 404/10/103 permit is required, fully describe jurisdictional waters of the U.S. and impacts to those waters¹. Include quantities/types of materials used as fill or removed from the site. Accurately describe any ground disturbing activity that will occur and provide acreage or lineal area of impact. Include maps/pictures/figures as necessary to fully explain proposal. Include duration/timing of activity (year-round, seasonal, etc.).

MAPS

Submit the GIS or Google Earth files as polygons for the areas listed below:

- Provide baseline maps depicting the project study area overlaid with the Section 408 permit area, and waters of the U.S. and special aquatic sites on an aerial image.
- Provide a map depicting the project footprint overlaid with the Section 408 permit area and Section 404/10/103 permit areas as distinct areas on an aerial image.
- Provide a map depicting the project footprint overlaid with the temporary and permanent impacts to waters of the U.S. and special aquatic sites on an aerial image.
- Provide a map showing staging areas, stockpile areas, haul roads, and ingress and egress to and from work site.

¹ Nationwide Permit General Condition 31

NEPA PURPOSE AND REVIEW NEED

Please provide a concise explanation for the project purpose and describe the need for the project.

Please answer the questions below. If separate documentation was prepared for the project, provide summary and page references in addition to the electronic files. If any of the questions are checked no, below, a justification why the information is not relevant or not required must be provided. This information is necessary pursuant to EC 1165-2-220, Appendix D – Environmental and Cultural Resources Compliance. The EC 1165-2-220 may be found at:

<https://www.spl.usace.army.mil/Missions/Section-408-Permits/>

GENERAL

1. Was a document prepared under the National Environmental Policy Act or the California Environmental Quality Act? (If yes, please provide electronic file)
 Yes No

2. Are you required to pursue authorization pursuant to Section 10 of the River & Harbors Act? (If yes, please provide a draft Regulatory application. Provide Regulatory Project Manager contact, if coordination with Regulatory Division has occurred.)
 Yes No

3. Are you required to pursue authorization pursuant to Section 404 of the Clean Water Act? (If dredged and/or fill material is to be discharged, provide reasons for discharge. If yes, provide a draft Regulatory application. Please note, per Nationwide Permit General Condition 31, if a 408 permit is required, a pre-construction notification is required. Provide Regulatory Project Manager contact, if coordination with Regulatory Division has occurred)
 Yes No

4. If there are any fills such as for BMPs/diversions such as sand bags or concrete barriers, a Section 404 permit is required. Please specify what work and activities are required within the culvert. Will any sand bags/concrete barriers, etc. be needed within the channel?
 Yes No

5. Are you required to pursue authorization pursuant to Section 103 of the Marine Protection, Research, and Sanctuaries Act? (If yes, please provide a draft Regulatory application. Provide Regulatory Project Manager contact, if coordination with Regulatory Division has occurred)
 Yes No

6. Are any other permits required for this action? (If yes, please identify and provide status)

Yes No Don't Know

EARTH RESOURCES

7. Would there be a significant change to local topography, increase in erosion, or increase in seismic impacts by the proposed project? (Please explain.)

Yes No

BIOLOGICAL RESOURCES

8. Are there any State or Federal Threatened or Endangered Species (TES) present?

Yes No

If yes, what species? Provide recent surveys.

9. Has California Department of Fish and Wildlife (CDFW) consultation been initiated? (applicable only if Question 7 was answered "yes")

Yes No

NOISE

10. Are there any sensitive receptors nearby?

Yes No

11. If yes, provide description of the receptor and its distance from the source.

HAZARDOUS, TOXIC AND RADIOACTIVE WASTE (HTRW)

12. Is HTRW an issue on the site? (Please explain.)

Yes No

RECREATION

13. Will recreation amenities be impacted? (Please explain.)

Yes No

CULTURAL RESOURCES

14. Has a Records Search been done at the State Information Center? (If yes, please provide electronic file. If the project will have potential ground disturbing activities, is near a known or potential cultural/historical resource or is on/near a structure greater than 50 years old, a records search and pedestrian survey is required. Please coordinate with the Corps Environmental Coordinator on developing an Area of Potential Effects Map. A sample cultural resources report may be found at:

<https://www.spl.usace.army.mil/Missions/Section-408-Permits/>

Yes No

15. Has a Literature Review been prepared? (If yes, provide electronic file)

Yes No

16. Has a Cultural Survey been done in the last five years? (If yes, please provide electronic file)

Yes No

17. Has a Tribal Contact List been obtained from the Native American Heritage Commission? (If yes, please provide electronic file)

Yes No

18. Has Tribal Consultation been conducted under the National Historic Preservation Act (NHPA "Section 106"), California Assembly Bill 52 (AB-52) or Senate Bill 18 (SB-18)? (If yes, please provide electronic file)

Yes No

19. Has consultation with the California State Historic Preservation Officer (SHPO) been conducted under Section 106 (Federal Agency) or through the Local Government Assistance Program? (If yes, please provide electronic file)

Yes No

Note: If the Tribal Consultation is confidential, please call to be referred to a District Archaeologist. If Section 106 consultation is required, the project proponent is responsible to provide the background, field studies, and reports in consultation with the Corps. The Corps is required to conduct the Tribal and SHPO consultation; a minimum of 60 days is required.

20. Who is proposing to undertake the action and which agencies and/or organizations have authority over it and responsibility for it?

21. What activities need to be accomplished to fully implement the action? Include vertical project area in feet, linear feet of linear project, and horizontal project area in acres or square feet. This should cover all aspects of construction, including staging areas and access routes.

22. Where is the proposed action going to be implemented, and where are all of the activities necessary for its implementation going to occur?

23. How will the proposed action be implemented, including details on the required support elements, and can it be broken down into various components or phases? Include information about staging area.

AIR QUALITY

24. Has an Air Quality Analysis been prepared? (If yes, please provide electronic file)

Yes No

25. Please provide the following:

- List of equipment and vehicles to be utilized for construction.
- Duration of construction.

CLIMATE CHANGE

26. Has a Climate Change Analysis been prepared? (If yes, please provide electronic file)

Yes No

WATER QUALITY

27. Will 401 Certification be required? (If yes, please provide status.)

Yes No

PUBLIC SERVICES

28. Will any Public Services be disrupted by the proposed project? (Please explain.)
 Yes No

PUBLIC HEALTH AND SAFETY

29. Will public health and/or safety be impacted or at risk by the proposed project?
(Please explain.)
 Yes No

TRAFFIC AND TRANSPORTATION

30. Will local traffic or other means of transportation be impacted by the proposed project? (If yes, please provide a Traffic Control Plan)
 Yes No

SOCIOECONOMICS/ENVIRONMENTAL JUSTICE

31. Would a minority or low income population be adversely impacted by the proposed project? (Please explain.)
 Yes No

OPERATIONS AND MAINTENANCE (O&M)

32. Future Operations and Maintenance will be performed by (Please provide full contact information including after-hours/emergency contact.):

By submittal of this information, the applicant certifies that the information provided is complete and correct, and acknowledges that if information provided is not sufficient for environmental review, the applicant will submit a draft environmental assessment for the proposed action developed in accordance with the National Environmental Policy Act before further action can be taken on the request for the permit

Date

Name/Title

Submit above applicable require documents in the Folder identify as “E-Environmental”:

REFERENCES

Please consider the following references in the design, construction, and/or work to be performed for the proposed alteration. These references are not inclusive but needs to be considered prior to submitting the Complete Permit Package. USACE publications are available from the Internet at: <http://www.usace.army.mil/library>.

The following table categorizes some of the relevant engineering guidance. Please reference EC 1165-2-220 for additional engineering guidance.

Environmental and Cultural Resources	<ul style="list-style-type: none">• Rivers and Harbors Act of 1899• National Environmental Policy Act• Endangered Species Act of 1973• National Historic Preservation Act
Environmental and Cultural Resources (continued)	<ul style="list-style-type: none">• Clean Water Act 1972• 33 CFR Part 230, Procedures for Implementing NEPA• 40 CFR Part 1500-1508, Council on Environmental Quality