



**Connecticut Department of
Energy & Environmental Protection**
Bureau of Central Services
Office of Planning & Program Development

Permit Application for a Section 401 Water Quality Certificate – FERC Hydropower Projects

Please complete this application form in accordance with the [instructions](#) (DEEP-OPPD-INST-100) in order to ensure the proper handling of your application. Print or type unless otherwise noted. You must submit a copy of the published notice of permit application and the completed [Certification of Notice Form](#) along with this form. There is no fee associated with this application. **[#1884]**

CPPU USE ONLY	
App #:	_____
Doc #:	_____
Check #:	_____
Program: Office of Planning and Program Development	

Part I: Application Type

<p>This application is for (check one):</p> <p><input type="checkbox"/> A new permit</p> <p><input type="checkbox"/> A renewal of an existing permit</p> <p><input type="checkbox"/> A modification of an existing permit</p>	<p>For renewals or modifications:</p> <p>1. Existing permit or authorization number:</p> <p>2. Expiration Date:</p>
<p>Town(s) where site is located: _____</p> <p>Brief Description of Project:</p>	

Part II: Public Notice Information

<p>The public notice of application must be published prior to submitting an application, as required in CGS section 22a-6g. A copy of the published notice of application and the completed Certification of Notice Form must be included as Attachment AA to this application. Your application will not be processed if Attachment AA is not included.</p> <p>Date of Publication: _____</p>

Part III: Applicant Information

- **If an applicant 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 applicant'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](#)).*
- *If an applicant 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.*

Part III: Applicant Information (continued)

1. Applicant Name (must be applicant for FERC license also):

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 application. 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.

a) Applicant Type (check one):

individual federal agency state agency municipality tribal

*business entity (*If a business entity complete i through iii):

i) check type: corporation limited liability company limited partnership
 limited liability partnership statutory trust Other: _____

ii) provide Secretary of the State business ID #: _____ This information can be accessed at *the Secretary of State's database* ([CONCORD](#)).

iii) Check here if your business is **NOT** registered with the Secretary of State's office.

b) Applicant's interest in property at which the proposed activity is to be located:

site owner option holder lessee

easement holder operator other (specify): _____

Check if any co-applicants. If so, attach additional sheet(s) with the required information as requested above.

2. Billing contact, if different than the applicant.

Name:

Mailing Address:

City/Town: State: Zip Code:

Business Phone: ext.:

Contact Person: Phone: ext.

E-mail:

3. Primary contact for departmental correspondence and inquiries, if different than the applicant.

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 application. 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.

Part III: Applicant Information (continued)

4. Attorney or other representative, if applicable.

Firm Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Attorney:

Phone:

ext.

E-mail:

5. Site Owner, if different than the applicant.

Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Contact Person:

Phone:

ext.

E-mail:

6. Engineer(s) or other consultant(s) employed or retained to assist in preparing the application [or in designing or constructing the activity].

Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Contact Person:

Phone:

ext.

E-mail:

Service Provided:

Check here if additional sheets are necessary, and label and attach them to this sheet.

Part IV: Site Information

1. SITE NAME AND LOCATION

a. Name of Site :

Street Address or Location Description:

City/Town:

State:

Zip Code:

Project No., if applicable:

b. Tax Assessor's Reference: Map

Block

Lot

(Assessor's reference is not required if requester is an agency of the State of Connecticut.)

Part IV: Site Information (continued)

1. c. Latitude and Longitude of the approximate "center of the site" in *degrees, minutes, and seconds*:

Latitude:

Longitude:

Method of determination (check one):

GPS USGS Map Other (please specify):

If a USGS Map was used, provide the quadrangle name:

- d. Drainage Basin number(s) wherein the proposed activity will take place:

- e. Flood Insurance Rate Map Panel Number:

Date of the map referenced:

2. **COASTAL BOUNDARY:** Is the activity which is the subject of this application located within the coastal boundary as delineated on DEEP approved coastal boundary maps? Yes No

If yes, and this application 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 I.

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.) or the local town hall or on the "Coastal Boundary Map" available at the [DEEP Store](#) (860-424-3555).

3. **NATURAL DIVERSITY DATA BASE (NDDDB) - ENDANGERED OR THREATENED SPECIES:** According to the most current "Natural Diversity Data Base Areas Maps", will the activity which is the subject of this application, including all impacted areas, be located within an area identified as, or otherwise known to be, a habitat for state listed endangered, threatened or special concern species?

Yes No Date of Map:

If yes, complete and submit a [Request for NDDDB State Listed Species Review Form](#) (DEEP-APP-007) to the address specified on the form, **prior** to submitting this application. Please note NDDDB review generally takes 4 to 6 weeks and may require the applicant to produce additional documentation, such as ecological surveys, which must be completed prior to submitting this permit application. A copy of the NDDDB Determination response letter that has not expired **must** be submitted with this completed application as Attachment J. Include a copy of any mitigation measures developed for this activity and approved by NDDDB. Be aware that you must renew your NDDDB Determination if it expires before project work commences.

For more information visit the DEEP website at [Endangered-Species-ReviewData-Requests](#) or contact the NDDDB at deep.nddbrequest@ct.gov.

4. **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 [local aquifer protection agent](#) or DEEP to take appropriate actions.

For more information on the Aquifer Protection Area Program visit the DEEP website at [Aquifer Protection](#) or contact the program at DEEP.AquiferProtection@ct.gov.

Part IV: Site Information (continued)

5. **CONSERVATION OR PRESERVATION RESTRICTION:** Is the property subject to a conservation or preservation restriction? Yes No

If Yes, proof of written notice of this application to the holder of such restriction or a letter from the holder of such restriction verifying that this application is in compliance with the terms of the restriction, must be submitted as Attachment K.

6. **Consultations:** Has [DEEP Inland Fisheries](#), [DEEP Water Planning & Standards](#), [U.S. Fish and Wildlife Service](#), as well as other consultants been contacted for recommendations and a plan of action for fish passage and water quality monitoring for pre and post construction work? Yes No

Their recommendations, as well as a plan of action must be submitted as described in Attachment C.

7. **Other Permits:** List any previous federal, state or local permits or certificates that have already been issued for the site or for the proposed activity:

<u>Type or Nature of Permit</u>	<u>Permit No.</u>	<u>Issuing Authority</u>	<u>Date Issued</u>	<u>Expiration Date</u>	<u>Permittee Name</u>
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Part V: Supporting Documents

Check the applicable box below for each attachment being submitted with this application form. When submitting any supporting documents, please label the documents as indicated in this part (e.g., Attachment A, etc.) and be sure to include the applicant's name as indicated on this application form.

The specific information required in each attachment is described in the [Instructions for Completing a Permit Application for a FERC Related 401 Water Quality Certificate](#) (DEEP-OPPD-INST-100).

- | | | |
|--------------------------|----------------|---|
| <input type="checkbox"/> | Attachment AA: | a copy of the published notice of permit application, as described in the instructions, attached to a completed Certification of Notice Form (DEEP-APP-005A) |
| <input type="checkbox"/> | Attachment A: | Executive Summary |
| <input type="checkbox"/> | Attachment B: | An 8 1/2" x 11" copy of a United States Geological Survey (USGS) Topographic Quadrangle Map (scale: 1:24,000) with the regulated activity or project site outlined or pinpointed, as appropriate. |
| <input type="checkbox"/> | Attachment C: | <i>Documentation Form for: Section 401 Water Quality Certification - FERC Hydropower Projects</i> (DEEP-OPPD-APP-101) (attached) |
| <input type="checkbox"/> | Attachment D: | Plan Sheets and Drawings – do not need to be submitted if included in the copy of the FERC application submitted with Attachment C - specify in the space provided here, their location within the FERC application. (e.g., section A, p. 2 of 3) _____ |

Part V: Supporting Documents (continued)

- Attachment E: Environmental Report – does not need to be submitted if included in the copy of the FERC application submitted with Attachment C - specify in the space provided here, its location within the FERC application. (e.g., section A, p. 2 of 3) _____
- Attachment F: Mitigation Report - wetlands and watercourses, fish and wildlife – does not need to be submitted if included in the copy of the FERC application submitted with Attachment C - specify in the space provided here, its location within the FERC application. (e.g., section A, p. 2 of 3) _____
- Attachment G: [Applicant Compliance Information Form](#) (DEEP-APP-002)
- Attachment H: [Applicant Background Information Form](#) (DEEP-APP-008)
- Attachment I: [Coastal Consistency Review Form](#) (DEEP-APP-004), if applicable.
- Attachment J: A copy of the NDDB Determination response letter that has not expired, if applicable. Include a copy of any mitigation measures developed for this activity and approved by NDDB. Do *not* submit any NDDB Preliminary Site Assessments with your application. Be aware that you must renew your NDDB Determination if it expires before project work commences.
- Attachment K: Conservation or Preservation Restriction Information, if applicable.

Number of Copies of Application:

Submit one original and one copy of all application forms, certifications, reports and supporting documents.

Part VI: Application Certification

The applicant *and all* individuals responsible for actually preparing the application or supporting documentation must sign this part. An application will be considered insufficient unless **all** required signatures are provided. You must include signatures of any person preparing any report or parts thereof filed in support of this application (i.e., professional engineers, surveyors, soil scientists, biologists, environmental and other consultants, etc.).

<p>“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.</p> <p>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.</p> <p>I certify that this application is on complete and accurate forms as prescribed by the commissioner without alteration of the text.</p> <p>I certify that I have complied with all notice requirements as listed in section 22a-6g of the General Statutes.”</p>	
<hr/> Signature of Applicant	<hr/> Date
<hr/> Name of Applicant (print or type)	<hr/> Title (if applicable)
<hr/> Signature of Preparer (if different than above)	<hr/> Date
<hr/> Name of Preparer (print or type)	<hr/> Title (if applicable)
<p><input type="checkbox"/> Check here if additional signatures are required. If so, please reproduce this sheet and attach signed copies to this sheet.</p>	

Please remember to publish notice of the permit application **prior** to submitting your completed application to DEEP. Send a copy of the published notice to the chief elected official of the municipality in which the regulated activity is proposed, and provide DEEP with a copy of the published notice, as described in the instructions, attached to a completed [Certification of Notice Form](#) (DEEP-APP-005A) as Attachment AA to this application.

Note: Please submit this completed form, Fee, and all Supporting Documents to:

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

Attachment C: Documentation Form for Section 401 Water Quality Certification – FERC Hydropower Projects

All applicants should review the application [instructions](#) (DEEP-OPPD-INST-100). Applicants for a section 401 Water Quality Certification should review Section 401 of the Federal Water Pollution Control Act (33 U.S.C. 1341) and Connecticut's Water Quality Standards.

If more space is needed for your response, duplicate the form and attach additional pages to the form. If additional pages are attached, they should be numbered and titled to correspond to the specific number and title of the request for information on the application form.

1. Applicant Name:
(as indicated on the main application form)

2. Name and location of watercourse(s) involved, include additional information on wetlands within or in close proximity to the named watercourse.

Attachment C: Documentation Form (continued)

3. Describe the purpose and need for the proposed project.

Check here if additional sheets are necessary, and label and attach them to this sheet.

Attachment C: Documentation Form (continued)

4. *Description of the Regulated Activity:*

4a. Indicate the area, in acres and volume in cubic yards, of any fill, excavation, or other alterations of wetlands, watercourses and floodplains.

acres

cubic yards

4b. Describe all proposed regulated activities in and affecting wetlands, watercourses and floodplains. Include all discharges of dredged or fill material and storm waters incidental to the construction and/or operation of the proposed project.

Check here if additional sheets are necessary, and label and attach them to this sheet.

Attachment C: Documentation Form (continued)

5. *Description of Site* - Describe all natural and man-made features at the property at which the regulated activity is proposed to be conducted.

Check here if additional sheets are necessary, and label and attach them to this sheet.

6. *Disposal of Excess Material* - State the type and quantity of excess material anticipated from the project and where such material will be disposed.

Check here if a disposal plan is included as Attachment C6.

Attachment C: Documentation Form (continued)

7. In order to obtain a Section 401 Water Quality Certification for a hydropower project from DEEP, you must have applied for a license from the Federal Energy Regulatory Commission (FERC) for an activity which may result in a discharge into the waters of the United States, including wetlands.

A complete copy of the FERC application, including all supporting documents, must be submitted as Attachment C7.

Provide the date that an application for a FERC license was submitted to FERC: _____

8. Is this project defined as a run-of-the-river hydropower facility? Yes No
(See [instructions](#) (DEEP-OPPD-INST-100) for the definition of a run of the river facility.)

9. **Fisheries Consultation:** Submit as Attachment C9, a summary of fisheries consultations, including consultations with [DEEP Inland Fisheries](#) and [U.S. Fish and Wildlife Service](#) and their recommendations for fish passage and environmental concerns. As a result of these recommendations, include the plan of action for fish passage and other identified environmental concerns.

10. **Plan for water quality monitoring pre and post construction/work:** Submit as Attachment C10, a summary of water quality monitoring consultations, including consultations with [DEEP Water Planning & Standards](#), and their recommendations for water quality monitoring for pre and post construction/work. As a result of these recommendations, include the plan of action for water quality monitoring for pre and post construction/work.

11. Summary of Documents submitted with Attachment C: Check each document being submitted under Attachment C as verification that all applicable documents have been submitted.

- Attachment C6: Disposal Plan
- Attachment C7: A complete copy of the FERC application and plans submitted to FERC.
- Attachment C9: Fisheries Consultations and plan of action
- Attachment C10: Water Quality Monitoring Pre and Post Construction/Work Consultations and plan of action
- Attachment C11: Other, please specify: