



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

## Form GP-016

Form for use by the dam owner or an associated party **with CT Licensed Professional Engineer oversight** to authorize activities in section 3(a) of the General Permit **GP-016** Approval of Filing.

CPPU USE ONLY	
App #:	_____
Doc #:	_____
Program: Dam Safety General Permits El: Dam Safety GP-016	

Please complete this form and include all indicated attachments, including a Notice to the Municipality, to ensure the proper handling of your filing. Print or type unless otherwise noted. **The proposed activities must not be initiated until written approval of this filing has been received.**

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

This filing is: (check the box):		
<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 for activities to be conducted with professional engineering oversight.		
Town where Dam is located:	Name of Dam:	CT DamID#:
Brief Description of Project:		

**Please note there is no fee associated with this filing.** [#2543]

### Part II: 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 ([onlineBusinessSearch \(ct.gov\)](http://onlineBusinessSearch.ct.gov)).
- 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 Innovative Partnerships and Planning at [DEEP.OPPD@ct.gov](mailto:DEEP.OPPD@ct.gov) . For any other changes you must contact the specific program from which you hold a current DEEP license.

## Part II: Filing Party / Registrant Information (continued)

1. 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.

a) Filing Party 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* ([onlineBusinessSearch \(ct.gov\)](http://onlineBusinessSearch.ct.gov)).

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

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 located:

site/property owner       option holder       lessee       easement holder       operator

other (specify): \_\_\_\_\_

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:

**Part II: Filing Party / Registrant Information (continued)**

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 III: Pre-Application Meeting**

**If a pre-application meeting was held concerning the subject activity, provide the following:**  
DEEP Staff Name: \_\_\_\_\_ Pre-Application Meeting Date: \_\_\_\_\_  
 Multiple permits  Single permit

## 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 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](mailto: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 Fisheries Dam Consultation](#)”. 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.

## Part IV: Site Information (continued)

- 4. 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 filing, 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? [(Impacted areas include, but are not limited to the following: limits of the dam, impoundment area, downstream flow areas, access roads, mobilization areas, and any other areas within the vicinity of the proposed work.)]

Yes       No      Date of Map:

If **Yes**, complete and submit a Natural Diversity Data Base Review Request using the DEEP's ezFile portal ([filings.deep.ct.gov/DEEPPortal/](http://filings.deep.ct.gov/DEEPPortal/)). To get started, create a user account and start a new NDDDB filing. Additional information about this new filing process can be found on the NDDDB [website](#). **All requests for review must go through the new NDDDB portal. Email [deep.nddbrequest@ct.gov](mailto:deep.nddbrequest@ct.gov) if you need help.**

Please note if NDDDB biologist review is required, it may take 6 to 8 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 filing as Attachment 4.** 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.

- 5. FILL IN WETLANDS.** Does the proposed work include any filling of federally regulated wetlands?

Yes       No

If **Yes**, before you file this form, you must contact the US Army Corps of Engineers at [cenae-r-ct@usace.army.mil](mailto:cenae-r-ct@usace.army.mil) to determine the appropriate federal permitting requirements. Such work must meet the requirements for either Self-Verification or Pre-Construction Notification under a USACE Connecticut General Permit, or comply with the applicable requirements of the USACE Nationwide Permits whenever filling of federally regulated wetlands is proposed.

- 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. If **no**, include an explanation as to why and include 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 [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](mailto:DEEP.AquiferProtection@ct.gov).

## Part IV: Site Information (continued)

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. **TRIBAL RESERVATION LANDS:** Will the activity which is the subject of this application be located on:

- a) Federally recognized tribal reservation lands? (refer to [EPA's Region 1 Tribal Program](#) to confirm)  
 Yes  No

*If Yes, permit applicants should contact [EPA's Region 1 Tribal coordinator](#) if they are proposing development on a federal reservation.*

- b) State recognized tribal reservation lands?  Yes  No

*If Yes, state permits may be required. Please contact [CT DEEP Tribal Affairs](#) for potential permitting requirements.*

11. **COASTAL BOUNDARY:** Will the activity which is the subject of this application be 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, submit a [Dam Safety Coastal Consistency Review Form](#) with this completed application as Attachment 9.

Information on the coastal boundary is available at [www.cteco.uconn.edu/map\\_catalog.asp](http://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 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](#) (DEEP-DAMSAFETY 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 allowable work under this filing are indicated in each category.

The filing party and professional engineer must prepare and include drawings and plans in Attachment 1 and more detailed descriptions of the proposed work and supporting information such as computations and material descriptions, procedures to be used, etc. in Attachments 1 and 1-A (see Part VI below).

If quantities of work needed exceeds these amounts, an individual permit is required. Refer to the [website](#) for additional information on an individual permit application.

### Part V. Activities which may only 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.  **Activities authorized under the General Permit-014 and General Permit-015.**

List the proposed activities:

2.  **Installation of engineered toe drain systems.**

*You may install greater than 200 linear ft of new engineered toe drains. Filing must include in Attachment 1 and 1-A 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:

3.  **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:

4.  **Placing new or replacing greater than 25 cubic yards of riprap on dams, along embankments and within spillway discharge channels.**

*You may install greater than 25 cubic 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:                      cubic yards.

5.  **Removing tree root systems and restoration of dam embankment crest and slopes.**

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

6.  **Repairs to and construction of concrete structures on dam.**

*Use the parameters from Part IV 2 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 repairing 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.  **Slip-lining 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.  **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:
10.  **Installation of utility poles on the dam embankment provided all drilling and associated activities that use fluid or other circulation or stabilization media are evaluated for the potential to hydraulically fracture the embankment or foundation.**
11.  **Removal of DEEP Dam Safety confirmed class A (Low) or class BB (moderate) downstream hazard dam.**  
*All the documentation required by section 3(a)11 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)**

12.  **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)11 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:

13.  **Installation of fishways at spillways** which do not reduce the capacity of the primary or auxiliary spillways.

Brief description of the proposed fishway project:

14.  **Installation and maintenance of triploid grass carp screens at a dam.**  
Requires prior consultation with DEEP Fisheries Division regarding the specific needs for screening at the dam.

15.  **Improvements to spillway discharge channels to allow for fish migration by such means as rock weirs or other similar modifications.**

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 indicated in Part V include photographs, sketches, diagrams, and reports as 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 fully labeled to show all pertinent features necessary to properly 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 Fisheries Division to the consultation form regarding the fishway determination and any drawdown / fisheries interests in the proposed work.
- Attachment 4: A copy of the NDDDB Determination response letter that has not expired, if applicable. Include a copy of any mitigation measures developed for this activity and approved by NDDDB. Do *not* submit any NDDDB Preliminary Site Assessments with your application. Be aware that you must renew your NDDDB Determination if it expires before project work commences.
- Attachment 5: Confirmation from the US Army Corps of Engineers (USACE) that the proposed work meets the requirements for either Self-Verification or Pre-Construction Notification under a USACE Connecticut General Permit or complies with the applicable requirements of the USACE Nationwide Permits whenever filling of federally regulated wetlands is proposed.
- 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-DAMSAFETY-DSGP-014-015-016 Notice to Municipality) which shows the stamp of the municipality indicating the date the notice was delivered to the municipality.
- Attachment 8: 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, if applicable.
- Attachment 9: [Dam Safety Coastal Consistency Review Form](#), 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 and agree to comply with the terms and conditions of the General Permit to Conduct Dam Repairs and Alterations – GP-016: Approval of Filing.

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

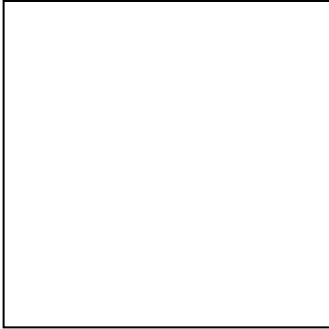
\_\_\_\_\_  
Name of Preparer (print legibly or type)

\_\_\_\_\_  
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		
		

Instructions for submittal:

Submit this completed form (without attachments) via email to [DEEP.CentralPermits@ct.gov](mailto:DEEP.CentralPermits@ct.gov) and copy [DEEP.DamSafety@ct.gov](mailto:DEEP.DamSafety@ct.gov). The contacts listed in the application will receive a Confirmation of Application Receipt email that includes the Permit Application #, the next business day after it is processed.

Submit the remaining parts of the form (applicable attachments), via email to [DEEP.DamSafety@ct.gov](mailto:DEEP.DamSafety@ct.gov) and reference the Permit Application #, Dam ID #, Dam Name, and Permit Type in the email subject heading.