

DAM SAFETY APPLICATION FORM

NOTE: All applications must include a Dam Safety Application Form. This form should be completed to the best of your knowledge and ability. Applications that do not include this form will be considered incomplete and will not be reviewed. Fees are required for certain submissions - please carefully review our [Fees Page](#) for more information. Applications that require a fee will only be considered complete and acceptable for review once the fee is received. If a fee is required, but not received, the application will be deemed incomplete and will not be reviewed until the application fee is received. To send your application fee, please submit a check following the mailing instructions below:

via USPS:

Dam Safety Program
1612 Mail Service Center
Raleigh
NC 27699-1612

via Courier:

Dam Safety Program
Archdale Building, Fifth Floor
512 North Salisbury Street
Raleigh
NC 27604

Applications should not be emailed or mailed to our internal engineering staff. Please send applications to the attention of Dam Safety and it will be marked with the received date corresponding to when the electronic copy is received.

Applicants must send one electronic copy to our Central Office using one of the following processes:

- Email it to our Dam Safety account: DamSafety@deq.nc.gov. The subject line must include the Dam Name, State ID, and application type.
- Load onto a drive and mail it to the appropriate address based on your preferred method (see above addresses).
- Upload files on a Secure File Transfer Protocol (SFTP) site and send the link, login, and password to DamSafety@deq.nc.gov. Login information and passwords should be sent in two separate emails. Per the North Carolina Department of Information Technology, Dropbox does not meet SFTP requirements.

Applicants must send one hard copy of any engineering plans/drawings, along with a transmittal sheet stating the Dam Name, State ID, and application type to the appropriate Regional Office based on the county your dam is located in. Regional Offices cover different counties, so please check the [Contact DEMLR Page](#) for the address of the appropriate Regional Office based on the county your dam is located in.

- Hard copies are required to be sent to the appropriate Regional Office for engineering plans/drawings only.
 - Hard copies are not required for Jurisdictional Determinations/Hazard Classifications, Emergency Actions Plans, Operations & Maintenance Plans, Change of Engineer-of-Record Requests, Change of Dam Owner Requests, Extension Requests, Withdrawal Requests, or other supporting documentation (e.g., design reports, calculation packages, etc.) submitted alongside engineering plans.
- Hard copies are not required to be submitted to the Central Office.

Failure to complete this process will result in an incomplete application. Incomplete applications will be returned to the applicant for corrections and will require resubmission of all documents as a 'new' submission. If a hard copy is accidentally sent to the incorrect Regional Office, it is the responsibility of the applicant to retrieve the documents or to prepare a new copy and send them to the correct Regional Office.

APPLICATION TYPE

NOTE: All applications are reviewed on a first come, first serve basis. When available to do so, our staff may conduct expedited reviews on a case-by-case basis determined by exceptional need and/or emergency situations. Modification/repair, decommission/breach, new construction, and as-built applications are placed into a single review queue. All other application types have separate review queues.

All applications shall be made in general accordance with the *Dam Safety Law of 1967* and the *North Carolina Administrative Code (NCAC) Title 15A, Subchapter 2K - Dam Safety*.

Applications need only contain supporting documentation (specialized calculation packages, geotechnical reports, etc.) when pertinent to scope of work being proposed. For example, plans to repair a slough may need slope stability calculations but do not necessarily need hydrology and hydraulics calculations. Should our staff identify potential deficiencies with the dam beyond those addressed in the application, they may request additional supporting material to address those deficiencies on a case-by-case basis. Approval to conduct the work proposed herein may be conditional upon submitting a plan to address additional deficiencies as identified by the reviewer.

Dam Name: _____ **State ID:** _____

Application Type (check as applicable):

Application Fee Required

- Modification/Repair
- Decommission/Breach
- New Construction
- As-Built

Have you mailed your Application Fee (if applicable)?

- Yes
- No

Per § 143-215.28A(a1)(1), your application will be deemed incomplete and will not be reviewed until the application fee is received.

No Application Fee Required

- Jurisdictional Determination/Hazard Classification
- Emergency Action Plan (EAP)
- Operations & Maintenance Plan (O&M)
- Change of Engineer-of-Record
- Change of Dam Owner
- Extension Request
- Withdrawal Request

NONREFUNDABLE APPLICATION PROCESSING AND COMPLIANCE FEE

Per § 143-215.28A(a1), a nonrefundable application processing and compliance fee in the amount of two and one-quarter percent (2.25%) of the **actual** cost of construction, repair, alteration, breach, or removal of the applicable dam shall be paid for the processing of the applications types of modifying/repair a dam, decommission/breaching a dam, and constructing a new dam as follows:

1. An initial fee of five hundred dollars (\$500.00) **OR** one-half of the application processing and compliance fee based on the engineer's **estimated** cost of construction, **whichever amount is greater**, shall be submitted with the application.
2. The remaining fee of the application processing and compliance fee based on the engineer's **actual** cost of construction (minus the Initial Fee paid), shall be submitted with the as-built application. The maximum total fee shall not exceed fifty thousand dollars (\$50,000).

For purposes of determining the **actual** cost of construction, the cost shall (i) include all labor and materials costs associated with the project for the applicable dam and (ii) not include the costs associated with acquisition of land or right-of-way, design, quality control, electrical generating machinery, or constructing a roadway across the dam.

Fee Type:

Initial Fee

(A) **Estimated** Construction Cost: \$ _____

(B) **Estimated** Total Fee: \$ _____
(2.25% of A)

(C) Initial Fee: \$ _____
(the greater of 50% of B **OR** \$500.00)

Remaining Fee (As-Built)

(A) **Actual** Construction Cost: \$ _____

(B) **Actual** Total Fee: \$ _____
(2.25% of A)

(C) Initial Fee Paid: \$ _____

(D) Remaining Fee: \$ _____
(B minus C)

NOTE: Additional information regarding application fees can be found in § 143-215.28A(a1). Final Approval to Impound or Breach will not be granted without the submission of a complete As-Built application, including the Remaining Fee.

PROFESSIONAL ENGINEER REQUIREMENTS

15A NCAC 02K .0203 – *The design, preparation of the plans and specifications, inspection of the construction of or on the dam, and certification that the dam was constructed, repaired, altered, or removed according to the plans approved by the Director and that the dam or its remains are safe shall be done by a legally qualified engineer and shall bear their professional seal unless exempted under the provisions of G.S. 89C-25.*

Change of Engineer-of-Record Requests, Change of Dam Owner Requests, and Extension Requests are not required to be prepared by a registered Professional Engineer (PE) licensed to practice in the State of North Carolina. Jurisdictional Determination/Hazard Classifications are not required to be prepared by a PE licensed to practice in the State of North Carolina. In addition, per § 143-215.31(a1)(2)(d), a downstream inundation map prepared for an Emergency Action Plan does not require preparation by a PE licensed to practice in the State of North Carolina or a person under the responsible charge of a PE licensed to practice in the State of North Carolina, unless the dam is associated with a coal combustion residuals surface impoundment, as defined by § 130A-309.201. All other application types must be prepared by a PE licensed to practice in the State of North Carolina and shall bear their professional seal.

Check as applicable:

- My application ***is not*** required to be prepared by a registered PE licensed to practice in the State of North Carolina.
- My application ***is*** required to be prepared by a registered PE licensed to practice in the State of North Carolina. See the signed statement below.

PROFESSIONAL ENGINEER'S STATEMENT

I am a registered Professional Engineer licensed to practice in the State of North Carolina. I am qualified in the technical fields pertinent to the scope of work proposed herein. This application was prepared by me, or under my supervision. The information submitted as part of this application is, to the best of my knowledge and belief, true, accurate, and complete.

Date: _____

Firm: _____

Name: _____

Phone Number: _____

Email Address: _____

Affix Seal:

Mailing Address: _____

DAM OWNER INFORMATION

Owners Full Name: _____

Address: _____
Street or PO Box City State Zip Code

Phone Number: _____ **Email Address:** _____

Owners Full Name: _____

Address: _____
Street or PO Box City State Zip Code

Phone Number: _____ **Email Address:** _____

Owners Full Name: _____

Address: _____
Street or PO Box City State Zip Code

Phone Number: _____ **Email Address:** _____

Owners Full Name: _____

Address: _____
Street or PO Box City State Zip Code

Phone Number: _____ **Email Address:** _____

NOTE: If there are additional owners, use the additional information sheet to provide the required contact information.

DAM INFORMATION

Dam Name: _____ State ID: _____

Current Hazard Classification (check one):

- High (Class C) Intermediate (Class B) Low (Class A)

Size Classification (check one) – refer to 15A NCAC 02K .0205:

- Small Medium Large Very Large

Location of Dam (in decimal degrees)

Latitude (yy.yyyy): _____ Longitude (-xx.xxxx): _____

Physical Dam Information

Type of Dam: _____
concrete, earth fill, rockfill, masonry, zoned, homogeneous, gravity, arch, etc.

Structural Height (ft): _____ Crest Elevation (ft NAVD88): _____
from the highest point on the top of dam to the lowest point on the downstream toe of the dam

Crest Length (ft): _____ Crest Width (ft): _____

Upstream Slope: _____ : _____ Bottom Drain (Y/N): _____
H V

Downstream Slope: _____ : _____ Date Bottom Drain Last Exercised: _____
H V

Year of Construction: _____

Impoundment Information

Drainage Area (ac): _____

Normal Pool Elevation (ft NAVD88): _____ Maximum Pool Elevation (ft NAVD88): _____

Surface Area at Normal Pool (ac): _____ Surface Area at Maximum Pool (ac): _____

Impounding Capacity at Normal Pool (ac-ft): _____ Impounding Capacity at Maximum Pool (ac-ft): _____

Maximum Impounding Capacity at Top of Dam (ac-ft): _____

Freeboard at Normal Pool (ft): _____ Freeboard at Maximum Pool (ft): _____

Spillway Information

Principal Spillway

**Auxiliary/Emergency Spillway
(if applicable)**

Spillway Type: _____

Construction Material: _____

Length (ft): _____

Width (ft): _____

Inlet Invert Elevation (ft NAVD88): _____

Outlet Invert Elevation (ft NAVD88): _____

Flow Capacity (cfs): _____

NOTE: If there are additional spillways, use the additional information sheet to provide the required information.

PROJECT DESCRIPTION

Provide a brief description of your proposed project.

ADDITIONAL INFORMATION