

APPLICATION PROCESS

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 be rejected. Fees are required for certain submissions, please view our [Fees Page](#) for more information. Applications that require a fee will only be considered completed, and accepted for review once the fee is received. If a fee is required, but not received, the application will be considered incomplete. To send your 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

Plans/submissions should not be emailed or mailed directly to our internal engineering staff. Please send 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 number, and type of application.
- Load it on a drive and mail it to the correct address based on your preferred method (see above).
- Upload files on 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 North Carolina Department of Information Technology, DropBox does not meet SFTP requirements.

The applicant must also send one hard copy of any engineering plans/drawings, along with a transmittal sheet stating the dam name, State ID number, and type of application, to the appropriate Regional Office based on the dam's location. Regional Offices cover different counties, 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 Emergency Actions Plans, Jurisdictional Determinations/Hazard Classifications, Operations and Maintenance Manuals, Extensions, Change of Engineer, Change of Owner, 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 engineer/owner for corrections and will require re-submission 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 “sender” to either retrieve the documents or prepare a new copy and send them to the correct Regional Office.

APPLICATION FOR REVIEW BY NORTH CAROLINA DAM SAFETY

NOTE: All applications are reviewed on a first come, first served basis. Expedited reviews may be made on a case-by-case basis based on exceptional need. You can view your position in the queue by accessing the “NC Dam Applications Review Queue” located [here](#). Modifications, repairs, decommission/removal/breach, and new construction are considered “Engineering Plans” and should be combined into a single group for the purposes of assessing your position in the queue. All other types of applications have separate queues.

Applications should 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, e.g. calculation packages, technical specifications, etc., pertinent to scope of work being proposed. For example, plans to repair only a slough need slope stability calculations, but no hydrology and hydraulics (H&H) calculations. Should the reviewing engineer identify potential deficiencies with the dam, beyond those addressed in this 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 reviewing engineer.

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

Application type (check as applicable):

\$200 Initial Review Fee Required

- Modification
- Decommission/Removal/Breach
- New Construction

Have you mailed your initial review fee following the APPLICATION PROCESS instructions?

- Yes
- No

Your application will be considered incomplete until your fee is received. Incomplete applications are not added to the application review queue.

No Initial Fee Required

- Repair
- As-Built (see note below)
- Jurisdictional Determination/Hazard Classification
- Emergency Action Plan
- Operations & Maintenance Plan
- Change of Engineer of Record
- Change of Dam Owner
- Extension Request
- Withdrawal Request

NOTE: Guidance on what projects qualify as a modification vs. repair can be found [here](#). For modifications, decommission/removal/breach, or new construction, an additional post-construction fee is required to be submitted as part the as-built submission. As-Built for repairs do not require a post-construction fee. See the [fees page](#) for more information. Final Approval to Impound or Breach will not be granted without the submission of a complete as-built package, which includes this fee.

15A NCAC 02K .0203 – 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, Change of Dam Owner, and Extension Requests are not required to be prepared by a registered professional engineer licensed to practice in the State of North Carolina (NC PE). Jurisdictional Determination/Hazard Classification requests are not required to be prepared by an NC PE, if prepared by the Dam Owner. In addition, per § 143-215.31.(2)d., a downstream inundation map prepared for an Emergency Action Plan does not require preparation by an NC PE or a person under the responsible charge of an NC PE unless the dam is associated with a coal combustion residuals surface impoundment, as defined by G.S. 130A-309.201. All other types of applications must be prepared by a NC PE and shall bear their professional seal.

Check as applicable:

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

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: _____

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 Information

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-ft): _____ Surface Area at Maximum Pool (ac-ft): _____

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

Maximum Impounding Capacity at Crest 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