

## 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](mailto: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](mailto: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):

#### Application Fee Required

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

***Have you mailed your applicable fee following the APPLICATION PROCESS instructions?***

- Yes
- No

**Per § 143-215.28(A1)(1), your application will be considered incomplete until your fee is received. Incomplete applications are not added to the application review queue.**

#### 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

## APPLICATION FEES

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 applications for approvals to construct a new dam or modify, repair, decommission, remove, breach an existing dam as follows:

1. An initial fee of five hundred dollars (\$500.00) or one-half of the 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 remainder of the processing and compliance fee based on the engineer's **actual** cost of construction (minus the initial fee paid), shall be paid when the as-built plans are submitted. The maximum 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: \$ \_\_\_\_\_  
(greater of 50% of B, or \$500)

**Final Fee (as-builts only)**

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

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

(C) Initial Fee Paid: \$ \_\_\_\_\_

(D) Final Fee: \$ \_\_\_\_\_  
(B minus C)

**NOTE:** Additional information regarding application fees can be found in § 143-215.28A1 "Application fees". Final Approval to Impound or Breach will not be granted without the submission of a complete as-built package, which includes the final 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.

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**ADDITIONAL INFORMATION**