



# Department of Transportation

## Mitchell Region Office

PO Box 1206  
Mitchell, SD 57301-7206 605/995-8129  
FAX: 605/995-8135

July 20, 2018

TO: Interested Bidders

### ADDENDUM 1

RE: P TAPU(12), Yankton County - PCN 05C8  
Shared Use Path - Grading, Storm Sewer/Culvert Work,  
Concrete Sidewalk, Fencing, Pavement Marking & Signing  
Fox Run Trail Along SD50 and West City Limits Road in Yankton

The following addenda to the contract proposal and plans shall be inserted and made a part of your contract proposal and plans for the above referenced project:

### PROPOSAL

Remove the existing Index of Special Provisions and replace it with the enclosed revised Index of Special Provisions.

Delete the Special Provision Regarding Restricted Work at Drainage Crossings or Wetlands, dated 6/28/18.

Insert the Special Provision Regarding Railroad Insurance Requirements for BNSF Railway Company, dated 6/25/18.

Insert the Special Provision Regarding Working on Railroad Property for BNSF Railway Company, dated 6/25/18.

Insert the Special Provision Regarding Section 404 of the Clean Water Act, dated 7/9/18.

Insert the Nationwide Permit 23 & Regional Conditions.

### PLANS

No change.

Proposal and Plans (and Addenda, when applicable) can be accessed at the following link:

<http://sddot.com/business/contractors/bid/region/Default.aspx>. Prior to submitting a bid, it is the bidder's responsibility to examine the project in accordance with Section 2.5 of the specifications. It is also the bidder's responsibility to acknowledge and account for any addenda issued prior to bid opening.

Very truly yours,

**DEPARTMENT OF TRANSPORTATION**

Craig Smith, Region Engineer

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Monte D. Rice, Region Design Engineer

cc: Humphrey – Construction and Maintenance  
K. VanDeWiele – Bid Letting  
Pickner – TAP  
R. Johnson/Motschenbacher/Kruger – Operations Support  
Schaefer – Certification  
Hansen – Civil Rights  
Reiss – Planning & Programs  
Gall/Rothschadl – Yankton Area  
Gustafson – Operations  
Long – Materials  
Leiferman – Project Development  
Birger – Railroads  
C. Bailey – City of Yankton



**INDEX OF SPECIAL PROVISIONS****PROJECT:** **P TAPU(12)** **PCN 05C8****COUNTY:** **YANKTON****TYPE OF WORK:** **SHARED USE PATH****THE FOLLOWING ITEMS ARE INCLUDED IN THIS PROPOSAL FORM:**

Special Provision for Subletting of Contract, dated 6/26/18.

Special Provision Regarding Railroad Insurance Requirements for BNSF Railway Company, dated 6/25/18.

Special Provision Regarding Working on Railroad Property for BNSF Railway Company, dated 6/25/18.

Special Provision Regarding Section 404 of the Clean Water Act, dated 7/9/18.

Nationwide Permit 23.

Regional Conditions.

Special Provision for Contractor Administered Preconstruction Meeting, dated 3/15/16.

Fuel Adjustment Affidavit, DOT form 208 dated 7/15.

Standard Title VI Assurance, dated 3/1/16.

Special Provision For Disadvantaged Business Enterprise, dated 5/20/15.

Special Provision For EEO Affirmative Action Requirements on Federal and Federal-aid Construction Contracts, dated 9/1/97.

Special Provision for Required Contract Provisions Federal-Aid Construction Contracts FHWA 1273 (May/1/12) dated 4/30/13.

Required Contract Provisions - Federal-aid Construction Contracts, Form FHWA 1273 (Rev. 5/1/12).

Special Provision for Cargo Preference Act, dated 1/20/16.

Special Provision Regarding Minimum Wage on Federal-Aid Projects, dated 4/30/13.

Wage and Hour Division US Department of Labor Washington DC.

- US Dept. of Labor Decision Number SD180001, dated 4/6/18.

Special Provision for Supplemental Specifications to 2015 Standard Specifications for Roads and Bridges, dated 4/18/18.

Special Provision for Errata to 2015 Standard Specifications for Roads and Bridges, dated 4/4/18.

Special Provision for Price Schedule for Miscellaneous Items, dated 6/6/18.

Special Provision Regarding Storm Water Discharge to Waters of the State, dated 5/8/18.

General Permit for Storm Water Discharges Associated with Construction Activities, dated 4/1/18.

<http://denr.sd.gov/des/sw/Permits/ConstructionGeneralPermit2018.pdf>

**Plans for Project – Sheets 1 through 114.**

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STATE OF SOUTH DAKOTA  
DEPARTMENT OF TRANSPORTATION

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SPECIAL PROVISION REGARDING  
RAILROAD INSURANCE REQUIREMENTS FOR  
BNSF RAILWAY COMPANY

P TAPU(12), PCN 05C8 YANKTON COUNTY

SHARED USE PATH SD50, YANKTON, SD, DOT 382260W @ RR MP 577.537, LS 2001

June 25, 2018

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Before commencing any work on, over, or near BNSF property, the Contractor will provide and maintain in effect insurance covering all of the work and services to be performed by the Contractor and each of its subcontractors in the coverage and minimum amounts as noted below:

1. Railroad Protective Liability: **BNSF Railway Company will be the Named Insured** for bodily injury and property damage of \$2,000,000 per occurrence and \$6,000,000 in the aggregate. This insurance *will include the Limited Seepage and Pollution Liability Endorsement, Pollution Exclusion Amendment, and Notice of Change Endorsement.*
2. Commercial General Liability: **BNSF Railway Company will be named an Additional Insured** for bodily injury, property damage and contractual liability for work being performed within 50 feet of railroad property, in the amount of \$2,000,000 per occurrence, with an aggregate of \$4,000,000.
3. Automobile Liability: **BNSF Railway Company will be named an Additional Insured** for bodily injury and property damage, with coverage of at least \$1,000,000 combined single limit or the equivalent covering any and all vehicles owned or hired by the Contractor and used in performing work for this project.
4. Workers' Compensation Insurance: As required under the South Dakota Workers' Compensation Law.

**RAILROAD PROTECTIVE LIABILITY**

At the Contractor's option, the Contractor may obtain a Railroad Protective Liability Insurance Policy from an insurance agent or the insurance is available for purchase from the BNSF's Public Project Railroad Protective Program through Marsh USA, Inc.

Inquiries for premium rates for insurance to be purchased from the BNSF's Public Project Railroad Protective Program are to be directed to:

Marsh USA, Inc.  
1717 Main Street, Suite #4400  
Dallas, Texas 75201  
Attn: Rosa Martinez, telephone #214-303-8519

## CERTIFICATE OF INSURANCE

The Contractor will obtain a Certificate of Insurance evidencing the issuance of insurance coverage as prescribed in items 2, 3, and 4 above. A Waiver of Subrogation is to be shown in favor of the Railroad as respects to the General Liability, Automobile Liability and Workers' Compensation. Also required is primary and non-contributing wording as respects to the General Liability and Automobile Liability.

### NAMED INSURED

The certificate holder for Certificate of Insurance and the named insured for Railroad Protective Liability will read:

\_\_\_\_\_  
BNSF Railway Company  
\_\_\_\_\_  
PO Box 140528  
\_\_\_\_\_  
Kansas City, MO 64114  
\_\_\_\_\_  
Email: bnsf@certfocus.com

Questions regarding BNSF's insurance requirements are to be directed to Vickie Barnett, Assistant Manager – Risk Management, BNSF Railway Company, at 817-352-2414.

### SUBMITTAL OF INSURANCES TO BNSF AND STATE

- A. The Contractor will submit the **BNSF Public Project Notification Form for the State of South Dakota** to BNSF's Certificate Tracking Administrator, CertFocus. (See page 4 of 4 of this special provision for the form.)
- B. The Contractor will submit its signed original policy for Railroad Protective Liability Insurance to BNSF's Certificate Tracking Administrator, CertFocus. The original policy is to be submitted as Certificates of Insurance for Railroad Protective Liability Insurance are not acceptable. The original policy must also have all pertinent endorsements attached, including those mentioned in item 1. The funding agency, location with a complete description of the job, and project number will appear on the policy.

If the Contractor has obtained Railroad Protective Liability Insurance from the BNSF's Public Project Railroad Protective Program, MARSH USA, Inc. will forward the required acknowledgement document to CertFocus.

- C. The Contractor will submit a signed Certificate of Insurance evidencing the issuance of insurance coverage as prescribed for Commercial General Liability, Automobile Liability, and Workers' Compensation Insurance to CertFocus.
- D. The Contractor will submit copies of BNSF approved Railroad Protective Liability Insurance policy or MARSH USA's acknowledgement document and Certificate of Insurance to the State's Area Engineer.

The Contractor will submit the information as requested in items A, B, C, and D to:

**CertFocus**

PO Box 140528

Kansas City, MO 64114

Email: [bnsf@certfocus.com](mailto:bnsf@certfocus.com)

**Fax number: 817-840-7487**

**Toll Free: 877-576-2378**

**AND Rod Gall, Yankton Area Engineer**

South Dakota Department of Transportation

1306 W 31st.

Yankton, SD 57078-9662

Email: [Rod.Gall@state.sd.us](mailto:Rod.Gall@state.sd.us)

**Telephone Number: 605-668-2929**

**The Contractor will not proceed with any work on, over, or near BNSF property (at a minimum of 50 feet from centerline of any track) until the Contractor has been notified by the BNSF that the required insurances have been approved and documentation of approval has been provided to the Area Engineer.**

All costs associated with these insurance requirements, including increasing policy limits, when required, will be incidental to the bid item RAILROAD PROTECTIVE INSURANCE.

The parties mutually understand and agree that the purchase of insurance will not in any way limit the liability of the Contractor to the Railroad.

**Failure to obtain the required insurances and approvals prior to working on, over, or near BNSF property will result in suspension of all work until required insurances are obtained and approved.**

**BNSF Public Project Notification Form for the State of South Dakota**

**Location on Railroad System:**

DOT # 382260W RR MP & Line Segment: MP 577.537, LS 2001

DOT # \_\_\_\_\_ RR MP & Line Segment: \_\_\_\_\_

DOT # \_\_\_\_\_ RR MP & Line Segment: \_\_\_\_\_

Nearest City: Yankton, SD

**Contractor Information:**

Contractor Name: \_\_\_\_\_

Contractor Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Contractor Phone Numbers: \_\_\_\_\_ cell: \_\_\_\_\_

Contractor Fax Number: \_\_\_\_\_

Contractor Contact Name: \_\_\_\_\_

Start Date of Project: \_\_\_\_\_ End Date of Project: \_\_\_\_\_

Work to be completed for:      State/DOT              City              County              Township

SD State Project Number: P TAPU Yankton County              PCN # 05C8

**Describe Work to be performed on, over or near BNSF property: Contractor will place concrete shared use path up to pedestrian concrete surface place by BNSF under separate project. Contractor will also place pipe parallel to BNSF tracks for surface runoff. City of Yankton and BNSF have executed permits for pedestrian crossing (#18-59349) and pipe work (#18-59348).**

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Submit this form to BNSF's Certificate Tracking Administrator:

CertFocus  
PO Box 140528  
Kansas, MO 64114  
Email: [bnsf@certfocus.com](mailto:bnsf@certfocus.com)  
Fax number: 817-840-7487  
Toll Free: 877-576-2378



STATE OF SOUTH DAKOTA  
DEPARTMENT OF TRANSPORTATION

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SPECIAL PROVISION REGARDING  
WORKING ON RAILROAD PROPERTY FOR  
BNSF RAILWAY COMPANY

P TAPU(12), PCN 05C8 YANKTON COUNTY

SHARED USE PATH SD50, YANKTON, SD, DOT 382260W @ RR MP 577.537, LS 2001

June 25, 2018

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1. REQUIREMENTS OF THE CONTRACTOR IN RELATION TO THE PROTECTION OF THE RAILROAD PROPERTY AND OPERATIONS FROM HAZARD DUE TO CONSTRUCTION OPERATIONS.

The Railroad contact for this project is: **Richard Woodside, Roadmaster, BNSF Railway Company, Sioux Falls, SD, cell number 307-689-9932.** The Roadmaster may designate others to represent the Railroad.

Construction work or activities within 25' of a track will require the Railroad to flag to safeguard Railroad's operations and property. The Contractor will schedule its work in a manner and sequence that will minimize the requirement for Railroad flagging.

The Contractor will notify the Roadmaster at least **thirty (30) days** in advance before entering Railroad property to allow Railroad to possibly bulletin for Railroad flagger(s) position. **The Contractor will coordinate its work schedule with the State and Railroad Representatives prior to notifying the Railroad of required flagging dates.** The Contractor will contact the Roadmaster again at least five (5) working days in advance of entering upon Railroad property to conduct work or activities that will require flagging. Prior to entering Railroad property a safety orientation is required, see item (2) of this Special Provision for additional information.

When flagger(s) is/are no longer required to flag the Contractor's work or activities as determined after consultation with the State and Railroad Representatives, the Contractor will provide five (5) working days' notice to the Roadmaster in order for the Railroad to abolish the flagger(s) position per Railroad union requirements. **The lack of proper or timely notification could result in which the Contractor being responsible for payment for unnecessary flagging.** Normal and customary charges for flagging will be paid by the State.

If a Railroad Representative is required to flag, the Railroad will submit the billings for flagging directly to **Rod Gall, Yankton Area Engineer, South Dakota Department of Transportation, 1306 W 31<sup>st</sup>, Yankton, SD 57078-9662.** The Contractor will notify Roadmaster of billing requirement.

Railroad flagger(s) and protective services and devices will be required and furnished when the Contractor's work or activities are located **over, under, or within twenty-five (25) feet** measured horizontally and perpendicular from centerline of the nearest track, when cranes or similar equipment positioned outside of 25-foot area from track centerline could foul the track in the event of tip over or other catastrophic occurrence, and, including, but not limited to the following conditions:

- a. When in the opinion of the Railroad's Representative, it is necessary to safeguard Railroad property, employees, trains, engines, or facilities.
- b. When any excavation is performed below the bottom of railroad tie elevation, if, in the opinion of Railroad's Representative, track or other railroad facilities may be subject to movement or settlement.
- c. When work in any way interferes with the safe operation of trains at timetable speeds.
- d. When any hazard is presented to railroad track, communications, signal, electrical, or other facilities either due to persons, material, equipment, or blasting in the vicinity.

The Contractor must obtain special permission from the Railroad before moving heavy or cumbersome objects or equipment which may result in making the track impassable.

The Contractor will not be within 25 feet of center of any track when a train is present. Further, no work or activities performed by the Contractor will cause any interference with the constant, continuous and uninterrupted use of the track, property, or facilities of the Railroad; its lessees, licensees, or other users, unless specifically authorized in advance by the Railroad's Representative. Nothing will be done by the Contractor at any time that would in any manner impair the safety of the track, property, or facilities of the Railroad, its lessees, licensees, or other users.

The Contractor will waive, release, indemnify, and defend Railroad for all judgments, awards, claims, demands, and expenses (including attorney fees), for injury or death to all persons, including Railroad's and the Contractor's officers and employees, and for loss and damage to property belonging to any person, arising in any manner from the Contractor's or any of the Contractor's subcontractor's acts or omissions or any work performed by or on behalf of the Contractor's or any of the Contractor's subcontractor's on or about Railroad's property or right-of-way. **THE LIABILITY ASSUMED BY THE CONTRACTOR WILL NOT BE AFFECTED BY THE FACT, IF IT IS A FACT, THAT THE DESTRUCTION, DAMAGE, DEATH, OR INJURY WAS OCCASIONED BY OR CONTRIBUTED TO BY THE NEGLIGENCE OF RAILROAD, ITS AGENTS, SERVANTS, EMPLOYEES OR OTHERWISE, EXCEPT TO THE EXTENT THAT SUCH CLAIM IS PROXIMATELY CAUSED BY THE INTENTIONAL MISCONDUCT OR SOLE NEGLIGENCE OF RAILROAD.**

This obligation will not include any claim, cost, damage, or expense which may be caused by the intentional misconduct or sole negligence of Railroad or its contractor, agent, or employee.

**THE INDEMNIFICATION OBLIGATION ASSUMED BY THE CONTRACTOR INCLUDES ANY CLAIM, SUIT, OR JUDGMENT BROUGHT AGAINST RAILROAD UNDER THE FEDERAL EMPLOYEES' LIABILITY ACT, INCLUDING CLAIMS FOR STRICT LIABILITY UNDER THE SAFETY APPLIANCE ACT OR THE LOCOMOTIVE INSPECTION ACT, WHENEVER SO CLAIMED.**

The Contractor further agrees, at its expense, in the name and on behalf of Railroad, that the Contractor will adjust and settle all claims made against Railroad, and will, at Railroad's discretion, appear and defend any suit or action at law or in equity brought against Railroad on any claim or cause of action arising or growing out of or in any manner connected with any liability assumed by the Contractor under this Special Provision for which Railroad is liable or is alleged to be liable. Railroad will give notice to the Contractor, in writing, of the receipt or dependency of such claim and thereupon the Contractor must proceed to adjust and handle to a conclusion such claim, and, in the event of a suit being brought against Railroad, Railroad may forward summons and complaint or other process in connection therewith to the Contractor, and the Contractor, at Railroad's discretion, must defend, adjust, or settle such suit and protect and indemnify Railroad from and against all damage, judgment, decree, attorney fees, cost, and expense growing out of or resulting from or incident to any such claim or suit.

In addition to any other provision of this Special Provision, if all or any portion of this Article is deemed to be inapplicable for any reason, including, without limitation as a result of a decision of an applicable court, legislative enactment, or regulatory order, the parties agree this Article will be interpreted as requiring the Contractor to indemnify Railroad to the fullest extent permitted by applicable law.

The assumption of liabilities and indemnification provided for in this Special Provision will survive any termination of this Special Provision.

The Contractor's obligations under this Special Provision will not extend to the liability of the architect or engineer, agents or employees arising out of: (1) The preparation or approval of maps, drawings, opinions, reports, surveys, change orders, designs or specifications, or, (2) The giving of or the failure to give directions or instructions by the architect, or engineer, agents or employees provided such giving or failure to give is the primary cause of the injury or damage.

## 2. REQUIREMENTS FOR THE CONTRACTOR WORKING ON RAILROAD PROPERTY.

Prior to entering Railroad property, each person providing labor, material, supervision, or services connected with the work to be performed on or about Railroad property will attend railroad safety training program at the following Internet Website [www.BNSFcontractor.com](http://www.BNSFcontractor.com). This training must be completed no more than one year in advance of entry on Railroad property.

Expenses associated with completing the safety training will be incidental to the project.

While on or about Railroad property, the Contractor will fully comply with Railroad's "Contractor Requirements," including, but not limited to, clearance requirements and personal protective equipment requirements. A partial list of the "Contractor Requirements" is included in this Special Provision. Additional information regarding "Contractor Requirements" is available for viewing at the above referenced safety training Internet Website. The Contractor will be responsible for fully informing itself as to Railroad's "Contractor Requirements."

PARTIAL LIST OF “CONTRACTOR REQUIREMENTS”

- a. Prior to entering the Railroad property, the Contractor will prepare and implement a Safety Action Plan acceptable to the Railroad. During the performance of work, the Contractor will audit its compliance with that plan. The Contractor will designate an on-site project supervisor who will serve as the contact person for the Railroad and who will maintain a copy of said plan and audit results at the work site for inspection and review by the Railroad at all reasonable times.
- b. All **insurance policies and certificates must be received and approved** before the Contractor enters Railroad property. Insurance must remain in effect during the entire project.
- c. Before the Contractor begins any task on Railroad property, a thorough job safety briefing will be conducted with all personnel involved with the task. The briefing will be repeated if the personnel or the task changes.
- d. No change will be made to “Construction Plans” without approval by the Railroad or State Representatives. Approved revised plans will be furnished prior to implementation of changes.
- e. When deemed necessary by the Railroad or State Representative, flagging protection by Railroad may be required while working on Railroad property or when equipment crosses the tracks.
- f. The Contractor must furnish details to and obtain approval from BNSF on how it will perform work that will affect existing drainage or possibly foul a track, as well as any **removal of any overhead bridge or structure**. BNSF approval process may take an excess of 30 days.
- g. Construction equipment must cross railroad track only at approved locations and must be over a full depth timbers, rubber, or concrete crossing. No equipment with steel wheels, lugs, or tracks may cross steel rails without aid of rubber tires or other approved protection. No vehicle may cross Railroad’s track except at existing open public crossings.
- h. Each temporary construction crossing must be covered by a “Private Roadway & Crossing Agreement,” and must be barricaded when not in use. Any requests for a temporary construction crossing are to be directed to the Railroad. This process may take an excess of 30 days.
- i. The Contractor will **incur all costs** for any track work made necessary due to its construction operations, including but not limited to costs for temporary construction crossings and repair of damaged track.
- j. The Contractor may not pile construction materials or any other material, including, but not limited to dirt and sand, within 25 feet of center of track or on Railroad property not covered by Construction Easement or Contractor’s Permit/Lease. A 10 foot clear area on each side of a main track must remain unobstructed at all times to allow for stopped train inspection.
- k. When leaving any work area at night and over weekends, each area must be secured and left in a condition that will ensure Railroad’s employees and other personnel and other persons who may be working or passing through the area are protected from all hazards.

- l. No construction will be allowed within 25 feet of center of any track unless authorized by the Railroad's Representative and shown on plan approved by the Railroad. This includes any excavation, falsework, scaffolding, slope encroachment and driving of sheet piles. Any excavation must be covered, guarded or protected when not being worked on. All excavations must be back filled as soon as possible. Plan approval can take an excess of 30 days.
- m. *No machines or equipment may be left unattended with the engine running. Each parked machine and equipment must be in gear with brakes set and, if equipped with blade, pan or bucket, the blade, pan or bucket must be lowered to the ground. All machinery and equipment left unattended must be left inoperable and secured against movement. The master battery disconnect switch must be left in the off or disconnect position and padlocked. Where equipment has an enclosed cab, a lockable hasp on the cab access door should be provided. This will prevent the use of easily obtainable universal keys to access equipment cabs. Equipment is not to be left within 50 feet of from centerline of nearest track without specific approval from the Railroad Representative. Under no circumstances is equipment to be left where it is within 8'-6" of track centerline or otherwise could be struck by a train or on-track equipment.*
- n. All personal protective equipment used on the Railroad property will meet OSHA and ANSI specifications. Hearing protection, fall protection and respirators will be worn as required by State and Federal regulations. The Contractor's safety rules must not conflict with Railroad safety policies or rules.
- o. Important - Disregard of any of these items will result in the Contractor being shut down for a minimum of 48 hours on railroad property while infraction is investigated. Based on the findings of the investigation, it will be determined if the Contractor will be allowed to work on railroad property in the future.

### 3. RIGHT OF ENTRY FOR THE CONTRACTOR ON RAILROAD PROPERTY

Right of Entry will not be granted by either the Railroad or the State Representative until the Contractor has completed the following:

- a. The Contractor has furnished the "Railroad Protective Liability" policy, Certificate of Insurance for "Commercial General Liability," "Automobile Liability," and "Workers' Compensation Insurance" to the Railroad and State in amounts satisfactory to the Railroad. See "Special Provision Regarding Railroad Insurance Requirements."
- b. The Railroad has notified the Contractor that said insurances have been approved by the Railroad.
- c. The Contractor has completed the Railroad safety training program and made satisfactory arrangements with Railroad's Representative for progress of work without danger to train operations, without unnecessary interruption to train movements, and for flagging protection as necessary.

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**STATE OF SOUTH DAKOTA  
DEPARTMENT OF TRANSPORTATION**

**SPECIAL PROVISION REGARDING  
SECTION 404 OF  
THE CLEAN WATER ACT**

**P TAPU(12) Yankton PCN 05C8**

Yankton - Along SD50 from WalMart access to Adkins Dr. and along Adkins Drive from SD50 to  
30th St.

2015 P.E. for Shared Use Path / Sidewalk Construction 2016 Shared Use Path / Sidewalk  
Construction

**JULY 9, 2018  
NATIONWIDE PERMIT NO 23**

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The above referenced project is authorized by the Department of the Army Nationwide Permit Section (23), found in the January 6, 2017 Federal Register (82 FR 1860), Reissuance of Nation Wide Permits.

The following general conditions must be adhered to in order for any authorization by a nationwide permit to be valid:

Please refer to the attached *Fact Sheet Nationwide Permit 23 and 2017 Nationwide Permits Regional Conditions*

The above authorization permits placement of fill in the drainage crossings or wetlands noted below:

Drainage Crossing(s) Permanent:

Station #:  
420+79

Tributary  
Tributary to Marne Creek

\* \* \* \*





## **Nationwide Permit 23**

### **Approved Categorical Exclusions**

Activities undertaken, assisted, authorized, regulated, funded, or financed, in whole or in part, by another Federal agency or department where:

(a) That agency or department has determined, pursuant to the Council on Environmental Quality's implementing regulations for the National Environmental Policy Act (40 CFR part 1500 et seq.), that the activity is categorically excluded from the requirement to prepare an environmental impact statement or environmental assessment analysis, because it is included within a category of actions which neither individually nor cumulatively have a significant effect on the human environment; and

(b) The Office of the Chief of Engineers (Attn: CECW-CO) has concurred with that agency's or department's determination that the activity is categorically excluded and approved the activity for authorization under NWP 23.

The Office of the Chief of Engineers may require additional conditions, including pre-construction notification, for authorization of an agency's categorical exclusions under this NWP.

Notification: Certain categorical exclusions approved for authorization under this NWP require the permittee to submit a pre-construction notification to the district engineer prior to commencing the activity (see general condition 32). The activities that require pre-construction notification are listed in the appropriate Regulatory Guidance Letters.

(Authorities: Sections 10 and 404)

Note: The agency or department may submit an application for an activity believed to be categorically excluded to the Office of the Chief of Engineers (Attn: CECW-CO).

Prior to approval for authorization under this NWP of any agency's activity, the Office of the Chief of Engineers will solicit public comment. As of the date of issuance of this NWP, agencies with approved categorical exclusions are: the Bureau of Reclamation, Federal Highway Administration, and U.S. Coast Guard. Activities approved for authorization under this NWP as of the date of this notice are found in Corps Regulatory Guidance Letter 05-07, which is available at: <http://www.usace.army.mil/Portals/2/docs/civilworks/RGLS/rgl05-07.pdf>. Any future approved categorical exclusions will be announced in Regulatory Guidance Letters and posted on this same Web site.

### **Nationwide Permit General Conditions**

**Note:** To qualify for NWP authorization, the prospective permittee must comply with the following general conditions, as applicable, in addition to any regional or case-specific conditions imposed by the division engineer or district engineer. Prospective permittees should contact the appropriate Corps district office to determine if regional conditions have been imposed on an NWP. Prospective permittees should also contact the appropriate Corps district office to determine the status of Clean Water Act Section 401 water quality certification and/ or

Coastal Zone Management Act consistency for an NWP. Every person who may wish to obtain permit authorization under one or more NWPs, or who is currently relying on an existing or prior permit authorization under one or more NWPs, has been and is on notice that all of the provisions of 33 CFR 330.1 through 330.6 apply to every NWP authorization. Note especially 33 CFR 330.5 relating to the modification, suspension, or revocation of any NWP authorization.

### **1. Navigation.**

- (a) No activity may cause more than a minimal adverse effect on navigation.
- (b) Any safety lights and signals prescribed by the U.S. Coast Guard, through regulations or otherwise, must be installed and maintained at the permittee's expense on authorized facilities in navigable waters of the United States.
- (c) The permittee understands and agrees that, if future operations by the United States require the removal, relocation, or other alteration, of the structure or work herein authorized, or if, in the opinion of the Secretary of the Army or his authorized representative, said structure or work shall cause unreasonable obstruction to the free navigation of the navigable waters, the permittee will be required, upon due notice from the Corps of Engineers, to remove, relocate, or alter the structural work or obstructions caused thereby, without expense to the United States. No claim shall be made against the United States on account of any such removal or alteration.

### **2. Aquatic Life Movements.**

No activity may substantially disrupt the necessary life cycle movements of those species of aquatic life indigenous to the waterbody, including those species that normally migrate through the area, unless the activity's primary purpose is to impound water. All permanent and temporary crossings of waterbodies shall be suitably culverted, bridged, or otherwise designed and constructed to maintain low flows to sustain the movement of those aquatic species. If a bottomless culvert cannot be used, then the crossing should be designed and constructed to minimize adverse effects to aquatic life movements.

### **3. Spawning Areas.**

Activities in spawning areas during spawning seasons must be avoided to the maximum extent practicable. Activities that result in the physical destruction (e.g., through excavation, fill, or downstream smothering by substantial turbidity) of an important spawning area are not authorized.

### **4. Migratory Bird Breeding Areas.**

Activities in waters of the United States that serve as breeding areas for migratory birds must be avoided to the maximum extent practicable.

## **5. Shellfish Beds.**

No activity may occur in areas of concentrated shellfish populations, unless the activity is directly related to a shellfish harvesting activity authorized by NWP 4 and 48, or is a shellfish seeding or habitat restoration activity authorized by NWP 27.

## **6. Suitable Material.**

No activity may use unsuitable material (e.g., trash, debris, car bodies, asphalt, etc.). Material used for construction or discharged must be free from toxic pollutants in toxic amounts (see section 307 of the Clean Water Act).

## **7. Water Supply Intakes.**

No activity may occur in the proximity of a public water supply intake, except where the activity is for the repair or improvement of public water supply intake structures or adjacent bank stabilization.

## **8. Adverse Effects from Impoundments.**

If the activity creates an impoundment of water, adverse effects to the aquatic system due to accelerating the passage of water, and/or restricting its flow must be minimized to the maximum extent practicable.

## **9. Management of Water Flows.**

To the maximum extent practicable, the pre-construction course, condition, capacity, and location of open waters must be maintained for each activity, including stream channelization, storm water management activities, and temporary and permanent road crossings, except as provided below. The activity must be constructed to withstand expected high flows. The activity must not restrict or impede the passage of normal or high flows, unless the primary purpose of the activity is to impound water or manage high flows. The activity may alter the pre-construction course, condition, capacity, and location of open waters if it benefits the aquatic environment (e.g., stream restoration or relocation activities).

## **10. Fills Within 100-Year Floodplains.**

The activity must comply with applicable FEMA-approved state or local floodplain management requirements.

## **11. Equipment.**

Heavy equipment working in wetlands or mudflats must be placed on mats, or other measures must be taken to minimize soil disturbance.

## **12. Soil Erosion and Sediment Controls.**

Appropriate soil erosion and sediment controls must be used and maintained in effective operating condition during construction, and all exposed soil and other fills, as well as any work below the ordinary high water mark or high tide line, must be permanently stabilized at the earliest practicable date. Permittees are encouraged to perform work within waters of the United States during periods of low-flow or no-flow, or during low tides.

## **13. Removal of Temporary Fills.**

Temporary fills must be removed in their entirety and the affected areas returned to pre-construction elevations. The affected areas must be revegetated, as appropriate.

## **14. Proper Maintenance.**

Any authorized structure or fill shall be properly maintained, including maintenance to ensure public safety and compliance with applicable NWP general conditions, as well as any activity-specific conditions added by the district engineer to an NWP authorization.

## **15. Single and Complete Project.**

The activity must be a single and complete project. The same NWP cannot be used more than once for the same single and complete project.

## **16. Wild and Scenic Rivers.**

(a) No NWP activity may occur in a component of the National Wild and Scenic River System, or in a river officially designated by Congress as a “study river” for possible inclusion in the system while the river is in an official study status, unless the appropriate Federal agency with direct management responsibility for such river, has determined in writing that the proposed activity will not adversely affect the Wild and Scenic River designation or study status.

(b) If a proposed NWP activity will occur in a component of the National Wild and Scenic River System, or in a river officially designated by Congress as a “study river” for possible inclusion in the system while the river is in an official study status, the permittee must submit a pre-construction notification (see general condition 32). The district engineer will coordinate the PCN with the Federal agency with direct management responsibility for that river. The permittee shall not begin the NWP activity until notified by the district engineer that the Federal agency with direct management responsibility for that river has determined in writing that the proposed NWP activity will not adversely affect the Wild and Scenic River designation or study status.

(c) Information on Wild and Scenic Rivers may be obtained from the appropriate Federal land management agency responsible for the designated Wild and Scenic River or study river (e.g., National Park Service, U.S. Forest Service, Bureau of Land Management, U.S. Fish and Wildlife Service). Information on these rivers is also available at: <http://www.rivers.gov/>.

## **17. Tribal Rights.**

No NWP activity may cause more than minimal adverse effects on tribal rights (including treaty rights), protected tribal resources, or tribal lands.

## **18. Endangered Species.**

(a) No activity is authorized under any NWP which is likely to directly or indirectly jeopardize the continued existence of a threatened or endangered species or a species proposed for such designation, as identified under the Federal Endangered Species Act (ESA), or which will directly or indirectly destroy or adversely modify the critical habitat of such species. No activity is authorized under any NWP which “may affect” a listed species or critical habitat, unless ESA section 7 consultation addressing the effects of the proposed activity has been completed. Direct effects are the immediate effects on listed species and critical habitat caused by the NWP activity. Indirect effects are those effects on listed species and critical habitat that are caused by the NWP activity and are later in time, but still are reasonably certain to occur.

(b) Federal agencies should follow their own procedures for complying with the requirements of the ESA. If pre- construction notification is required for the proposed activity, the Federal permittee must provide the district engineer with the appropriate documentation to demonstrate compliance with those requirements. The district engineer will verify that the appropriate documentation has been submitted. If the appropriate documentation has not been submitted, additional ESA section 7 consultation may be necessary for the activity and the respective federal agency would be responsible for fulfilling its obligation under section 7 of the ESA.

(c) Non-federal permittees must submit a pre-construction notification to the district engineer if any listed species or designated critical habitat might be affected or is in the vicinity of the activity, or if the activity is located in designated critical habitat, and shall not begin work on the activity until notified by the district engineer that the requirements of the ESA have been satisfied and that the activity is authorized. For activities that might affect Federally-listed endangered or threatened species or designated critical habitat, the pre-construction notification must include the name(s) of the endangered or threatened species that might be affected by the proposed activity or that utilize the designated critical habitat that might be affected by the proposed activity. The district engineer will determine whether the proposed activity “may affect” or will have “no effect” to listed species and designated critical habitat and will notify the non-Federal applicant of the Corps’ determination within 45 days of receipt of a complete pre-construction notification. In cases where the non- Federal applicant has identified listed species or critical habitat that might be affected or is in the vicinity of the activity, and has so notified the Corps, the applicant shall not begin work until the Corps has provided notification that the proposed activity will have “no effect” on listed species or critical habitat, or until ESA section 7 consultation has been completed. If the non-Federal applicant has not heard back from the Corps within 45 days, the applicant must still wait for notification from the Corps.

(d) As a result of formal or informal consultation with the FWS or NMFS the district engineer may add species- specific permit conditions to the NWPs.

(e) Authorization of an activity by an NWP does not authorize the “take” of a threatened or endangered species as defined under the ESA. In the absence of separate authorization (e.g., an ESA Section 10 Permit, a Biological Opinion with “incidental take” provisions, etc.) from the FWS or the NMFS, the Endangered Species Act prohibits any person subject to the jurisdiction



of the United States to take a listed species, where “take” means to harass, harm, pursue, hunt, shoot, wound, kill, trap, capture, or collect, or to attempt to engage in any such conduct. The word “harm” in the definition of “take” means an act which actually kills or injures wildlife. Such an act may include significant habitat modification or degradation where it actually kills or injures wildlife by significantly impairing essential behavioral patterns, including breeding, feeding or sheltering.

(f) If the non-federal permittee has a valid ESA section 10(a)(1)(B) incidental take permit with an approved Habitat Conservation Plan for a project or a group of projects that includes the proposed NWP activity, the non-federal applicant should provide a copy of that ESA section 10(a)(1)(B) permit with the PCN required by paragraph (c) of this general condition. The district engineer will coordinate with the agency that issued the ESA section 10(a)(1)(B) permit to determine whether the proposed NWP activity and the associated incidental take were considered in the internal ESA section 7 consultation conducted for the ESA section 10(a)(1)(B) permit. If that coordination results in concurrence from the agency that the proposed NWP activity and the associated incidental take were considered in the internal ESA section 7 consultation for the ESA section 10(a)(1)(B) permit, the district engineer does not need to conduct a separate ESA section 7 consultation for the proposed NWP activity. The district engineer will notify the non-federal applicant within 45 days of receipt of a complete pre-construction notification whether the ESA section 10(a)(1)(B) permit covers the proposed NWP activity or whether additional ESA section 7 consultation is required.

(g) Information on the location of threatened and endangered species and their critical habitat can be obtained directly from the offices of the FWS and NMFS or their world wide Web pages at <http://www.fws.gov/> or <http://www.fws.gov/ipac> and <http://www.nmfs.noaa.gov/pr/species/esa/> respectively.

## **19. Migratory Birds and Bald and Golden Eagles.**

The permittee is responsible for ensuring their action complies with the Migratory Bird Treaty Act and the Bald and Golden Eagle Protection Act. The permittee is responsible for contacting appropriate local office of the U.S. Fish and Wildlife Service to determine applicable measures to reduce impacts to migratory birds or eagles, including whether “incidental take” permits are necessary and available under the Migratory Bird Treaty Act or Bald and Golden Eagle Protection Act for a particular activity.

## **20. Historic Properties.**

(a) In cases where the district engineer determines that the activity may have the potential to cause effects to properties listed, or eligible for listing, in the National Register of Historic Places, the activity is not authorized, until the requirements of Section 106 of the National Historic Preservation Act (NHPA) have been satisfied.

(b) Federal permittees should follow their own procedures for complying with the requirements of section 106 of the National Historic Preservation Act. If pre-construction notification is required for the proposed NWP activity, the Federal permittee must provide the district engineer with the appropriate documentation to demonstrate compliance with those requirements. The district engineer will verify that the appropriate documentation has been submitted. If the appropriate documentation is not submitted, then additional consultation under section 106 may

be necessary. The respective federal agency is responsible for fulfilling its obligation to comply with section 106.

(c) Non-federal permittees must submit a pre-construction notification to the district engineer if the NWP activity might have the potential to cause effects to any historic properties listed on, determined to be eligible for listing on, or potentially eligible for listing on the National Register of Historic Places, including previously unidentified properties. For such activities, the pre-construction notification must state which historic properties might have the potential to be affected by the proposed NWP activity or include a vicinity map indicating the location of the historic properties or the potential for the presence of historic properties. Assistance regarding information on the location of, or potential for, the presence of historic properties can be sought from the State Historic Preservation Officer, Tribal Historic Preservation Officer, or designated tribal representative, as appropriate, and the National Register of Historic Places (see 33 CFR 330.4(g)). When reviewing pre-construction notifications, district engineers will comply with the current procedures for addressing the requirements of section 106 of the National Historic Preservation Act. The district engineer shall make a reasonable and good faith effort to carry out appropriate identification efforts, which may include background research, consultation, oral history interviews, sample field investigation, and field survey. Based on the information submitted in the PCN and these identification efforts, the district engineer shall determine whether the proposed NWP activity has the potential to cause effects on the historic properties. Section 106 consultation is not required when the district engineer determines that the activity does not have the potential to cause effects on historic properties (see 36 CFR 800.3(a)). Section 106 consultation is required when the district engineer determines that the activity has the potential to cause effects on historic properties. The district engineer will conduct consultation with consulting parties identified under 36 CFR 800.2(c) when he or she makes any of the following effect determinations for the purposes of section 106 of the NHPA: no historic properties affected, no adverse effect, or adverse effect. Where the non-Federal applicant has identified historic properties on which the activity might have the potential to cause effects and so notified the Corps, the non-Federal applicant shall not begin the activity until notified by the district engineer either that the activity has no potential to cause effects to historic properties or that NHPA section 106 consultation has been completed.

(d) For non-federal permittees, the district engineer will notify the prospective permittee within 45 days of receipt of a complete pre-construction notification whether NHPA section 106 consultation is required. If NHPA section 106 consultation is required, the district engineer will notify the non-Federal applicant that he or she cannot begin the activity until section 106 consultation is completed. If the non-Federal applicant has not heard back from the Corps within 45 days, the applicant must still wait for notification from the Corps.

(e) Prospective permittees should be aware that section 110k of the NHPA (54 U.S.C. 306113) prevents the Corps from granting a permit or other assistance to an applicant who, with intent to avoid the requirements of section 106 of the NHPA, has intentionally significantly adversely affected a historic property to which the permit would relate, or having legal power to prevent it, allowed such significant adverse effect to occur, unless the Corps, after consultation with the Advisory Council on Historic Preservation (ACHP), determines that circumstances justify granting such assistance despite the adverse effect created or permitted by the applicant. If circumstances justify granting the assistance, the Corps is required to notify the ACHP and provide documentation specifying the circumstances, the degree of damage to the integrity of any historic properties affected, and proposed mitigation. This documentation must include any



views obtained from the applicant, SHPO/ THPO, appropriate Indian tribes if the undertaking occurs on or affects historic properties on tribal lands or affects properties of interest to those tribes, and other parties known to have a legitimate interest in the impacts to the permitted activity on historic properties.

## **21. Discovery of Previously Unknown Remains and Artifacts.**

If you discover any previously unknown historic, cultural or archeological remains and artifacts while accomplishing the activity authorized by this permit, you must immediately notify the district engineer of what you have found, and to the maximum extent practicable, avoid construction activities that may affect the remains and artifacts until the required coordination has been completed. The district engineer will initiate the Federal, Tribal, and state coordination required to determine if the items or remains warrant a recovery effort or if the site is eligible for listing in the National Register of Historic Places.

## **22. Designated Critical Resource Waters.**

Critical resource waters include, NOAA-managed marine sanctuaries and marine monuments, and National Estuarine Research Reserves. The district engineer may designate, after notice and opportunity for public comment, additional waters officially designated by a state as having particular environmental or ecological significance, such as outstanding national resource waters or state natural heritage sites. The district engineer may also designate additional critical resource waters after notice and opportunity for public comment.

(a) Discharges of dredged or fill material into waters of the United States are not authorized by NWPs 7, 12, 14, 16, 17, 21, 29, 31, 35, 39, 40, 42, 43, 44, 49, 50, 51, and 52 for any activity within, or directly affecting, critical resource waters, including wetlands adjacent to such waters.

(b) For NWPs 3, 8, 10, 13, 15, 18, 19, 22, 23, 25, 27, 28, 30, 33, 34, 36, 37, 38, and 54, notification is required in accordance with general condition 32, for any activity proposed in the designated critical resource waters including wetlands adjacent to those waters. The district engineer may authorize activities under these NWPs only after it is determined that the impacts to the critical resource waters will be no more than minimal.

## **23. Mitigation.**

The district engineer will consider the following factors when determining appropriate and practicable mitigation necessary to ensure that the individual and cumulative adverse environmental effects are no more than minimal:

(a) The activity must be designed and constructed to avoid and minimize adverse effects, both temporary and permanent, to waters of the United States to the maximum extent practicable at the project site (i.e., on site).

(b) Mitigation in all its forms (avoiding, minimizing, rectifying, reducing, or compensating for resource losses) will be required to the extent necessary to ensure that the individual and cumulative adverse environmental effects are no more than minimal.

(c) Compensatory mitigation at a minimum one-for-one ratio will be required for all wetland losses that exceed 1/10-acre and require pre- construction notification, unless the district engineer determines in writing that either some other form of mitigation would be more environmentally



appropriate or the adverse environmental effects of the proposed activity are no more than minimal, and provides an activity-specific waiver of this requirement. For wetland losses of 1/10-acre or less that require pre-construction notification, the district engineer may determine on a case-by-case basis that compensatory mitigation is required to ensure that the activity results in only minimal adverse environmental effects.

(d) For losses of streams or other open waters that require pre-construction notification, the district engineer may require compensatory mitigation to ensure that the activity results in no more than minimal adverse environmental effects. Compensatory mitigation for losses of streams should be provided, if practicable, through stream rehabilitation, enhancement, or preservation, since streams are difficult-to-replace resources (see 33 CFR 332.3(c)(3)).

(e) Compensatory mitigation plans for NWP activities in or near streams or other open waters will normally include a requirement for the restoration or enhancement, maintenance, and legal protection (e.g., conservation easements) of riparian areas next to open waters. In some cases, the restoration or maintenance/protection of riparian areas may be the only compensatory mitigation required. Restored riparian areas should consist of native species. The width of the required riparian area will address documented water quality or aquatic habitat loss concerns.

Normally, the riparian area will be 25 to 50 feet wide on each side of the stream, but the district engineer may require slightly wider riparian areas to address documented water quality or habitat loss concerns. If it is not possible to restore or maintain/protect a riparian area on both sides of a stream, or if the waterbody is a lake or coastal waters, then restoring or maintaining/protecting a riparian area along a single bank or shoreline may be sufficient. Where both wetlands and open waters exist on the project site, the district engineer will determine the appropriate compensatory mitigation (e.g., riparian areas and/or wetlands compensation) based on what is best for the aquatic environment on a watershed basis. In cases where riparian areas are determined to be the most appropriate form of minimization or compensatory mitigation, the district engineer may waive or reduce the requirement to provide wetland compensatory mitigation for wetland losses.

(f) Compensatory mitigation projects provided to offset losses of aquatic resources must comply with the applicable provisions of 33 CFR part 332.

(1) The prospective permittee is responsible for proposing an appropriate compensatory mitigation option if compensatory mitigation is necessary to ensure that the activity results in no more than minimal adverse environmental effects. For the NWPs, the preferred mechanism for providing compensatory mitigation is mitigation bank credits or in-lieu fee program credits (see 33 CFR 332.3(b)(2) and (3)). However, if an appropriate number and type of mitigation bank or in-lieu credits are not available at the time the PCN is submitted to the district engineer, the district engineer may approve the use of permittee-responsible mitigation.

(2) The amount of compensatory mitigation required by the district engineer must be sufficient to ensure that the authorized activity results in no more than minimal individual and cumulative adverse environmental effects (see 33 CFR 330.1(e)(3)). (See also 33 CFR 332.3(f)).

(3) Since the likelihood of success is greater and the impacts to potentially valuable uplands are reduced, aquatic resource restoration should be the first compensatory mitigation option considered for permittee-responsible mitigation.

(4) If permittee-responsible mitigation is the proposed option, the prospective permittee is responsible for submitting a mitigation plan. A conceptual or detailed mitigation plan may be used by the district engineer to make the decision on the NWP verification request, but a final mitigation plan that addresses the applicable requirements of 33 CFR 332.4(c)(2) through (14) must be approved by the district engineer before the permittee begins work in waters of the

United States, unless the district engineer determines that prior approval of the final mitigation plan is not practicable or not necessary to ensure timely completion of the required compensatory mitigation (see 33 CFR 332.3(k)(3)).

(5) If mitigation bank or in-lieu fee program credits are the proposed option, the mitigation plan only needs to address the baseline conditions at the impact site and the number of credits to be provided.

(6) Compensatory mitigation requirements (e.g., resource type and amount to be provided as compensatory mitigation, site protection, ecological performance standards, monitoring requirements) may be addressed through conditions added to the NWP authorization, instead of components of a compensatory mitigation plan (see 33 CFR 332.4(c)(1)(ii)).

(g) Compensatory mitigation will not be used to increase the acreage losses allowed by the acreage limits of the NWPs. For example, if an NWP has an acreage limit of 1/2-acre, it cannot be used to authorize any NWP activity resulting in the loss of greater than 1/2-acre of waters of the United States, even if compensatory mitigation is provided that replaces or restores some of the lost waters. However, compensatory mitigation can and should be used, as necessary, to ensure that an NWP activity already meeting the established acreage limits also satisfies the no more than minimal impact requirement for the NWPs.

(h) Permittees may propose the use of mitigation banks, in-lieu fee programs, or permittee-responsible mitigation. When developing a compensatory mitigation proposal, the permittee must consider appropriate and practicable options consistent with the framework at 33 CFR 332.3(b). For activities resulting in the loss of marine or estuarine resources, permittee-responsible mitigation may be environmentally preferable if there are no mitigation banks or in-lieu fee programs in the area that have marine or estuarine credits available for sale or transfer to the permittee. For permittee-responsible mitigation, the special conditions of the NWP verification must clearly indicate the party or parties responsible for the implementation and performance of the compensatory mitigation project, and, if required, its long-term management.

(i) Where certain functions and services of waters of the United States are permanently adversely affected by a regulated activity, such as discharges of dredged or fill material into waters of the United States that will convert a forested or scrub-shrub wetland to a herbaceous wetland in a permanently maintained utility line right-of-way, mitigation may be required to reduce the adverse environmental effects of the activity to the no more than minimal level.

#### **24. Safety of Impoundment Structures.**

To ensure that all impoundment structures are safely designed, the district engineer may require non-Federal applicants to demonstrate that the structures comply with established state dam safety criteria or have been designed by qualified persons. The district engineer may also require documentation that the design has been independently reviewed by similarly qualified persons, and appropriate modifications made to ensure safety.

#### **25. Water Quality.**

Where States and authorized Tribes, or EPA where applicable, have not previously certified compliance of an NWP with CWA section 401, individual 401 Water Quality Certification must be obtained or waived (see 33 CFR 330.4(c)). The district engineer or State or Tribe may require

additional water quality management measures to ensure that the authorized activity does not result in more than minimal degradation of water quality.

## **26. Coastal Zone Management.**

In coastal states where an NWP has not previously received a state coastal zone management consistency concurrence, an individual state coastal zone management consistency concurrence must be obtained, or a presumption of concurrence must occur (see 33 CFR 330.4(d)). The district engineer or a State may require additional measures to ensure that the authorized activity is consistent with state coastal zone management requirements.

## **27. Regional and Case-By-Case Conditions.**

The activity must comply with any regional conditions that may have been added by the Division Engineer (see 33 CFR 330.4(e)) and with any case specific conditions added by the Corps or by the state, Indian Tribe, or U.S. EPA in its section 401 Water Quality Certification, or by the state in its Coastal Zone Management Act consistency determination.

## **28. Use of Multiple Nationwide Permits.**

The use of more than one NWP for a single and complete project is prohibited, except when the acreage loss of waters of the United States authorized by the NWPs does not exceed the acreage limit of the NWP with the highest specified acreage limit. For example, if a road crossing over tidal waters is constructed under NWP 14, with associated bank stabilization authorized by NWP 13, the maximum acreage loss of waters of the United States for the total project cannot exceed 1/3-acre.

## **29. Transfer of Nationwide Permit Verifications.**

If the permittee sells the property associated with a nationwide permit verification, the permittee may transfer the nationwide permit verification to the new owner by submitting a letter to the appropriate Corps district office to validate the transfer. A copy of the nationwide permit verification must be attached to the letter, and the letter must contain the following statement and signature:

When the structures or work authorized by this nationwide permit are still in existence at the time the property is transferred, the terms and conditions of this nationwide permit, including any special conditions, will continue to be binding on the new owner(s) of the property. To validate the transfer of this nationwide permit and the associated liabilities associated with compliance with its terms and conditions, have the transferee sign and date below.

\_\_\_\_\_ (Transferee) \_\_\_\_\_ (Date)

### **30. Compliance Certification.**

Each permittee who receives an NWP verification letter from the Corps must provide a signed certification documenting completion of the authorized activity and implementation of any required compensatory mitigation. The success of any required permittee-responsible mitigation, including the achievement of ecological performance standards, will be addressed separately by the district engineer. The Corps will provide the permittee the certification document with the NWP verification letter. The certification document will include:

- (a) A statement that the authorized activity was done in accordance with the NWP authorization, including any general, regional, or activity-specific conditions;
- (b) A statement that the implementation of any required compensatory mitigation was completed in accordance with the permit conditions. If credits from a mitigation bank or in-lieu fee program are used to satisfy the compensatory mitigation requirements, the certification must include the documentation required by 33 CFR 332.3(l)(3) to confirm that the permittee secured the appropriate number and resource type of credits; and
- (c) The signature of the permittee certifying the completion of the activity and mitigation. The completed certification document must be submitted to the district engineer within 30 days of completion of the authorized activity or the implementation of any required compensatory mitigation, whichever occurs later.

### **31. Activities Affecting Structures or Works Built by the United States.**

If an NWP activity also requires permission from the Corps pursuant to 33 U.S.C. 408 because it will alter or temporarily or permanently occupy or use a U.S. Army Corps of Engineers (USACE) federally authorized Civil Works project (a "USACE project"), the prospective permittee must submit a pre-construction notification. See paragraph (b)(10) of general condition 32. An activity that requires section 408 permission is not authorized by NWP until the appropriate Corps office issues the section 408 permission to alter, occupy, or use the USACE project, and the district engineer issues a written NWP verification.

### **32. Pre-Construction Notification.**

(a) Timing. Where required by the terms of the NWP, the prospective permittee must notify the district engineer by submitting a pre-construction notification (PCN) as early as possible. The district engineer must determine if the PCN is complete within 30 calendar days of the date of receipt and, if the PCN is determined to be incomplete, notify the prospective permittee within that 30 day period to request the additional information necessary to make the PCN complete. The request must specify the information needed to make the PCN complete. As a general rule, district engineers will request additional information necessary to make the PCN complete only once. However, if the prospective permittee does not provide all of the requested information, then the district engineer will notify the prospective permittee that the PCN is still incomplete and the PCN review process will not commence until all of the requested information has been received by the district engineer. The prospective permittee shall not begin the activity until either:

(1) He or she is notified in writing by the district engineer that the activity may proceed under the NWP with any special conditions imposed by the district or division engineer; or

(2) 45 calendar days have passed from the district engineer's receipt of the complete PCN and the prospective permittee has not received written notice from the district or division engineer. However, if the permittee was required to notify the Corps pursuant to general condition 18 that listed species or critical habitat might be affected or are in the vicinity of the activity, or to notify the Corps pursuant to general condition 20 that the activity might have the potential to cause effects to historic properties, the permittee cannot begin the activity until receiving written notification from the Corps that there is "no effect" on listed species or "no potential to cause effects" on historic properties, or that any consultation required under Section 7 of the Endangered Species Act (see 33 CFR 330.4(f)) and/or section 106 of the National Historic Preservation Act (see 33 CFR 330.4(g)) has been completed. Also, work cannot begin under NWP's 21, 49, or 50 until the permittee has received written approval from the Corps. If the proposed activity requires a written waiver to exceed specified limits of an NWP, the permittee may not begin the activity until the district engineer issues the waiver. If the district or division engineer notifies the permittee in writing that an individual permit is required within 45 calendar days of receipt of a complete PCN, the permittee cannot begin the activity until an individual permit has been obtained. Subsequently, the permittee's right to proceed under the NWP may be modified, suspended, or revoked only in accordance with the procedure set forth in 33 CFR 330.5(d)(2).

(b) Contents of Pre-Construction Notification: The PCN must be in writing and include the following information:

- (1) Name, address and telephone numbers of the prospective permittee;
- (2) Location of the proposed activity;
- (3) Identify the specific NWP or NWP(s) the prospective permittee wants to use to authorize the proposed activity;
- (4) A description of the proposed activity; the activity's purpose; direct and indirect adverse environmental effects the activity would cause, including the anticipated amount of loss of wetlands, other special aquatic sites, and other waters expected to result from the NWP activity, in acres, linear feet, or other appropriate unit of measure; a description of any proposed mitigation measures intended to reduce the adverse environmental effects caused by the proposed activity; and any other NWP(s), regional general permit(s), or individual permit(s) used or intended to be used to authorize any part of the proposed project or any related activity, including other separate and distant crossings for linear projects that require Department of the Army authorization but do not require pre-construction notification. The description of the proposed activity and any proposed mitigation measures should be sufficiently detailed to allow the district engineer to determine that the adverse environmental effects of the activity will be no more than minimal and to determine the need for compensatory mitigation or other mitigation measures. For single and complete linear projects, the PCN must include the quantity of anticipated losses of wetlands, other special aquatic sites, and other waters for each single and complete crossing of those wetlands, other special aquatic sites, and other waters. Sketches should be provided when necessary to show that the activity complies with the terms of the NWP. (Sketches usually clarify the activity and when provided results in a quicker decision. Sketches should contain sufficient detail to provide an illustrative description of the proposed activity (e.g., a conceptual plan), but do not need to be detailed engineering plans);

(5) The PCN must include a delineation of wetlands, other special aquatic sites, and other waters, such as lakes and ponds, and perennial, intermittent, and ephemeral streams, on the project site. Wetland delineations must be prepared in accordance with the current method



required by the Corps. The permittee may ask the Corps to delineate the special aquatic sites and other waters on the project site, but there may be a delay if the Corps does the delineation, especially if the project site is large or contains many wetlands, other special aquatic sites, and other waters. Furthermore, the 45 day period will not start until the delineation has been submitted to or completed by the Corps, as appropriate;

(6) If the proposed activity will result in the loss of greater than 1/10-acre of wetlands and a PCN is required, the prospective permittee must submit a statement describing how the mitigation requirement will be satisfied, or explaining why the adverse environmental effects are no more than minimal and why compensatory mitigation should not be required. As an alternative, the prospective permittee may submit a conceptual or detailed mitigation plan.

(7) For non-Federal permittees, if any listed species or designated critical habitat might be affected or is in the vicinity of the activity, or if the activity is located in designated critical habitat, the PCN must include the name(s) of those endangered or threatened species that might be affected by the proposed activity or utilize the designated critical habitat that might be affected by the proposed activity. For NWP activities that require pre-construction notification, Federal permittees must provide documentation demonstrating compliance with the Endangered Species Act.

(8) For non-Federal permittees, if the NWP activity might have the potential to cause effects to a historic property listed on, determined to be eligible for listing on, or potentially eligible for listing on, the National Register of Historic Places, the PCN must state which historic property might have the potential to be affected by the proposed activity or include a vicinity map indicating the location of the historic property. For NWP activities that require pre-construction notification, Federal permittees must provide documentation demonstrating compliance with section 106 of the National Historic Preservation Act;

(9) For an activity that will occur in a component of the National Wild and Scenic River System, or in a river officially designated by Congress as a "study river" for possible inclusion in the system while the river is in an official study status, the PCN must identify the Wild and Scenic River or the "study river" (see general condition 16); and

(10) For an activity that requires permission from the Corps pursuant to 33 U.S.C. 408 because it will alter or temporarily or permanently occupy or use a U.S. Army Corps of Engineers federally authorized civil works project, the pre-construction notification must include a statement confirming that the project proponent has submitted a written request for section 408 permission from the Corps office having jurisdiction over that USACE project.

(c) Form of Pre-Construction Notification: The standard individual permit application form (Form ENG 4345) may be used, but the completed application form must clearly indicate that it is an NWP PCN and must include all of the applicable information required in paragraphs (b)(1) through (10) of this general condition. A letter containing the required information may also be used. Applicants may provide electronic files of PCNs and supporting materials if the district engineer has established tools and procedures for electronic submittals.

(d) Agency Coordination:

(1) The district engineer will consider any comments from Federal and state agencies concerning the proposed activity's compliance with the terms and conditions of the NWPs and the need for mitigation to reduce the activity's adverse environmental effects so that they are no more than minimal.

(2) Agency coordination is required for: (i) All NWP activities that require pre-construction notification and result in the loss of greater than 1/2-acre of waters of the United

States; (ii) NWP 21, 29, 39, 40, 42, 43, 44, 50, 51, and 52 activities that require pre-construction notification and will result in the loss of greater than 300 linear feet of stream bed; (iii) NWP 13 activities in excess of 500 linear feet, fills greater than one cubic yard per running foot, or involve discharges of dredged or fill material into special aquatic sites; and (iv) NWP 54 activities in excess of 500 linear feet, or that extend into the waterbody more than 30 feet from the mean low water line in tidal waters or the ordinary high water mark in the Great Lakes.

(3) When agency coordination is required, the district engineer will immediately provide (c.g., via email, facsimile transmission, overnight mail, or other expeditious manner) a copy of the complete PCN to the appropriate Federal or state offices (FWS, state natural resource or water quality agency, EPA, and, if appropriate, the NMFS). With the exception of NWP 37, these agencies will have 10 calendar days from the date the material is transmitted to notify the district engineer via telephone, facsimile transmission, or email that they intend to provide substantive, site-specific comments. The comments must explain why the agency believes the adverse environmental effects will be more than minimal. If so contacted by an agency, the district engineer will wait an additional 15 calendar days before making a decision on the pre-construction notification. The district fully consider agency comments received within the specified time frame concerning the proposed activity's compliance with the terms and conditions of the NWPs, including the need for mitigation to ensure the net adverse environmental effects of the proposed activity are no more than minimal. The district engineer will provide no response to the resource agency, except as provided below. The district engineer will indicate in the administrative record associated with each pre-construction notification that the resource agencies' concerns were considered. For NWP 37, the emergency watershed protection and rehabilitation activity may proceed immediately in cases where there is an unacceptable hazard to life or a significant loss of property or economic hardship will occur. The district engineer will consider any comments received to decide whether the NWP 37 authorization should be modified, suspended, or revoked in accordance with the procedures at 33 CFR 330.5.

(4) In cases of where the prospective permittee is not a Federal agency, the district engineer will provide a response to NMFS within 30 calendar days of receipt of any Essential Fish Habitat conservation recommendations, as required by section 305(b)(4)(B) of the Magnuson-Stevens Fishery Conservation and Management Act.

5) Applicants are encouraged to provide the Corps with either electronic files or multiple copies of pre-construction notifications to expedite agency coordination.

### **Further Information**

1. District Engineers have authority to determine if an activity complies with the terms and conditions of an NWP.
2. NWPs do not obviate the need to obtain other federal, state, or local permits, approvals, or authorizations required by law.
3. NWPs do not grant any property rights or exclusive privileges.
4. NWPs do not authorize any injury to the property or rights of others.
5. NWPs do not authorize interference with any existing or proposed Federal project (see general condition 31).





**2017 NATIONWIDE PERMITS  
REGIONAL CONDITIONS  
OMAHA DISTRICT  
STATE OF SOUTH DAKOTA**

The following Nationwide Permit regional conditions will be used in the State of South Dakota. Regional conditions are placed on Nationwide Permits to ensure projects result in no more than minimal adverse impacts to the aquatic environment and to address local resources concerns.

1. **Wetlands Classified as Peatlands – Revoked for Use.** All Nationwide Permits, with the exception of 3, 5, 20, 27, 30, 32, 38, and 45, are revoked for use in peatlands. Peatlands are permanently or seasonally saturated and inundated wetlands where conditions inhibit organic matter decomposition and allow for the accumulation of peat.
2. **Wetlands Classified as Peatlands – Pre-construction Notification Requirement.** For Nationwide Permits Nos. 3, 5, 20, 27, 30, 32, 38, and 45 permittees must notify the Corps in accordance with General Condition No. 32 (Pre-Construction Notification) prior to initiating any regulated activity impacting peatlands.
3. **Waters Adjacent to Natural Springs – Pre-construction Notification Requirement – All Nationwide Permits.** For all Nationwide Permits, permittees must notify the Corps in accordance with General Condition No. 32 (Pre-Construction Notification) for regulated activities located within 100 feet of the water source in natural spring areas. For purposes of this condition, a spring source is defined as any location where there is flow emanating from a distinct point at any time during the growing season. Springs do not include seeps and other groundwater discharge areas where there is no distinct point source.
4. **Minimum Culvert Width – All Nationwide Permits.** In stream channels the culvert opening width of a stream crossing shall not be less than the mean bank to bank width as measured from the ordinary high water mark in the affected stream reach. In stable stream channels, the ordinary high water mark (OHWM) is often found at the point where over-bank flow begins during a flood event. In incised stream channels that do not frequently access a floodplain or upper terrace, the OHWM is generally located within the entrenched channel. The OHWM may be identified by observing indicators such as a distinct change in slope, a change in vegetation characteristics, or a change in sediment characteristics, see 33 CFR 328.3(e).
5. **Culvert Countersink Depth – All Nationwide Permits.** In streams with intermittent or perennial flow and a stable stream bed, culvert stream crossings shall be installed with the culvert invert set below the natural flow line of the stream channel according to the table below. This regional condition does not apply in instances where the lowering of the culvert invert would allow a headcut to migrate upstream of the project into an unaffected stream reach.

<b>Culvert Type</b>	<b>Drainage Area</b>	<b>Minimum Distance Culvert Invert Shall Be Lowered Below Stream Flow Line</b>
All culvert types	≤ 100 acres	Not required
Pipe diameter <8.0 ft	100 to 640 acres	0.5 ft
Pipe diameter <8.0 ft	>640 acres	1.0 ft
Pipe diameter ≥ 8.0 ft	All drainage sizes	20% of pipe diameter
Box culvert	All drainage sizes	1.0 ft

- The stream flow line shall be defined as the longitudinal average of the low flow stream channel.
- The slope of the culvert should be parallel to the slope of the stream flow line.

- The culvert invert depression depth shall be measured at the culvert inlet for culverts installed at a slope less than the slope of the stream flow line.
  - Riprap inlet and outlet protection shall be placed to match the height of the culvert invert.
6. **Cold Water Fisheries – All Nationwide Permits.** In order to further minimize adverse impacts to cold water fisheries, activities authorized in South Dakota's cold water streams must comply with the following regional condition:

From October 15 until April 1 and when water flow is present, the discharge of dredged or fill material shall not take place without the permittee notifying the Corps in accordance with General Condition No. 32 (Pre-Construction Notification). Applicants may contact the Corps, the South Dakota Department of Game, Fish and Parks, or the South Dakota Department of Environment and Natural Resources to determine if their project is located within a cold water fishery.

#### **GENERAL CONDITIONS (REGIONAL ADDITIONS)**

**General Condition No. 6 - Suitable Material.** Permittees are reminded that General Condition No. 6 prohibits the use of unsuitable material. In addition, the following materials are not suitable for discharge into waters of the U.S.

1. Vehicle bodies, farm machinery and metal junk, including appliances and metal containers, are prohibited.
2. The use of old or used asphalt paving material as a fill material and the use of new or used asphalt for bank stabilization or erosion control is prohibited.
3. The use of organic debris as fill material is prohibited. (Properly anchored trees, treetops, root wads, logs, and hay bales may be allowed on a case-by-case basis.)
4. Any material subject to leaching when in an aquatic environment is prohibited (for example, but not limited to, chemically-treated building material, roofing material, and wood debris).
5. Individual or unanchored tires are prohibited. (Tires may be allowed on a case-by-case basis when placed in the form of a mat or grid with multiple anchoring points to reduce the risk of design failure.)
6. Small aggregate (i.e. less than 6 inches in diameter) may not be placed below the OHWM of a water body for the purpose of bank stabilization or erosion control when such aggregate will be unstable or subject to frequent failure. Small aggregate may be placed below the OHWM if its purpose is to fill the interstices spaces of a well-graded rock riprap revetment or channel lining.
7. Slab material, regardless of source, must be broken before placement so that the dimension of the largest slab will not be more than 3.5 times the dimension of the smallest slab (unless justified by a qualified engineer) and must be free of exposed rebar, wire and wire mesh.
8. The use of clean brick, broken concrete and cinder block for erosion control or bank stabilization will be considered on a case-by-case basis. If allowed, the material must be free of exposed rebar, wire, wire mesh, asphalt paving material, paint, and other erodible materials. Broken concrete must range in size from 6 to 36 inches (unless justified by a qualified engineer).