

Attachment C
Report and Notification Requirements

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Copies of this Form

In order to identify your project, it is necessary to include a copy of the Project specific Cover Sheet below with your report: please retain for your records. If you need to obtain a copy of the Cover Sheet you may download a copy of this Order as follows:

1. Go to: [Individual Orders for Single Projects on the State Water Board Web Page](http://www.waterboards.ca.gov/water_issues/programs/cwa401/certifications.shtml)
(http://www.waterboards.ca.gov/water_issues/programs/cwa401/certifications.shtml)
2. Find your Order in the table based on Applicant, Date, and Subject headers.

Report Submittal Instructions

1. Check the box on the Report and Notification Cover Sheet next to the report or notification you are submitting.
 - **Part A (Annual Report):** This report will be submitted annually from the anniversary of Project effective date until a Notice of Project Complete Letter is issued.
 - **Part B (Project Status Notifications):** Used to notify the Water Board of the status of the Project schedule that may affect Project billing.
 - **Part C (Conditional Notifications and Reports):** Required on a case by case basis for accidental discharges of hazardous materials, violation of compliance with water quality standards, notification of in-water work, or other reports.
2. Sign the Report and Notification Cover Sheet and attach all information requested for the Report Type.
3. **Electronic Report Submittal Instructions:**
Submit signed Report and Notification Cover Sheet and required information via email to: stateboard401@waterboards.ca.gov and the appropriate Regional Program Manager. Contact information for the appropriate Regional Program Manager can be obtained from the [Telephone and Address Directory for the 401 Certification and Wetlands Program](http://www.waterboards.ca.gov/water_issues/programs/cwa401/docs/staffdirectory.pdf)
(http://www.waterboards.ca.gov/water_issues/programs/cwa401/docs/staffdirectory.pdf).
 - Include in the subject line of the email:
Subject: ATTN: [Name of Regional Program Manager]; Reg. Measure ID: 433381_Report

Terms

1. **Notice of Intent (NOI):** The application to enroll a project under this Order. The NOI form is found in Attachment D.
2. **Notice of Applicability (NOA):** The authorization for enrollment under this Order. The NOA is issued by the Water Board upon approval of the NOI.
3. **Notice of Completion (NOC):** This notice, found in Attachment E of this Order, is submitted by the Enrollee to the Water Board. Water Board staff will review the request and send a Completion of Discharges Letter to the Enrollee upon approval. If monitoring is required to continue after the discharge period, this letter will initiate the post-discharge monitoring period and a change in fees from the annual active discharge fee to the annual post-discharge monitoring fee. If no monitoring is required after the discharge period, then the Project Complete Letter described below may be issued in response to the NOC
4. **Request for Notice of Project Complete Letter:** This request by the Enrollee to the Water Board pertains to projects that either have completed post-construction monitoring and achieved performance standards or have no post-construction monitoring requirements, and no further Project activities are planned. Water Board staff will review the request and send a Project Complete Letter to the Enrollee upon approval. Termination of annual invoicing of fees will correspond with the date of this letter.
5. **Post-Discharge Monitoring Period:** The post-discharge monitoring period begins on the date of the Notice of Completion of Discharges Letter and ends on the date of the Notice of Project Complete Letter issued by Water Board staff. The Post-Discharge Monitoring Period includes continued water quality monitoring, temporary impact restoration monitoring, or compensatory mitigation monitoring.

Map/Photo Documentation Information

When submitting maps or photos, please use the following formats.

1. Map Format Information:

Preferred map formats of at least 1:24000 (1" = 2000') detail (listed in order of preference):

- **GIS shapefiles:** The shapefiles must depict the boundaries of all project areas and extent of aquatic resources impacted. Each shape should be attributed with the extent/type of aquatic resources impacted. Features and boundaries should be accurate to within 33 feet (10 meters). Identify datum/projection used and if possible, provide map with a North American Datum of 1983 (NAD38) in the California Teale Albers projection in feet.
- **Google KML files** saved from Google Maps: My Maps or Google Earth Pro. Maps must show the boundaries of all project areas and extent/type of aquatic resources impacted. Include URL(s) of maps. If this format is used include a spreadsheet with the object ID and attributed with the extent/type of aquatic resources impacted.
- **Other electronic format** (CAD or illustration format) that provides a context for location (inclusion of landmarks, known structures, geographic coordinates, or USGS DRG or DOQQ). Maps must show the boundaries of all project areas and extent/type of aquatic resources impacted. If this format is used include a spreadsheet with the object ID and attributed with the extent/type of aquatic resources impacted.
- Aquatic resource maps marked on paper **USGS 7.5 minute topographic maps** or **Digital Orthophoto Quarter Quads (DOQQ)** printouts. Maps must show the boundaries of all project areas and extent/type of aquatic resources impacted. If this format is used include a spreadsheet with the object ID and attributed with the extent/type of aquatic resources impacted.

2. **Photo-Documentation:** Include a unique identifier, date stamp, written description of photo details, and latitude/longitude (in decimal degrees) or map indicating location of photo. Successive photos should be taken from the same vantage point to compare pre/post construction conditions.

REPORT AND NOTIFICATION COVER SHEET

Project:
Enrollee:
Reg. Meas. ID:
Place ID:
Order Effective Date:

Report Type Submitted

Part A – Project Reporting

Report Type 1 **Annual Report**

Part B - Project Status Notifications

Report Type 2 **Request for Notice of Project Complete Letter**

Part C - Conditional Notifications and Reports

Report Type 3 **Accidental Discharge of Hazardous Material Report**

Report Type 4 **Violation of Compliance with Water Quality Standards Report**

Report Type 5 **In-Water Work/Diversions Water Quality Monitoring Report**

Report Type 6 **Transfer of Property Ownership Report**

Report Type 7 **Transfer of Long-Term BMP Maintenance Report**

“I certify under penalty of law that I have personally examined and am familiar with the information submitted in this document and all attachments and that, based on my inquiry of those individuals immediately responsible for obtaining the information, I believe that the information is true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment.”

Print Name ¹

Affiliation and Job Title

Signature

Date

¹STATEMENT OF AUTHORIZATION (include if authorization has changed since application was submitted)

I hereby authorize _____ to act in my behalf as my representative in the submittal of this report, and to furnish upon request, supplemental information in support of this submittal.

Enrollee's Signature

Date

***This Report and Notification Cover Sheet must be signed by the Enrollee or a duly authorized representative and included with all written submittals.**

Part A – Project Reporting

Report Type 1	Annual Report
Report Purpose	Notify the Water Board staff of Project status during both the active discharge and post-discharge monitoring periods.
When to Submit	If required by the NOA, annual reports shall be submitted each year on the anniversary of the date that the project was enrolled under the General Order. Annual reports shall continue until a Notice of Project Complete Letter is issued to the Enrollee.
Report Contents	<p>The contents of the annual report shall include the topics indicated below for each project period. Report contents are outlined in Annual Report Topics below.</p> <p><u>During the Active Discharge Period</u></p> <ul style="list-style-type: none"> • Topic 1: Construction Summary • Topic 2: Mitigation for Temporary Impacts Status • Topic 3: Compensatory Mitigation for Permanent Impacts Status <p><u>During the Post-Discharge Monitoring Period</u></p> <ul style="list-style-type: none"> • Topic 2: Mitigation for Temporary Impacts Status • Topic 3: Compensatory Mitigation for Permanent Impacts Status

Annual Report Topics (1-3)

Annual Report Topic 1	Construction Summary
When to Submit	With the annual report during the Active Discharge Period.
Report Contents	<ol style="list-style-type: none"> 1. Project progress and schedule including initial ground disturbance, site clearing and grubbing, road construction, site construction, and the implementation status of construction storm water best management practices (BMPs). If construction has not started, provide estimated start date and reasons for delay. 2. Map showing general Project progress. 3. If applicable: Summary of Conditional Notification and Report Types 6 and 7 (Part C below).
Annual Report Topic 2	Mitigation for Temporary Impacts Status
When to Submit	With the annual report during both the Active Discharge Period and Post-Discharge Monitoring Period.

<p>Report Contents</p>	<ol style="list-style-type: none"> 1. Planned or actual date of initiation and map showing locations of mitigation for temporary impacts to waters of the state and all upland areas of temporary disturbance which could result in a discharge to waters of the state. 2. If mitigation for temporary impacts has already commenced, provide information concerning attainment of performance standards contained in the restoration plan.
<p>Annual Report Topic 3</p>	<p>Compensatory Mitigation for Permanent Impacts Status</p>
<p>When to Submit</p>	<p>With the annual report during both the Active Discharge Period and Post-Discharge Monitoring Period.</p>
<p>Report Contents</p>	<p>*If not applicable report N/A.</p> <p>Part A. Permittee (Enrollee) Responsible</p> <ol style="list-style-type: none"> 1. Planned date of initiation of compensatory mitigation site installation. 2. If installation is in progress, a map of what has been completed to date. 3. If the compensatory mitigation site has been installed, provide a final map and information concerning attainment of performance standards contained in the compensatory mitigation plan. <p>Part B. Mitigation Bank or In-Lieu Fee</p> <ol style="list-style-type: none"> 1. Status or proof of purchase of credit types and quantities. 2. Include the name of bank/ILF Program and contact information. 3. If ILF, location of project and type if known.

Part B – Project Status Notifications

Report Type 2	Request for Notice of Project Complete Letter
Report Purpose	Notify Water Board staff that construction and/or any post-construction monitoring is complete, or is not required, and no further Project activity is planned.
When to Submit	Must be received by Water Board staff within thirty (30) days following completion of all Project activities.
Report Contents	<p>Part A: Mitigation for Temporary Impacts</p> <p>1. A report establishing that the performance standards outlined in the restoration plan have been met for Project site upland areas of temporary disturbance which could result in a discharge to waters of the state.</p> <p>Part B: Permittee (Enrollee) Responsible Compensatory Mitigation</p> <p>2. Pre- and post-photo documentation of all compensatory mitigation sites.</p> <p>Part C: Post-Construction Storm Water BMPs</p> <p>3. Date of storm water Notice of Termination(s), if applicable.</p> <p>4. Report status and functionality of all post-construction BMPs.</p>

Part C – Conditional Notifications and Reports

Report Type 3	Accidental Discharge of Hazardous Material Report
Report Purpose	Notifies Water Board staff that an accidental discharge of hazardous material has occurred.
When to Submit	Within five (5) working days following the date of an accidental discharge. Continue reporting as required by Water Board staff.
Report Contents	<ol style="list-style-type: none"> 1. The report shall include the OES Incident/Assessment Form, a full description and map of the accidental discharge incident (i.e. location, time and date, source, discharge constituent and quantity, aerial extent, and photo documentation). If applicable, the OES Written Follow-Up Report may be substituted. 2. If applicable, any required sampling data, a full description of the sampling methods including frequency/dates and times of sampling, equipment, locations of sampling sites. 3. Locations and construction specifications of any barriers, including silt curtains or diverting structures, and any associated trenching or anchoring.

Report Type 4	Violation of Compliance with Water Quality Standards Report
Report Purpose	Notifies Water Board staff that a violation of compliance with water quality standards has occurred.
When to Submit	The Enrollee shall report any event that causes a violation of water quality standards within three (3) working days of the noncompliance event notification to Water Board staff.
Report Contents	The report shall include: the cause; the location shown on a map; and the period of the noncompliance including exact dates and times. If the noncompliance has not been corrected, include: the anticipated time it is expected to continue; the steps taken or planned to reduce, eliminate, and prevent reoccurrence of the noncompliance; and any monitoring results if required by Water Board staff.

Report Type 5	In-Water Work and Diversions Water Quality Monitoring Report
Report Purpose	Notifies Water Board staff of the completion of in-water work.
When to Submit	Within three (3) working days following the completion of in-water work. Continue reporting in accordance with the approved water quality monitoring plan.
Report Contents	As required by the approved water quality monitoring plan.

Report Type 6	Transfer of Property Ownership Report
Report Purpose	Notifies Water Board staff of change in ownership of the Project or Permittee (Enrollee)-responsible mitigation area.
When to Submit	At least 10 working days prior to the transfer of ownership.
Report Contents	<ol style="list-style-type: none"> 1. A statement that the Enrollee has provided the purchaser with a copy of this Order and that the purchaser understands and accepts: <ol style="list-style-type: none"> a. the Order's requirements and the obligation to implement them or be subject to administrative and/or civil liability for failure to do so; and b. responsibility for compliance with any long-term BMP¹ maintenance plan requirements in this Order. 2. A statement that the Enrollee has informed the purchaser to submit a written request to the Water Board to be named as the enrollee in a revised order.

Report Type 7	Transfer of Long-Term BMP Maintenance Report
Report Purpose	Notifies Water Board staff of transfer of long-term BMP maintenance responsibility.
When to Submit	At least 10 working days prior to the transfer of BMP maintenance responsibility.
Report Contents	A copy of the legal document transferring maintenance responsibility of post-construction BMPs.

¹ Best Management Practices (BMPs) is a term used to describe a type of water pollution or environmental control.