

Iowa Department of Natural Resources

Section 401 Water Quality Pre-Filing Meeting and Certification Request Form

1. Type of Request: ☐ Pre-Filing Meeting Request ☐ Certification Request

2a. Property Owner/Project Proponent (aka Applicant) Name: _____

Company Name (if applicable): _____

Mailing Address: _____

Email Address: _____

Phone numbers (with area code): Home: _____ Cell: _____ Business: _____

2b. Authorized Agent's Name (if applicable): _____

Company Name: _____

Mailing Address: _____

Email Address: _____

Phone numbers (with area code): Business: _____ Cell: _____

3. Identify the Proposed Project:

4. Federal Permit / License Requiring Section 401 Water Quality Certificate and its Project Number*

Permit/License Number: _____ Federal Agency: ☐ Corps of Engineers ☐ FERC
☐ Other: _____

*A copy of the federal permit or license application is **required** to be submitted with a certification request.

5. Project Location: Section: _____ Township: _____ Range: _____

County: _____ Latitude: _____ Longitude: _____

Receiving Water(s): _____

Discharge: _____

FOR PRE-FILING MEETING REQUEST ONLY

6. Pre-filing Meeting Request Verification:

I certify that I have read and understand the following statements per the Clean Water Act Section 401 Certification Rule:

- Submission of this form completes the requirement of the pre-filing meeting request.
- I cannot submit my certification request until at least 30 calendar days after submitting this pre-filing meeting request. This request must be signed by the Property Owner/Applicant and the Authorized Agent, if applicable.

Property Owner/Applicant's Name (printed): _____

Property Owner/Applicant's Signature: _____ Date: _____

If applicable: Authorized Agent's Name (printed): _____

Authorized Agent's Signature: _____ Date: _____

FOR CERTIFICATION REQUEST ONLY

7. Include a description of any methods and means proposed to monitor the discharge and the equipment or measures planned to treat, control, or manage the discharge. (Please provide a description of the best management practices you will use to protect water quality as well as any methods and means proposed to monitor the discharge/equipment or measures planned to treat or control the discharge.)

8. List all other federal (not listed in #4), interstate, tribal, state, territorial, or local agency authorizations required for the proposed project, including all approvals or denials already received:

Agency	Type of Authorization	Agency Number	Date Applied	Date Approved	Date Denied

9. Date Pre-filing Meeting Request was submitted _____ ☐ Attach documentation of request

10. Certification Request Verification

This request is hereby made for the activities described herein. I hereby certify that all information contained herein is true, accurate, and complete to the best of my knowledge and belief. I further certify that I possess the authority to undertake the proposed activities. I hereby request that the certifying authority review and take action on this CWA 401 certification request within the applicable reasonable period of time. This application must be signed by the Property Owner/Applicant and the Authorized Agent, if applicable.

Property Owner/Applicant's Name (printed): _____

Property Owner/Applicant's Signature: _____ Date: _____

If applicable: Authorized Agent's Name (printed): _____

Authorized Agent's Signature: _____ Date: _____

Water Quality Pre-filing Meeting Request and Certification Request Form

Instructions

This form should only be completed and submitted if your project requires one of the following:

- ☐ Corps of Engineers (Corps) standard/individual Section 404 permit;
- ☐ Corps Section 404 nationwide or regional permit where the Corps waives a limit;
- ☐ Corps Section 404 nationwide or regional permit on an [Outstanding Iowa Water](#);
- ☐ Federal Energy Regulatory Commission license; or
- ☐ Other federal permit or license requiring a Section 401 Water Quality Certification.

Federal regulation [40 CFR 121.4](#) requires the applicant to submit a pre-filing meeting request before filing a certification request. More information may be viewed on the [U.S. EPA Overview of §401 Certification](#) website.

The following is a guide for completing the Department of Natural Resources' (DNR) pre-filing meeting request and certification request form. The information is required, and if not filled out completely, the request may be determined to be incomplete. If additional space is needed for any item on the form, attach additional page(s) as necessary. Please note that DNR may request additional information if it is needed to prepare the §401 Water Quality Certification (certification).

1. Check the appropriate box for whether the request is a pre-filing meeting request or a certification request.

IMPORTANT NOTE: A certification request form may not be submitted until at least 30 days have passed since the "Pre-filing Meeting Request" was submitted to the DNR. It is important to only submit the certification request when you are certain that the project will not change due to comments received during all required public notice periods.

2a. Property Owner/Project Proponent (aka Applicant) Name. Enter the name, primary residence mailing address, email address, and phone number(s) of the responsible party or parties. If the responsible party is an agency, company, corporation, or other organization, indicate the name of the organization and responsible officer. If there is more than one party, please attach a sheet with the necessary information. Please note that the Project Proponent means the applicant for a license or permit or the entity seeking certification.

2b. Authorized Agent's Name. If applicable, indicate the name of the individual or agency, designated by you, to represent you in this process. An authorized agent (agent) can be an attorney, builder, contractor, engineer, or any other person or organization. Please provide the agent's complete mailing address, email, and telephone number where the agent can be reached during normal business hours. **Note: An agent is not required.**

3. Identify the Proposed Project. Please provide a name and description identifying the proposed project, (examples: Smith Lake shoreline stabilization, U.S. 66 Mississippi River Bridge replacement, utility line replacement, or Wallace Building rain garden). Proposed project means the activity or facility for which the project proponent has applied for a federal license or permit.

4. Federal Permit / License Requiring Section 401 Water Quality Certificate and its Project Number. Certification is required for any federal license or permit that authorizes an activity that may result in a discharge to a water of the United States. The federal agency can tell you what their identification number is for your project. Please check the appropriate box to indicate the federal agency. **Important:** A copy of the federal permit or license application is **required** to be submitted with this certification request. For the Corps of Engineers Section 404 permits, DNR Flood Plain, and Sovereign Lands permits, the application form can be found and filled out at: <https://www.iowadnr.gov/environmental-protection/land-quality/flood-plain-management/flood-plain-dev-permits>.

Examples: Corps of Engineers NWP 27 #2020-0830
Corps of Engineers RP 33 #2020-1609
Corps of Engineers IP #2020-0361
FERC Hydropower #11530

5. Project Location: The location should be provided as the section, township, range and county that the project is located in. This information can be located using the following websites: <https://www.arcgis.com/home/webmap/viewer.html?url=https://programs.iowadnr.gov/geospatial/rest/services/tools/plssLocator/MapServer>, <http://ortho.gis.iastate.edu/>, or <http://www.topozone.com/>. Provide latitude and longitude in decimal degrees with four decimal places, example: latitude: 41.5919, longitude: -93.6061. Use www.latlong.net if needed for finding latitude/longitude. Please provide the name of the water body (water bodies) receiving the discharge. For minor streams with no official name, you can use “unnamed stream”.

Receiving Water(s): This is the name of the water body (or water bodies) that will be affected by the project (e.g., rivers, streams, and/or wetlands).

Discharge: A discharge is any material entering the water (e.g., riprap, bridge piers, culvert, utility lines, fill material, dredged material, chemicals, etc.).

6. (For pre-filing meeting request only) Pre-filing Meeting Request Verification. By signing the form, you must agree with everything stated in this section. The signature of the property owner/project proponent is required. If you are working with an authorized agent, their signature is also required.

7. (For certification request only) Include a description of any methods and means proposed to monitor the discharge and the equipment or measures planned to treat, control, or manage the discharge. Please provide a description of the best management practices you will use to protect water quality as well as any methods and means proposed to monitor the discharge/equipment or measures planned to treat or control the discharge (e.g., silt fences will be installed to prevent sediment entering the water body, all equipment will be cleaned prior to construction, equipment will be checked regularly to ensure oil, gas, or other material do not enter the water body).

8. (For certification request only) List all other federal, interstate, tribal, state, territorial, or local agency authorizations required for the proposed project, including all approvals or denials already received. Typical authorizations include DNR Flood Plain, DNR Sovereign Lands, DNR NPDES Storm Water, and zoning permits. Examples:

Agency	Type of Authorization	Agency Number	Date Applied	Date Approved	Date Denied
Storm Lake	Dock permit	#123	4/15/2021	7/28/2021	
DNR	Flood Plain	2020-0517	6/15/2021	10/8/2021	
DNR	Sovereign Lands	2020-0517	6/15/2021		7/2/2021
DNR	NPDES	3500901	2/14/2021	5/20/2021	

9. (For certification request only) Date Pre-filing Meeting Request was submitted. List the date and include documentation (e.g., copy of email) that a pre-filing meeting request was submitted to the DNR.

10. (For certification request only) Certification Request Verification. By signing the form, you must agree with everything stated in this section. The signature of the property owner/project proponent is required. If you are working with an authorized agent, their signature is also required.

Submit **pre-filing meeting request or certification request and attachments** by email to Section401WQC@dnr.iowa.gov

Note: Certification requests must also be sent to the Federal Agency (i.e., Corps, FERC, etc.) at the same time. For the Rock Island District Corps, send to the Corps project manager or to iowaregulatory@usace.army.mil. For the Omaha District Corps, send to the Corps project manager or to NE404Reg@usace.army.mil.

Contact Section 401 Water Quality Certification at the DNR with any questions:

Section401WQC@dnr.iowa.gov; 515-954-0586

Iowa DNR, Attn: Section 401 Water Quality Certification, 502 E 9th St, Des Moines IA 50319