

# Water Quality Pre-Filing Meeting Request and Certification Request Form

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.

**IMPORTANT NOTE:** Iowa Administrative Code 567—[Chapter 61](#) currently states that 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.

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, which may delay the 401 certification process. 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).

**Separately submit pre-filing meeting request and, when ready, the certification request and attachments** by email to [Section401WQC@dnr.iowa.gov](mailto:Section401WQC@dnr.iowa.gov)

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

[Section401WQC@dnr.iowa.gov](mailto:Section401WQC@dnr.iowa.gov); 515-954-6450

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

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# Water Quality Pre-Filing Meeting Request and Certification Request Form

## Pre-Filing Meeting Request Instructions

1.
  - a. **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.
  - b. **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.**
2. **Proposed Project Description.** 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. Please include a map or diagram of the proposed project area, as well as photographs and any other relevant site data. If you have any other readily available water quality-related materials not specified in this form, please include a brief description here and include them as an attachment in the application. Existing water quality-related materials are those in the project proponent's possession or easily obtainable and inform the project proponent's development of the application or draft license or permit.
3. **Project Location:** The location should be provided as latitude and longitude and county that the project is located in. Provide latitude and longitude in decimal degrees with four decimal places, example: latitude: 41.5919, longitude: -93.6061. Use [www.latlong.net](http://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 tributary".  
  
**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.).
4. **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.

**Iowa Department of Natural Resources**  
**Section 401 Water Quality Pre-Filing Meeting and Certification Request Form**  
**Pre-Filing Meeting Request Form**

**1a. Property Owner/Project Proponent (aka Applicant) Name:** \_\_\_\_\_

Company Name (if applicable): \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Email Address: \_\_\_\_\_

Phone numbers (with area code): Home: \_\_\_\_\_ Cell: \_\_\_\_\_ Business: \_\_\_\_\_

**1b. Authorized Agent's Name (if applicable):** \_\_\_\_\_

Company Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Email Address: \_\_\_\_\_

Phone numbers (with area code): Business: \_\_\_\_\_ Cell: \_\_\_\_\_

**2. Identify the Proposed Project:**

**3. Project Location:**

County: \_\_\_\_\_ Latitude: \_\_\_\_\_ Longitude: \_\_\_\_\_

Receiving Water(s): \_\_\_\_\_

Discharge: \_\_\_\_\_

**4. 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.
- I have included the following materials in the application:
  - Map/diagram of the proposed project area (required)
  - Photographs of the proposed project area (required)
  - Relevant site data (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 Certification Request Instructions

5. **Corps Project Manager.** Enter the name, email address, and phone number(s) of the Corps project manager associated with the proposed project.
6. **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 on the [DNR's Flood Plain webpage](#).

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

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 (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. **Dates.** Exact start and end dates for the proposed project are required, while date(s) of proposed discharges can be approximate. While the DNR has a default reasonable period of time of 6 months to respond to a certification request, the DNR intends to respond to requests as quickly as possible within that time period.
9. **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
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	

10. **Date Pre-filing Meeting Request was submitted.** List the date that a pre-filing meeting request was submitted to the DNR.
11. **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.

**Note:** Certification requests must also be sent to the Federal Agency (i.e., Corps, FERC, etc.) at the same time. All projects in Iowa are in the Rock Island Corps District except for those below the ordinary high water mark of the Missouri River or west of the Missouri River, which are in the Omaha Corps District. For the Rock Island District Corps, send to the Corps project manager or to [iowaregulatory@usace.army.mil](mailto:iowaregulatory@usace.army.mil). For the Omaha District Corps, send to the Corps project manager or to [NE404Reg@usace.army.mil](mailto:NE404Reg@usace.army.mil).

**Iowa Department of Natural Resources**  
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**Certification Request Form**

**5. Corps Project Manager\*:**

Email Address: \_\_\_\_\_

Phone numbers (with area code): Business: \_\_\_\_\_ Cell: \_\_\_\_\_

\*The corps project manager must be cc'ed on the certification request email.

**6. 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.

**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. Dates\***

Planned Start Date of Proposed Project: \_\_\_\_\_

Planned End Date of Proposed Project: \_\_\_\_\_

Approximate date(s) of discharge(s) (if known): \_\_\_\_\_

\*In normal situations, the DNR issues certifications within 90 days. This period of time accommodates internal review and the mandatory public comment period. If your project is scheduled to start sooner, please contact us at [Section401WQC@dnr.iowa.gov](mailto:Section401WQC@dnr.iowa.gov). Be advised that the DNR is entitled up to six months by law to review certification requests.

**9. List all other federal (not listed in #6), 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

**10. Date Pre-filing Meeting Request was submitted** \_\_\_\_\_

**11. 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 have completed the following tasks, as required for the certification request:

- Cc'ed the Corps contact associated with the proposed project
- Attached a copy of the federal permit or license application
- Submitted to pre-filing meeting request at least 30 days ago

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: \_\_\_\_\_