

**UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
REGION 8**

**FILED**

Jun 20, 2025

8:55 am

**U.S. EPA REGION 8  
HEARING CLERK**

<p>IN THE MATTER OF:</p> <p>Kim Fisher 11085 Manor Drive Highland, Utah 84003</p> <p>and</p> <p>Peggy Fisher 11085 Manor Drive Highland, Utah 84003</p> <p style="text-align: center;">Respondents</p>	<p>Docket No. CWA-08-2025-0012</p> <p>ADMINISTRATIVE ORDER FOR COMPLIANCE</p> <p>Section 309(a) of the Clean Water Act, 33 U.S.C. § 1319(a)</p>
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**I. INTRODUCTION**

1. This Administrative Order for Compliance (Order) is issued by the United States Environmental Protection Agency (EPA) to Kim Fisher and Peggy Fisher (Respondents). This Order concerns restoration for environmental damage caused by alleged illegal discharges of dredged or fill material to waters of the United States located in Lake Fork Canyon near Forest Service Road 106 and the Lake Fork River, within the Ashley National Forest in Duchesne County, Utah, and within the boundary of the Uintah and Ouray Reservation in Utah, near Latitude 40.527944° N and Longitude -110.442452° W (Site).

**II. STATUTORY AUTHORITY**

2. This Order is issued under section 309(a) of the Clean Water Act (the Act), 33 U.S.C. § 1319(a). The authority to issue this Order has been properly delegated to the undersigned official. This Order is based on the following findings of violation of section 301(a) of the Act, 33 U.S.C. § 1311(a), which, among other things, prohibits the discharge of pollutants to waters of the United States except as in compliance with section 404 of the Act, 33 U.S.C. § 1344.

**III. PARTIES BOUND**

3. This Order shall apply to and be binding upon EPA and upon Respondents and Respondents' agents, successors, and assigns. No change in ownership of the Site shall alter Respondents' responsibilities under this Order unless EPA, Respondents,

and the transferee agree in writing to allow the transferee to assume such responsibilities. Additionally, no later than 30 calendar days prior to such transfer, Respondents shall notify EPA at the address specified in paragraph 33, below.

#### **IV. FINDINGS OF FACT AND VIOLATION**

4. Respondent Kim Fisher is an individual and a resident of Utah.
5. Respondent Peggy Fisher is an individual and a resident of Utah.
6. At all relevant times, Respondents operated on or otherwise controlled U.S. Department of Agriculture Forest Service (USFS) lands containing wetlands and the Lake Fork River at the Site.
7. The Lake Fork River is a relatively permanent water that connects to the Duchesne River, which connects to the Green River, a traditional navigable water under 33 C.F.R. § 328.3(a)(1).
8. Commencing on or around June 1, 2021, Respondents, without obtaining a 404 permit, used heavy machinery to excavate materials from the Lake Fork River for the purpose of stream armoring. Respondents used dirt/gravel fill, concrete, and a prefabricated railcar bridge to construct bridge abutments, a bridge over the Lake Fork River, and a road over adjacent wetlands on USFS lands. Respondents did this to access their inholding within the Ashley National Forest and within the boundary of the Uintah and Ouray Reservation. Respondents' activities directly impacted the Lake Fork River and wetlands that abut the Lake Fork River. Constructing the bridge abutments involved discharges of dredged and fill material below the ordinary high water mark (OHWM) of the Lake Fork River with sub-par materials and designs, which have resulted in narrowing the floodplain and riverbed scouring. The raised road built through wetlands and the lack of culverts is dewatering and inhibiting the proper flow and circulation of the wetlands. Material was also removed from the Lake Fork River to armor stream banks in two locations, resulting in downcutting of the river.
9. The USFS conducted an initial inspection of the Site on June 2, 2021. EPA conducted an inspection on May 12, 2023. The inspections of the Site confirmed the activities listed in paragraph 8.

10. The activities described in paragraph 8 resulted in discharges of dredged and/or fill material to approximately 255 linear feet of the Lake Fork River and 0.49 acres of wetlands that directly abut the Lake Fork River (Impacted Area), increasing the potential for erosion and sedimentation within the Lake Fork River. The Lake Fork River and adjacent wetlands provide numerous functions and values including aquatic and wildlife habitat, water storage, a natural sediment trap, runoff conveyance, groundwater recharge, recreation, and aesthetics. There is also a concern of the improperly constructed bridge washing out during a high flow or flood event, which could result in loss of life and/or injury and economic damages and burdens of those downstream.
11. The activities described in paragraph 8 were performed using common earthmoving vehicles and equipment.
12. Respondents are “person[s]” as defined in section 502(5) of the Act, 33 U.S.C. § 1362(5).
13. The material discharged at the Site and described in paragraphs 8 and 10 is and was at all relevant times “dredged material” or “fill material” as defined in 33 C.F.R. § 323.2(c) or 33 C.F.R. § 323.2(e), respectively, and “pollutants” as defined in section 502(6) of the Act, 33 U.S.C. § 1362(6).
14. The vehicles and equipment used in the activities described in paragraph 8 are and were at all relevant times each a “point source” as defined in section 502(14) of the Act, 33 U.S.C. § 1362(14).
15. The Lake Fork River, Duchesne River, and Green River referenced in paragraph 7 are and were at all relevant times “waters of the United States” as defined in 33 C.F.R. § 328.3(a) and therefore “navigable waters” as defined in section 502(7) of the Act, 33 U.S.C. § 1362(7).
16. The placement of dredged or fill material to the Lake Fork River and its adjacent wetlands described in paragraph 8 constitutes the “discharge of pollutants” as defined in section 502(12) of the Act, 33 U.S.C. § 1362(12).
17. Section 301(a) of the Act, 33 U.S.C. § 1311(a), prohibits, among other things, the discharge of pollutants by any person to waters of the United States except as in compliance with section 404 of the Act, 33 U.S.C. § 1344.

18. Section 404 of the Act, 33 U.S.C. § 1344, sets forth a permitting system authorizing the Secretary of the Army, acting through the Chief of Engineers of the Corps, to issue permits for the discharge of dredged or fill material into navigable waters, which are defined as the waters of the United States, including the territorial seas.
19. According to 33 C.F.R. § 323.3(a), a permit issued by the Corps is required for the discharge of dredged or fill material into waters of the United States unless an exemption pursuant to 33 C.F.R. § 323.4 applies.
20. Respondents are not and never have been authorized by a permit issued pursuant to section 404 of the Act, 33 U.S.C. § 1344, to conduct any of the activities described in paragraph 8.
21. The activities conducted by Respondents and/or by persons acting on Respondents' behalf as described in paragraph 8 violate section 301(a) of the Act, 33 U.S.C. § 1311(a). Each discharge of pollutants from a point source by Respondents to waters of the United States without the required permits issued pursuant to section 404 of the Act, 33 U.S.C. § 1344, constitutes a violation of section 301(a) of the Act, 33 U.S.C. § 1311(a). Each day the discharges remain in place without the required permits constitutes an additional day of violation of section 301(a) of the Act, 33 U.S.C. § 1311(a).
22. Activities to be carried out under this Order are remedial, not punitive, and are necessary to achieve the Act's objective "to restore and maintain the chemical, physical, and biological integrity of the Nation's waters," as specified in section 101(a) of the Act, 33 U.S.C. § 1251(a). Restoration is appropriate to address the actual and potential harm to water quality, aquatic habitat, and wildlife habitat, as well as other functions and values, caused by Respondents' activities done without a 404 permit.
23. This Order was issued after consultation and coordination with the Corps' Sacramento District, Bountiful, Utah, Regulatory Office.

#### **V. ORDER FOR COMPLIANCE**

Based upon the foregoing FINDINGS OF FACT AND VIOLATION and pursuant to the authority vested in the Administrator of EPA pursuant to section 309(a) of the Act,

33 U.S.C. § 1319(a), as properly delegated to the undersigned official, it is hereby  
ORDERED:

24. Respondents shall make no further discharges of dredged or fill material, now and in the future, to waters of the United States, unless specifically authorized by the Corps under a valid permit issued pursuant to section 404 of the Act, 33 U.S.C. § 1344. This prohibition includes all mechanical land clearing, dredging, filling, grading, leveling, installation of utilities, construction, and any other activities that result in a discharge of dredged or fill material to waters of the United States.
25. Within 14 calendar days after receipt of this order, the Respondents shall inform EPA in writing of their intent to comply fully with this order
26. Within 30 days after receipt of this Order, Respondents shall submit to EPA the name and qualifications, including professional resume, of a consultant experienced in stream and wetland restoration who must prepare a restoration plan (Plan) and directly supervise all work performed pursuant to the Plan once it is approved by EPA.
27. Within 120 days after receipt of this Order, Respondents shall submit to EPA for review, comment, and approval a Plan prepared by the consultant referenced in paragraph 26. Within 10 days after Respondents' submittal of an application for a Special Use Permit to the USFS for the Site, Respondents shall submit a copy to EPA.
  - a. This Order does not constitute approval by the USFS for continued use of the Site. If, after exhaustion of all administrative and judicial applications, procedures, appeals, or other remedies, Respondents do not receive approval from the USFS for continued use of the Site, the Plan must be updated to detail (1) the removal and restoration of all dredged and fill material that was discharged to the waters of the United States at the Site, (2) monitoring the Impacted Area, and (3) any necessary permit(s) from the Corps to perform the work. If Respondents do receive a Special Use Permit from the USFS for continued use of the Site, the Plan must be updated to detail (1) the removal and restoration of any dredged and fill material that was discharged to the waters of the United States at the Site that is not consistent with the

Special Use Permit, (2) monitoring of the Impacted Area, and (3) any authorized after-the-fact permits from the Corps.

28. The Plan shall be prepared for the Impacted Area in accordance with the “U.S. Environmental Protection Agency, Region 8 Clean Water Act § 404 Enforcement: Removal/Restoration Plans and Habitat Mitigation/Monitoring Proposals” guidelines attached as “Exhibit A”. The Plan shall include:

- a. An assessment of the impacts to the Lake Fork River and adjacent wetlands within the Impacted Area due to Respondents’ discharges of dredged and fill material without a permit issued under section 404 of the Act;
- b. A Site map at an appropriate scale showing the scope of unauthorized disturbance within the Impacted Area. The Site map shall include existing undisturbed natural features that were not impacted and clearly identify all unauthorized man-made disturbances, fills, excavations, road crossings, culverts, structures, and any other work within the Impacted Area;
- c. A detailed description and schedule for all work and activities to be accomplished, including the application for any required permits, providing for completion of all aspects of the work no later than October 31, 2026. Respondents can submit a written request for this date to be tolled to the contacts listed in paragraph 33 if Respondents’ exhaustion of administrative or judicial remedies regarding a Special Use Permit from the USFS or a CWA 404 permit from the Corps make the current date infeasible, but this date will not be tolled if Respondents fail to submit an application for a Special Use Permit from the USFS or fail to submit any needed applications for a CWA 404 permit from the Corps. EPA will review a request for tolling and approve or deny the request within 15 days of receiving the request;
- d. Grading, planting, and monitoring plans; measurable criteria for the success of restoration; a schedule for submitting reports at the conclusion of each monitoring event; and provisions for proper disposal of any excess soils or other material generated during removal and restoration;

- e. Detailed professional drawings of the restoration site, including plan and profile drawings with control elevations for current conditions and proposed conditions;
  - f. Engineered plans addressing long-term sustainability and minimization of the risk of flanking, undercutting, and potential failure of the bank stabilization; and
  - g. A description of all costs to complete the restoration work, including the costs of all consultations, permits, construction, and monitoring.
29. EPA will review the Plan and approve it, approve it with modifications, or reject it with comments. If EPA rejects the Plan, Respondents shall, within 30 calendar days after receipt of EPA's rejection letter, submit a revised Plan that corrects the deficiencies identified by EPA. The EPA will endeavor to have the Corps participate in meetings in which the EPA provides Respondents feedback on a submitted Plan.
30. Upon receiving EPA's written approval of the Plan, Respondents shall obtain all necessary permits and/or approvals to implement the Plan and then commence all activities in accordance with the approved Plan, including the Plan's timeframes and any granted permits and/or approvals or required processes. Respondents shall demonstrate that all necessary permits and/or approvals have been granted, and/or all required processes have been followed, by providing copies of such documents to EPA within seven calendar days of issuance of each document and/or completion of any required processes.
31. All activities conducted pursuant to this Order and involving the use of heavy construction equipment shall be undertaken under the direct, on-site supervision of the consultant retained pursuant to paragraph 26 unless otherwise approved in advance by EPA.
32. This Order is not a permit or an authorization to place or discharge dredged or fill material in waters of the United States. Respondents shall consult with the Corps at the address and telephone number below to determine if any work to be performed pursuant to this Order requires a permit from the Corps under section 404 of the Act. If any such permit is required, Respondents shall obtain such

permit(s) and provide a copy or copies to EPA pursuant to paragraph 30, prior to initiating any work that is to be performed pursuant to this Order.

Jason Gipson  
Chief, Utah Regulatory Section  
US Army Corps of Engineers  
Sacramento District, Regulatory Division  
533 West 2600 South, Suite 150  
Bountiful, UT 84010-7744  
Telephone: (801) 725-8380 ext 8314  
Email: Jason.A.Gipson@usace.army.mil

33. Respondents shall submit all notifications under this Order and related correspondence to:

Zachary Schlachter, 8ECA-W-NW  
U.S. Environmental Protection Agency, Region 8  
Email: schlachter.zachary@epa.gov

A copy of all notifications and related correspondence also shall be provided to:

Matt Castelli, 8ORC-LE-R  
U.S. Environmental Protection Agency, Region 8  
Email: Castelli.matthew@epa.gov

34. After issuance of any Corps authorization for the restoration work, compliance with this Order does not satisfy any requirements in the Corps permit(s), including submitting all notifications and correspondence to the Corps in accordance with the terms and conditions in the Corps permit(s).
35. The Plan and any other deliverables, reports, specifications, schedules, permits, and attachments required by this Order are, upon approval by EPA, incorporated into this Order. Any non-compliance with the Plan, deliverables, reports, specifications, schedules, permits, or attachments shall be deemed a failure to comply with this Order and shall be subject to EPA enforcement.
36. Until termination of this Order, EPA, the Corps, and their authorized representatives and contractors shall have the authority at all reasonable times to enter the Site to:



- a. Inspect and monitor progress of the activities required by this Order;
  - b. Inspect and monitor compliance with this Order;
  - c. Inspect and review any records relevant to this Order; and
  - d. Verify and evaluate data and other information submitted to EPA, USFS, or the Corps.
37. This Order shall in no way limit or otherwise affect EPA's authority or the authority of any other governmental agency to enter the Site; conduct inspections; have access to records; issue notices and orders for enforcement, compliance, or abatement purposes; or monitor compliance pursuant to any statute, regulation, permit, or court order.
38. EPA will submit all notifications and correspondence to:
- Daniel F. Van Woerkom  
VW Legal Counsel  
dan@vwlegalcounsel.com
39. EPA and Respondents may, by notice, change the address to which future notices shall be sent or the identities of the persons designated to receive notices hereunder.
40. If an event causes or may cause delay in the achievement of the requirements of this Order, Respondents shall notify EPA orally as soon as possible and in writing within ten working days from the date Respondents first knew of such event or should have known of such event by exercise of due diligence, whichever is earlier. Respondents' written notice shall specify the length of the anticipated delay, the cause(s) of the delay, the measures taken or to be taken by Respondents to minimize the delay, and a timetable by which those measures will be or have been implemented. Notification to EPA pursuant to this paragraph of any anticipated delay, by itself, shall not excuse the delay or the obligation of Respondents to comply with the requirements and deadlines of this Order, unless EPA grants in writing an extension of the applicable requirement or deadline.
41. If Respondents demonstrate to EPA's satisfaction that the delay or anticipated delay has been or will be entirely caused by circumstances beyond Respondents' control (or the control of any of Respondents' agents) that Respondents could not

have foreseen and prevented despite due diligence and that Respondents have taken all reasonable measures to prevent or minimize such delay, EPA may excuse performance or extend the time for performance of such requirement for a period not to exceed the actual delay resulting from such circumstances. EPA's determination on these matters shall be made in writing within 15 days after the receipt of Respondents' written notification of the event. Changed economic circumstances shall not be considered circumstances beyond the control of Respondents.

42. This Order does not constitute a waiver or election by the EPA to forego any civil or criminal action to seek penalties, fines, or other relief as it may deem appropriate under the Act. Section 309(d) of the Act, 33 U.S.C. § 1319(d), as adjusted for inflation by 40 C.F.R. § 19.4, authorizes civil penalties for each violation of an order issued by the Administrator of EPA under section 309(a) of the Act, 33 U.S.C. § 1319(a). Section 309(c) of the Act, 33 U.S.C. § 1319(c), authorizes fines and imprisonment for willful or negligent violations of the Act.
  - a. Compliance with the terms and conditions of this Order shall not be construed to relieve Respondents of their obligations to comply with any applicable federal, state, tribal, or local law or regulation.
  - b. Failure by Respondents to complete the tasks described herein in the manner and time frame specified pursuant to this Order may subject Respondents to a civil action under section 309 of the Act, 33 U.S.C. § 1319, for violation of this Order.
43. This Order constitutes final agency action. Respondents may seek federal judicial review of this Order pursuant to Chapter 7 of the Administrative Procedure Act, 5 U.S.C. §§ 701-706. Section 706, which is set forth at <http://uscode.house.gov/download/pls/05C7.txt>, states the scope of such review.
44. This Order shall be effective immediately upon receipt by Respondents (see Certificate of Service, below).
45. This Order shall remain in effect until a written notice of termination is issued by EPA following compliance with all requirements of this Order and the Plan. Respondents may petition EPA to terminate this Order upon completion of the

requirements in this Order and the Plan, as well as demonstrated compliance with the Act. EPA, in its sole discretion, will determine whether to grant such a petition from Respondents.

**UNITED STATES ENVIRONMENTAL  
PROTECTION AGENCY, REGION 8**

Date: 06/20/2025

By: \_\_\_\_\_  
Suzanne J. Bohan, Director  
Enforcement and Compliance  
Assurance Division

**CERTIFICATE OF SERVICE**

I certify that the foregoing Administrative Order for Compliance was sent or delivered on this day as follows by email to [R8\\_Hearing\\_Clerk@epa.gov](mailto:R8_Hearing_Clerk@epa.gov) and to the following:

Daniel F. Van Woerkom  
Legal Counsel  
Lehi, Utah 84043  
By email to: dan@vwlegalcounsel.com

Kim and Peggy Fisher  
11085 Manor Drive  
Highland, Utah 84003  
By certified mail, return receipt requested (no. 7012 2210 0000 5372 2662)

By: \_\_\_\_\_ Date: 06/20/2025

# Exhibit A

## **U.S. ENVIRONMENTAL PROTECTION AGENCY, REGION 8**

### **CLEAN WATER ACT § 404 ENFORCEMENT: REMOVAL/RESTORATION PLANS AND HABITAT MITIGATION/MONITORING PROPOSALS**

#### **INTRODUCTION**

These guidelines are designed to assist respondents in the preparation of (1) removal and restoration plans and (2) habitat mitigation and monitoring plans associated with projects required under EPA administrative orders. They have been developed from the experiences of many cases and are intended to be merely guidelines. In the event of a conflict between an administrative order and these guidelines, the administrative order controls.

For answers to questions regarding the interpretation of these guidelines or of acceptable restoration and mitigation for a specific project, please contact the person at EPA Region 8 in the Technical Enforcement Program who is handling the case.

**CLEAN WATER ACT § 404 ENFORCEMENT:**  
**GENERAL GUIDELINES FOR DEVELOPMENT OF**  
**REMOVAL AND RESTORATION PLANS**

**I. GENERAL INFORMATION**

The following guidelines serve as general specifications for preparing removal and restoration plans to remediate the unpermitted filling of wetlands. As environmental conditions vary from site to site, precise specifications will depend upon the environment conditions peculiar to the site in question. The size of the wetland area to be restored, its biological and physical characteristics, and the level of disturbance the wetland has experienced will further define the scope and complexity of the restoration plan. In most cases, the types of information listed below represent only the minimum required to formulate an acceptable removal and restoration plan.

**When these guidelines are incorporated into an EPA administrative order, the recipient of the order should obtain the approval of EPA's technical representative on the case before departing from the general specifications outlined below.**

**II. RECOMMENDED REMOVAL AND RESTORATION PLAN FORMAT**

The removal and restoration plan should be presented using the following six subsections when possible. An explanation of the kind of information that should be included in each subsection is provided.

**1. Existing Physical Conditions**

- A. A surveyed site plan depicting property boundaries, streets, buildings, waterbodies (with ordinary high water line indicated), wetlands, FEMA 100-year floodplain (if applicable), areas of unpermitted fill, elevation contours, and other ground surface features at a scale no greater than 1":40'. This plan shall include a cross-section view of the site which shows soil depths, fill depths, and average depth to groundwater across the site.
- B. A narrative description of existing physical conditions, including the area of the site; area of unpermitted fill; existing wetlands (including the types of vegetation); the soil types present (including the types of unpermitted fill present); the hydrologic regime of the site; and other relevant information.

## **2. Proposed Physical Conditions**

- A. Using the site plan described in Subsection 1.A. as a base, show the exact areas where remedial activities will occur (e.g., removal of fill, replacing dredged material into ditches, etc.). Indicate proposed finished grades, expected ordinary high water elevations, the location of proposed plantings/seedings, and the location of all sediment and erosion control structures (e.g., hay bales, silt screens, etc.). This plan shall include a cross-section view of the site which shows proposed soil depths and average depth to groundwater across the site.
- B. Provide a narrative description of the remedial work to occur, including the methods and equipment to be employed; how access to the site to perform the work will be obtained; how equipment will be brought to the site; the location of the ultimate disposal site for any removed fill; how the work will progress across the site; a listing of the plant species to be seeded/planted at the site; the sources of the plant material [*note*: as a rule, transplanting of plant stock will not be permitted]; the planting method(s) and scheme (i.e., physical layout of the how plant material will be installed); any methods to be used to minimize adverse impacts while remedial work is underway; the expected hydrologic regime of the site in its restored condition; and other relevant information.
- C. Delineate the area(s) on the site to be restored by installation of flagging, sedimentation and erosion control structures, or other appropriate method. This delineation shall represent the limit of construction activities such that no work shall occur beyond those boundaries.

## **3. Actual Restored Physical Conditions**

Using the site plan described in Subsection 1.A. as a base, show the actual physical conditions to exist at the site at the completion of grading activities (i.e., as “as-built” plan), including actual finished grades and all pertinent ground surface features. This plan shall include a cross-section view of the site which shows actual soil depths and average depth to groundwater across the site. This as-built plan shall be prepared and submitted prior to planting/seeding activities.

## **4. Monitoring/Measures of Success**

- A. Normally, monitoring shall be performed midway through and near the end of the first and second growing seasons, then annually near the end of each successive growing season for the duration of the required monitoring period. Monitoring shall be performed for a period of at least

five years due to the scope and complexity of the remedial efforts required.

- B. A monitoring plan shall incorporate a simple statistical approach to assessing relative success or failure of restoration efforts (e.g., transects with sampling stations for measuring parameters such as percent areal cover in each vegetative stratum). A permanent photographic record shall be included as part of the monitoring plan.
- C. Depending upon the scope and complexity of the remedial efforts, general criteria to measure success shall be determined by EPA. These criteria shall be directly related to reestablishing the structural components of the aquatic ecosystem being restored. A general provision shall be included to allow for corrective action to be taken, at the direction of EPA, should monitoring show that criteria for success are not being met.
- D. A report shall be prepared and submitted after each monitoring event which describes the environmental conditions at the site and assesses relative success or failure of restoration efforts. This report shall include photographic evidence as well. This report shall identify any problems discovered and recommend appropriate corrective action to ensure the success of restoration.

## **5. Inspections**

The plan shall provide for inspections by EPA personnel after installation of all sedimentation and erosion control structures, after completion of grading activities, after completion of initial planting/seeding activities, and after monitoring indicates that the criteria for success have been attained.

## **6. Schedule**

A comprehensive schedule integrating all removal, restoration, inspection, and monitoring activities as well as report/product submissions shall be included.



**CLEAN WATER ACT § 404 ENFORCEMENT:**

**GENERAL GUIDELINES FOR DEVELOPMENT OF  
HABITAT MITIGATION AND MONITORING PROPOSALS**

**I. GENERAL INFORMATION**

Submission of a mitigation and monitoring proposal as described in these guidelines will not be a substitute for complete compliance with the Memorandum of Agreement Between the Environmental Protection Agency and the Department of the Army Concerning the Mitigation under the Clean Water Act Section 404(b)(1) Guidelines dated November 7, 1989, which took effect on February 7, 1990. Therefore, mitigation proposals will only be considered if avoidance and minimization have been fully pursued.

Although all the individual components presented here may not be applicable to every project, a proposal should address each heading in the guidelines. Appendix A provides text and figure format guidelines.

**II. PLACE OF MITIGATION AND MONITORING PROPOSAL IN CLEAN  
WATER ACT § 404 PERMIT PROCEDURE**

**1. Individual Permit**

If a respondent is applying for an individual permit from the U.S. Army Corps of Engineers (the “Corps”) and proposes mitigation, it is preferable that a preliminary mitigation and monitoring plan be submitted along with application materials. A detailed preliminary mitigation plan should generally not be completed until a final jurisdictional map has been accepted by EPA, and the area of fill to be mitigated for has been identified. The final mitigation plan will usually be submitted following the public comment period and Corps review of the preliminary plan.

**2. Nationwide Permit**

If a respondent is requesting confirmation of a project’s qualification for a Corps nationwide permit and proposes mitigation, a detailed mitigation and monitoring plan must be submitted with the request for confirmation.

**3. Final Submission**

The final submission of all mitigation and monitoring plans must be in a *single* document. It must contain up-to-date versions of all materials, even if other versions were submitted earlier in the application process.

### **III. EPA/CORPS POLICY**

In general, the goal of both EPA and the Corps is to permit no net loss of functions and values of wetland habitat. The replacement ratio of wetland acreage required to achieve this goal is typically *at least* 1:1, and is often higher. The attainment of replacement functions and values and an acreage replacement ratio are usually included in final success criteria associated with the completion of a respondent-permittee's mitigation responsibility.

### **V. SUMMARY OF RECOMMENDED MITIGATION AND MONITORING PROPOSAL FORMAT**

The mitigation and monitoring proposal should be presented using the following nine subsections when possible. Detailed explanations of the kind of information that should be included in each subsection is provided in Section VI below.

#### **1. PROJECT DESCRIPTION**

- A. Location of Project
- B. Brief Summary of Overall Project
- C. Responsible Parties
- D. Jurisdictional Areas to be Filled
- E. Type(s), Functions, and Values of the Jurisdictional Areas

#### **2. GOAL(S) OF MITIGATION**

- A. Type(s) of Habitat to be Created
- B. Functions and Values of Habitat to be Created
- C. Time Lapse

#### **3. FINAL SUCCESS CRITERIA**

- A. Target Functions and Values
- B. Target Hydrological Regime
- C. Target Jurisdictional Acreage to be Created

#### **4. PROPOSED MITIGATION SITE**

- A. Location and Size of Mitigation Area
- B. Ownership Status
- C. Existing Functions and Values of Mitigation Area
- D. Present and Proposed Uses of Mitigation Area
- E. Jurisdictional Delineation (if applicable)
- F. Present and Proposed Uses of All Adjacent Areas
- G. Zoning

**5. IMPLEMENTATION PLAN**

- A. Rationale for Expecting Implementation Success
- B. Responsible Parties
- C. Site Preparation
- D. Planting Plan
- E. Schedule
- F. Irrigation Plan
- G. As-Built Conditions

**6. MAINTENANCE DURING MONITORING PERIOD**

- A. Maintenance Activities
- B. Responsible Parties
- C. Schedule

**7. MONITORING PLAN**

- A. Performance Criteria
- B. Monitoring Reports
- C. Annual Reports
- D. Schedule

**8. COMPLETION OF MITIGATION**

- A. Notification of Completion
- B. Corps Confirmation

**9. CONTINGENCY MEASURES**

- A. Initiating Procedures
- B. Alternative Locations for Contingency Mitigation
- C. Funding Mechanism
- D. Responsible Parties

**VI. DETAILED RECOMMENDED MITIGATION AND MONITORING PROPOSAL FORMAT**

Detailed information to be included in each subsection of the mitigation and monitoring proposal is presented below. The nine subsections should be preceded by a one-page summary of the report contents.

## 1. PROJECT DESCRIPTION

### A. Location of Project

1. Describe
2. Provide:
  - a. Road map with site location clearly indicated
  - b. USGS quad map with project site outlines (clear photocopy is acceptable)

### B. Brief Summary of Overall Project

In one or two paragraphs, describe the overall project (not just the jurisdictional area to be filled). Include type of development and project size.

### C. Responsible Parties

Provide the name(s), title(s), address(es), and phone number(s) of the applicant(s)<sup>1</sup>, including the contact person(s) if the applicant is a company, and of the preparer(s) of the mitigation plan.

### D. Jurisdictional Areas to be Filled

Provide a full-size topo base map with verified Corps/EPA jurisdictional area(s) and area(s) of proposed fill outlines. (See Appendix A for map format information.)

### E. Type(s), Functions, and Values of the Jurisdictional Areas

1. Type: e.g., seasonal wetland, vernal pool, freshwater marsh, playa, etc.
2. Functions and Values

Formal procedures to assess functions and values of wetlands have not yet been adopted. Therefore, to assist in evaluation of the project, a knowledgeable professional should provide a summary of the functions and values of the wetland to be filled. Any jurisdictional areas other than wetlands should also be assessed for functions and values. Examples of features to be addressed are:

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<sup>1</sup> The “applicant” refers to the permit applicant, who will in most instances be the respondent.

#### Water Quality

- ground water
- recharge/discharge
- flood storage
- other

#### Habitat

- rare/threatened/endangered species
- known or probable wildlife use
- plant communities
- complete species list
- known or probable fish, shellfish, and aquatic vertebrate use
- other

#### Recreational Use

- non-consumptive (e.g., birdwatching, walking)
- consumptive (e.g., fishing, hunting)

## **2. GOAL(S) OF MITIGATION**

This refers to the long-term goals, which may not be reached until some years after the applicant's mitigation responsibilities have been completed.

### **A. Type(s) of Habitat to be Created**

If out-of-kind, present rationale. (Refer to Subsection 1.E.1 above.)

### **B. Functions and Values of Habitat to be Created**

Identify, describe, and provide location of any local reference site if different from the wetland to be filled. (Refer to Subsection 1.E.2. above.)

### **C. Time Lapse**

Describe how many years it is likely to take for the long-term goal habitat to develop.

## **3. FINAL SUCCESS CRITERIA**

These are the criteria that are proposed by the applicant for Corps approval and are used to determine completion of permittee's mitigation responsibilities. Fulfillment of these criteria should indicate that the mitigation area is progressing well toward the habitat

type, functions, and values which constitute the long-term goal of this mitigation. For mitigation plantings, final success criteria will not be considered to have been met until a minimum of two years after all human support (e.g., irrigation, replanting, rodent control, and fertilization) has ceased. Major factors to be considered are:

A. Target Functions and Values

- wildlife species
- percentage vegetation cover and/or density
- approximate plant height criteria (shrubs and trees)
- plant and animal species diversity
- root development
- canopy stratification
- other quantifiable measures of success

B. Target Hydrological Regime

- source(s) of water
- discharge point(s)
- area(s) affected by seasonal flooding
- direction(s) of flow
- size (and map) of watershed

C. Target Jurisdictional Acreage To Be Created

Where applicable, a formal wetlands determination must be submitted for Corps approval as a part of the final success criteria.

#### **4. PROPOSED MITIGATION SITE**

A. Location and Size of Mitigation Area

1. Describe location, including rationale for choice. If offsite, indicate distance from project site.
2. Provide the following maps:
  - a) full-size copy of USGS quad map with the mitigation location outlined
  - b) road map marked with the site location
  - c) base topo map with the proposed mitigation area outlined and acreage indicated. (See Appendix A for figure format information.)

B. Ownership Status

1. Indicate who presently owns the mitigation site. If any owner is different from the permit applicant(s), describe and explain the availability of the property. Describe and explain any easements or encroachments that the property carries. If any of the property is located on public land, describe and explain what arrangements, if any, have been discussed with the managing agency.
2. Indicate expected ownership of the mitigation area following completion of the mitigation project. Identify who will be responsible for long-term management and protection of the area. Describe and explain what if any long-term management plan been prepared for the area. If an entity other than the applicant will assume management responsibilities following completion of mitigation project, describe and explain any signed, written agreement that the manager will manage the area in conformance with goals of the mitigation. Include copies of any written plans or agreements.
3. Indicate what entity, if any, controls water flow to or from the site. Identify and describe the party who is to maintain water control structures. Describe and explain what arrangements have been made to guarantee appropriate water flow in the mitigation area during and after the establishment of the mitigation project.

C. Existing Functions and Values of Mitigation Area

(Refer to Section I.E. above.)

D. Present and Proposed Uses of Mitigation Area

Briefly describe all known present and proposed uses of the mitigation area. Discuss non-native landscape plantings, pipelines, powerlines, roads, distance and location of nearest structures, if any, etc., on the property containing the mitigation site.

E. Jurisdictional Delineation (if applicable)

Describe any jurisdictional areas that are already present on the mitigation site. Provide a topo base map of the site with jurisdictional areas (and any proposed fill) indicated. Describe the probable future of the mitigation area as habitat if left undisturbed.

F. Present and Proposed Uses of All Adjacent Areas

Briefly describe all known present and proposed uses of all property sharing a common border with the property containing the mitigation.

G. Zoning

Give all present and proposed zoning designations for the mitigation site and adjoining properties, including city, county, BCDC, etc.

**5. IMPLEMENTATION PLAN**

A. Rationale for Expecting Implementation Success

May refer to previous relevant experience of applicant and/or implementation consultant or to other similar and successful mitigation projects. Include hydrology and soils information.

B. Responsible Parties

Provide the name(s), title(s), address(es), and phone numbers of the person(s) responsible for implementing the mitigation project.

C. Site Preparation

1. Describe plans for grading, hydrologic changes, water control structures, soil amendments, erosion control, bank stabilization, equipment and procedures to be used, site access control, etc., as applicable. Include a description of exotic vegetation control techniques, planting hole excavation methods (e.g., auguring, hand digging), and the size of the planting hole (e.g., twice size of container).
2. Provide base topo maps showing planned site preparation. (See Appendix A for figure format information.)
3. Provide representative cross-sections of the mitigation site with elevations and scale indicated.
4. Provide the name, title, address, and phone number of the person supervising or providing biological monitoring during grading activities.



D. Planting Plan

1. Briefly describe the planting plan and methods
2. Provide a table of species to be planted, including numbers, spacing, types of propagules, pot sizes, etc.
3. Indicate the source-locale of seeds, plant plugs, cuttings, etc.
4. Show planting and species locations on a base topo map. (See Appendix A for figure format information.)
5. If transplanting is to be done, describe the storage method and duration.
6. Describe any expected volunteer native revegetation that is included in mitigation planning.

E. Schedule

Provide a schedule in the form of a legible flow chart showing intended timing of site preparation and plantings.

F. Irrigation Plan

1. Describe irrigation method(s), estimated frequency, and amount during dry months.
2. Indicate water source(s) for the mitigation area.
3. Show the planned irrigation system and/or water flow on base topo (may be included on the planting plan map).

G. As-Built Conditions

The plan should specify that the applicant will:

1. Submit a report to EPA within 6 weeks of the completion of site preparation and planting, describing the as-built status of the mitigation project. If avoidance is incorporated into development project design, describe the as-built status of the development project, including and deviations from the original plan in the vicinity of, or that will affect, jurisdictional area(s). Submit separate reports for grading and planting work if not completed within six weeks of each other.

2. Provide topo maps showing as-built contours of the mitigation area. Indicate the location of plantings and any other installations or structures.

## **6. MAINTENANCE DURING MONITORING PERIOD**

### **A. Maintenance Activities**

Describe planned maintenance activities, including irrigation system inspection, plant replacement, weeding, water structure inspection, fertilization, erosion control, herbivore protection, trash removal, and/or any other such activities.

### **B. Responsible Parties**

Identify the persons/entities responsible for financing and carrying out maintenance activities, including names, titles, addresses, and phone numbers.

### **C. Schedule**

Provide a table showing the schedule of maintenance inspections.

## **7. MONITORING PLAN**

### **A. Performance Criteria**

Provide yearly target criteria to be met, as appropriate, based on reasonably-paced progress toward final success criteria. (Refer to Section III.)

### **B. Monitoring Methods**

1. Describe the monitoring methods. If using sampling methods, include sample sizes, statistical justification for sampling regime, and data analyses to be performed. If appropriate, include assessment of natural population growth by target species.
2. Provide samples of all proposed data sheets.
3. Photos shall be taken during each monitoring period. They shall be taken from the same vantage point and in the same direction every year, and shall reflect material discussed in the monitoring report.

When percent cover estimates are made of herbaceous vegetation, photographs shall be taken of sampling quadrants.

C. Annual Reports

1. Annual reports shall be submitted which present monitoring results. They shall assess both attainment of yearly target criteria and progress toward final success criteria.
2. Annual reports shall include the following:
  - a. A list of names, titles, and companies of all persons who prepared the content of the annual report and participated in monitoring activities for that year.
  - b. A copy of any Corps permit attached. Special Conditions and any subsequent Letters of Modification shall be included as an appendix.
  - c. Analysis of all quantitative monitoring data.
  - d. Prints of all included monitoring photographs (photocopies are not acceptable).
  - e. Maps identifying monitoring areas, transects, planting zones, etc., as appropriate. (See Appendix A for figure format information.)
3. Copies of all field data sheets shall be available for Corps review as needed.

D. Schedule

Since planting and/or site modification may not occur when planned, monitoring and performance criteria shall be tied to the actual implementation date rather than to predetermined years (e.g., the first annual report shall be delivered on (month, day) of the year following the first growing season after planting.)

**8. COMPLETION OF MITIGATION**

A. Notification of Completion

When the initial monitoring period is complete, and if the applicant believes that the final success criteria have been met, the applicant shall

notify the Corps when the annual report that documents this completion is submitted. If it is appropriate here, a current jurisdictional delineation of the created wetland areas should be submitted with the report. (This delineation shall be accompanied by legible copies of all field data sheets.)

B. Corps Confirmation

Following receipt of the report, the Corps may require a site visit to confirm the completion of the mitigation effort and any jurisdictional delineation.

**9. CONTINGENCY MEASURES**

A. Initiating Procedures

If an annual performance criterion is not met for all or any portion of the mitigation project in any year, or if the final success criteria are not met, the permittee shall prepare an analysis of the cause(s) of failure and, if determined necessary by the Corps, propose remedial action for approval.

B. Alternative Locations for Contingency Mitigation

Indicate specific alternative mitigation locations that may be used in the event that mitigation cannot be successfully achieved at the intended mitigation site. Include current ownership information for any offsite alternative locations.

C. Funding Mechanism

Indicate what funds will be available to pay for planning, implementation, and monitoring of any contingency procedures that may be required to achieve mitigation goals.

D. Responsible Parties

List names, addresses, and phone numbers of persons/entities responsible for implementing and monitoring contingency procedures.

## APPENDIX A – FORMAT INFORMATION

### A. Text Format Notes for Mitigation/Monitoring Proposals, As-Built Reports, and Annual Reports.

1. The Corps file number and the date of the report should be included in title-page reading.
2. Include a distribution page listing names, titles, companies/agencies and addresses of all persons/agencies receiving a copy of the report.

### B. List of Figures to be Submitted

*(Page and section numbers in parentheses indicate location of figure request in annotated outline. For recommended figure formats, refer to Section (C) below.)*

1. Mitigation and Monitoring Proposal
  - a. Jurisdictional Areas and Proposed Fill on Project Site (*p. 8, I.D.*) (outlines and acreages indicated.).
  - b. Location and Size of Mitigation Area
    - U.S.G.S. quad map (*p. 10, 4.A.2*)
    - road map (*p. 10, 4.A.2*)
    - topo map (*p. 10, 4.A.2*)
  - c. Jurisdictional Areas and Any Proposed Fill on Mitigation Site (*p. 11, 4.E.*)
  - d. Mitigation Site Preparation (*p. 12, 5.C.2*)  
(base topo map showing preparation plans)
  - e. Planting Plan (*p. 13, 5.D.4*)
    - plan view of base topo
    - representative cross-sections
  - f. Irrigation Plan (*p. 13, 5.F.3*) (may be on planting plan topo)

2. As-Built Report (*p. 14, 5.G.2*)

- a. Final site contours
- b. Plantings as installed

**C. Figure Format Notes**

- All maps and plans submitted shall be legible and include title, date of preparation, and date of submission.
- A legend shall be provided if symbols, patterns, or screens are used on the map or plan.
- If colors are used to indicate areas on the original map, color copies shall be included in all copies of the report submitted to the Corps.
- Indicate North and provide a scale and datum (if appropriate, i.e., tidal data).
- Scale and orientation shall be the same for all maps, except for detail sections.
- Base topo maps (i.e., for jurisdictional areas, location and size of mitigation areas, mitigation site preparation plans, planting plans, irrigation plans, and as-built reports) shall be full-size (1 inch = 100 feet or less, 1 inch = 200 feet for very large projects).
- USGS quad maps shall be full-size and full scale (may be photocopies, if clearly legible).

NOTE: Reduced copies of maps shall be bound with all documents to facilitate review by advisory agencies. For Corps review, at least two sets of full-sized copies shall accompany mitigation and monitoring proposal, and one set shall accompany each annual report.

**D. Schedule**

When submitting the mitigation and monitoring plan, the applicant shall indicate the month and date on which the yearly report will be delivered. If plan involves planting, this date should be made between growing seasons for the primary plants so that timely decisions can be made about any modifications to the plan.