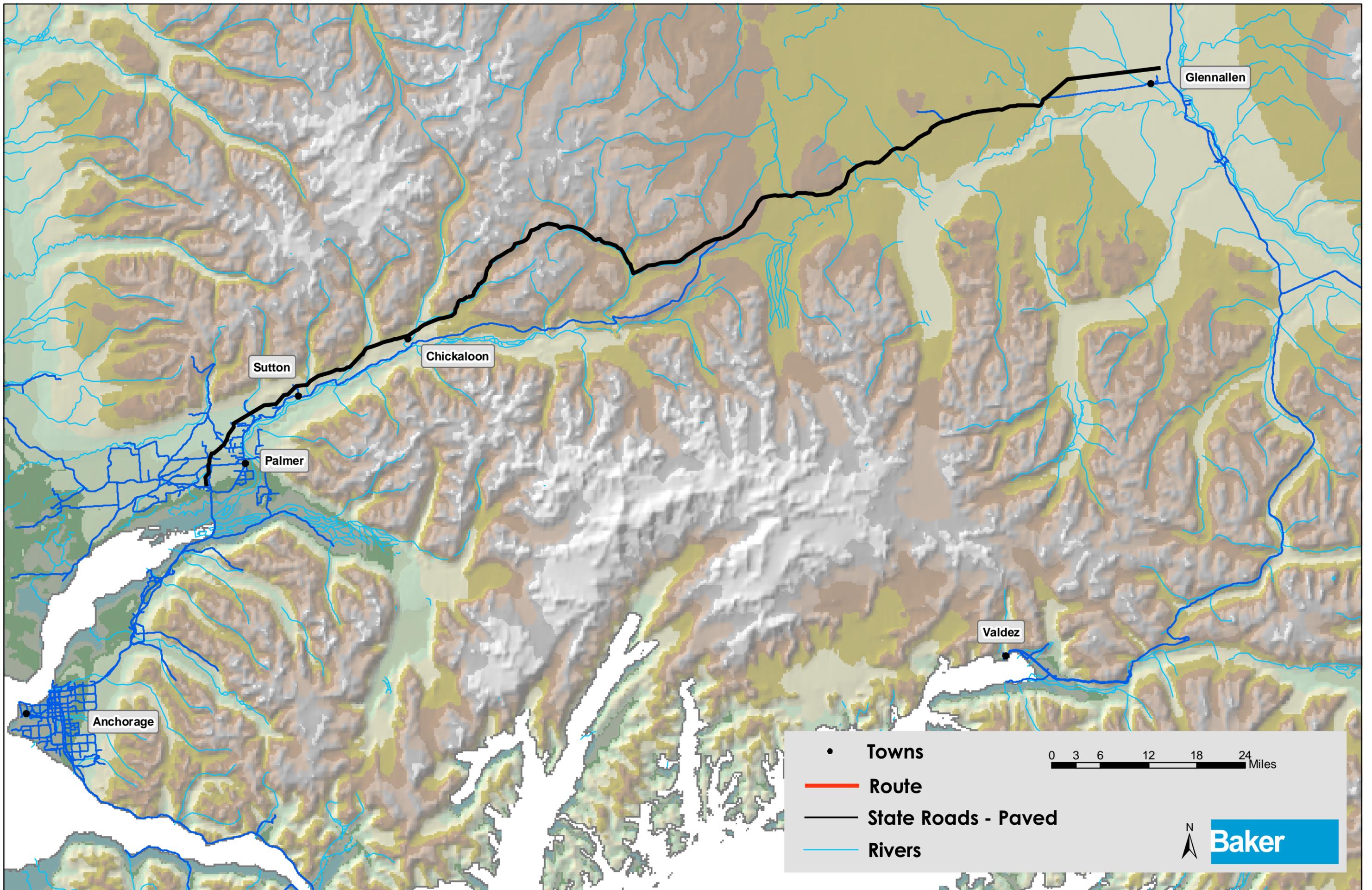


## **APPENDIX A**

### **Pipeline Route Map**



Glennallen

Sutton

Chickaloon

Palmer

Valdez

Anchorage

- Towns
- Route
- State Roads - Paved
- Rivers

0 3 6 12 18 24 Miles

N  
**Baker**

## **APPENDIX B**

### **Process Flow Charts**

## APPENDIX B

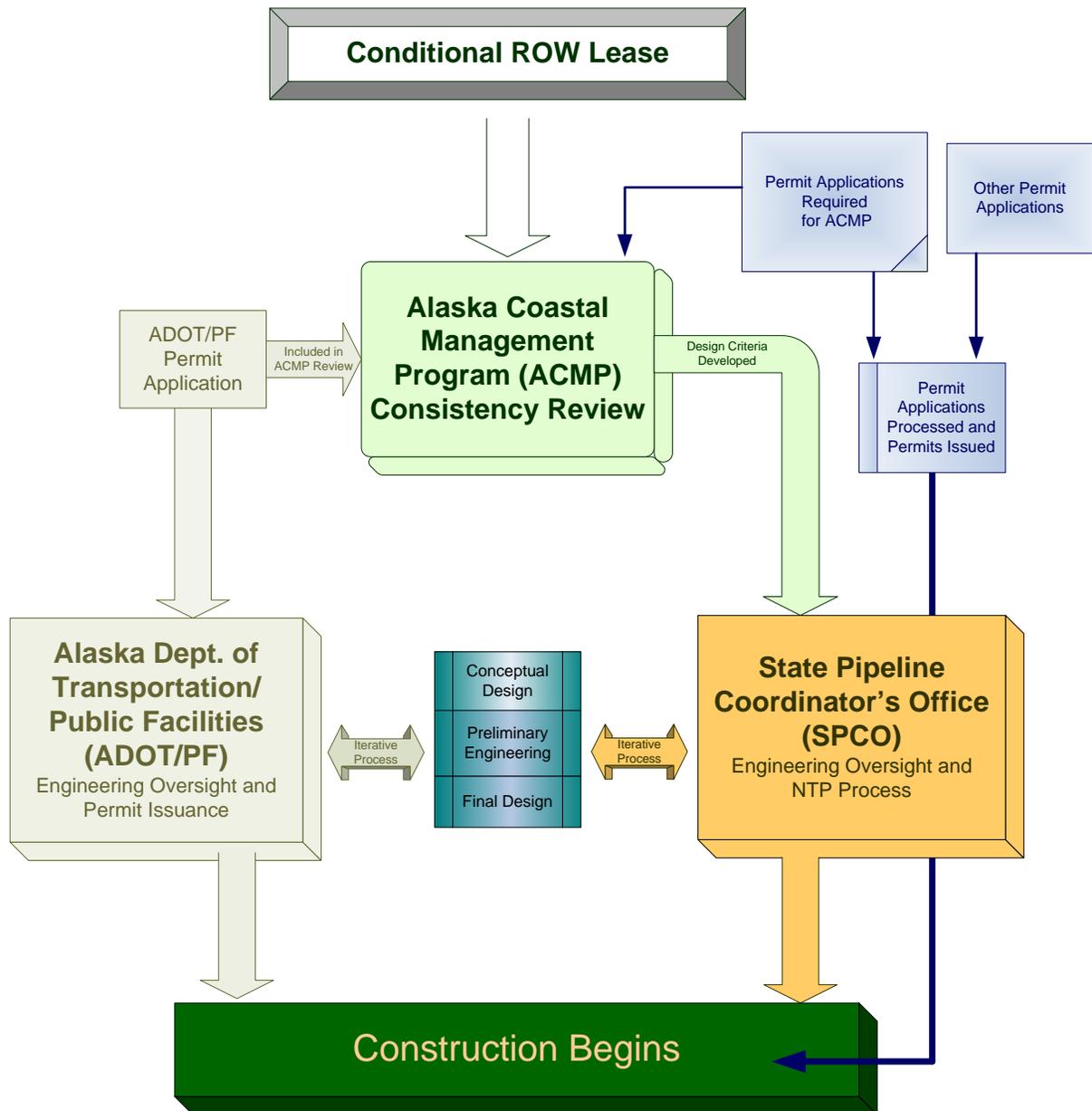
The **Permitting Overview** flow chart shows the interaction of the

- Alaska Coastal Management Program,
- State Pipeline Coordinator's Office, and
- Alaska Department of Transportation/Public Facilities.

The three flow charts after the Permitting Overview depict the internal processes of those three agencies.

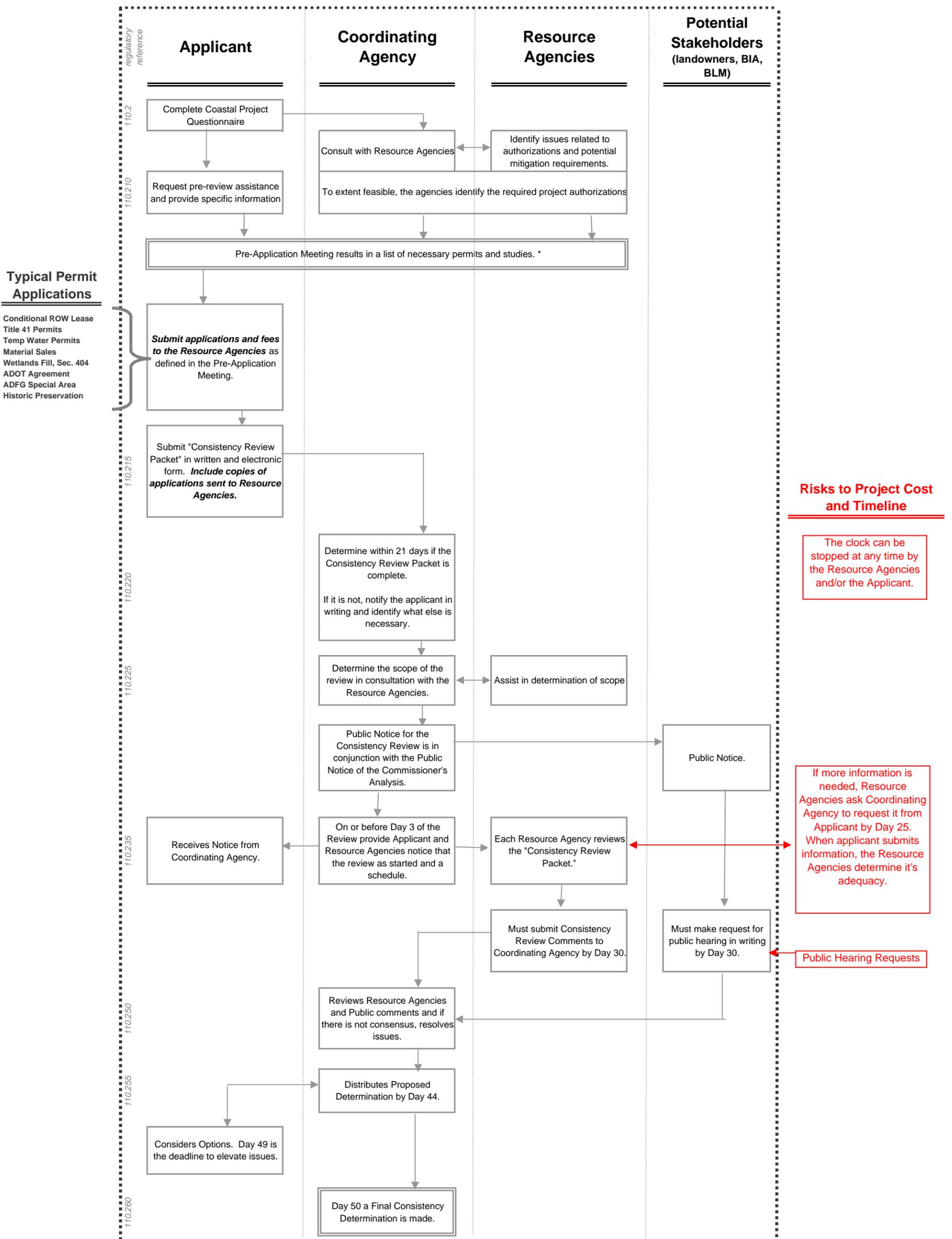
In addition, graphics are provided for: Material/Gravel Extraction, Temporary Water Use Permits, Historical and Archeological Resources, Fish Habitat Permits, and Construction in Wetlands.

# Permitting Overview



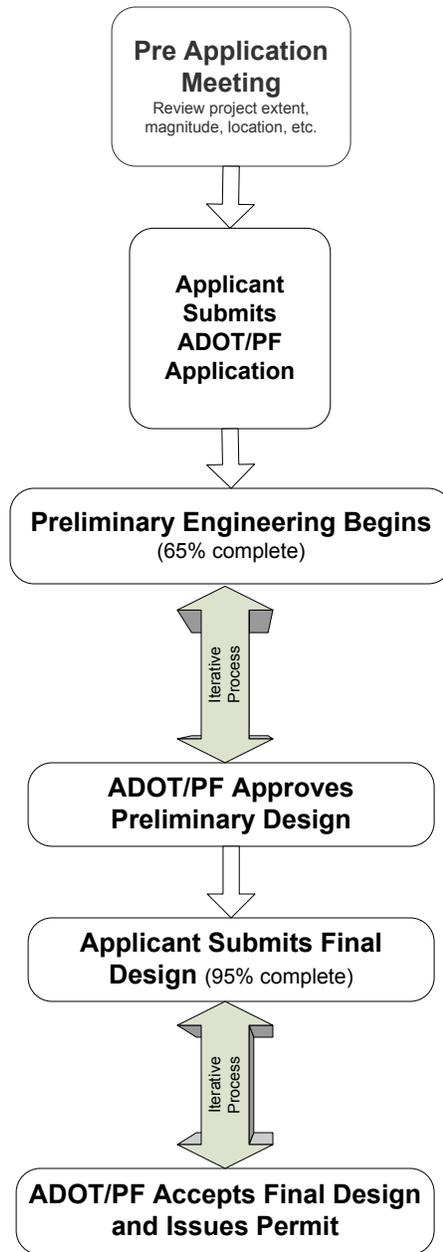
# Alaska Coastal Management Program Consistency Review

(50 day review)



\* Exact list of permits and studies will be determined by the Commissioner's Decision and the authorizing Resource Agencies.

# ADOT/PF Permit Process



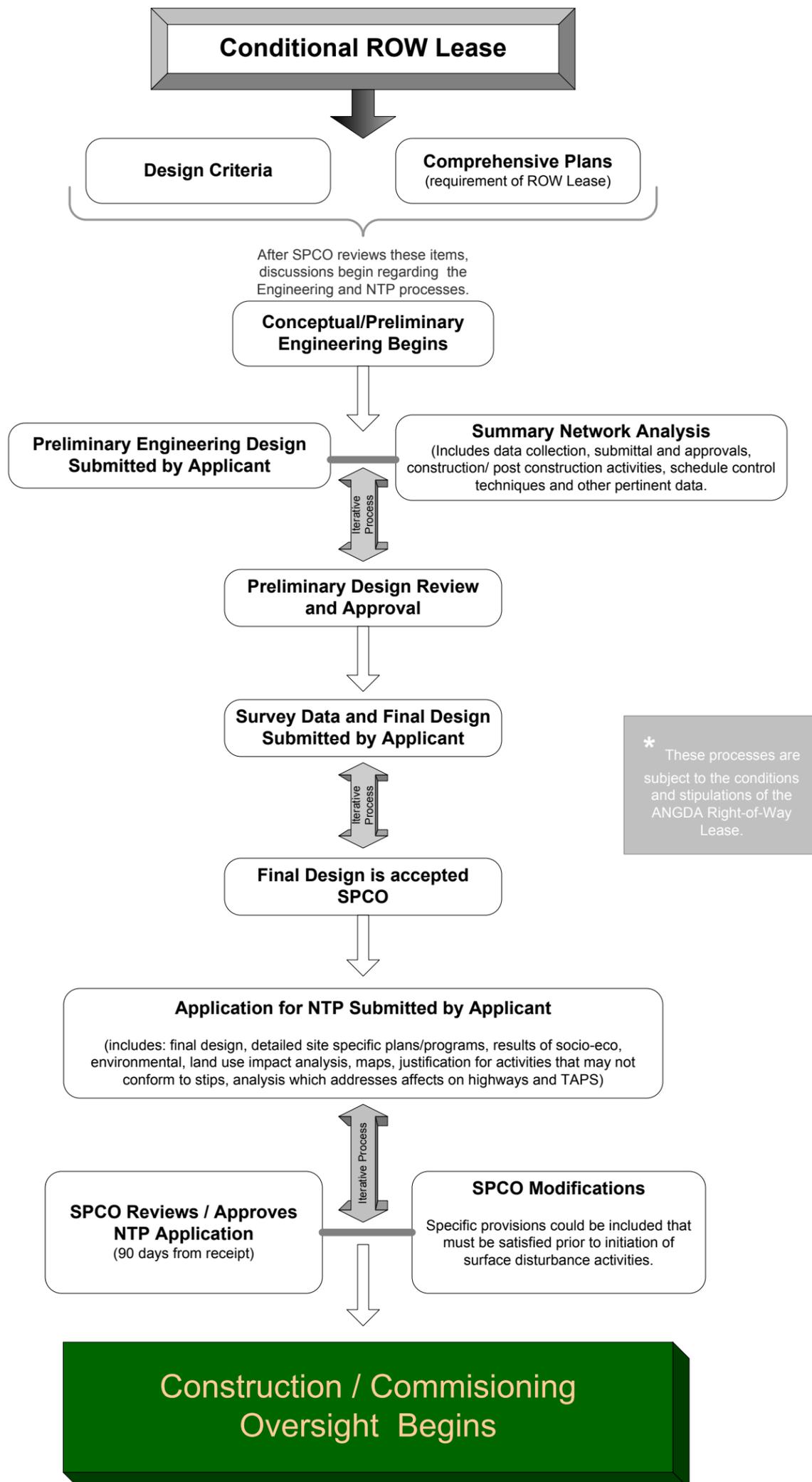
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**OUTCOMES:**

ADOT/PF issues State of  
Alaska Utility Permits  
based on Maintenance  
Areas

**Construction Begins**

# SPCO Engineering Oversight / Notice to Proceed (NTP) Process \*



# Material / Gravel Extraction

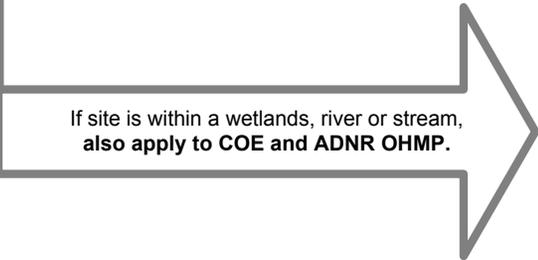
**ADNR**  
**Division of Mining, Land, Water**

**Material Sales Application**

1) Negotiated Sale: < 25,000 cy material/year/company  
 2) Competitive Sale: unlimited amount over many years

Contact: Dave Cox (907) 269-8565

Include: business license, proof of insurance, performance/reclamation bond, "Development/ Reclamation Plan," Environmental Risk Questionnaire, type of excavating equipment, size of site.



**Corp of Engineers**

Contact: Skip Joy  
 (907) 753-2744

**ADNR**  
**Office of Habitat Management & Permitting**

Fairbanks Contact: Mac McLean  
 (907) 459-7281  
 Palmer Contact: Matt LaCroix  
 (907) 761-3856



**New, Undeveloped Site**

**Existing/pre-approved ADNR Site**

*Negotiated Sale*  
 time frame: 2 to 4 weeks.

*Competitive Sale*  
 time frame: 8-10 weeks

**To expedite the process:** If the existing material site is used by DOT/PF, obtain a letter of Non Objection and attach to the application.  
 Contact: Ken Morton  
 (907) 269-0686

Public Interest Process Necessary: (ADNR and ACMP, if applicable)  
 Involves written Preliminary and Final Findings and Public Notice.  
 Time frame: ~ 6 months

Types of activities that need COE authorization include:

- placing a pad in wetlands for equipment,
- stockpiling in wetlands, or
- work that involves more than "incidental fall back."

If stream is "**specified**," a Title 41 permit is required.

During the permitting process, the Fairbanks office will decide whether to issue a:

- single permit for each activity at each site,
- common permit for similar activities along the ROW
- common location permit for different activities at one site (e.g. blasting, material excavation, etc.)

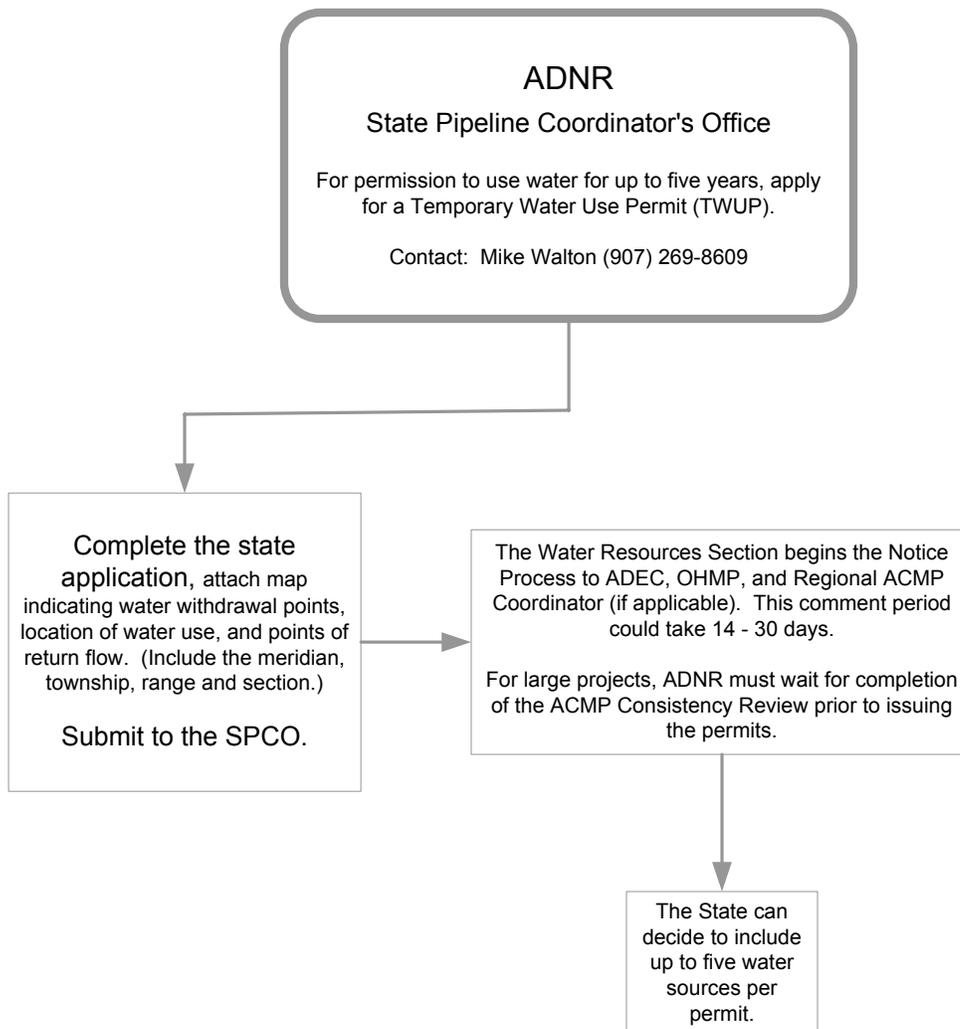
## OUTCOMES:

**ADNR DMLW:**  
 Mining License(s)

**COE:**  
 Authorization(s), if applicable

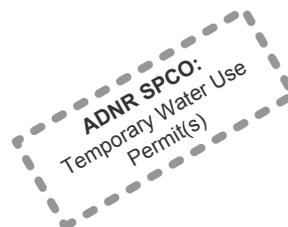
**ADNR OHMP:**  
 Title 41 Permit(s)

# Temporary Water Use Permits (TWUPs)

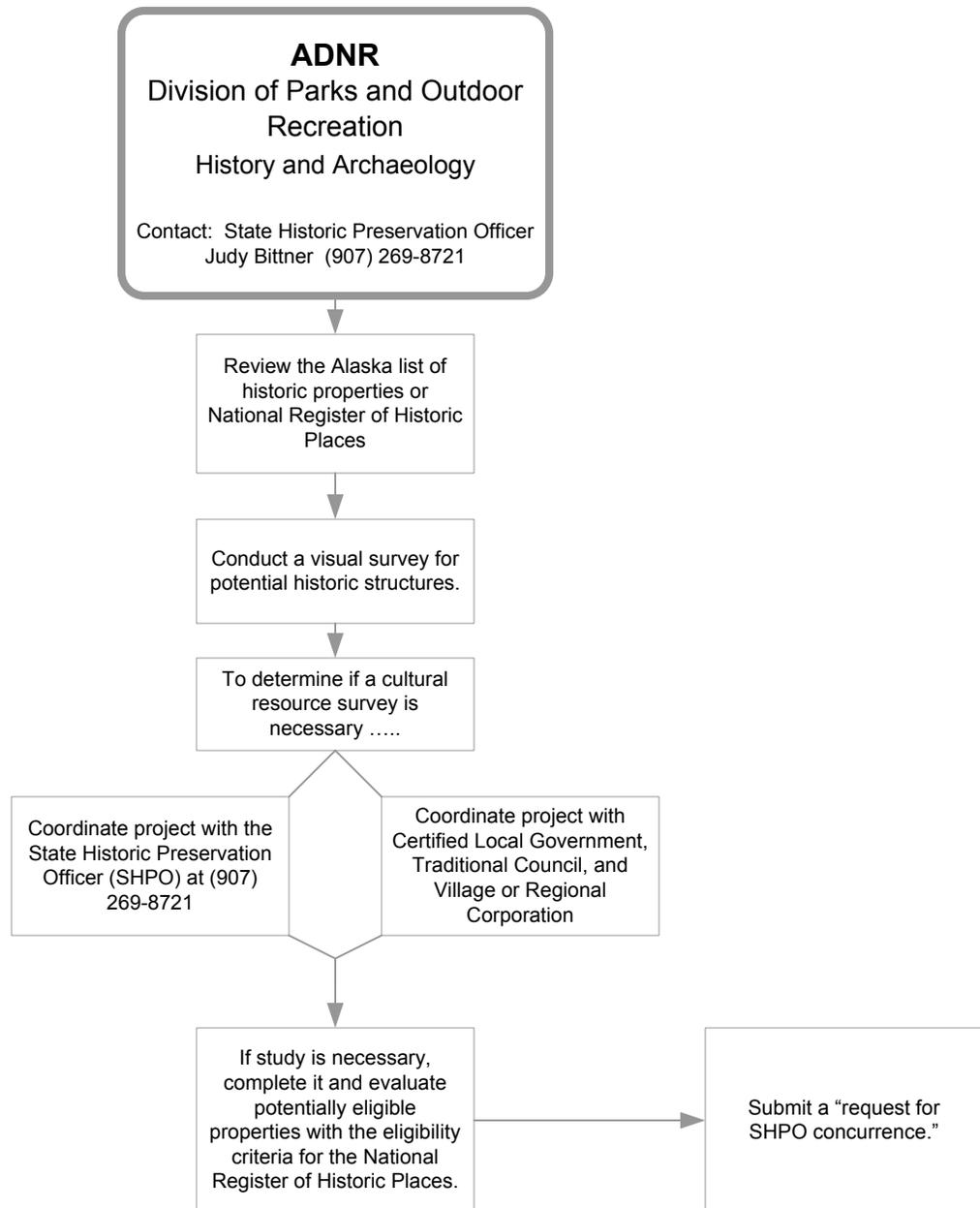


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**OUTCOME:**



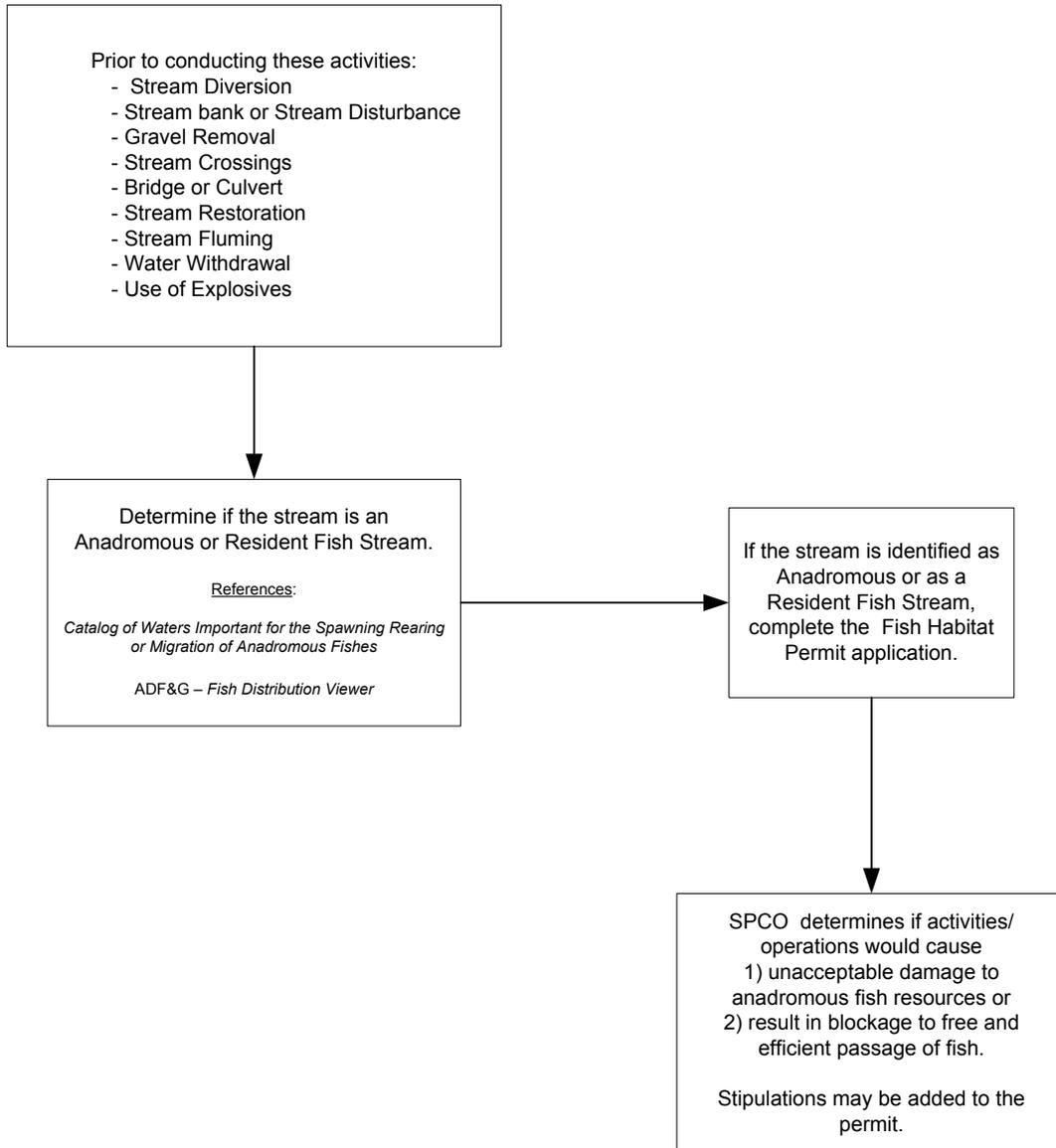
# Section 106 - Historic and Archeological Resources



**OUTCOME:**

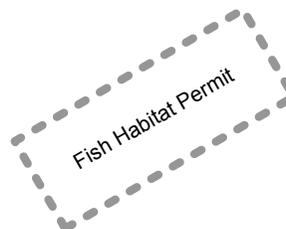
**History and Archaeology:**  
Applicant's request for SHPO concurrence is stamped "No historic properties affected" and returned to applicant.

# Fish Habitat “Title 41” Permits



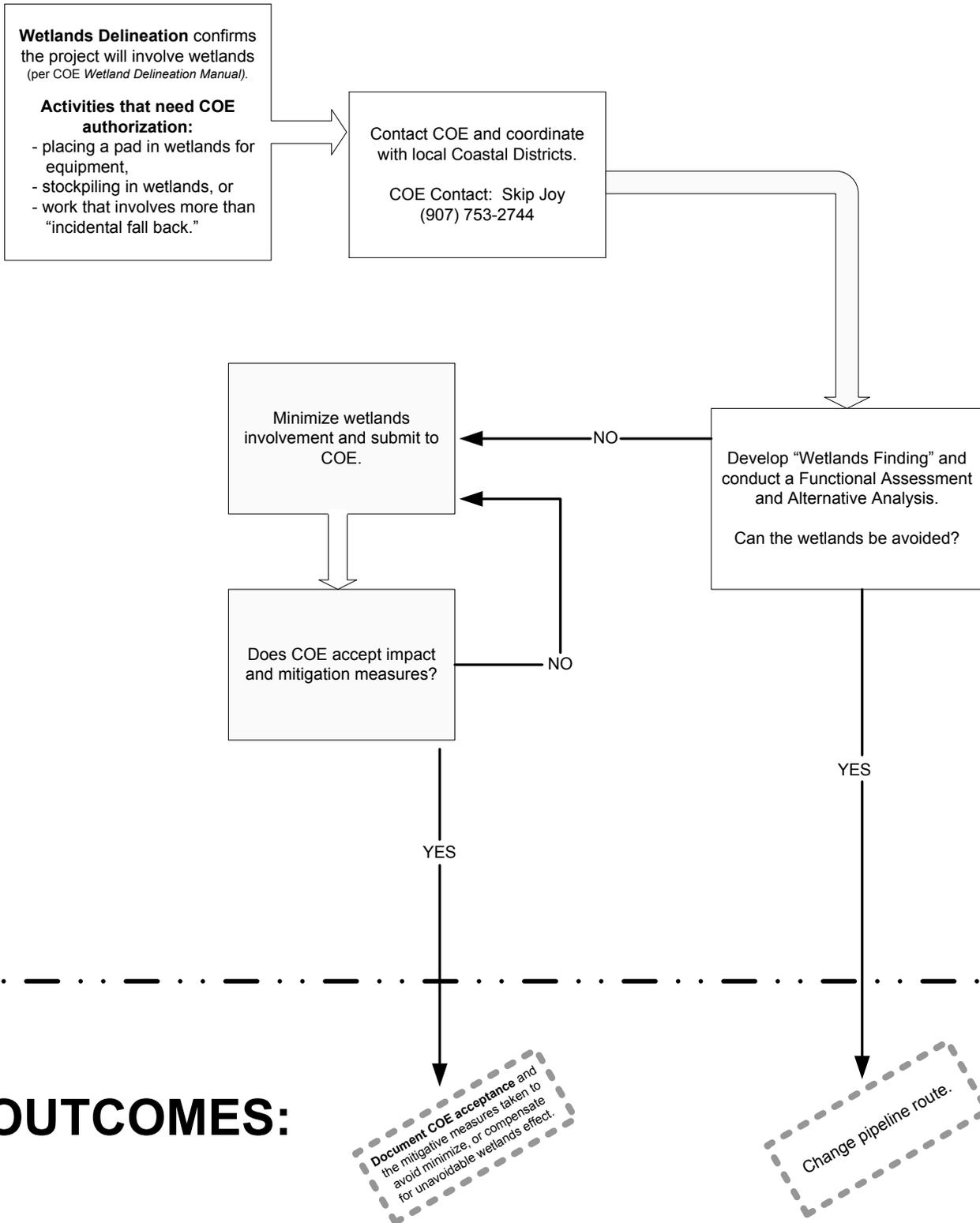
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**OUTCOME:**



# Construction in Wetlands

## U.S. Corp of Engineers (COE)



## **APPENDIX C**

### **Construction Permits List and Drivers**

## ACRONYMS

AAC	Alaska Administrative Code
ACMP	Alaska Coastal Management Program
ADEC	Alaska Department of Environmental Conservation
ADF&G	Alaska Department of Fish and Game
ADNR	Alaska Department of Natural Resources
ADOT	Alaska Department of Transportation
CFR	Code of Federal Regulations
CMP	Coastal Management Program
CVTC	Chickaloon Village Tribal Council
CIRI	Cook Inlet Region, Inc.
DML&W	Division of Mining, Land, & Water (ADNR)
EPA	Environmental Protection Agency
GCD	General Consistency Determination
MSB	Matanuska-Susitna Borough
NOI	Notice of Intent
NPDES	National Pollutant Discharge Elimination System
NWP	Nation-Wide Permit
OHA	Office of History and Archeology
OHMP	Office of Habitat Management and Permitting
OPM&P	Office of Project Management and Permitting
RCRA	Resource Conservation and Recovery Act
ROW	Right-of-Way
SPCC	Spill Prevention, Contingency, Countermeasures
SPCO	State Pipeline Coordinator's Office
SWPPP	Stormwater Pollution Prevention Plan
TWUP	Temporary Water Use Permit
USACE	U.S. Army Corp of Engineers

## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
<b>General Reviews</b>						
Alaska Coastal Management Program (ACMP Review)  Coordinated w/ Mat-Su Borough (MSB CMP Review)	ADNR SPCO  MSB	Alaska Statutes (AS) 46.39 and 46.40 and Alaska Administrative Code, 11 AAC 110 and 112.  Note: Part of the project is in the Mat-Su Coastal Zone.	<b>Minimum 50 days</b> after review begins unless delayed for additional information.	ACMP Coastal Project Questionnaire (CPQ)  Lease and/or permit applications		
RCA Certification	RCA	Regulatory Commission of Alaska: Certificate of New Public Convenience and Necessity  AS 42.05 Certifies qualified providers of pipeline services	<b>7 months</b>	Financial, System Engineering and Technical Support Documents		
<b>Permits associated with Land Use</b>						
State Pipeline ROW Lease  (AS 38.35)	ADNR SPCO	State Right of Way Leasing Act AS 38.35	The State Finding of Consistency is made concurrent with ACMP Determination.  <b>Minimum 50 days</b> after review begins.	Application submitted pursuant to AS 38.35.050	Air Quality, Blasting, Camps, Clearing, Cultural Resource Preservation, Erosion and Sedimentation Control, Fire Control, Liquid Waste Management, Material Exploration and Extraction, Oil and Hazardous Substances Control, Cleanup and Disposal, Overburden and Excess Material Disposal, Pesticides/Herbicides/ Chemicals, Restoration, River Training Structures, Solid Waste Management, Stream River and Floodplain Crossings, Wetlands Construction, Water Quality Monitoring Plan, Visual Resources, Human/Carnivore Interaction Plan, Environmental Briefing Plan, QA/QC Plan, Surveillance and Monitoring Plan	Field reconnaissance should typically occur in spring/summer months.  Plan field work accordingly.

**Note:**  
 - Yellow highlighted rows are linked to the Alaska Coastal Management Program review.  
 - Light grey text are plans that will be required by the ADNR ROW Lease.

## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
Land Use Permit	ADNR SPCO	Temporary (5 yrs. or less) use of State land for purposes other than those authorized under AS 38.35  e.g. Off-Road Travel, ROW Storage approval for vehicle storage or parking on state lands.	<b>150 Days:</b> If within a Coastal Zone, permit follows ACMP Consistency Determination and ADNR application process.	ADNR DMLW Land Use Permit Application  ADNR DMLW Supplemental Questionnaire for Use of Uplands and/or Non Marine Water  ADNR DMLW Supplemental Questionnaire for Off-Road Travel  Site Development Diagram	Bald Eagle Nest Survey  Migratory Bird Protection Plan	Bird eagle nesting surveys and other bird species of concern (e.g., swans, raptors) need to be completed during spring/summer nesting season.  Plan field work accordingly.
Right-of-Way Easement	MSB	MSB Code Application for utility easement	<b>180 days:</b> If within a Coastal Zone, approval follows ACMP Consistency Determination.	Site Plan Specifications		
Special Area Permit	ADF&G	Required for certain activities within a state game refuge, game sanctuary, or fish and game critical habitat area. AS 16.20; 5 AAC 95	<b>50 days:</b> If within a Coastal Zone, approval follows ACMP Consistency Determination.	Detailed Maps  Current aerial photograph, if available		
Wetlands (404) Fill Approval	USACE	Clean Water Act Section 404 - placement of fill in wetlands.	<b>150 days:</b> If within a Coastal Zone, approval follows ACMP Consistency Determination.	1) Gravel pad placement/road routing (Maps and Plot Plans) 2) Typical Section Details 3) Surface drainage and stream crossing culvert design 4) Habitat maps  Wetlands Delineation will be required to identify wetlands locations..	Wetlands Construction Plan (ADNR requirement)  Hydrologic studies may be required to support drainage and stream crossing culvert design.	Hydrologic studies to support culvert design need to occur during worst case flow (i.e., spring flooding).  Wetlands delineation should occur in spring/summer months  Plan field work accordingly.

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## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
National Historic Preservation Act consultation - Section 106	ADNR Division of Parks and Recreation Office of History and Archaeology	To determine presence of historical and archaeological artifacts	<b>Following field study and report,</b> USACE coordinates with ADNR/OHA for concurrent with agency reviews and comments.	Archaeological field study report and facility maps	Cultural Resource Preservation Plan (ADNR requirement)	Field reconnaissance to support Cultural Resource Preservation Plan needs to occur in spring/summer months  Plan field work accordingly.
Title 41 Fish Habitat Permits	ADNR Division of Habitat Management and Permitting	AS 41.14.870 Stream crossing with anadromous fish AS 41.14.840 Protection of streams  <u>Required for:</u> Stream Diversion Streambank or stream disturbance Gravel Removal Stream Crossings Bridge or culverts Stream restoration Stream Fluming Water withdrawal Use of Explosives	<b>30 days:</b> If within a Coastal Zone, permit follows ACMP Consistency Determination and application process.	General Waterway/Waterbody Application  Culvert Installation Application Forms  Civil engineering drawings, as applicable to activity	Stream, River, Floodplains Crossing Plan (ADNR requirement)  River Training Structure Plan (ADNR requirement)  Erosion and Sedimentation Control Plan (ADNR requirement)  Restoration Plans (ADNR requirement)  Hydrology and fish studies may be required.	Field reconnaissance in support of Plans should typically occur in spring/summer months.  Plan field work accordingly.
Commercial Use - State Park Permit	ADNR Division of Parks and Outdoor Recreation	Kings River area may require a State Park Permit.	<b>60 days</b>	Alaska Business License  Certificate of Workers Compensation  Proof of comprehensive auto liability, comprehensive commercial general liability, aircraft liability insurance  Driver's License Numbers and full names of employees providing services on parkland.		
Trail Use Permit	MSB	Request to use Trail for specific use or event	<b>30 days</b>	Trail Permit Application		

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## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
Petition to Reclassify Borough Land	MSB	MSB Code Application for Classification or Reclassification	<b>120 days</b>	Site Plan Specifications		
Floodplain Development Permit	MSB	MSB Code 17.29 Application	<b>30 to 60 days</b>	Site Plan Specifications FEMA Elevation Certificate		
Conditional Land Use Permit	MSB 17.18 Chickaloon, 17.41 Palmer Hay Flats 17.08, Sutton 17.27, Glacier View	MSB Code Required for pipeline ROW, material sites, facilities, roads	<b>180 days</b> prior to development	MSB Basic Application for Conditional Land Use  Drawings, as applicable  "Acknowledgement of Existing Land Use Regulation Form"	Plan of Development  Reclamation Plans	
Encroachment Permit	MSB	MSB Code  Public Works Department	<b>3 months</b>	Site Plan Specifications		
Construction w/i Easements & ROWs	MSB	MSB Code - applicable to public easements and ROWs  Public Works Department	<b>3 months</b>	Application for Construction w/ Public Easements & ROWs  Site Plan Specifications		
Construct and Maintain Driveway	MSB	MSB Code - for driveways in public ROWs	<b>3 months</b>	Site Plan Specifications		
Nomination for Disposal of Borough Lands and Resources	MSB	MSB Code	<b>6 months</b>			
Lease or Use Borough Wetlands Lands	MSB	MSB Code	<b>6 months</b>			
Temporary Construction Activities	ADOT/PF	Allows for work activities outside the ROW that might impact ROW.	Permit authorization work in parallel with design. <b>1 month for administrative approval.</b>		Traffic Studies  Traffic Control Plan	
Ahtna/Tazlina Commercial Land Use Permits	Ahtna, Inc.	Ahtna, Inc. has specific land use requirements.	<b>14 days</b>	Send email to Lands Office with company information, land tract and area, and dates of land entry.		

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## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
CIRI Land Use/ Chickaloon Land Use Permits	CIRI, Inc.	CIRI has specific land use requirements. Chickaloon Village Traditional Council has specific land use requirements	<b>2 months</b> - an appt must be made. Typically a photo is taken of each person and a card is issued for them. On a big project, they may only require supervisors to carry cards and include a list of their direct reports.	Photo ID Proof of Insurance Permit application must be submitted to CIRI Real Estate Department.		
Fire and Life, Safety Plan Review	State Fire Marshall	13 AAC 50.027 Each facility/enclosure/building will be issued it's own Construction Permit.	Contact <b>as soon as the details</b> and complete facility plan are available.	Dimensional Plot Plan Architectural Drawings Mechanical Drawings Electrical Drawings Fire Protection System		
<b>Water Use Permits</b>						
Temporary Water Use Permits	ADNR SPCO	Required for temporary water use from surface waters or subsurface well. (drilling, mining, and/or camps)	<b>120 days:</b> If within a Coastal Zone, approval follows ACMP Consistency Determination.	Application for TWUP Map indicating w/drawal points, locations of water use, and point of return flow Water source characterization Well or intake design Approval of drinking water source (surface or well) requires assurance that source will not be contaminated.	Water Quality Monitoring Plan	Field reconnaissance in support of Plans should occur in spring/summer months  However, agencies may also be interested in winter water levels if water use is expected in winter months during fish overwinter.  Plan field work accordingly.
Extension to Appropriate Water - General Permit	ADNR SPCO	General Permit pre-approved with stipulations	~ 60 days	Permit Application		
Water Use - General Permit	ADNR SPCO	General Permit pre-approved with stipulations	~ 60 days	Permit Application		
Permit for Water Withdrawal w/i Mat-Su Borough	ADNR OHMP	For maximum of 500 gallons per day	~ 60 days	Permit Application		

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## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
Material Sales						
<b>Material Sales</b> from Previously Approved Sites - General Permit	ADNR SPCO	Use of previously approved sites	<b>150 days:</b> If within a Coastal Zone, approval follows ACMP Consistency Determination.		Material Exploration and Extraction Plan (ADNR requirement)  Clearing Plan (ADNR requirement)	Field reconnaissance in support of Plans should typically occur in spring/summer months.  Plan field work accordingly.
<b>Material Sales</b> - not Previously Approved Sites	ADNR SPCO	Required for mining gravel if source is not already permitted	<b>~ 6 months:</b> If within a Coastal Zone, approval follows ACMP Consistency Determination.		Material Exploration and Extraction Plan (ADNR requirement)  Clearing Plan (ADNR requirement)	Field reconnaissance in support of Plans should typically occur in spring/summer months.  Plan field work accordingly.
Conditional Use Permit - <b>Gravel and Quarry Pits</b>	MSB 17.18.060 Chickaloon Special Land Use District	Needed if there will be a commercial gravel and quarry pits over one acre in size.	<b>180 days</b> prior to development	Legal Description of property  Statement of Proposed Use  Non-refundable Fee		
Commercial Quantities of <b>Materials</b>	MSB	MSB Code (Requirement only under certain conditions)	<b>Prior to mining</b> on MSB land	Tax Compliance Certification		
Letter of Non Objection from ADOT/PF <b>Material Sites</b>	ADOT/PF	This will expedite the Material Sales from a site currently used by ADOT/PF.  DOT/PF indicated this is not an automatic action. They may have constraints in their Material Sales Leases.	Contact ADOT/PF Right-of-Way Agent for specific information.			

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## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
<b>Air Quality Permits</b>						
Minor Air Quality Permit	ADEC	For compressor station emissions	<b>6 months</b>		Air Quality Plan (ADNR requirement)	
Crusher General Air Quality Permit	ADEC	<b>General Permit 9</b> - Crusher General Operating Permit is for rock crushers and associated equipment	<b>3 months</b> - one permit can be used for multiple locations; a notification is required when the crusher facility is moved.	Application	Dust Control Plan (ADEC requirement) must be submitted with Application  Air Quality Plan (ADNR requirement)	
<b>Solid Waste Permits</b>						
Temporary Storage of Solid Waste	ADEC	Required for temporary storage of solid wastes	<b>150 days:</b> If within a Coastal Zone, approval follows ACMP Consistency Determination.	Temporary waste storage design and layout	Solid Waste Management Plan (ADNR requirement)  Overburden and Excess Material Disposal (ADNR requirement)	
Wood Waste Landfill Permit	ADEC	Needed if a new landfill will be constructed to accept and dispose of wood waste.	<b>180 days:</b> If within a Coastal Zone, approval follows ACMP Consistency Determination.	Maps, Construction drawings, waiver requests, calculations, data and legal docs,	Solid Waste Management Plan (ADNR and ADEC requirement)  Operation Plan  Closure Plan	
Construction and Demolition Debris - General Permit	ADEC Solid Waste Program	<b>General Permit (GP) -0040-EH002</b> For the one time disposal of building debris not to exceed a total of 1,000 cubic yards of waste at a site.	<b>2 months</b>	Solid Waste Permit Application  Site Plan	Solid Waste Management Plan (ADNR requirement)	
Land Disposal of Rock and Woodwastes - General Permit	ADEC	<b>General Permit-SWG305000</b> is for land disposal of no more than 25,000 cy of small sized rock, mud, soil, bar, and woodwastes in rock pits.	<b>2 months</b>	Solid Waste Permit Application  Site Plan  Written permission of the property owner or manager must be obtained prior to disposal if applicant is not the owner of the property.	Solid Waste Management Plan (ADNR requirement)	

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## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
Road Permits						
ADOT Highway Use Agreement	ADOT/PF Alaska Department of Transportation/ Public Facilities	Installing pipeline in transportation ROW.	no later than <b>1 year prior to start of construction</b>	Agreement shall address: monetary compensation; permits; costs of permits/design/plan reviews, on-site inspections; insurance, indemnification and defense of third party claims; safety issues; conflicts with existing permit holder or utility uses; relocation of highways or utilities; security measures; environmental protection, clean-up or mitigation during construction; use of airports and airport facilities; traffic controls; encroachments; highway integrity, repair and maintenance; mineral/material removal and use; ADOT/PF access to construction sites; coordination and scheduling of construction activities; coordination with approval by other affected agencies or jurisdictions; potential offset of existing highway ROW; and other issues relating to lessee's use of ADOT/PF ROW, transportation facilities, or other impacts.		
Utility Permits	ADOT/PF Utility Permits	Installing pipeline in transportation ROW.	Permit authorization work in parallel with design. <b>1 to 6 months for administrative approval.</b>			
Lane Closure/Traffic Control Permit	ADOT/PF Traffic Control	Plan for traffic control during construction.	<b>1 to 3 months</b>	\$1,000,000 proof of insurance  Letter of Non-Objection from impacted construction project  Permit/authorization from affected municipalities	Traffic studies  Traffic Control Plan	

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## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
Driveway Permit	ADOT/PF	Construction of road into ROW	Permit authorization work in parallel with design. <b>1 month for administrative approval.</b>	Recorded platt including notes of driveway placement  Proof of ownership	Site Plan  Traffic Control Plan	
Approach Road Permit	ADOT/PF	Construction of road into ROW	Permit authorization work in parallel with design. <b>1 month for administrative approval.</b>	Recorded platt including notes of placement of approach road.	Construction Plans  Traffic Control Plan	
Temporary Construction Activities	ADOT/PV	Temporary construction outside the ROW that could impact the ROW.	<b>6 to 8 weeks.</b>			
<b>Wastewater Permits</b>						
Clean Water Act certification of Section 401 and NPDES permits	ADEC Division of Air and Water Quality	ADEC certifies under Section 401 is CWA that NPDES permits comply with Alaska State water quality standards.	<b>Approximately 3 months:</b> Coordinated by USACE with ADEC, concurrent with agency internal review for Section 401 and ACMP review.	USACE Section 404 Permit Application	Water Quality Monitoring Plan (ADNR requirement)	
Stormwater Discharge from Construction Activities - General Permit	EPA	EPA <b>General Permit AKR-10-0000</b>	Submit NOI and SWPPP to EPA <b>at least 7 days before construction begins.</b> Copy ADEC and send appropriate fees.	<i>complete and accurate</i> Notice of Intent	Water Quality Monitoring Plan (ADNR requirement)  Stormwater Pollution Prevention Plan (SWPPP)	
Wastewater from Excavations - General Permit	ADEC	<b>General Permit-9440-DB002</b> applies to 1) wastewater disposal < one mile from contaminated site. 2) wastewater disposal > one mile of contaminated site <b>and</b> not eligible for coverage under NPDES Stormwater Multi-Sector General Permit for Industrial Activities <b>or</b> NPDES General Permit for Storm Discharges from Large and Small Construction Activity.	<b>3 months</b>	Applicant Notice of Disposal and ADEC written authorization required if excavation is < 1 mile from contaminated site <b>and</b> total discharge is ≥ 250,000 gallons to land or surface water.  Applicant Notice of Disposal is required if total discharge volume ≥ 250,000 gallons so DEC can determine if excavation is located < 1 mile from contaminated site.  Notice of Disposal not necessary if total discharge < 250,000 gallons. However the terms and conditions of the general permit still apply.	Water Quality Monitoring Plan (ADNR requirement)	

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## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
Disposal of Contained Water - General Permit	ADEC	<b>General Permit-2003-DB089</b> applies to discharge of hydrostatic test water or chlorinated water from tanks, pipelines, swimming pools and other containers greater than or equal to 10,000 gallons.	<b>30 days prior</b> to start of disposal activity.	Applicant sends ADEC Notice of Disposal  ADEC provides written authorization.	Liquid Waste Management Plan (ADNR requirement)	
Hydrostatic Test Dewatering for Discharges Up to 1,000,000 gallons per day	ADEC	<b>General Permit-9940-DB003</b> is issued in DEC's Northern and Southcentral Regions.	<b>3 months</b>	Applicant sends ADEC Notice of Disposal, site map, topo or aerial map, and other prescribed information.  ADEC provides written authorization	Liquid Waste Management Plan (ADNR requirement)	
<b>Other Miscellaneous Permits</b>						
Spill Prevention Control and Countermeasure (SPCC Plan)	ADEC EPA	40 CFR 112 and 18 AAC 78 For facilities with above-ground or below-ground oil storage.	<b>50 days:</b> If within a Coastal Zone, approval follows ACMP Consistency Determination.	Site-specific spill modeling	Oil and Hazardous Substance Control, Cleanup, and Disposal Plan (ADNR requirement)	
Pesticide Permit	ADEC	18 AAC 90, Article 5  Permits are necessary for application to waters of the state.  Public hearings are required for projects on state-owned ROWs, on more than 20 acres of land, land owned separately by 2 or more persons, applications to waters of the state, and for aerial pesticide applications.	<b>110 days</b> if public notice is <u>not</u> required.  <b>Minimum of 140 days</b> if public notice is required.	Permit Application	Pesticide, Herbicide, Chemicals Plan (ADNR requirement)	
Noise Permit	City Noise Ordinances	23 CFR 772 is the <b>federal</b> driver for highway traffic noise and construction noise abatement.  Per ADOT, noise issues would only be in towns where there are nighttime noise ordinances.	call City of Wasilla and City of Palmer			

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 - Light grey text are plans that will be required by the ADNR ROW Lease.

## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
Timber Removal	ADNR Division of Forestry	<i>Forest Resources and Practices Act</i> requirements apply to commercial removal of timber from state lands. If the timber is not sold, land clearing will be considered "a site conversion" not a timber sale.	Contact Division of Forestry during design/engineering phase.			
Temporary Snow Fences - General Permit	ADNR SPCO	Installation of snow fencing in areas of trenching during winter months	~ 60 days	Under the AS 38.35 Lease & the Notice to Proceed process		
FAA Notification	FAA	No Hazard to Air Navigation: Construction work within 5 miles of a regulated airstrip	<b>3 months</b>			
Structures over 50 ft. tall - Conditional Land Use Permit for Special Land Use Areas	MSB 17.27.060 Sutton Special Land Use District	Man made structures ≤ 50 ft tall (e.g. communication towers) in Special Land Use Areas	<b>180 days</b> prior to development	Legal description of property  Statement of Proposed Use  Detailed Site Plan  Non-refundable Fee		
Structures over 100 ft. tall - Conditional Land Use Permit outside of Special Land Use Areas	MSB 17.60.30 MSB	Man made structures ≤ 100 ft tall (e.g. communication towers) outside of Special Land Use Areas	<b>180 days</b> prior to development	Written confirmation from applicable community council that pre-application public meeting was held  Plan of Development and Operations  Filing Fee  Site Plan		

**Note:**  
 - Yellow highlighted rows are linked to the Alaska Coastal Management Program review.  
 - Light grey text are plans that will be required by the ADNR ROW Lease.

## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
FCC License/Permits	FCC	Communication towers and equipment	Varies - depends on Land Owner Processes. Some only have board meetings each quarter.	FCC Permit Application		
Beaver Dam Removal - South Central Alaska	ADNR OHMP	Fish Habitat <b>General Permit FH 05-II-GP27</b> application must be completed if heavy equipment is used.	<b>30 days</b>	General Permit Application		
Hazing Permits	ADF&G	Safety issues, if bears are near the construction site	<b>30 days</b>	Public Safety Permit (Hazing uses the same permit as scientific research activities)	Human/Carnivore Interaction Plan (ADNR requirement)	
Road Oiling Permit	ADEC	Application of dust retardants cannot contain any detectable concentration PCBs, 5ppm of Lead, or any hazardous waste.	< <b>30 days</b> if using a preapproved product > <b>30 days</b> if product needs approval	Road Oiling Permit Application  Rough sketch or location map showing all surface waters w/1 300 yards.  Oil Lab Results		
<b>Burn Permits</b>						
Burn Permits - Mat Su	MSB Division of Forestry	MSB Code Division of Forestry	Complete on-line permit <b>30 days in advance</b> ; Activate permit on day of burn.	Uses ADNR Application		
Forestry Burn Permits	ADNR Division of Forestry	Land clearing operations AS 41.15.050 AS 41.15.060	Complete on-line permit 30 days in advance; Activate permit on day of burn.	Permit Application found at <a href="http://www.dnr.state.ak.us/forestry/burn">http://www.dnr.state.ak.us/forestry/burn</a>	Fire Control Plan (ADNR requirement)	

**Note:**  
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 - Light grey text are plans that will be required by the ADNR ROW Lease.

## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
Open Burn Permits	ADEC	For Land Clearing Operations > 40 Acres or generates Black Smoke	<b>30 days</b>	Open-Burn Approval Application  Notification to FAA, State Troopers, etc. who are potentially affected by visibility or adverse smoke impacts.		
<b>Business Licenses</b>						
Business License - State of Alaska	State of Alaska	AS 43.70	If applied for in the state office, <b>licensed that day.</b> 7 to 10 days for certificate to be sent from Juneau.	Application Form		
Business License - City of Wasilla	City of Wasilla	City code	<b>Valid when application and fees submitted.</b>	Wasilla application		
Business License - City of Palmer	City of Palmer	City code	<b>Valid when application and fees submitted.</b>	Palmer application		
Business License - Chickaloon Village	CVTC	A local business license is required for work on Chickaloon lands.	<b>2 months</b>	Alaska Business License Workers Compensation Insurance		

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 - Light grey text are plans that will be required by the ADNOR ROW Lease.

## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
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### OTHER PERMITTING INFORMATION

Nationwide Permits - COE			
Outfall Structures / Maintenance (NPDES Permit)	USACE	Nationwide Permit (NWP) - 7	<p><b>Approximately 45 days</b> after a complete Pre Construction Notification is submitted.</p> <p>Note: The use of more than one NWP for a single and complete project is prohibited, except when the acreage loss of waters of the US authorized by the NWPs does not exceed the acreage limit of the NWP with the highest specified acreage limit. An individual permit may be necessary.</p>
Bank Stabilization	USACE	NWP - 13	<b>Approximately 45 days</b> after a complete Pre Construction Notification is submitted.
Linear Transportation Projects	USACE	NWP - 14	<b>Approximately 45 days</b> after a complete Pre Construction Notification is submitted.
Minor Discharges	USACE	NWP - 18	<b>Approximately 45 days</b> after a complete Pre Construction Notification is submitted.
Minor Dredging	USACE	NWP - 19	<b>Approximately 45 days</b> after a complete Pre Construction Notification is submitted.
Oil Spill Cleanup	USACE	NWP - 20	<b>Approximately 45 days</b> after a complete Pre Construction Notification is submitted.
Structural Discharges	USACE	NWP - 25	<b>Approximately 45 days</b> after a complete Pre Construction Notification is submitted.
Stream & Wetland Restoration Activities	USACE	NWP - 27	<b>Approximately 45 days</b> after a complete Pre Construction Notification is submitted.
Moist Soil Management for Wildlife	USACE	NWP - 30	<b>Approximately 45 days</b> after a complete Pre Construction Notification is submitted.
Temporary Construction, Access and Dewatering	USACE	NWP - 33	<b>Approximately 45 days</b> after a complete Pre Construction Notification is submitted.
Residential, Commercial and Institutional Development	USACE	NWP - 39	<b>Approximately 45 days</b> after a complete Pre Construction Notification is submitted.

- Note:**
- Yellow highlighted rows are linked to the Alaska Coastal Management Program review.
  - Light grey text are plans that will be required by the ADNR ROW Lease.

## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
Reshaping Existing Drainage Ditches	USACE	NWP - 41	Approximately 45 days after a complete Pre Construction Notification is submitted.			
Stormwater Management Facilities	USACE	NWP - 43	Approximately 45 days after a complete Pre Construction Notification is submitted.			
Mining Activities	USACE	NWP - 44	Approximately 45 days after a complete Pre Construction Notification is submitted.			

**Note:**  
 - Yellow highlighted rows are linked to the Alaska Coastal Management Program review.  
 - Light grey text are plans that will be required by the ADNR ROW Lease.

## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
Reshaping Existing Drainage Ditches	USACE	NWP - 41	Approximately 45 days after a complete Pre Construction Notification is submitted.			
Stormwater Management Facilities	USACE	NWP - 43	Approximately 45 days after a complete Pre Construction Notification is submitted.			
Mining Activities	USACE	NWP - 44	Approximately 45 days after a complete Pre Construction Notification is submitted.			

**Note:**  
 - Yellow highlighted rows are linked to the Alaska Coastal Management Program review.  
 - Light grey text are plans that will be required by the ADNR ROW Lease.

## APPENDIX C: Construction Permits

Permit	Agency(s)	Driver	Minimum Timeframes (from filing to permit receipt)	Required Support Documents	Required Plans/Studies	Lead Time Needed for @ Study
<b>General Consistency Determinations</b>						
Temporary Navigation Site	ADNR OPM&P	GCD -3 for radio and telecommunication towers				
Culvert and Bridge Installation	ADNR OPM&P	GCD- 7				
Temporary & Permanent Use of Water	ADNR OPM&P	GCD-8 Water Use of 100,000 gals /day or less				
Pesticide Application Renewal	ADNR OPM&P	GCD-9				
Movement of Equipment in Winter	ADNR OPM&P	GCD-19				
Construction of Small ATV Trails	ADNR OPM&P	GCD-22				
Geologic Reconnaissance	ADNR OPM&P	GCD-24				
Operation of Motorized Vehicles in Habitat Areas	ADNR OPM&P	GCD-42				
Surface Oiling of Roads	ADNR OPM&P	GCD-11				

**Note:**

- Yellow highlighted rows are linked to the Alaska Coastal Management Program review.
- Light grey text are plans that will be required by the ADNR ROW Lease.

## **APPENDIX D**

### **Operational Permits List**

### APPENDIX D: Operation Permit Matrix

Permit	Agency	Driver	Anticipated Timeframe	Required Support Documents	Required Studies *
Notice of Intent (NOI) for Storm Water Discharge Authorization	EPA and ADEC 49 CFR 192	Permit required for drainage of stormwater	Variable. Some general permits may apply (state defers to federal permits or decisions in place)	Discharge locations and effluent characterization	
Water Rights Authorization	SPCO	Entitlement of water for approved use.	3 months	Application and Temporary Water Use Reports	
Hazardous Waste ID Number	EPA	RCRA			
Industrial Waste Water Discharge	ADEC	18 AAC (Alaska Administrative Code) 70	3 months		
Title V Air Quality Permit	ADEC	Compressor Station	12 months after compressor start-up	Minor Permit (used during construction)	Potential plume modeling.

## **APPENDIX E**

### **Table of Contents: Plans and Studies**

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## E1.0 GENERAL

The following individual *Table of Contents* are provided as content guidelines for Environmental Planning documents and are representative of what is typically included. For environmental studies, representative *Table of Contents* are also included, but may not be applicable, depending on the ultimate project scope. **In each case, the plan or study report contents should be reviewed with the respective agency to ensure project-specific concerns/issues are addressed in the applicable document.**

It is likely that many of the individual plans would be produced in combined documents for ease of locating information and due to the redundant nature of the information. For instance, with concurrence of the respective agencies, a Plan of Development (POD), Operations Plan (Ops Plan), and Closure Plan are “shell-type” documents that could be used in lieu of several individual plans. Such documents would serve the needs of several different permit applications at once, as well as respective agency needs/requirements.

For ease of reference, the individual plans or types of studies are listed alphabetically in this appendix.

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## **Closure Plan**

A Closure Plan is a “shell-type” document that contains a combination of individual plans to address ultimate restoration/reclamation of disturbed lands at a project site following completion of the project. This could include gravel extraction sites or other construction sites where land has been disturbed. With agency concurrence, the Table of Contents for the Closure Plan could be a combination of the individual plan contents for the:

- Grading and Drainage Plan
- Material Exploration and Extraction Plan
- Reclamation (Restoration) Plan
- Vegetative Cover Plan

# Corrosion Control Plan

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## **Dust Control Plan**

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It is anticipated the Dust Control Plan would be included as part of the Air Quality Plan, since dust control would be an important method for maintaining air quality at the project site. Therefore, refer to the Table of Contents for the Air Quality Plan.

# Environmental Briefing Plan

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## **Grading and Drainage Plan**

Details on grading and drainage at the project site would be included as part of the Erosion and Sedimentation Control Plan, as these would be important methods for controlling runoff and preventing erosion. Therefore, refer to the *Table of Contents* for the Erosion and Sedimentation Control Plan and the discussion under Closure Plan in this Appendix.

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An Operations Plan (Ops Plan) is a “shell-type” document that contains a combination of individual plans to address project operations after completion of construction. Many activities included in the Plan of Development would continue during project operations. With agency concurrence, the Table of Contents for the Ops Plan could be a combination of the individual plan contents for the:

- Air Quality Plan
- Clearing Plan
- Cultural Resource (Archaeological) Protection Plan
- Erosion and Sedimentation Control Plan
- Fire Control Plan
- Grading and Drainage Plan
- Liquid Waste Management Plan
- Pesticides, Herbicides, Chemicals Plan
- Quality Assurance/Quality Control Plan
- Seismic Plan
- Solid Waste Management Plan
- Surveillance and Maintenance Plan
- Water Quality Monitoring Plan

# Overburden and Excess Material Disposal Plan

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The Plan of Development (POD) is a “shell-type” document that contains a combination of individual plans to address project construction activities prior to pipeline operation. Many types of activities included in the POD would continue during project operations.

With agency concurrence, the *Table of Contents* for the POD could be a combination of the individual plan contents for the:

- Air Quality Plan
- Blasting Plan
- Camps Plan
- Clearing Plan
- Cultural Resource (Archaeological) Protection Plan
- Dust Control Plan
- Erosion and Sedimentation Control Plan
- Fire Control Plan
- Grading and Drainage Plan
- Liquid Waste Management Plan
- Pesticides, Herbicides, Chemicals Plan
- Quality Assurance/Quality Control Plan
- River Training Structures Plan
- Seismic Plan
- Solid Waste Management Plan
- Stream, River and Floodplain Crossings Plan
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- Traffic Control Plan
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- Water Quality Monitoring Plan
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## **Vegetative Cover Plan**

Details on existing and future vegetation cover at the project site would be included as part of the Restoration (Reclamation) Plan, as this would be an important component to monitor through time as part of the restoration process. Therefore, refer to the *Table of Contents* for the Restoration (Reclamation) Plan.

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## **APPENDIX F**

### **Schedule/Timeline**

### ANGDA Permitting Schedule

ID	Task Name	2005												2006												2007									
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
1	<b>General Reviews</b>																																		
2	Alaska Coastal Management Program (ACMP) Consistency Determination Coordinated with Mat-Su Borough (MSB) Co													████████████████████																					
3	RCA Certification													██																					
4	<b>Land Use Permits</b>																																		
5	State Pipeline Right-of-Way (ROW) Lease - ADNR, SPCO													████████████████████												State Finding of Consistency is made concurrent with ACMP Determination.									
6	-Air Quality Plan													████████████████																					
7	-Blasting Plan													████████████████																					
8	-Camps Plan													████████████████																					
9	-Clearing Plan	██																																	
10	-Cultural Resource Preservation Plan	██																																	
11	-Erosion and Sedimentation Control Plan	██																																	
12	-Fire Control Plan													████████████████																					
13	-Liquid Waste Management Plan													████████████████																					
14	-Material Exploration and Extraction Plan	██																																	
15	-Oil and Hazardous Substances Control, Clean-up, and Disposal Plan													████████████████																					
16	-Overburden and Excess Material Disposal Plan													████████████████																					
17	-Pesticides, Herbicides, and Chemicals Plan													████████████████																					
18	-Restoration Plan	██																																	
19	-River Training Structures Plan	██																																	
20	-Solid Waste Management Plan													████████████████																					
21	-Stream, River, and Floodplain Crossing Plan	██																																	
22	-Wetlands Construction Plan	██																																	
23	-Water Quality Monitoring Plan	██																																	
24	-Visual Resources Plan													████████████████																					
25	-Human/Carnivore Interaction Plan													████████████████																					
26	-Environmental Briefing Plan													████████████████																					
27	-QA/QC Plan													████████████████																					
28	-Surveillance and Monitoring Plan													████████████████																					
29	Land Use Permit (ADNR, SPCO)													██																					
30	-Bald Eagle Nest Survey	██																																	
31	-Migratory Bird Protection Plan	██																																	
32	ROW Easement (MSB)													██																					
33	Special Area Permit (ADF&G)													████████████████																					
34	USACE Wetlands Fill (404) Approval													██																					
35	-Wetlands Construction Plan	██																																	
36	-Hydrologic Studies	██																																	
37	National Historic Preservation Act Consultation (Section 106)													██																					
38	Title 41 Fish Habitat Permits (ADNR, Division of Habitat Management and Permitting)													████████████████																					
39	-Hydrology and Fish Studies (may be required)	██																																	
40	Conditional Land Use Permit (MSB)													██																					
41	-Plan of Development													████████████████																					
42	-Reclamation Plan													████████████████																					
43	Nomination for Disposal of Borough Lands and Resources (MSB)													██																					
44	Petition to Reclassify Borough Land (MSB)													██																					







## **APPENDIX G**

### **Cost Analysis**

## PERMITTING COST ANALYSIS

(from Preliminary Engineering through Notices to Proceed)

TYPE	COSTS
<b>General Reviews</b>	300,000
Alaska Coastal Management Program Review	
Matanuska-Susitna Coastal Management Review	
RCA Certification	
<b>Plans and Studies Development</b>	400,000
Plans required by ADNR, ADEC, USACOE, ADOT/PF	
<b>Land Use - Permit Negotiation and Applications</b>	600,000
ADNR State Right-of-Way Lease and other Land Use Permits	
ADF&G Special Area Permits	
USACOE Wetlands (404) Fill Approval	
Nat'l Historic Preservation	
ADOT/PF Temporary Construction Activities	
Title 41	
State Park Commercial Use Permits	
Mat-Su Borough Permits	
Native Corporation and Tribal Council Permits	
<b>Water Use Permits</b>	75,000
ADNR Temporary Water Use Permits	
ADNR Extension to Appropriate Water - General Permit	
ADNR Water Use - General Permit	
ADNR Permit for Water Withdrawal w/ Mat-Su Borough	
<b>Material Sites</b>	200,000
ADNR New Material Sites	
MSB Conditional Use of Gravel and Quarry Pits	
MSB Commercial Quantities of Materials	
ADOT/PF Material Sites	
<b>Air Quality Permits</b>	150,000
Construction Minor Air Quality ADEC Permit	
Construction - Crusher general Air Quality ADEC Permit	
Operation - ADEC Title V Permit	
<b>Solid Waste Permits</b>	75,000
ADEC Temporary Storage of Solid Waste	
ADEC Wood Waste Landfill Permit	
Other ADEC General Permits	
<b>Road Permits</b>	150,000
ADOT/PF Highway Use Agreement	
Other ADOT/PF Permits	
<b>Wastewater Permits</b>	200,000
ADEC Clean Water Act certification, Section 401	
Stormwater Discharge from Construction Activities - EPA General Permit	
Other ADEC General Permits	
<b>Other Miscellaneous Permits</b>	50,000
<b>Agency Fees</b>	500,000
<b>TOTAL</b>	<b>2,700,000</b>

It has been Hoefler Consulting Group's experience that several key roles are involved during the permitting process. These include an Environmental Permit Coordinator as part of Engineering Teams, Staff Permitters, a Paralegal, IT Specialist, and Document Control Specialist. These are term positions for the permitting process.

This Cost Analysis does not include engineering costs or ANGDA staff time.

## **APPENDIX H**

### **Tracking Permit Applications – Overall Status**







## **APPENDIX I**

### **Tracking Individual Permits**



## **APPENDIX J**

### **Tracking Permits by Location**

# APPENDIX J

## Permit Checklist - by Location

Location:

Date

Milepost:

TRS:

Surface Owner:

Permits	Req.	Responsibility	Approval	Submitted	Revised	Reason for revision	Notes:
Proj Description							
Access ROW:							
ACMP Review							
Corps 404							
ADEC 401 Cert.							
SHPO Clearance							
Temp. Water Use							
Land Use (not leasing)							
Air Quality							
Waste Storage							
ADOT Traffic Plan							
ADOT Utility Permit							
ADOT Temp. Construct.							
Wildlife Interaction Plan							
Stream Crossing							
NPDES SWPPP/NOI							
Camp Permits							
Burn Permit							
Seismic work							
<b>Local: MSB</b>							
Road Approval							
Land Use (not leasing)							
<b>Other:</b>							
FCC Permit							
FAA 5-mile Notice							
<b>NOTES:</b>						<b>Other Issues:</b>	

EXAMPLE

## **APPENDIX K**

### **Tracking Plans and Studies – Overall Status**



## **APPENDIX L**

### **Compliance Tracking System**

## APPENDIX L

### Compliance Tracking: ROUTINE Operating Tasks

Permit Name	Routine Task	Subsequent Record	Record Location	Record Retention	Frequency	Due Date	Tickler Date	Permit/ Lease # Citation Driver	Condition / Stipulation	Agency
Air Quality Permit	Pay Annual Emission Fees									
Air Quality Permit	Submit Facility Operating Reports (original and 2 copies).									
Air Quality Permit	Submit Annual Compliance Certification (original and 2 copies) to ADEC and a copy to EPA.									
NPDES	Submit Discharge Monitoring Reports (DMRs). Include certification statement.									
NPDES	Develop a Best Management Practice (BMP) Plan w/i 60 days of the permit's effective date.									
NPDES	Inspect NPDES designated equipment and mine areas at least monthly.									
NPDES	Conduct Annual Whole Effluent Toxicity Tests at Outfalls.									
NPDES	Conduct effluent sampling and receiving water monitoring outlined in Permit Table									
Fish Habitat Permit	Retain this Permit on site during construction.									
Fish Habitat Permit	Renew Fish Habitat Permit.									
Water Rights Certificate	Pay annual administrative fee.									
Water Rights Certificate	Use Water according to permits.									
Solid Waste Disposal Permit	Renew Permit.									

EXAMPLE



## APPENDIX L

### Compliance Tracking: NON ROUTINE Operating Events

Permit Name	If this non routine event occurs ...	Do this ...	Subsequent Record	Record Location	Record Retention	Permit/ Lease # Citation Driver	Permit Condition	Agency
Air Quality Permit	ADEC requests information	Furnish information, within a reasonable time.						
Air Quality Permit	If the 12-month rolling total of fuel burned in exceeds limit,	File Excess Emissions Report						
NPDES	Anticipated bypass -- If known in advance of the need for bypass,	Submit prior notice the EPA Director and ADEC, if at possible at least 10 days before the date of the bypass.						
Solid Waste Disposal Permit	If any fires occur on the working face of the landfill,	Notify ADEC, Northern Regional Office (451-2108) within 24 hrs.	<b>EXAMPLE</b>					
Solid Waste Disposal Permit	If cultural or paleontological resources are discovered	Stop work which would disturb such resources and notify Sate Historic Preservation Office, ADNR immediately (907) 269-8721.						
Contained Water - Waste Disposal General Permit	If discharged water will enter fish-bearing waters,	Contact ADNR Office of Habitat Management and Permitting, two weeks prior.						
Contained Water - Waste Disposal General Permit	If any pollutant is monitored more frequently than required by this permit,	Report the results to ADEC in monitoring report.						
Contained Water - Waste Disposal General Permit	If, for any reason, permittee does not comply or is unable to comply with any permit term or condition,	Report the noncompliance to ADEC within 72 hr by phone, fax, or email. Follow up within 7 days with a written report.						
Contained Water - Waste Disposal General Permit	If cultural or paleontological resources are discovered	Stop work which would disturb such resources and notify Sate Historic Preservation Office, ADNR immediately (907) 269-8721.						

## APPENDIX L

### Compliance Tracking: Management of Change (MOC) Compliance Considerations

Permit Name/ Regulatory Requirement	If this changes ...	Do this ...	Subsequent Record	Record Location	Record Retention	Permit/ Lease # Citation Driver	Permit Condition	Agency
Fish Habitat Permit	If activity significantly deviates from approved plan	Notify ADF&G and obtain written approval in form of a permit amendment.						
Water Rights Certificate	Change of address of the grantee or transfer of any real property identified in certificate,	Notify ADNR.						
Air Quality Permit	If any physical or operational change which may increase the emission rate of any permitted air pollutant from NSPS equipment.	Notify the EPA administrator 60 days or as soon as practicable before the change is commenced.						
NPDES	If there is a change in the facility or operation which materially increases the potential for an increased discharge of water pollutants,	Amend the Best Management Practice (BMP) Plan ,  Notify EPA and ADEC of the amendment, and  Submit the amendment with the monthly DMR.						
NPDES	When physical alterations or additions to the permitted facility are planned	Give notice to the EPA Director and ADEC as soon as possible.						
Solid Waste Disposal Permit	Upon closure of an inert waste cell,	Inform ADEC, reflect changes in annual site plan, complete permit's closure and post-closure requirements.						
Contained Water - Waste Disposal General Permit	Any anticipated construction changes, flow increases, or process modifications which will result in new, different, or increased discharge of pollutants that will cause a violation of permit's limits,	Must be reported by submission of an individual waste disposal permit application or a revision to the Notice of Disposal.						

EXAMPLE

## **APPENDIX M**

### **Document Control Procedure**

# ANGDA Document Control Procedure

## Document Number:

# DRAFT

### Document Control Data

Authority:	ANGDA Manager	Custodian:	
Scope:		Revision Date:	
Issue Date:		Next Review:	

### Revision Log

Revision Date	Authority	Custodian	Revision Details

## 1.0 Purpose/Scope

This procedure describes the process and responsibilities for control of documents. Controlled documents are managed to ensure the following:

- Current versions are available at their point of use,
- Documents are reviewed and approved prior to initial use,
- Obsolete documents retained for legal and/or institutional knowledge are marked as such to ensure they will not be mistaken for current versions, and
- Documents are periodically reviewed for applicability, suitability, and effectiveness.

This procedure focuses a centralized electronic document control management system, but does not preclude appropriate local document control systems that meet the requirements above.

## 2.0 Definitions

**Documents** - Written pieces that direct work such as procedures and manuals. Typically, *documents* evolve as operations and regulations change. Documents do not include records. See the Record Management Procedure.

**Controlled Document** – Electronic or paper information that directs work critical to environment, health, safety, pipeline integrity or other regulatory requirements. Controlled documents must be managed according to this procedure and require periodic review and revision.

**Document Tiers** – Controlled documents can be local or universal. Local procedures direct work at a discrete location. Universal procedures apply to all locations and the entire workforce.

**Master List** – A list or report that identifies all controlled documents in the system. The list or report provides key information associated with each document.

**Uncontrolled Copy** – Copies of all or part of a controlled document taken for informational, legal, and/or knowledge preservation purposes. It is the responsibility of any person holding an uncontrolled copy to ensure that the information contained in such a document is still current and valid for intended use. Such a copy is labeled as an Uncontrolled Copy to ensure against unintended use.

**Document Number** – An alphanumeric number assigned to each document. The number is established on the basis of applicable mile post, functional area (department), and document type.

**Managed Document** – A managed document is one that does not require full document control and thus is not governed under this document control procedure, but is still managed with a minimal amount of control as defined at the local level.

**Next Review Date** – The scheduled date for the next document review. Review of the document should occur on or before the Next Review Date. The review date should be placed in the Revision Log for tracking purposes, even if the review did not result in a revision. The Document Authority approves the Next Review Date as part of the approval process.

**Revision Date** - Date content changes were administered to the document.

### 3.0 General Requirements

- Coordinate creation, revision, or deletion of a controlled document through the appropriate Document Control Administrator.
- Each controlled document is approved by a Document Authority who has the authority to make the document binding across the operational scope of the document.
- Care should be taken to periodically review and revise controlled documents. The official controlled copy of each document is found on the ANGDA server.

### 4.0 Key Responsibilities

#### Authority

- Responsible for validating and approving new, revising existing and archiving documents which fall within the defined scope of their authority. By defining the scope of authority, the documents binding on the organizational entity.
- Responsible for setting the review schedule.

- Authority approval can be granted by hand signature, electronic signature, verbally to Document Administrator, or by e-mail.

### **Custodian**

- Creates, reviews, updates, and revises controlled documents.
- Determines the routing path for technical review.
- Consults with the Authority to determine when a document is obsolete and/or should be archived.
- Responsible for communicating the existence and content of controlled documents to applicable personnel.
- Responsible for updating controlled documents.
- Initiates management of change process when appropriate.

### **Document Control Administrator**

- Ensures new controlled documents are processed Custodian and Authority.
- Maintains written records of Authority approvals in a secure location (hard copy of electronically).
- Responsible for assuring controlled documents are in the proper format, when appropriate.
- Ensures documents can be located, current versions are available, and obsolete documents are archived electronically.
- Ensures revision history is maintained for each controlled document.
- Maintains the document Master List.
- Verifies maintenance or maintains the revision and review history within the revision log of the controlled document.
- Periodically sends reminders that revision dates are upcoming.

### **Employees/Contractors/Document Revisers**

- Use controlled HSE documents as instructed.
- Provides feedback on document quality.
- As necessary, initiate document modification using the MOC process.

## **5.0 Procedure**

### **5.1 Creation of Controlled Documents**

- A manager or supervisor determines a controlled document is necessary and assigns a Custodian and Authority for the new document.
- Custodian seeks input from appropriate personnel, develops a draft document, checks consistency against existing procedures, and formats it as required.

- The Authority reviews the draft document. If is not approved, it is sent back to the Custodian for revision. If it is approved, it sent to the Document Administrator for placement on the server/web.
- The Custodian communicates the document to personnel who need to use it and conducts any necessary training.

## 5.2 Review/Revision of Controlled Documents

- Custodian leads the document review and decides if revisions are necessary.
- If no revisions are needed, a dated entry is put into the Revision Log with the notation a review was conducted.
- If revisions are necessary, the Custodian revises the document and submits it to the Authority for approval.
- Once approval is given, the document Administrator places the document on the server/web.
- The Custodian communicates the changes to personnel who need to use it and conducts any necessary training.

## 5.3 Archiving Controlled Documents

- The need to archive is established through employee recommendation, continual process improvement, corrective action or management review.
- The Authority approves the archiving requests.
- Archive is coordinated by the Document Control Administrator.
- Custodian informs personnel that a document will be archived and initiates an MOC if necessary.

## 5.5 Access

Access to controlled HSE documents is accomplished through the ANGDA server.

## 5.6 Document Control Procedure Formatting

The header, footer, "specific document information" and revision logs need to be formatted identical to this procedure. This ensures standardized document control information will be on every document. Formatting flexibility exists for the body of the document to enhance end-user compatibility.

## **APPENDIX N**

### **Records Management Procedure**



**Confidential Files** – Files containing private material that needs access restriction, (e.g., personnel files, medical files or files containing sensitive material).

**Electronic Records** – Records communicated and maintained on electronic media.

**File** – A collection of records that shows organizational activities through an identifiable sequence of transactions.

**Historical Record** – A record or listing which records significant decisions or milestones in the ANGDA history, past or present.

**Inactive Record** – An infrequently referenced record which must be retained in accordance with State of Alaska Records Retention Guidelines and State of Alaska Retention Procedures.

**Official Records** – Originals or copies identified as originals, which are vital to the ANGDA.

**Record Retention Period** – The time frame a record must be maintained and kept retrievable. The time frame is established by operational needs, legal mandates, and corporate policy. A record retention period may be stated in terms of months or years, and may sometimes be expressed as contingent upon the occurrence of an event.

**ANGDA File Index** – A list of files maintained in the ANGDA Department. The index outlines the associated numeric, alphabetic, or alphanumeric identifier used to locate, place, and retrieve records. The index is located in hard copy format and in an electronic based data format on the ANGDA server.

**ANGDA Record Inventory** – An electronic spreadsheet listing ANGDA electronic and hard copy records and their storage location (e.g. central files, server, archived).

**Vital Records** – Non-transient information maintained by the ANGDA for operational and/or legal requirements. The loss of vital documents/records could impair the ability to start or conduct operations. Examples of vital records include: permits, analytical data, completion reports, agency correspondence and determinations of compliance.

### 3.0 Responsibilities

#### ANGDA Managers –

- Provide resources (e.g. man power, electronic tools, fire-proof cabinets) necessary to implement this procedure;
- Account for maintenance and accessibility of vital, official, and confidential records;
- Confirm Records and IT Disaster Recovery processes exist and are effective.

#### Records Coordinator –

- Coordinate record management activities;
- Maintain the File Index, Master Record Inventory, and Record Retention Schedule;
- Ensure the records and files are readily accessible and circulation of records is controlled and monitored;

- Oversee conversion of hard copies to electronic files, and train others on this procedure;
- Report to Management on recordkeeping compliance;
- Assist legal during litigation;
- Archive records and oversee their destruction, as appropriate.

#### **Supervisors –**

- Interface with the Records Coordinator;
- Respond to government letters and information requests. Route it through the administrative assistant to ensure logging in the Government Correspondence – Tracking Spreadsheet;
- QA/QC records generated within their work group;
- Ensure confidential records are secure.

#### **Record Creators –**

- Ensure generated records are complete, legible, and dated;
- Identify and code generated records as the “Official Record” and/or “Vital Record” as appropriate;
- Route the records to appropriate administrative assistant or Records Coordinator for filing;
- Comply with this procedure and ensure contractors also understand the recordkeeping process;
- When researching issues, keep retrieved files for as short a time as possible. Continue to make records available to other employees.

#### **Designated Administrative Assistant -**

- Receive all incoming letters, permits, and reports; log-in government correspondence; and ensure prompt delivery to the appropriate personnel;
- Manage the Government Correspondence - Tracking Spreadsheet and provide managers with monthly status reports.

## **4.0 Procedure**

### **4.1 Official/Vital Records**

Official/Vital Records are stored securely in the ANGDA central files, and/or at specific production facilities. Secure storage means files are in locked cabinets or rooms and are not accessible to unauthorized personnel. Official/Vital records are not to be removed from the ANGDA office premise, except to be copied for project purposes. Electronic files are to be utilized for copies and quick reference.

Records or documents which contain information that could result in loss of life or injury, environmental consequences or damage or destruction to a critical infrastructure should be marked and identified for control and limited access by Central File.

The final Master File Index maps the record locations (kept at the Operation Center, at the central office, paper or electronic copy).

#### Operation Files

The Operation Center will maintain their own records management procedure that details facility specific roles, responsibilities, and processes. As records are generated and filed, they should be entered into the Master Record Inventory. The facility must also comply with the Record Retention Schedule.

#### ANGDA Central Files

Central files will be located in the Anchorage Joint Pipeline Office (JPO) to house official/vital and active records under the supervision of the Records Coordinator.

### **4.2 Confidential Records**

Records or files that contain private information, e.g., personnel files, medical files, or files containing corporate sensitive material, need access restriction. Confidential records or files should be stamped "confidential," not scanned, and should be stored in a locked file cabinet or in a tightly controlled and lockable file room. Copies or release of confidential records should be requested in writing to ANGDA manager with concurrence of State's legal counsel.

As confidential records are generated and filed, the title, date, and author should be entered into the central electronic Confidential Record Inventory. This data base should also be secure.

### **4.3 Incoming/Outgoing Correspondence**

#### **A. Designated Administrative Assistant**

- Collect mail and courier deliveries received for the ANGDA Department.
- Log incoming government letters into the Agency/Government Correspondence Spreadsheet prior to internal distribution. The spreadsheet contains the receipt date, action items, responsible party and expected response date.
- Open, separate, and staple routing slips (*See attached routing slip*) to agency correspondence, reports, and legal correspondence. Distribute to the appropriate ANGDA staff member for review and filing clarification.
- When official/vital records are involved, make copies and distribute to those on the routing slip. The Document Control Specialist must receive the original record – not a copy.
- If a document must be filed in more than one location:
  - a) Copies may either be filed with references to the original document location, or
  - b) The original document may be cross-referenced, without adding a copy.
- On occasion, original documents may not be routed due to difficulty in copying. In those instances, staff will follow routing slip instructions for returning the originals. As an alternative, a copy of the title page can be routed instead of the

original document, indicating where the original document is located in the file system.

- Log outgoing government correspondence to correlate with the item listed in the Government Correspondence - Tracking Spreadsheet. Send government letters with “postal receipt requested.”
- Outgoing correspondence will indicate under the *bcc* the file number where the hard copy of the outgoing correspondence will be filed within the ANGDA file system.

## **B. ANGDA Staff**

- Recipients of incoming correspondence complete the routing slip(s) by assigning a file number, identifying recipients for distribution, and providing any additional instructions for the Administrative Assistant.
- If additional documentation is to be filed in the ANGDA central files, complete a routing slip attached with directions for filing and/or distribution.
- Notify the Administrative Assistant that a new file needs to be created by completing the attached routing slip. Directions must include the file index identifier and whether the file needs to be scanned.

### **4.4 E-mails and Faxes**

E-mails and faxes that record permit negotiations, permit modifications, regulatory interpretations, agency approval or authorization - or any record of significant ANGDA decisions or milestones – may be considered an official/vital record. These records can be in the form of agency communications or internal interpretive communications.

Recipients and authors of any such external or internal correspondence are responsible for ensuring that the e-mail is printed and given to the Administrative Assistant with a completed routing slip attached. The routing slip should indicate the file number location for electronic and central filing.

### **4.5 ANGDA Central Records Management**

#### **Administrative Assistant**

- Ensure the correct file number is legibly written on each record submitted to Central Records.
- Ensure security of “confidential” records prior to filing in Central Records.
- Create new files as requested by the staff. If a new file number needs to be assigned, receive it from the Document Control Specialist, who is responsible for updating the File Index.

#### **Records Coordinator**

- Scan incoming vital/official records.

- Enter the record into the Master Record Inventory prior to filing.
- Records/documents are filed in chronological order with most current date on top
- Maintain the File Index.
- All file retrieval requests go through the Records Coordinator. This can be accomplished through either an e-mail request or hard copy request. See attached ANGDA File Request (Form 100.1).
- Archives and/or destroys records according to the Record Retention Schedule.

Note: The routing slips are not part of the files kept in Central Records.

#### **4.7 Maintenance of the Master Record Inventory**

Record retrieval is the hallmark of a Record Management Systems. The Master Record Inventory would standardize and cross reference key business aspects with lease stipulations, mile posts, and other important attributes. This is critical since government agencies have various jurisdictions and their permits are not standardized (e.g. some permits are issued for specific activities, others for geographical locations, pieces of equipment, etc).

By using a standardized File Index and the Master Record Inventory, the system becomes completely integrated. When construction, operation, and termination records are automatically cross-referenced, complications from agencies' variations, the passage of time, modified filing patterns, and corporate directives are prevented.

Hard copy files are subject to many risks, the most damage is caused by repeated usage and handling. For this reason, electronic files should be used first. Regular maintenance of the central files or records will be performed by the Records Coordinator.

The following preventative measures are to be observed when storing files in the central file system:

- New parts to files are to be created when files reach 2cm in thickness;
- Sticky notes containing important information relevant to the file are to be removed and recorded on a standard size sheet of paper as file notes; scanned and then re-filed.

#### **4.8 File Search and Retrieval**

Records should be readily accessible to staff who need them to conduct their work. A standardized File Index, Master Record Inventory, scanner and file server is a cost effective way to preserve records and enhance retrieval. If off-site personnel need record access, an FTP site is a suitable and cost effective to use. The process involves:

- Access to the electronic data base listing the File Index and Master Record Inventory to search for the file number and location of the file.
- Files in Central Records are access restricted. Electronic files should be accessed and utilized first.

- The Records Coordinator has full control and access to the files and is responsible for retrieving requested central files.
- Staff requesting a file will complete a File Request (Form 100.1) and either e-mail or hand deliver the request to the Records Coordinator.
- The Records Coordinator will retrieve the file and deliver it to the requester's office.
- When finished with the file, the staff member is responsible for returning it to Central Records.

NOTE: It is important for staff to remember that having possession of a file or record means having accountability for it. The Records Coordinator should be informed if the requested file is passed to another employee.

#### **4.9 Archiving, Retaining, and Record Destruction/Purge**

Detailed instructions for archiving, retaining, and destroying records are contained in the State of Alaska's Records Retention Procedures and Records Retention Guidelines. The Records Coordinator maintains and updates the Master Record Inventory whenever records are archived.

### **5.0 Records and IT Disaster Recovery**

The following internal controls are needed to ensure Official/Vital records are retrievable after either natural or IT disasters.

- A paper copy and electronic copy will be kept of all Official/Vital records.
- Critical/sensitive paper copies will be kept in fire-proof cabinets.
- Electronic files will be automatically backed up each night.
- The electronic back-ups will be located off-site.
- Electronic storage will be evaluated every 3 years to determine if a conversion to the latest software is prudent.

### **6.0 Key Documents/Tools/References**

The following internal controls could be used during pre-construction, construction, operations, and termination activities to provide an integrated recordkeeping system. Some examples are included in the following pages.

- ANGDA File Index
- ANGDA Master Record Inventory (spreadsheet)
- ANGDA Confidential Record Inventory
- ANGDA Government Correspondence Tracking
- ANGDA Routing Slip
- Department File Request Form
- ANGDA Record Retention Schedule  
(developed at project start-up in conjunction with legal)





### Record Routing Slip

ANGDA File Number:

\_\_\_\_\_

Type (check one):

<input type="checkbox"/>	New or Revised Regulation	<input type="checkbox"/>	Permit Application
<input type="checkbox"/>	New or Modified Permit	<input type="checkbox"/>	Correspondence:
<input type="checkbox"/>	Compliance Order/Agreement	<input type="checkbox"/>	__ Agency
<input type="checkbox"/>	Report	<input type="checkbox"/>	__ Other
<input type="checkbox"/>	Create New File	<input type="checkbox"/>	

Title/Description:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Project Name (if applicable):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Outside of the official location, are there other file locations where this file needs to be referenced?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Notes:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Distribution List:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_

**Staple to record to be filed/distributed.**

### Record Routing Slip

ANGDA File Number:

\_\_\_\_\_

Type (check one):

<input type="checkbox"/>	New or Revised Regulation	<input type="checkbox"/>	Permit Application
<input type="checkbox"/>	New or Modified Permit	<input type="checkbox"/>	Correspondence:
<input type="checkbox"/>	Compliance Order/Agreement	<input type="checkbox"/>	__ Agency
<input type="checkbox"/>	Report	<input type="checkbox"/>	__ Other
<input type="checkbox"/>	Create New File	<input type="checkbox"/>	

Title/Description:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Project Name (if applicable):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Outside of the official location, are there other file locations where this file needs to be referenced?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Notes:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Distribution List:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_

**Staple to record to be filed/distributed.**

# EXAMPLE: File Request Form

Employee Requesting File: \_\_\_\_\_

Date of Request: \_\_\_\_\_

Date Needed: \_\_\_\_\_

File Number: \_\_\_\_\_

Date Checked Out to Employee: \_\_\_\_\_

Date Returned to Files: \_\_\_\_\_

Form 100.1

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# EXAMPLE: ANGDA File Request Form

Employee Requesting File: \_\_\_\_\_

Date of Request: \_\_\_\_\_

Date Needed: \_\_\_\_\_

File Number: \_\_\_\_\_

Date Checked Out to Employee: \_\_\_\_\_

Date Returned to Files: \_\_\_\_\_

Form 100.1

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