DUKE ENERGY CONVEYANCE PERMIT APPLICATION FORM

FOR DUKE ENERGY USE ONLY

Application Fee $_____ Security Deposit $_____ Prorated User Fee $_____

Check #_____ Date Rec'd._____ Initials_____

Habitat Enhancement Fee (HEP) $_____

Check #_____ Date Rec'd._____ Initials_____

Final Protection/Avoidance Area Field Verified Date _____/_____/_____ Initials_____

Approved to Start Work By * : _____ _____ Date_____
(*Print*) (*Sign*)

Completion Required By Date _____/_____/_____

Closeout Inspection Passed Date * _____/_____/_____ Initials_____

Any Stop Work Orders or SMG Violations * ? (*check one*) ☐Yes ☐No (*If Yes, explain*):

_____

_____

Deposit Refunded Date _____ Initials_____ Permit Database Updated Date _____ Initials_____

*** Forward copy of approved application (all pages, plus any attachments that Duke Energy changed) back to applicant with Approval Letter and highlight any changes. File copies of Approval and Close-out Checklists and any Stop Work Orders with application. Duke Energy approval is signified by the fully signed easement or permit document for conveyance.**

PART I. - APPLICANT INFORMATION (*Please Print*)

Name: _____ Telephone: (_____)_____

Lake Address: _____ Mailing Address: _____
(*If different*)

_____ _____

_____ _____

_____ _____

DUKE ENERGY CONVEYANCE PERMIT APPLICATION FORM

LAKE INFORMATION

Lake: _____ County: _____ State: _____

City: _____ Subdivision: _____

Applicant Signature* _____ **Date** _____

* Per my signature, the information provided in this application is correct to the best of my knowledge.

Application Preparation Contractor: _____

Contractor Contact Person: _____ Telephone: (____)_____

DUKE ENERGY CONVEYANCE PERMIT APPLICATION FORM

Construction Company 1: _____

Contact Person (print): _____ Telephone (_____)_____

Construction Work to be Done *(check all that apply)*: ☐ Public Bridge Construction ☐ Water Intake
☐ Utility Line Crossing ☐ Sewer Outfall ☐ Storm Water Outfall ☐ Staging Area ☐ Other (specify):

_____

Construction Company 2: _____

Contact Person (print): _____ Telephone (_____)_____

Construction Work to be Done *(check all that apply)*: ☐ Public Bridge Construction ☐ Water Intake
☐ Utility Line Crossing ☐ Sewer Outfall ☐ Storm Water Outfall ☐ Staging Area ☐ Other (specify):

_____

PART II. - DESCRIPTION OF PROJECT

A. BASIC INFORMATION

1. Type of facility(s) (*check all that apply*): ☐ Open Boat Slips ☐ Boat Ramp ☐ Settling Basin/Storm Water Outfall
☐ Utility Line Crossing ☐ Wastewater Discharge ☐ Water Withdrawal ☐ Public Bridge Construction
☐ Other (*specify*):_____

2. Number and Size (*acres*) of Individual Proposed Lakebed Use Area(s) (*list all areas in table*):

Proposed Lakebed Use Area No.	**Area (*acres*) within FERC Project Boundary**	**# of Boat Slips and Boat Ramps**	**Intake/Outfall Structure(s)**	**Public Bridge**	**Other (specify)** _____ _____ _____

3. Proposed Lakebed Use Area(s) (*Total for the project*): _____ acres.

Indicate if this is a: ☐ Lease ☐ Easement ☐ Permit

4. Supporting activities: (*check all that apply*): ☐ Excavation ☐ Shoreline Stabilization ☐ Other (*specify)*:

_____

_____

DUKE ENERGY CONVEYANCE PERMIT APPLICATION FORM

5. Type of proposed work (*check one*): ☐ New Construction ☐ Expansion ☐ Rebuild

6. Intended users (*check one*): ☐ General Public ☐ Condominium/Subdivision Lot Owners

☐ Long-term Campground Users ☐ Transient Campground Users (*<14 days)* ☐ Yacht/Boat Club Members

☐ Other (s*pecify*): _____

7. Lake user category (*check one*): ☐ Residential Marina ☐ Commercial Marina ☐ Public Infrastructure

☐ Other (*specify*): _____

8. Legal Entity Claiming Title to the Tract(s) Adjoining the Proposed Lakebed Use Area(s) (*specify LLC, Inc., other*):

_____

9. Excluding private piers, are there any other water-based recreational facilities (*e.g., public access areas, marinas, etc.*) within 0.5 miles straight-line distance of the proposal? (*check one*): ☐No ☐Yes (*If Yes, specify*):

_____

_____

10. Total planned duration of the overall project: START ____/____ FINISH ____/____
(Month / Year) *(Month/ Year)*

(*Include first equipment mobilization through completion of final mitigation measures and demobilization.*)

11. Total planned duration of all work within the lake: START ____/____ FINISH ____/____
(Month / Year) *(Month / Year)*

(Include any ground disturbance or other work within the FERC Project Boundary.)

12. List all work needed to support the proposal within the FERC Project Boundary (*e.g., excavation for pipe lines, storm water outlets, shoreline stabilization, etc.)*:

_____

_____

_____

_____

Additional Comments / Information: _____

_____

_____

_____

_____

_____

_____

_____

_____

_____

PART II. (*Continued*)

B. PROTECTION / AVOIDANCE AREA DESCRIPTION

Complete the following table considering all land areas within and immediately adjoining the FERC Project Boundary or Duke Energy-owned Peripheral Strip.

Protection/Avoidance Areas (*check all that apply)*	**Approx. Acreage or Linear Footage**	**Identification Method ***		**Mitigate ** (M), Avoid (A), or Not Applicable (N/A)**
		Field ID	**Work Area Dwg. ID**	
_____**a.** Marshland, swamp, ponds, beneficial aquatic vegetation or other potential wetlands *(circle)*.				
_____**b.** Buffer Zones (*specify width & source of requirement*). _____ _____ _____				
_____**c.** Areas classified as "Environmental" as identified by Duke Energy.				
_____**d.** Areas classified as "Natural Areas" as identified by Duke Energy.				
_____**e.** Areas classified as "Impact Minimization Zone" as identified by Duke Energy.				
_____**f.** Rare, Threatened or Endangered species (*specify)*: _____ _____ _____				

DUKE ENERGY CONVEYANCE PERMIT APPLICATION FORM

Protection/Avoidance Areas (*check all that apply)*	**Approx. Acreage or Linear Footage**	**Identification Method ***		**Mitigate ** (M), Avoid (A), or Not Applicable (N/A)**
		Field ID	**Work Area Dwg. ID**	
_____**g.** Gas, water, sewer, communications or electric lines (*circle*).				
_____**h.** Historic Properties / cultural resources (*specify)*: _____ _____ _____				
_____**i.** Other areas requiring specific avoidance, protection or mitigation (*specify)*: _____ _____ _____				

*** For "Field ID" column** - Specify entity or person that performed the identification and how it was physically marked (e.g., Duke Energy, John Doe, orange survey tape).

*** For "Work Area Dwg. ID" column** - Specify the symbol used on the drawings to identify the protection/avoidance area.

**** For Mitigation** - List and attach mitigation plans for areas marked as "M".

BEFORE YOU MAIL THE APPLICATION TO DUKE ENERGY LAKE SERVICES ENSURE YOU HAVE:

- Checked the information thoroughly
- Met all requirements for a complete application
- Included a single check made out to Duke Energy for the application filing fee, security deposit, and any prorated user fee
- Included a second check made out to the appropriate state Habitat Enhancement Fund if required
- Included all agency permits or comment letters and information on issues addressed
- Included all required drawings, surveys and plans
- Included copies of deeds and authorization letters

PART III. - INFORMATIONAL REQUIREMENTS FOR ALL APPLICANTS (NC & SC)

The completed draft Duke Energy Conveyance Permit Application Form (Parts I & II) must be provided to Duke Energy Lake Services for review and comment prior to initiating contact concerning the application with any of the reviewing organizations. In addition to the completed draft Application Form, the following items must be provided to Duke Energy Lake Services for all applicants in North and South Carolina to constitute a complete application. Each lettered item below should be addressed on a separate page with the item copied in its entirety at the top of the page with responses and supporting information included:

A. A compliance letter from the applicant to Duke Energy stating, "(Applicant) hereby agrees to comply with all recommendations, requirements, and/or conditions contained in the attached letters and permits from the various federal, state, and local agencies pertaining to our application to construct a _____ on Lake __ _____."

B. A statement describing the proposed use of FERC Project property ("Project"), along with the amount of Project property involved, the name and address of the party or parties to whom the rights are to be conveyed (i.e., the organization or person owning, leasing or holding a substantial equity interest in the property adjacent to the FERC Project Boundary), and the name and address of the person Duke Energy should contact regarding the application.

C. A general vicinity map (1 in. = 1 mile or similar scale) with the locations of facilities shown and a **Duke Energy Directions by Road** form providing directions to the development or project area location. This map should be sufficiently labeled with road names, landmarks, county lines, towns, etc., so the proposed project site is easy to locate. Also include a copy of the applicable Duke Energy Shoreline Management Plan map showing the subject area.

D. A detailed written description of the proposed facilities. A survey, suitable for recording and on sheets no larger than 11" x 17", prepared by a licensed Professional Land Surveyor of the entire shoreline adjoining the FERC Project Boundary within the proposed project. The survey must include, at a minimum:
   (1) A North arrow to indicate map orientation
   (2) The FERC Project Boundary
   (3) Location point data representative of the site, positionally accurate to comply with National Map Accuracy Standards for maps at a 1:24,000 scale. The location point must include latitude/longitude in decimal degrees, based on the horizontal reference datum of the North American Datum of 1983 (NAD 83). The location point should be indicated at the intersection of the proposed facility and the FERC Project Boundary for each separate lease/permit/easement area or the mid-point of the proposed lease/permit/easement area if there are multiple facilities (e.g., multiple docks with slips) within one lease/permit/easement area.
   (4) The boundaries and acreage of the proposed lease, permit, or easement area
   (5) The facilities to be included in the lease, permit, or easement area
   (6) Labels indicating the lake name and any other notable features
   (7) Side property line intersection points with the FERC Project Boundary
   (8) Site plan of the development including the designated lot number for any lot having Project frontage
   (9) Duke Energy's Shoreline Management Plan shoreline classifications (*where applicable*)
   (10) A line parallel to the full pond contour representing 1/3 of the cove width or 120 ft from the full pond contour (whichever distance is closer to the shoreline)
   (11) An indication of the applicant's ownership, leasing or other substantial equity interest in the property adjoining the FERC Project Boundary
   (12) The location, labels, and descriptive information for all existing or proposed facilities to be located within the FERC Project Boundary including, but not limited to, marina facilities, boat slips, courtesy docks, boat ramps, bulkheads, shoreline stabilization at amenity areas, excavation areas, staging areas, utility line crossings, water intakes or discharges, etc. (Do not include any existing private piers or associated existing shoreline stabilization.)
   (13) *(For water intakes with ultimate capacity greater than or equal to 1 million gallons per day (MGD) and for all wastewater effluent discharges)* Existing lake bottom contours at intervals of two vertical feet showing the lake bottom topography throughout the lakebed up to the full pond contour elevation in the proposed easement / permit area plus at least a 200-ft horizontal buffer within the lakebed around the proposed easement / permit area

E. An accurate technical drawing of all proposed facilities within the FERC Project Boundary including all dimensions, total length from the full pond contour, any anchoring or floatation systems, roof structures, water intakes or outfalls, fueling facilities, utility line crossings, shoreline stabilization, and any other relevant information.

F. A copy of all correspondence to and from any local, regional, state and federal agencies or other organizations with which you are required to consult, including any required permits (e.g., Section 401 water quality certifications, Section 404 dredge/fill permits, building permits, etc.) or other approvals or comments which have been obtained from these organizations regarding this activity. Include a copy of any local, regional, state or federal regulations or guidelines that will be followed. (***Note**: All permitting issues must be resolved and clearly documented.)*

G. A copy of the deed and registered survey plat or other instrument under which the applicant claims title to the affected property (e.g., the shoreline adjoining the conveyance area or the lakebed if the applicant owns the property within the lake).

H. A list of names and addresses of property owners adjoining the development or Project area location.

I. Sufficient color photographs of the conveyance Project area to illustrate the shoreline and upland areas adjoining the proposed facilities. These photographs should show aquatic habitat, vegetative cover, land cover, and shoreline buffer conditions present at the project site and within 100 feet landward of the FERC Project Boundary. Also, indicate the date each photograph was taken. For projects with multiple leases, permitted user agreement areas or easement areas, a map must be submitted indicating the location/orientation of each set of photographs.

J. Describe how the proposed construction will be designed to avoid or minimize conflict with the natural, historic, scenic and public recreational values and resources of the Project.

K. Describe the magnitude and pattern of existing boat traffic in the area, including any existing recreational uses (public or private) at and near the proposed facilities and any areas of attraction, such as marine gas facilities, restaurants, and mooring areas. Describe any effect the proposed facilities may have on existing boat traffic in the area. Describe what measures will be used to ensure boating safety in the vicinity of the proposal during and after construction activity. (*Include any required Navigational Safety Plans with a plan and schedule for installation, maintenance and inspection of the warning/safety devices, with responsibilities listed and verified by confirmation letters from the responsible entities.)*

L. Describe the procedures proposed to construct the facilities and stabilize any shoreline disturbance that may occur as a result of the proposal (e.g., shoreline stabilization, boat ramps, pipeline trenches, etc.), especially land disturbances within 100 feet of the FERC Project Boundary.

M. For projects including water withdrawals of **less than 1 million gallons per day** (MGD), the following information must be provided, at a minimum:
   (1) A complete description of the design and construction of the water pipeline and intake structure (including elevation data)
   (2) Specifications of the intake screen size, openings and intake velocities
   (3) Proposed average annual and average monthly water withdrawal rates
   (4) Maximum instantaneous pumping capacity
   (5) The critical lake elevation for the intake (i.e., the lake elevation below which the intake will no longer pump at its maximum instantaneous pumping capacity for a sustained period of time)
   (6) A description of any measures proposed to mitigate the potential entrainment of fish or aquatic organisms

N. A statement indicating there will be no proposed or requested changes (e.g., modified reservoir level operating ranges, modified flow releases from Hydro Project dams, etc.) in Hydro Project operation as a result of construction and utilization of the proposed facilities.

O. If required, an Environmental Assessment (EA) should be prepared for FERC, including both a hard copy and electronic copy on a CD-ROM in Microsoft Word format. **Note**: An EA is required for all requests that must be submitted to the FERC for review and approval.

P. A check made out to Duke Energy for the application filing fee, security deposit and any prorated user fee, and a separate check made out to the appropriate state Habitat Enhancement Fund if a payment is required.

THE FOLLOWING IS FOR WATER WITHDRAWAL FACILITIES GREATER THAN OR EQUAL TO 1 MGD ONLY

For all water withdrawal requests for intakes greater than or equal to 1 MGD on the Catawba-Wateree Project, a formal presentation of your proposal to the Catawba-Wateree Water Management Group (CWWMG) is also required. The CWWMG information for consultation is attached.

Q. All applicants for new, expanding or rebuilding water withdrawal facilities that have or will have a maximum instantaneous water withdrawal rate **greater than or equal to 1 million gallons per day** (MGD) must provide the following in a draft comprehensive Preliminary Engineering Report (PER), prepared and stamped by a licensed Professional Engineer for Duke Energy review and comment prior to contacting any of the reviewing agencies/organizations or initiating any additional work on the draft application (see Part III – Information Requirements For All Applicants). The PER, which must become a part of this Conveyance application, must include the applicant's

request for a specified maximum instantaneous withdrawal rate and a specified maximum average annual withdrawal rate with supporting documentation and include the following:

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(1) The proposed estimated average annual facility gross withdrawal schedule (in MGD) for the next thirty years or the anticipated term of the easement or permit, whichever is greater. Also include guidance on how the average annual gross withdrawals are expected to vary from month-to-month in a typical calendar year.

(2) Estimates (in percent of total gross withdrawals) for consumptive use and inter-basin transfers for the next thirty years or the anticipated term of the easement or permit whichever is greater. Separate out the percentage estimate for consumptive use within the source river basin from the percentage estimate for inter-basin transfers. Also include guidance on how the consumptive use within the source river basin and inter-basin transfer percentages are expected to vary from month-to-month in a typical calendar year.

(3) Detailed information on water conservation / water use efficiency plans that will be used to help efficiently manage the withdrawn water. If these plans are required to be filed with local, state, or federal government entities, provide the currently filed plan. Provide details on the required local, state, or federal government water use reporting requirements, if any.

(4) Detailed information on drought ordinances and water shortage response plans, including a description of the associated trigger points at which the water use restrictions would be implemented. Provide the estimated reduction in water withdrawals (in MGD) that would result from implementation of the referenced drought ordinances and water shortage response plans.

(5) For the water proposed to be withdrawn, a detailed estimate of the amounts and locations of any points where this water will return back into the river system. Include estimates and locations for current return locations as well as a description of how those estimates and return locations are expected to change over the next thirty years or the anticipated term of the easement or permit, whichever is greater. Also include guidance on how the returned water amounts are expected to vary from month-to-month in a typical calendar year.

(6) For the normal use intake, provide the gross withdrawal capacity (in MGD) of the pump(s) serving the normal use intake with all applicable intake pumps operating at their maximum capacity (i.e., this is the maximum instantaneous withdrawal rate). Also, provide the first lake level elevation at which the maximum instantaneous withdrawal rate of the normal use intake pumps becomes limited. Provide the second lake level elevation at which the normal use intake pump(s) can no longer withdraw water from the lake and must be shutdown.

(7) For the low level or emergency use intake, provide the withdrawal capacity (in MGD) of the pump(s) serving the low level or emergency use intake with all applicable intake pumps operating at their maximum instantaneous rate. Also, provide the first lake level elevation at which the maximum instantaneous withdrawal rate of the low level or emergency use intake pumps becomes limited. Provide the second lake level elevation at which the low level or emergency use intake pump(s) can no longer withdraw water from the lake and must be shutdown.

(8) For facilities that will be located in parts of a Duke Energy reservoir where impacts to water depth from long-term sedimentation are a potential concern (e.g., in a tributary arm of the reservoir with an established sediment delta in the general vicinity), provide a calculation and description of the anticipated impacts of long-term sedimentation on water depth and operation of the proposed water intake, including any expected mitigation measures (e.g., periodic maintenance dredging by the facility owner).

R. **For water intakes with ultimate capacity greater than or equal to 1 million gallons per day (MGD),** attach the Preliminary Engineering Report required in Item Q along with a report, prepared and stamped by a licensed Professional Engineer, to this Conveyance application containing the following information, as a minimum, to be considered the Final Engineering Report (FER):

(1) A detailed estimation of current and future gross raw water demands and pumping requirements, including:

a) Graphs and supporting documentation showing annual average and annual peak raw water demand projections (in MGD) for each year in at least a 30-year forecast (or the anticipated term of the easement or permit, whichever is longer) that will be served by the proposed raw water intake facility. (**Note**: If the proposal is for expansion of an existing facility, also specify the same information for the existing raw water intake facility).

b) Graphs and supporting documentation showing the maximum average annual rate and the maximum instantaneous rate (in MGD) of the proposed raw water intake facility to meet the demand forecast of Item (1) a) above. (**Note**: If the proposal is for expansion of an existing facility, also specify the same information for the existing raw water intake facility).

c) Graphs and supporting documentation characterizing how the average monthly capacity and peak monthly capacity (in MGD) of the proposed raw water intake facility are expected to vary in a given calendar year for the forecasted period. (**Note**: If the proposal is for expansion of an existing facility, also specify the same information for the existing raw water intake facility).

(2) A description of the applicant's ongoing programs to support the conservation and efficient use of the water withdrawn and any information quantifying the effectiveness of those programs.

(3) A summary describing the applicant's construction plan and schedule throughout the forecasted period to modify equipment to achieve the capacity as noted in Item (1) b) above, and including identification of the ultimate capacity.

(4) A description of the applicant's drought management program, including voluntary and mandatory water use restriction measures, use of any alternative water sources and any information quantifying the effectiveness of the program at reducing the expected water demand on the Project during times of drought.

(5) An engineering feasibility study evaluating the available alternatives the applicant considered to meet the raw water demand as forecasted in Item (1) a) above before choosing the proposed alternative. At least one of the alternatives evaluated must consider the use of an intake that is fully operational with the lake level as shallow as the Critical Reservoir Elevation required for **full hydroelectric station operation** on the applicable lake. In performing this alternatives evaluation, the applicant must use its best efforts to identify and evaluate deep water intakes that would maximize the amount of usable lake storage, including but not limited to the potential use of interconnects with other water supply systems or locating the intake at alternate sites. (**Note:** Duke Energy reserves the right to reject engineering evaluations that do not adequately consider the available alternatives that would best protect and enhance usable reservoir storage. Duke Energy also reserves the right to conduct, at Duke Energy's expense, its own verification of any engineering evaluation and the applicant will be expected to provide Duke Energy or its contractor with the design information required to complete this verification in a timely manner.)

(6) A flowchart and supporting documentation showing how the raw water will be used once it is withdrawn from the Duke Energy reservoir, including percentages of the intake volume that will be:

a) Lost due to consumptive uses within the source river basin

b) Lost due to piping system leakage

c) Lost from the subject river system due to inter-basin transfers at specified wastewater discharge stations (*)

d) Returned to the subject river system via specified wastewater discharge stations (*).

(* **Note**: Include a USGS quad sheet or other suitable map showing stream and reservoir names; county/city names and boundaries; major roadway names; locations, names and National Pollutant Discharge Elimination System (NPDES) permit identification numbers of the subject wastewater discharge stations; and boundaries drawn to show the geographic area to be served with water from the subject raw water intake facilities.)

e) Otherwise unaccounted for

(7) (*For the portions of the withdrawn water that will ultimately return to a Duke Energy reservoir only*) A summary of the wastewater stream chemical limits as specified in the NPDES permit for the subject wastewater treatment station(s) and a quantification of any discharge stream chemical improvements achieved by treatment processes exceeding the minimum required wastewater treatment standards.

(8) A reservoir system water quantity model evaluating the impact of the proposed water withdrawal on the applicable Duke Energy reservoir system. (**Note:** Duke Energy has existing reservoir system water quantity models for some of its reservoirs and in those cases, the applicant may choose to coordinate with Duke Energy or a mutually agreeable consulting firm to utilize the Duke Energy model at the applicant's expense.)

THE FOLLOWING IS FOR WASTEWATER EFFLUENT DISCHARGE FACILITIES ONLY

For all wastewater effluent discharge requests for facilities on the Catawba-Wateree Project, a formal presentation of your proposal to the Catawba-Wateree Water Management Group (CWWMG) is also required. The CWWMG information for consultation is attached. Note: Simple stormwater effluent discharge requests need only provide the informational requirements A - P included in PART III.

S. Attach a draft comprehensive Preliminary Engineering Report (PER), prepared and stamped by a licensed Professional Engineer, for Duke Energy review and comment prior to contacting any of the reviewing agencies/organizations or initiating any additional work on the draft application (see Part III – Information Requirements For All Applicants). The PER must become a part of this Conveyance application and contain the following information, as a minimum:

(1) A detailed estimation of current and future discharge flow rates, including:

a) Graphs and supporting documentation showing annual average and annual peak wastewater discharge flow rate projections (in MGD) for each year in at least a 30-year forecast (or the anticipated term of the easement or permit, whichever is longer) that will be served by the proposed wastewater discharge facility. (**Note**: If the proposal is for expansion of an existing facility, also specify the same information for the existing wastewater discharge facility.)

b) Graphs and supporting documentation showing annual average capacity and maximum instantaneous peak capacity (in MGD) of the proposed wastewater discharge facility to meet the flow rate forecast of Item 1) a) above. (**Note**: If the proposal is for expansion of an existing facility, also specify the same information for the existing wastewater discharge facility.)

c) Graphs and supporting documentation characterizing how the average monthly capacity and peak monthly capacity (in MGD) of the proposed wastewater discharge facility are expected to vary in a given calendar year for the forecasted period. (**Note**: If the proposal is for expansion of an existing facility, also specify the same information for the existing wastewater discharge facility.)

(2) A summary of the wastewater stream chemical limits as specified in the NPDES permit for the subject wastewater treatment station and a quantification of any discharge stream chemical improvements achieved by treatment processes exceeding the minimum required wastewater treatment standards.

(3) A detailed description of the expected chemical composition of the effluent stream, including any expected significant short-term variations on a monthly basis or long-term variations over the forecasted period.

(4) An engineering feasibility study evaluating the available alternatives the applicant considered to meet the wastewater discharge needs as forecasted in Item (1) a) above before choosing the proposed alternative. At least one of the alternatives evaluated must use an effluent outfall that is fully operational with the lake level as shallow as the Critical Reservoir Elevation required for **full hydroelectric station operation** on the applicable lake. In performing this alternatives evaluation, the applicant must use its best efforts to identify and evaluate alternatives that would minimize the impacts to the Duke Energy reservoir system, including but not limited to the potential use of interconnects with other wastewater treatment systems and locating the discharge facility at alternate sites. (**Note:** Duke Energy reserves the right to reject engineering evaluations that do not adequately consider the available alternatives that would best protect and enhance the water quality and/or water quantity within the Duke Energy reservoir system. Duke Energy also reserves the right to conduct, at Duke Energy's expense, its own verification of any engineering evaluation and the applicant will be expected to provide Duke Energy or its contractor with the design information required to complete this verification in a timely manner.)

(5) A summary describing the applicant's construction plan and schedule throughout the forecasted period to modify equipment to achieve the capacity as noted in Item (1) b), and including identification of the ultimate capacity.

(6) Include a USGS quad sheet or other suitable map showing stream and lake names; county/city names and boundaries; major roadway names; and boundaries drawn to show the geographic area to be served by the subject wastewater discharge facilities.

(7) Reservoir system water quantity and water quality models evaluating the impacts of the proposed wastewater discharge on the applicable Duke Energy reservoir system. (**Note:** Duke Energy has existing reservoir system water quantity and water quality models for some of its reservoirs and in those cases, the applicant may choose to coordinate with Duke Energy or a mutually agreeable consulting firm to utilize the Duke Energy models at the applicant's expense.)

(8) For facilities that will be located in parts of a Duke Energy reservoir where impacts to water depth from long-term sedimentation are a potential concern (e.g., in a tributary arm of the reservoir with an established sediment delta in the general vicinity), provide a calculation and description of the anticipated impacts of long-term sedimentation on water depth and operation of the proposed wastewater effluent discharge facility, including any expected mitigation measures (e.g., periodic maintenance dredging by the facility owner).

PART IV. – AGENCY REVIEWS/APPROVALS REQUIRED

Duke Energy reserves the right to require consultation with additional organizations beyond those included in the Agency / Organization List.

** Refer to the attached **Agency / Organization List** to determine which federal, state, regional, and local agencies and organizations require consultation or review. Each agency / organization must be provided at least 30 days prior notification for all conveyance and marina facility applications on Duke Energy lakes. Evidence must be provided (e.g., response letter or Certified Mail receipt) in the complete application to show each agency / organization was given the opportunity to review the proposal. Notify them by forwarding a completed copy of this application (PARTS I & II), including the information required under PART III. B-D.

What to Expect:

A. You will typically receive a letter from each agency / organization either documenting its concurrence with your application, requiring additional information, recommending modifications, or offering no comment. You must address each agency's / organization's comments with a follow-up letter and in your final application.

B. If you do not receive any documentation from an agency / organization within 30 days of its receipt of your application, you must provide the agency / organization with a follow-up letter requesting comment on your proposal within 15 days from the date of the follow-up letter. If you still do not receive any response as a result of the second letter, you must type "NO RESPONSE" at the top of the follow-up letter and provide a copy to Duke Energy along with proof of the agency's / organization's receipt of the letter (e.g., Certified Mail receipt). You may proceed with the application process recognizing, however, that if its comments come later in the application process, you will be required to address them.

C. *From the United States Army Corps of Engineers (USACOE): (** Note – The USACOE may have additional forms to submit for your proposal and an additional fee.)* If the proposal can be done under the requirements of a General Permit (GP) or a Nationwide Permit (NWP), you will typically receive a letter from the USACOE documenting authorization and providing any additional instructions. If the proposal isn't covered under a GP or a NWP, you'll be required to obtain an Individual Permit (IP) from the USACOE pursuant to Sect. 404 of the Clean Water Act and/or Sect. 10 of the Rivers and Harbors Act. You must receive written documentation from the USACOE noting your application either meets any applicable requirements of a GP or a NWP **or** the proper IP has been received if required before Duke Energy can process your application.

D. *From the North Carolina Department of Environment and Natural Resources (NCDENR), Division of Water Resources*: *(** **Note** – The NCDENR may have additional forms to submit for your proposal and an additional fee.)* If the proposal meets the requirements of the Clean Water Act Sect. 401 Water Quality Certification, you will typically receive a letter from the NCDENR Division of Water Resources documenting Sect. 401 Certification and providing any additional instructions. You may also receive a letter requiring additional information or recommending modifications. You must receive written documentation from NCDENR noting any required Sect. 401 Certification has been received before Duke Energy can process your application.

E. *From the South Carolina Department of Health and Environmental Control (SCDHEC): (** **Note** – The SCDHEC may have additional forms to submit for your proposal and an additional fee.)* The SCDHEC conducts a joint application process with the USACOE in S.C. If the proposal meets any applicable requirements of the Clean Water Act Sect. 401 Water Quality Certification, you will typically receive a letter from SCDHEC documenting Sect. 401 Certification and providing any additional instructions. You may also receive a letter from USACOE requiring additional information for the agencies participating in the joint application process. You must receive written documentation from SCDHEC noting Sect. 401 Certification has been received if required before Duke Energy can process your application.

F. *From the State Historic Preservation Officer (SHPO)*: Each state SHPO utilizes their own forms for consultation, which should be used when notifying those agencies. Those forms are available by contacting the respective agencies.

G. *From the Catawba Indian Nation Tribal Historic Preservation Officer (THPO):* An additional fee may be required.

H. *From the local Marine Commission*: Applications are normally reviewed during their regularly scheduled monthly public meetings. Applicants must contact the Commission's representative at least one month in advance of the next meeting to be included on the agenda. You will typically receive a letter and/or a copy of the meeting minutes documenting the Commission's concurrence with your application, requiring additional information, or recommending modifications. You must address each comment with a follow-up letter and in your final application.

PART V. – SUMMARY TABLES

TABLE 1

SUMMARY OF CONSULTATION/ PERMITTING RESULTS

Agency / Organization Name	Letter Dates		Agency / Organization Issues	Applicant Resolution
	Applicant to Agency / Organization	Agency / Organization to Applicant		

PART V. - SUMMARY TABLES *(Continued)*

TABLE 2

SUMMARY OF APPLICATION MODIFICATIONS AFTER START OF CONSULTATION

(Modifications made after Duke Energy approval to start contacting the required agencies / organizations.)

Date of Modification	Reason	Modification Description	Issue Resolved Yes/No

PART V - SUMMARY TABLES *(Continued)*

TABLE 3

SUMMARY OF NON-DUKE ENERGY PERMITS/CERTIFICATIONS*

Permit/Certification Name	Issuing Agency	Date of Issuance	Date of Expiration

* Copies of all permits/certifications must be included with agency correspondence in **PART III, Item G**.