



July 1, 2013

ELECTRONIC FILING

Ms. Kimberly D. Bose
Secretary
Federal Energy Regulatory Commission
888 First Street, NE
Washington, DC 20426

Application for Successive Preliminary Permit
Guttenberg Water Power Project (FERC No. 13567)

Dear Secretary Bose:

On behalf of the City of Guttenberg (City), please find attached a completed application for a successive preliminary permit for the Guttenberg Water Power Project (FERC No. 13567) (Project). The proposed Project described in this application will be located at the existing U.S. Army Corps of Engineers' (USACE) Lock and Dam 10, on the Mississippi River in Clayton County Iowa, and Grant County Wisconsin, near Guttenberg, Iowa.

On July 27, 2010, the Commission granted the City a preliminary permit to study the feasibility of the proposed Project. During this time, the City has been diligently pursuing the potential options for hydro development at ultra low-head sites. The City continues to have discussions with firms developing applicable low-head technology and has been monitoring low-head technology testing at the University of Iowa's IHR Hydraulic Laboratory. The Applicant is also in discussions with Amjet Turbine Systems, LLC (ATS) of Keokuk, Iowa, a manufacturer of low head turbine/generator units.

Although hydro development at low-head sites presents many challenges, discussions with the above referenced firms have been promising. As such, the City would like to maintain priority of application for license and continue to pursue site development options through the successive preliminary permit period to ultimately culminate with the submittal of a license application for the Project.

Should the Commission have any questions regarding the attached preliminary permit application, please contact me at 207.416.1295.

Sincerely,

KLEINSCHMIDT ASSOCIATES

A handwritten signature in black ink, appearing to read "R. Dorman", is written over the printed name.

Randall J. Dorman
Project Manager

RJD: TMJ

Enclosures

cc: Barry Dykhuizen, City Manager
Dr. Russell Loven, Mayor
Julie Smith, Iowa Association of Municipal Utilities

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VERIFICATION

Being duly sworn, deposes and says that he is the authorized agent for the applicant and the contents of this application are true, to the best of his knowledge and belief. The undersigned has signed this application this 19 day of June 2013.

By Barry Dykhuizen
Barry Dykhuizen, City Manager

Subscribed and sworn to me, a Notary Public of the State of Iowa this 20 day of June, 2013.

3-18-14

Debra M. Eulberg
Notary Public

My Commission Expires: 3-18-14.

GUTTENBERG PROJECT

(FERC No.13567)

PRELIMINARY PERMIT APPLICATION

Prepared for:

City of Guttenberg
Guttenberg, Iowa

Prepared by:

Kleinschmidt

Pittsfield, Maine
www.KleinschmidtUSA.com

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**BEFORE THE
FEDERAL ENERGY REGULATORY COMMISSION
UNITED STATES OF AMERICA**

GUTTENBERG PROJECT

FERC PROJECT NO. 13567

APPLICATION FOR PRELIMINARY PERMIT

A. Initial Statement - Information Required by 18 C.F.R. § 4.81

1. Statement of Purpose

The City of Guttenberg, Iowa (Applicant) applies to the Federal Energy Regulatory Commission for a second preliminary permit for the proposed Guttenberg Water Power Project (FERC No. 13567) (Project), as described in the attached exhibits. This application is made in order that the applicant may secure and maintain priority of application for a license for the Project under Part I of the Federal Power Act while obtaining the data and performing the acts required to determine the feasibility of the Project and to support an application for a license.

2. Project Location

The location of the proposed Project is:

State or territory:	Iowa*
County:	Clayton County, IA
Nearby Town:	Guttenberg, IA
Body of Water:	Mississippi River

* The United States Army Corps of Engineers Lock and Dam No.10, at which the proposed Project is located, extends into Grant County, Wisconsin. The proposed Project is entirely within the State of Iowa and the area of potential effects of the Project is within Clayton County, Iowa. The boundary line between the states runs down the east channel of the Mississippi River, which channel is separated from the west channel by a large island as shown in the attached Exhibits.

3. Applicant's Contact Information

The exact name, business address, and telephone number of the applicant are:

City of Guttenberg
P.O. Box 580
502 S. 1st St.
Guttenberg, IA 52052-0580
(563) 252-1161 ext. 109

The exact name and business address of each person authorized to act as agent for the applicant in this application are:

Barry Dykhuizen, City Manager
City of Guttenberg
P.O. Box 580
502 S. 1st St.
Guttenberg, IA 52052-0580

Dr. Russell Loven, Mayor
City of Guttenberg
P.O. Box 580
502 S. 1st St.
Guttenberg, IA 52052-0580

Julie Smith
Legislative and Regulatory Counsel
Iowa Association of Municipal Utilities
1735 NE 70th Ave.
Ankeny, Iowa 50021-2499

4. Statement of Authority

The City of Guttenberg, IA is a municipality under the laws of the State of Iowa and is claiming preference under section 7(a) of the Federal Power Act.

A copy of the Guttenberg City Charter is provided as Appendix A, Chapter 2 City of Guttenberg Code of Ordinances

A copy of the Electric Utility Ordinance, Chapter 111 of the Guttenberg City Code, is provided in Appendix B.

5. Term of Permit

The proposed term of the requested preliminary permit is 36 months.

6. Existing Dams or Other Project Facilities

The Project is proposed at the United States Army Corps of Engineers (USACE) Lock and Dam No. 10 on the Mississippi River. Specifically, the Applicant proposes to construct (at Applicant's expense) a hydropower facility, whether utilizing a traditional powerhouse or low-head technology, within the USACE auxiliary lock. The proposed Project would not affect USACE locking and flood control operations, nor would it interfere with commercial or recreational navigation.

The applicable USACE offices for Lock and Dam No. 10 are:

U. S. Army Corps of Engineers
Mississippi Valley Division
P.O. Box 80
Vicksburg, MS 39181-0086

U. S. Army Corps of Engineers
St. Paul District
190 Fifth St E., Suite 401
St, Paul, MN 55101-1638

B. Additional Information Required by 18 C.F.R. § 4.32(a)

- 1. The identity of every person, citizen, association of citizens, domestic corporation, municipality, or state that has or intends to obtain and will maintain any proprietary right necessary to construct, operate, or maintain the Project, other than the Applicant:**

None other than Applicant.

- 2. Every county in which any part of the project, and any Federal facilities that would be used by the project, would be located is listed as follows:**

Clayton County, IA *
200 East Bridge St.
Elkader, IA 52043

Grant County, WI
130 W Maple St.
Lancaster, WI 53813

* The United States Army Corps of Engineers Lock and Dam No.10, at which the proposed Project is located, extends into Grant County, Wisconsin. The proposed Project is entirely within the State of Iowa and the area of potential effects of the Project is within Clayton County, Iowa. The boundary line between the states runs down the east channel of the Mississippi River, which channel is separated from the west channel by a large island as shown in the attached Exhibits.

- 3. Every city, town, or similar local political subdivision**

- a) In which any part of the project, and any Federal facilities that would be used by the project, would be located:**

City of Guttenberg
502 South 1st Street
Guttenberg, IA 52052-0580

- b) That has a population of 5,000 or more people and is located within 15 miles of the project dam:**

There are no cities with a population of 5,000 or more within 15 miles of the Project.

- 4. Every irrigation district, drainage district, or similar purpose political subdivision a) in which any part of the project, and any Federal facilities that would be used by the project, would be located, or b) that owns, operates, maintains, or uses any project facilities or any Federal facilities that would be used by the project:**

Iowa Drainage District Association
3775 EP True Parkway, #124
West Des Moines, IA 50265

U. S. Army Corps of Engineers
Mississippi Valley Division
P.O. Box 80
Vicksburg, MS 39181-0086

U. S. Army Corps of Engineers
St. Paul District
190 Fifth St E., Suite 401
St, Paul, MN 55101-1638

- 5. Every other political subdivision in the general area of the project that there is reason to believe would likely be interested in, or affected by, the application:**

None.

- 6. All Indian tribes that may be affected by the project.**

The Sac & Fox Tribe of the Mississippi
3137 F Avenue
Tama, IA 52339

Flandreau Santee Sioux
Executive Committee
P.O. Box 283
Flandreau, SD 57028

Ho Chunk Nation
W981 Airport Rd.
P.O. Box 667
Black River Falls, WI 54615

Lower Sioux Indian Community Council
Lower Sioux Indian Community of Minnesota
39527 Res Highway1
P.O. Box 308
Morton, MN 56270

Prairie Island Indian Community
5636 Sturgeon Lake Rd.
Welch, MN 55089

The Sac & Fox Nation of Missouri
305 N. Main Street
Reserve, KS 66434

The Sac & Fox Nation of Oklahoma
Route 2, Box 246
Stroud, OK 74079

Santee Sioux Nation
108 Spirit Lake Avenue, West
Niobrara, NE 68760

Sisseton Wahpeton Oyate of the Lake Traverse Reservation
P.O. Box 509
Agency Village, SD 57262

Spirit Lake Tribal Council
P.O.Box359
Fort Totten, ND 58335

Upper Sioux Community of Minnesota
P.O.Box147
Granite Falls, MN 56241-0147

Winnebago Tribe of Nebraska
P.O.Box270
Little Priest Tribal College
Winnebago, NE 68071

EXHIBIT 1

Exhibit 1 must contain a description of the proposed project, specifying and including, to the extent possible:

- 1. The number, physical composition, dimensions, general configuration and, where applicable, age and condition, of any dams, spillways, penstocks, powerhouses, tailraces, or other structures, whether existing or proposed, that would be part of the project;**

The proposed project boundary would encompass the auxiliary navigational lock and approximately 0.02 acres of lands of the United States landward of the west side of the navigational locks to accommodate a switchyard and transformer (Exhibit 3). The USACE owns these lands and associated shoreline. The Applicant anticipates entering into a lease agreement with the USACE to obtain sufficient rights to construct and operate the Project and maintain appurtenant project structures and facilities. The final proposed Project boundary will be determined in consultation with the USACE during the course of the preliminary permit.

As the proposed Project boundary is anticipated to include only those structures necessary for the operation and support of the Project, a general description of other existing USACE facilities is included in the following paragraphs for informational purposes.

The Upper Mississippi River is highly developed for navigation. There are currently a total of 30 USACE locks and dams on the Upper Mississippi River (USACE, 2004); the St. Paul District manages 13 of the lock and dams. Lock and Dam No. 10, the most downstream of the St. Paul District dams, is located at approximately RM 615.0 on the Mississippi River, at Guttenberg, IA. The Lock and Dam is located in Clayton County, Iowa, and Grant County, Wisconsin, adjacent to the town of Guttenberg, Iowa.

Initially operational in 1937, Lock and Dam No. 10 creates a navigation pool which extends approximately 33 miles upstream to the USACE's Lock and dam No. 9. The existing structure consists of a 764-ft long concrete dam with four roller gates and eight tainter gates, an earthen embankment which is 6,000 feet long with a 1,200-ft long concrete spillway, and a lock that is 600 ft long and 110 ft wide. An auxiliary lock is located on the Iowa side of the channel.

The proposed Project will be placed in the existing, unused and inoperable auxiliary lock. The Applicant will construct a new generating unit in the auxiliary lock to capture the energy of the Mississippi River as it flows past and through the USACE Lock and Dam No. 10. The Project would operate in run-of-release mode.

Additional analyses and specifications of the design will take place during the period of the preliminary permit. The proposed system will allow the USACE to instantaneously override and/or modify hydroelectric operations in response to emergencies related to USACE operations.

Proposed power generation would take a secondary role to the USACE operations for navigation. The proposed installation would operate with the existing auxiliary lock gates in an open position. To regulate generation, the turbine generators will be equipped with movable panels/doors that can open and close flow to the units permitting any or all turbines to operate depending upon conditions.

River flow at Lock and Dam No. 10 is generally between 20,000 cfs and 40,000 cfs. Water that is not used for navigational locking is currently spilled through the gates of the dam, a portion of which would be used for energy production under the proposed Project. Figure 1 shows river flows at the Lock and Dam from 1960 to 2009. Large storm events raise water levels in the Mississippi River Basin; flows may exceed 100,000 cfs at the lock and dam every several years. During periods of extreme low flows when operation of the Project would affect reservoir levels, and during periods of high flows, such as occurred in the spring of 2009, the Project would not generate power. The proposed system will allow the USACE to instantaneously override and/or modify hydroelectric operations in response to emergencies related to USACE operations.

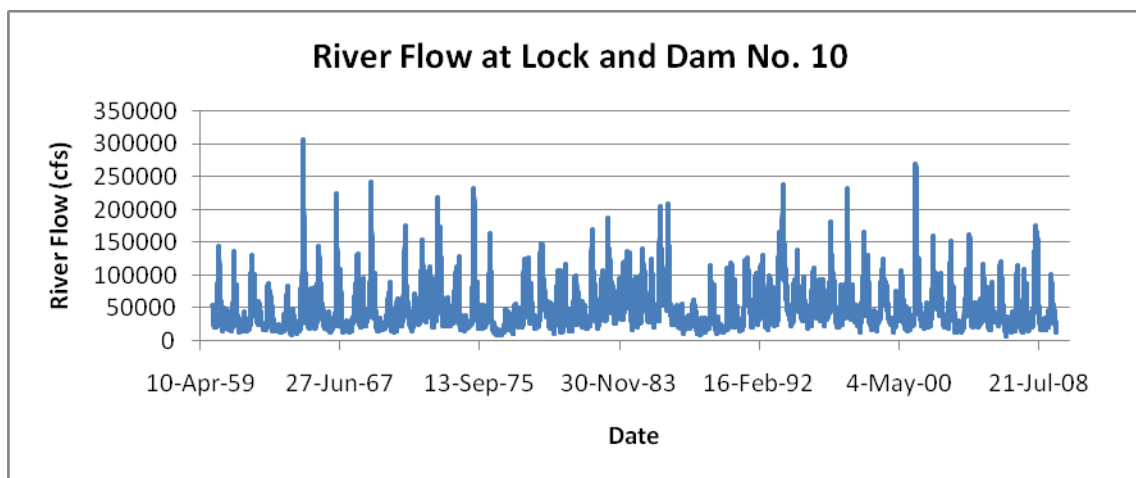


FIGURE 1 RIVER FLOWS

2. The estimated number, surface area, storage capacity, and normal maximum surface elevation (mean sea level) of any reservoirs, whether existing or proposed, that would be part of the project;

There are no reservoirs proposed to be included as part of the Project. However, the following description of the existing USACE navigational pool is provided for informational purposes.

Lock and Dam No. 10 forms Pool 10, which extends upstream approximately 33 miles and is designed to operate at elevation 611 ft msl. The Applicant proposes to operate the Project as run-of-release and operations would not affect water levels in Pool No. 10. The USACE controls the flows at Lock and Dam No. 10 by virtue of upstream USACE projects. The USACE does not operate Lock and Dam No. 10 for flood control. The Applicant will control the Project with an automated system that will automatically start up, run, and shut down the turbines. The automated control package will have overload, fault, and runaway speed protection. The proposed system will allow the USACE to instantaneously override and/or modify hydroelectric operations in response to emergencies related to USACE operations.

The Project would generate power from flow through the turbines at the base of the bulkhead, releasing water directly into Pool No. 11. The proposed Project would be designed to limit any effect of Project discharge on navigation. Accordingly, power generation would not affect the USACE's locking or dam operations. The Project would not affect the USACE's ability to maintain the water surface elevation of the downstream Pool No. 11 at 603 ft msl.

3. The estimated number, length, voltage, interconnections, and, where applicable, age and condition, of any primary transmission lines whether existing or proposed, that would be part of the project [see 16 U.S.C. 796(11)];

Several existing transmission options are available for the proposed Project. The Applicant (City of Guttenberg) owns and operates the local utility including service to the USACE Lock and Dam No. 10; there are convenient tie-ins to the system at that point. Applicant will, during the period of the successive preliminary permit, analyze the best options of interconnection to the municipal system. The Applicant intends to generate power at 4.16kV, and will connect the hydropower facility to a local transformer. From the transformer to the local electric grid, Applicant will install either a 69kV transmission line or another line of appropriate voltage for use within the Applicants system.

4. The total estimated average annual energy production and installed capacity (provide only one energy and capacity value), the hydraulic head for estimating capacity and energy output, and the estimated number, rated capacity, and, where applicable, the age and condition, of any turbines and generators, whether existing or proposed, that would be part of the project works;

Working with Missouri River Energy Services (MRES), the Applicant has developed a preliminary energy model for the site. Using river data from February 2003–May 2011, the Applicant assumes the installation of a traditional powerhouse with 5 new pit type horizontal turbines with a 6.5 meter runner diameter and a capacity of approximately 5 MW each, for a total installed project capacity of 25 MW. The average head is estimated to be between 6.5 and 7 feet. The Applicant has assumed the completed Project would produce approximately 79,300 MWh annually using a capacity factor of 36 percent.

Additional analyses and specifications of the design, including investigations of low-head technology, will continue to take place during the period of the successive preliminary permit. The proposed system will allow the USACE to instantaneously override and/or modify hydroelectric operations in response to emergencies related to USACE operations.

5. All lands of the United States that are enclosed within the proposed project boundary described under paragraph (d)(3)(i) of the Commissions regulations under 4.81, identified and tabulated on a separate sheet by legal subdivisions of a public land survey of the affected area, if available. If the project boundary includes lands of the United States, such lands must be identified on a completed land description form, provided by the Commission. The project location must identify any Federal reservation, Federal tracts, and townships of the public land surveys (or official protractions thereof if unsurveyed). A copy of the form must also be sent to the Bureau of Land Management state office where the project is located.

Maps of the proposed Project and proposed Project area are provided in Exhibit 3.

The Project would utilize lands, facilities, and appurtenant works owned by the federal government (USACE) at Lock and Dam No. 10. Lands owned by the USACE are located adjacent to lands designated as part of the Upper Mississippi National Wildlife and Fish Refuge. While the proposed Project boundary is not adjacent to and does not incorporate any of the Refuge, the proposed Project does have the potential to affect those lands. The Applicant will consult with the U.S. Fish and Wildlife Service regarding any potential effect of the Project on National Wildlife and Fish Refuge lands. The Applicant will take all appropriate measures to consult with all relevant federal agencies for the Project.

FERC's Land Description Form is attached as Appendix C.

6. Any other information demonstrating in what manner the proposed project would develop, conserve, and utilize in the public interest the water resources of the region.

Market for Power

As the owner and operator of a municipally owned electric utility, the Applicant has several options available for the use of the power. The Applicant will continue to explore the market options during the period of the preliminary permit. One option is the direct use of the power within the Applicant's own distribution system. By using the power internally, the Applicant may reduce the purchase of wholesale power from its current supplier. A second option may be for the Applicant to directly sell the power to another utility or purchaser; in this case power sales may offset the City's utility costs while providing a purchaser with an addition to their renewable portfolio.

Public Interest

The Applicant owns and operates the City of Guttenberg's electric utility department and has extensive experience running a successful utility operation. The City is seeking to control energy costs by developing and owning its own renewable energy projects. As a municipality, the Applicant is responsible for serving its citizens and taxpayers; one means to effectively serve the community is through providing cost-effective, renewable energy. The Project as proposed would have a substantial benefit to the public as it would enhance the City's ability to provide low-cost energy to its citizens and would provide environmental benefits by offsetting emissions from fossil fueled generation. Additionally, the proposed Project will help fulfill a "Go Green Guttenberg" initiative by providing a domestic, zero-emissions, renewable energy resource to the citizens of Guttenberg.

The proposed Project also has ramifications for the local economy in general. The City of Guttenberg and the surrounding area is economically depressed; there is a substantial need for a locally owned economic development project which would create jobs and bolster the area's economy. The proposed Project would create a temporary boost to the local economy through the creation of construction jobs and the associated sales of goods and services and will provide long-term employment for operations and maintenance.

The development and use of the water resources at Lock and Dam No.10, by the Applicant, is clearly in the public interest.

EXHIBIT 2

Exhibit 2 is a description of studies conducted or to be conducted with respect to the proposed project, including field studies. Exhibit 2 must supply the following information:

- 1. *General requirement.* For any proposed project, a study plan containing a description of:**

Any studies, investigations, tests, or surveys that are proposed to be carried out, and any that have already taken place, for the purposes of determining the technical, economic, and financial feasibility of the proposed project, taking into consideration its environmental impacts, and of preparing an application for a license for the project; and

- 1. *Work Completed To-Date***

Prior to the first Preliminary Permit, the Applicant evaluated proposed technology options with Hydro Green Energy and used this information in preparing the initial application. Hydro Green Energy has installed and is operating a technology at Lock and Dam No. 2 on the Mississippi River.

During the first preliminary permit, Applicant collected and analyzed 3 years of river stage and flow data at the Lock and Dam #10 site to test assumptions based on preliminary data and review. Applicant was in contact with technology manufacturers and consulted with both local and federal U.S Army Corps of Engineers personnel. Applicant reviewed comments filed by the Wisconsin Department of Natural Resources and also discussed the Project with Iowa DNR officials.

Based on revised flow analysis of Mississippi River volume and head at Lock and Dam #10, Applicant continued consultation with technology providers. Applicant used the updated flow and head data to revise Project economics, and developed a revised risk analysis based on revised data to determine the economic viability of the Project. The Applicant also performed an analysis of then-current wholesale electric market conditions, fuel cost projections, transmission costs and other aspects of traditional power supplies as a means of comparison to cost/benefit of hydropower, using three years of hourly load data and market information provided by the City's wholesale provider.

As a result of this additional analysis, the Applicant determined that the revised flow and head duration curves suggested that using the Hydro Green technology would be a challenge at Lock and Dam #10 due to the low head. Based on this, Applicant began to pursue discussions with alternative firms developing ultra-low head technology. The Applicant also sought to hold discussions with the Corps regarding operational lift of dam.

At this time the Applicant continues to explore challenges faced by amount of available head at the site. The Applicant is monitoring low head technology testing at the University of Iowa's IHR Hydraulic Laboratory. The Applicant is also in discussions with Amjet Turbine Systems, LLC (ATS) of Keokuk, Iowa. ATS is a manufacturer of low head turbine/generator units. At this point the Applicant has not identified a specific technology solution; although the Applicant

continues to pursue traditional powerhouse options, as discussed above, in addition to low-head technology options.

2. Proposed Studies

A series of studies, surveys, investigations, and tests will determine the ultimate feasibility of the Project. The following items will be addressed during the successive preliminary permit period:

- Subsurface investigation and review of foundation requirements.
- Topographic survey of project site.
- Comparative studies of cost and energy output of alternative siting, configuration, and capacity for power plant installation.
- Studies for determination of the best location for the electric grid interconnection.
- Identification of appropriate low-head technology at the site.
- Selection of the optimum configuration for the Project, estimate of project costs, and cost per kWh of generation.
- Detailed estimate of energy generated.
- An assessment of the environmental impacts of the Project.
- Determination of licensing requirements and other federal, state, and local permits or approvals necessary for construction and operation of the Project.
- Examination of legal and financial factors influencing feasibility of the Project.
- Development of a detailed schedule for implementing the Project.
- The license application will contain a complete analysis of direct, indirect, and cumulative effects of the proposed Project on environmental, cultural, and recreational resources. The Applicant anticipates collecting information from resources agencies and other sources regarding the existing conditions. For any information necessary to develop the license application that is not available from resource agencies, recent studies, or other sources, the Applicant will conduct additional studies, surveys, or tests. The Applicant will determine the final environmental analyses required for the license application after consultation with the appropriate agencies; however, the Applicant anticipates conducting the following studies after developing study plans in consultation with state and federal regulatory agencies:
 - A Sediment Quality and Quantity Study and a Hydraulic Modeling and Sediment Transport Study to determine the effects of a new flow pattern on sedimentation rates and potential water quality issues associated with sedimentation and erosion in the new tailwater. These efforts will include mathematical modeling of flow velocities to determine if the Project will affect geologic and riverine resources.
 - A Water Quality Monitoring Study that will include monitoring and analyzing temperature, DO, and suspended solids to determine the effects of project operations on water quality.
 - A mussel survey to include identification of mussels - within the proposed Project boundary and in an area likely to be affected by construction and operations - by species, including the federally endangered Higgins eye pearly mussel, and will note zebra mussel density.

- An assessment of measures (both structural and operational) that avoid and minimize the potential effects of fish entrainment and turbine mortality. The Applicant would likely undertake a desktop entrainment study to determine the magnitude of project effects on the fishery resource.
- An environmental assessment of any potential impact from a transmission corridor (if applicable) particularly to passerines and waterfowl.
- A historic properties survey in consultation with the appropriate State Historic Preservation Officer.
- A recreational survey to assess the impacts of the proposed Project on recreational opportunities in the Project vicinity.

The Applicant also anticipates entering into the appropriate site access, security, non-disclosure, safety, and operational agreements with the USACE during and following license development activities.

The Applicant does not anticipate that any of the activities proposed during the preliminary permit period would alter or disturb lands or waters in the vicinity of the proposed Project.

2. The approximate locations and nature of any new roads that would be built for the purpose of conducting the studies; and

The Applicant is not proposing to construct any new roads.

3. *Work plan for new dam construction.* For any development within the project that would entail new dam construction, a work plan and schedule containing:

- (i) **A description, including the approximate location, of any field study, test, or other activity that may alter or disturb lands or waters in the vicinity of the proposed project, including floodplains and wetlands; measures that would be taken to minimize any such disturbance; and measures that would be taken to restore the altered or disturbed areas; and**
- (ii) **A proposed schedule (a chart or graph may be used), the total duration of which does not exceed the proposed term of the permit, showing the intervals at which the studies, investigations, tests, and surveys, identified under this paragraph are proposed to be completed.**
- (iii) **For purposes of this paragraph, *new dam construction* means any dam construction the studies for which would require test pits, borings, or other foundation exploration in the field.**

The Applicant is not proposing any new dam construction.

4. The Commission may waive the requirements of paragraph (c)(2) pursuant to §385.207 of this chapter, upon a showing by the applicant that the field studies, tests, and other activities to be conducted under the permit would not adversely affect cultural resources or endangered species and would cause only minor

alterations or disturbances of lands and waters, and that any land altered or disturbed would be adequately restored.

Not Applicable

5. *Exhibit 2 must contain a statement of costs and financing, specifying and including, to the extent possible:*

(i) The estimated costs of carrying out or preparing the studies, investigations, tests, surveys, maps, plans or specifications identified under paragraph (c) of this section;

The Applicant estimates the cost for the studies identified in Exhibit 2 is approximately \$600,000. These costs will cover professional fees for engineering, legal, financial advisory and other consulting services, and administrative and miscellaneous costs. This estimate of costs is for work required up to and including the submittal of an application for a license for the Project.

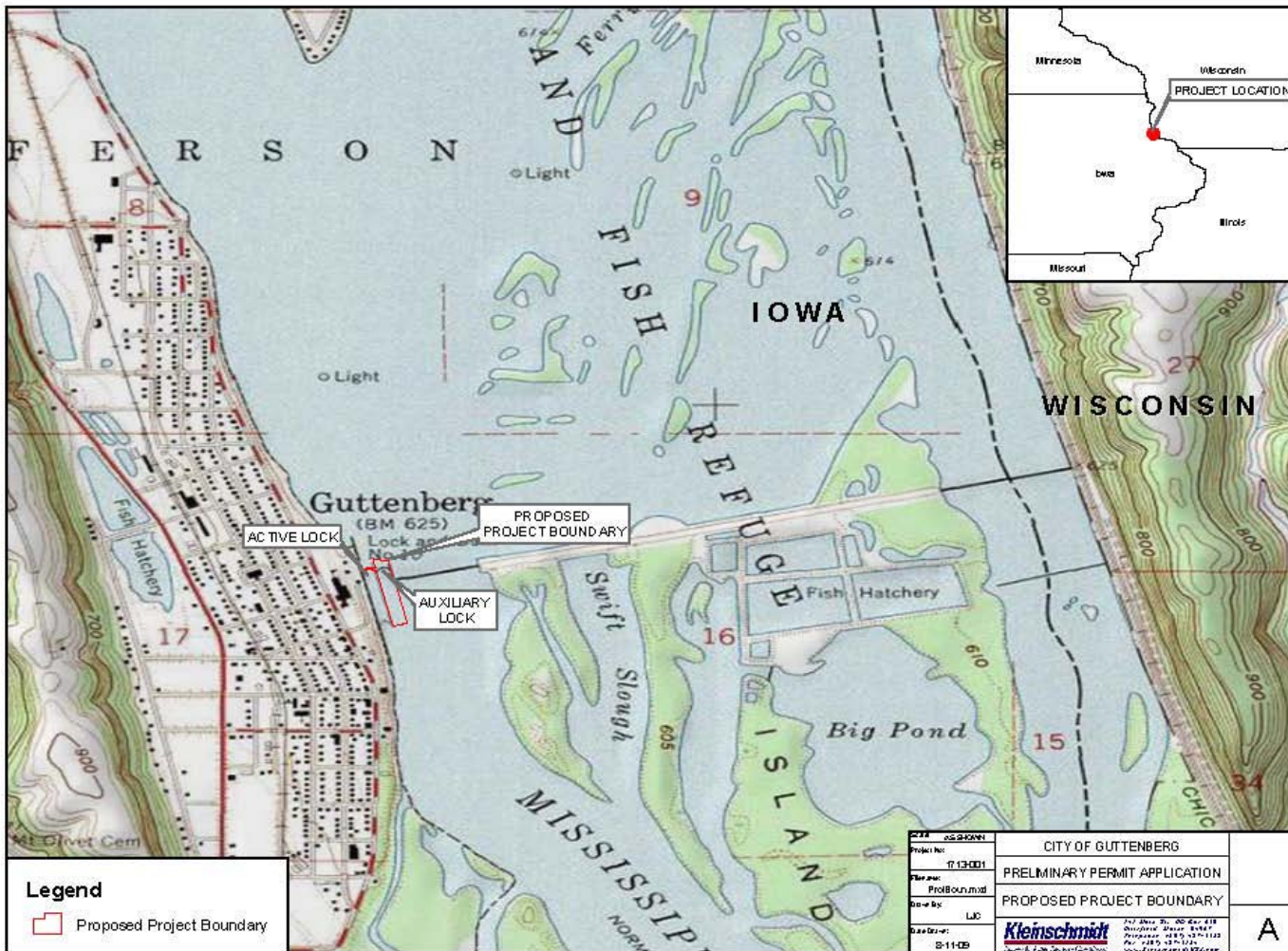
(ii) The expected sources and extent of financing available to the applicant to carry out or prepare the studies, investigations, tests, surveys, maps, plans, or specifications identified under paragraph (c) of this section;

The City of Guttenberg has the financial resources necessary to perform the activities described in this application. Nevertheless, partnership opportunities may be explored through continued Project due diligence efforts. The Applicant may fund all or part of the necessary studies and analyses through general revenues or may issue bonds as authorized by statute. The Applicant will work closely with the law firm of Dorsey and Whitney, which serves as the Applicant's bond counsel. In addition, the Applicant will review options related to green infrastructure initiatives. The Applicant also will review financing available through the Iowa Energy Program. The Applicant will also explore grant opportunities available through state and federal sources.

EXHIBIT 3

Exhibit 3 must include a map or series of maps, to be prepared on United States Geological Survey topographic quadrangle sheets or similar topographic maps of a State agency, if available. *The maps need not conform to the precise specifications of §4.39 (a) and (b).* If the scale of any base map is not sufficient to show clearly and legibly all of the information required by this paragraph, the maps submitted must be enlarged to a scale that is adequate for that purpose. (If Exhibit 3 comprises a series of maps, it must also include an index sheet showing, by outline, the parts of the entire project covered by each map of the series.) The maps must show:

1. The location of the project as a whole with reference to the affected stream or other body of water and, if possible, to a nearby town or any permanent monuments or objects that can be noted on the maps and recognized in the field;
2. The relative locations and physical interrelationships of the principal project features identified under paragraph (b) of this section;
3. A proposed boundary for the project, enclosing:
 - (i) All principal project features identified under paragraph (b) of this section, including but not limited to any dam, reservoir, water conveyance facilities, powerplant, transmission lines, and other appurtenances; if the project is located at an existing Federal dam, the Federal dam and impoundment must be shown, but may not be included within the project boundary;
 - (ii) Any non-Federal lands and any public lands or reservations of the United States [see 16 U.S.C. 796 (1) and (2)] necessary for the purposes of the project. To the extent that those public lands or reservations are covered by a public land survey, the project boundary must enclose each of and only the smallest legal subdivisions (quarter-quarter section, lots, or other subdivisions, identified on the map by subdivision) that may be occupied in whole or in part by the project.
4. Areas within or in the vicinity of the proposed project boundary which are included in or have been designated for study for inclusion in the National Wild and Scenic Rivers System; and
5. Areas within the project boundary that, under the provisions of the Wilderness Act, have been:
 - (i) Designated as wilderness area;
 - (ii) Recommended for designation as wilderness area; or
 - (iii) Designated as wilderness study area.





APPENDIX A

CITY CHARTER – CHAPTER 2, CITY OF GUTTENBERG CODE OF ORDINANCES

1.1 CHAPTER 2

1.2 CHARTER

2.01 Title

2.02 Form of Government

2.03 Powers and Duties

2.04 Number and Term of Council

2.05 Term of Mayor

2.06 Copies on File

2.01 TITLE. This chapter may be cited as the charter of the City of Guttenberg, Iowa.[†]

2.02 FORM OF GOVERNMENT. The form of government of the City is the Mayor-Council form of government.

(Code of Iowa, Sec. 372.4)

2.03 POWERS AND DUTIES. The Council and Mayor and other City officers have such powers and shall perform such duties as are authorized or required by State law and by the ordinances, resolutions, rules and regulations of the City.

2.04 NUMBER AND TERM OF COUNCIL. The Council consists of five Council Members elected at large for overlapping terms of four years.

(Code of Iowa, Sec. 376.2)

2.05 TERM OF MAYOR. The Mayor is elected for a term of four years.

(Code of Iowa, Sec. 376.2)

2.06 COPIES ON FILE. The Clerk shall keep an official copy of the charter on file with the official records of the Clerk and the Secretary of State, and shall keep copies of the charter available at the Clerk's office for public inspection.

(Code of Iowa, Sec. 372.1)

[†] **EDITOR'S NOTE:** Ordinance No. 171-74 adopting a charter for the City was passed and approved by the Council on April 1, 1974, and was published on April 17, 1974. The ordinance was amended by an election held April 12, 1988, changing from two-year terms to four-year terms.

APPENDIX B

**ELECTRIC UTILITY ORDINANCE
CHAPTER 111 CITY CODE SECTIONS 111.01 – 111.04**

1.3 CHAPTER 111
1.4 ELECTRIC UTILITY

111.01 Purpose

111.02 Policy Direction

111.03 Superintendent

111.04 Service Rules and Regulations

111.01 PURPOSE. The purpose of this chapter is to provide for the operation of the municipally owned electric system.

111.02 POLICY DIRECTION. The Mayor and Council shall establish appropriate rules and regulations governing the operation and maintenance of the electric system.

111.03 SUPERINTENDENT. The City Manager shall hire a superintendent who shall be responsible for execution of policies governing the system as established by the Council.

111.04 SERVICE RULES AND REGULATIONS. The rules and regulations for electric service are contained in the "Municipal Electric Utility of the City of Guttenberg Tariff," on file with the City Clerk. The Tariff, and the rules and regulations contained therein, shall apply to all users of the municipal electrical system.

APPENDIX C

FERC'S LAND DESCRIPTION

Form FERC-587
 OMB No. 1902-0145
 (Expires 07/31/2015)

LAND DESCRIPTION

**Public Land States
 (Rectangular Survey System Lands)**

1. STATE Iowa 2. FERC PROJECT NO. P-13567

3. TOWNSHIP 92N RANGE 2W MERIDIAN 17

4. Check one:

Check one:

License
 Preliminary Permit

Pending (second Preliminary Permit
 Issued Pending, first Preliminary
 Permit issued July 27, 2010)

If preliminary permit is issued, give expiration date: July 1, 2013

5. EXHIBIT SHEET NUMBERS OR LETTERS

Section 6	5	4	3	2	1
7	8	9	10	11	12
18	17 A, B	16 A, B	15	14	13
19	20	21	22	23	24
30	29	28	27	26	25
31	32	33	34	35	36

6. contact's name Randy Dorman

telephone no. (207-487-3328)

Date submitted July 1, 2013

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