

**Duke Energy Progress
Docket No. E-2, Sub 1300
Public Staff Data Request No. 4
Date Sent: October 10, 2022
Date Requested: As soon as possible after filing**

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Subject of Data Request: General Regulatory Compliance

Please provide any available responses in a searchable native electronic format. If in Excel format, be sure to include all working formulas. In addition, please include (1) the name and title of the individual who has the responsibility for the subject matter addressed therein, and (2) the identity of the person making the response by name, occupation, and job title.

1. Since the initial filing of the Company's last general rate case (Sub 1219), has the Company cited for or incurred, whether through direct actions or by Company contractors, any regulatory agency (Nuclear Regulatory Commission, FERC, NERC, EPA, DEQ, or other federal or State agency or government entity) any fines or penalties or findings of non-compliance (or equivalent) as a result of any issues or events? If so, please provide:
 - a. a list of all such events/issues;
 - b. a discussion of the current disposition of each event/issue;
 - c. the date of each event or issue;
 - d. the dollar amount of the fine/penalty;
 - e. whether any portion(s) of the fines/penalties are included in cost of service in this case, including the FERC account(s) where the costs were booked;
 - f. indicate whether the Company is seeking cost recovery of the associated fines/penalties in this general rate;
 - g. if cost recovery is sought in this general rate case, list the FERC account and/or sub-account where booked;

- h. whether the event led to or necessitated capital additions or capital addition plans, and if so, a list of each such addition and the respective costs;
- i. identification of Agency that issued the fine;
- j. plant or business group that the fine/finding was levied against;

Note: The intent of this question is to have the Company identify any events, regardless of if it was self-reported or if an actual event, finding or fine was levied against the Company. Pending the Company's response, a follow-up data request will be sent along with possible interviews to better understand the event and any relevant information.