

CTPC Model and Data Requests

Original Document - Effective (04/1/2024)

Overview

The Federal Energy Regulatory Commission (FERC) has issued regulations and orders governing its use and dissemination of, as well as the ability and authority of Transmission Providers to restrict the dissemination of, sensitive information including Critical Energy Infrastructure Information (CEII), as that term is defined by the regulations of the FERC in 18 C.F.R. § 388.113. These rules and regulations speak to the responsibility to protect public safety by taking steps to help ensure that access to CEII does not expose the infrastructure to acts of terrorism.

As such, Transmission Providers may apply Critical Energy Infrastructure Information (CEII) screening requirements to evaluate requests for network model information and assumptions for CTPC transmission planning studies, sometimes referred to as Base Case Data and Change Case Data. Base Case Data and Change Case Data are considered confidential and warrant confidential treatment pursuant to FERC Order 890, Section 404. Any request for Base Case Data or Change Case Data falls under the discretion of a Duke Energy company acting as a Transmission Provider to require additional protections such as background checks of those requesting this information. For reference, Base Reliability cases are considered to be the Base Case Data and all other CTPC study models and data (Economic, Public Policy, and Multi-value Strategic Transmission) are considered to be Change Case Data.

CTPC Study Base Case Data and Change Case Data Requests

1. The CTPC will use the same process for CTPC Study Base Case Data and Change Case Data requests as used by individuals requesting Generator Interconnection Base Case Data as outlined on the Transmission Provider OASIS site.
2. Individuals desiring to obtain Base Case Data or Change Case Data must submit a completed request form, found at the end of this procedure, to the appropriate Duke Energy OASIS Contact ([DEC Transmission Provider](#), [DEP Transmission Provider](#)) as well as execute a Non-Disclosure Agreement for Critical Energy Infrastructure Information ("NDA"). These forms for DEC and DEP NDAs are posted on the CTPC website.
 - a. The completed request form must identify, among other things, what information is being requested, the intended use of the requested information, the name of the requestor and their employer (and whether the individual or employer is acting as agent for another entity) if applicable. Only individuals can make a request.

- b. The NDA must be executed by an authorized signatory of the entity making the request along with the specific individual employee, consultant, or representative of the entity that has a need and are expected to access any Base Case Data or Change Case Data provided by the Transmission Provider. The Duke Energy CTPC representative will provide the appropriate NDA form for execution.

Once the completed CEII Request Form and NDA has been submitted to the Transmission Provider, the Transmission Provider will in most cases exercise the option to conduct a [background check](#).

- c. If Duke Energy exercises the option to conduct a background check, Duke Energy will send the requestor an email for the purpose of initiating a background check conducted by Sterling Talent Solutions, an approved third-party vendor.
 - d. The requestor must pay any fees for the background investigation directly to Sterling Talent Solutions or any agency working on their behalf.
3. Individuals who have requested to obtain Base Case Data and Change Case Data will receive notification of the acceptance or denial of that request via email with instructions on gaining access to the secure site containing the data.

Using the Secure Site

1. Transmission customers and individuals that have been approved for access to Base Case Data or Change Case Data use their browser to access

<https://sftp2.duke-energy.com>. Use the UserId/Password provided.

CTPC Base Case Data and Change Case Data Request Form

Date of Request: _____

REQUESTOR INFORMATION

Requester's Name and Title:

Any other names, e.g., maiden name, used by requester and dates

used: Name / Date(s) name was used

Requester's Address:

Requester's Phone: _____

Requester's Alternate Phone: _____

Requestor Email: _____

[Request form continued next page]

EMPLOYER/CLIENT INFORMATION

Name, address and primary telephone number of Requestor's organization or employer:

Name, address and primary telephone number of entity on whose behalf Requestor is acting:

Business Reference(s) – provide at least one:

Name: _____

Phone #: _____

Name: _____

Phone #: // _____

[Request form continued next page]

REQUEST

Description of information requested:

Statement explaining need and intended use of the information:
