

DUKE ENERGY WORK-SITE POLICIES

For purposes of these policies, “you” or “your” shall refer to Temporary Worker, Consultant, and/or 1099 Independent Contractor (identified by name in the acknowledgement below) and “Duke Energy” shall refer to Duke Energy Corporation, a Delaware corporation, and each of its subsidiaries, affiliates, and related entities.

ALCOHOL & DRUG FREE WORKPLACE POLICY

Duke Energy wants to establish and maintain a work environment that is free from the effects of alcohol and drug abuse. You are required to report for work and remain fully able to perform your duties in a safe and efficient manner.

Depending on your assignment to Duke Energy, you may also be required to comply with the following regulations promulgated by agencies of the Department of Transportation (“DOT”) regarding alcohol and controlled substances.

1. DOT REGULATIONS

You are covered under the DOT drug and alcohol testing regulations if you are one of the following:

- A driver who operates a vehicle that:
 - Has a gross vehicle weight rating over 26,000 pounds;
 - Has a gross combination weight rating of 26,000 or more pounds inclusive of a towed unit with a gross vehicle weight rating of more than 10,000 pounds
 - Is designed to transport 16 or more persons, including the driver.
- A Power Operations worker who performs DOT safety-sensitive duties.
- A Gas Operations worker who performs Research and Special Programs Administration (RSPA) safety-sensitive duties.

Duke Energy requires that all DOT-covered workers be tested for alcohol and drug abuse as follows:

- Pre-employment / pre-assignment
- Random
- Post-accident
- Reasonable suspicion
- Return-to-duty
- Follow-up testing

Drug abuse testing includes testing for marijuana, cocaine, amphetamines, PCP, and opiates.

2. ALCOHOL

Duke Energy wants to maintain a work environment that is free from the effects of alcohol abuse. You may be temporarily removed from your Duke Energy assignment or that assignment may be terminated for unauthorized possession of alcohol while performing services for Duke Energy or for being in a condition affected by alcohol while performing services for Duke Energy (0.04 or greater blood alcohol concentration). An alcohol test result of .04 or higher will be considered a positive test. A test which shows the presence of alcohol at a level less than .04 may be considered positive after consideration by the Medical Review Officer (MRO), or designee, based on the timing of the test, dissipation rates, and other medical factors.

3. DRUGS

Duke Energy complies with the Drug-Free Workplace Act of 1988. While working at Duke Energy, you are not allowed to illegally use, possess, sell, arrange for the sale, manufacture, dispense, or distribute narcotics, other drugs, or controlled substances during the workday or at any time while on property or in a Duke Energy-owned vehicle. You also may not report to Duke Energy with the presence of such substances in your system. If you do, your assignment at Duke Energy is subject to termination. Any illegal substance will be turned over to the appropriate law enforcement agency and may result in criminal prosecution.

If you are involved in illegal activities while off the job, your assignment may be terminated if that involvement:

- Affects your ability to perform your assignment;
- Jeopardizes the safety of others;
- Creates publicity that adversely affects Duke Energy or its employees; or
- Results in the improper use of or damage to Duke Energy property or equipment.

4. TESTING

Duke Energy has the right at any time to evaluate your fitness for duty. If your behavior or job performance is suspect or if there is a reason to question your fitness for work, you can be required to take a medical exam for diagnostic testing and evaluation. If you refuse to take the exam, your assignment will be terminated. If the tests indicate the presence of alcohol or illegal drugs, you may be temporarily removed from your Duke Energy assignment or that assignment may be terminated depending on the circumstances.

In addition, any steps you take (or others on your behalf) to alter any specimens required for diagnostic testing or to mask the use of alcohol or controlled substances will be considered a refusal to submit to a required test. This applies to any required tests for both drug *and* alcohol use. And, as noted earlier, if you refuse to take a test, your assignment will be terminated.

5. YOUR RESPONSIBILITIES

If you are undergoing prescribed medical treatment with a drug or controlled substance that may affect your physical or mental ability to perform your assignment, immediately inform your employers' designated representative and the Duke Energy manager responsible for your assignment at Duke Energy.

You must also inform your employers' designated representative and the Duke Energy manager responsible for your assignment at Duke Energy if you are convicted under a criminal drug law when the violation occurred on Duke Energy property or involving a Duke Energy vehicle. Such notice must be given no later than five (5) days after the conviction. If you do not notify your employers' designated representative and the Duke Energy manager responsible for your assignment at Duke Energy as required, your assignment at Duke Energy is subject to termination.

6. SMOKING

Smoking is prohibited in all indoor working areas, and is only permissible within Duke facilities at designated smoking areas, and in any Duke Energy provided vehicles. Smoking is also prohibited wherever there are hazardous materials or combusive vapors that can collect, such as garage and storage areas. No smoking is allowed in areas where chemicals are used or in other areas where an occupational safety or health hazard might exist.

Guidelines for Consultant Expense Reimbursement

1. Travel expenses

Reasonable, actual, and customary travel expenses will be reimbursed by Duke Energy upon submission of an itemized list of expenses and associated receipts. Duke Energy reserves the right to refuse payment of any expenses deemed unreasonable or inappropriate by the Duke Energy approver.

Reasonable expenses include:

- Coach class domestic airfare and business class international airfare
- Consultant will be required to utilize non-refundable/penalty airfares for business travel on the project to ensure maximum airfare savings to Duke Energy. Therefore, Consultant should plan their travel in advance and use caution to avoid changes which could result in penalty fees. The following process for airline ticket issuance will be utilized to ensure compliance with airline ticketing rules and regulations:

Unless otherwise agreed, for consecutive week engagements on behalf of Duke Energy, Consultant will purchase a one-way, refundable coach ticket to project location to begin travel process. Subsequent tickets will be roundtrip, non-refundable, 14-day advanced notice, Saturday-night stayover tickets for travel to Consultant home location. At the end of the project work, Consultant will purchase a one-way, refundable coach ticket to return from project location to home location.

Any Consultant rebates or commissions received on airline tickets must be netted against the gross ticket price. Only the net ticket price should be billed to Duke Energy.

- Per night hotel rates at a business class hotel
- Meals at reasonable and actual cost within the range of the then current domestic per diem rates set by the U.S. Government.
- Transportation to and from airports. Transportation should be shared if multiple people are traveling together. If a rental car is the most cost effective alternative to airport transportation (i.e. taxis, shuttles), Duke Energy will reimburse the cost of the most economical car consistent with the requirements of the trip. No luxury vehicle costs will be reimbursed.
- When transportation is required to and from the Houston Airport to a Duke Energy location please contact Bettini's Towncar Service - Phone: 281-463-6317 Contact: Marcelo Bettini, President
- Mileage for use of personal vehicle at the effective IRS rate per mile
- Business meals, will require information on attendees and companies represented
- Reasonable gratuities

Expenses which will not be reimbursed include:

- Transportation (limousine, taxi) wait times
- Commuting travel between Consultant's home and their company office
- "Miscellaneous" or "other" charges submitted without proper receipts and explanations
- Entertainment

2. Other Expenses

From time to time, expenses which are not travel-related may be incurred. Significant expenses will require Duke Energy's prior written consent. Receipts and descriptions of these expenses are also required. Duke Energy reserves the right to refuse payment of any expenses deemed unreasonable or inappropriate by the Duke Energy approver.

Examples of this type expense might be:

- Messenger services
- Copying Services
- Long distance phone calls on other than Duke Energy Business
- Computerized research

VIOLENCE IN THE WORKPLACE

1. Threats and Violence in the Workplace

It is the policy of Duke Energy to maintain a work environment free from intimidation, threats, or violent acts. Duke Energy will not tolerate intimidating, threatening, or hostile behaviors of any kind, including threats, physical abuse, stalking, vandalism, arson, sabotage, possession or use of weapons, carrying weapons of any kind into Duke Energy buildings or in Duke Energy vehicles, or any other act, which, in Duke Energy's opinion, is dangerous or inappropriate in the workplace or between Duke Energy employees, other Temporary Workers, and/or customers. Any object, regardless of its nature, is considered a weapon when used in a threatening or violent manner and will be taken into custody and turned over to the proper authorities.

Temporary Workers who believe they have been subjected to any of the behaviors listed above or who have any knowledge of any violation of this policy should immediately report the incident to your employers' designated representative and the Duke Energy manager responsible for your assignment at Duke Energy. Complaints will be promptly investigated. When the results of an investigation indicate the necessity to do so, appropriate action, up to and including, in the case of a Temporary Worker, the termination of his or her assignment at Duke Energy, will be taken.

2. Firearms

Using, threatening to use, or possessing a firearm, explosive, or other weapon without authorization on Duke Energy premises, in Duke Energy-owned vehicles, or on Duke Energy property is prohibited, except as otherwise authorized by law.

3. Searches

Duke Energy does not intend to intrude on your privacy. However, it does reserve the right to search you in order to enforce any Duke Energy policies. The search may be conducted on or off Duke Energy property and may include a search of you, your vehicle, your personal belongings, and any Duke Energy property that has been assigned to you.

You are expected to cooperate during any search. You must have the permission of your Duke Energy Hiring Supervisor before removing any Duke Energy property from the worksite.

HARASSMENT-FREE WORKPLACE

Duke Energy maintains a professional, business-oriented workplace. Duke Energy requires that all of its employees and Temporary Workers treat with respect customers and coworkers and all other persons encountered in the course of business.

1. DEFINING HARASSMENT

Harassment may include conduct that:

- Is based on gender, race, color, religion, age, disability, medical condition, pregnancy or sexual orientation or ethnic, national, or Appalachian origin, or veteran, citizenship, marital or family status, or any other reason; and
- Interferes with an employee's work performance or creates an intimidating, hostile, or offensive working environment.

Harassment of any type can include unwelcome or offensive comments, taunts, slurs, jokes, threats, insults, cartoons, or graffiti directed at Duke Energy employees or other persons encountered in the course of business. In many cases, harassment is illegal. If harassment occurs, both Duke Energy and the harassing individual may be financially responsible. The offender will also be subject to appropriate action, including, in the case of a Temporary Worker, the termination of his or her assignment at Duke Energy.

A. DEFINING SEXUAL HARASSMENT

Harassment based on sex or gender can include:

- Unwelcome sexual advances or requests for sexual favors;
- Sexually suggestive comments or jokes of a sexual nature or derogatory comments about gender;
- Sexually oriented kidding or teasing;
- Circulation or display of sexually suggestive objects, calendars, cartoons, pictures, or computer material;
- Graphic or degrading comments about an individual's appearance;
- Patting, hugging, touching, pinching, or brushing against another person's body; or
- Whistling, cat calls, offensive gestures, or leering.

2. REQUIRED ACTION

To prevent and promptly address harassing behavior:

- This policy will be reviewed during orientation.
- This policy will remain posted on all Duke Energy bulletin boards designated for government postings.
- Hiring Supervisors will be informed of the potential for liability – both for Duke Energy and for themselves – if they commit, have knowledge of, or fail to take reasonable measures to prevent or correct harassment in the workplace.
- Anyone who observes or experiences harassing behavior must immediately report the harassment in accordance with this policy.

3. REPORTING HARASSMENT

If you feel at any time that you are being harassed in any manner or that you have witnessed the harassment of a Duke Energy employee or other Temporary Worker, you must immediately notify your employers' designated representative and the Duke Energy manager responsible for your assignment at Duke Energy. If you would feel more comfortable talking to someone outside of your department or work location, you should call your employer.

To the extent the investigation permits, Duke Energy will preserve the identity and confidentiality of anyone who reports harassment or cooperates with an investigation. Temporary Workers who report harassment or cooperate in an investigation of a harassment complaint are protected against any form of retaliation and should also report any retaliation or threats. All complaints will be investigated impartially.

Duke Energy Personal Information Privacy Policy

Applicability:	Applies to Enterprise
Originator:	Law Department
Approval:	Group Vice President and General Counsel
Effective Date:	10/01/2006
Revision Date:	06/30/2006
Reissue Date:	10/01/2006

Statement of Purpose and Philosophy

Duke Energy intends to comply with all federal, state, and local laws, regulations and ordinances that are applicable in locations where Duke Energy operates, including those laws that protect Personal Information collected through normal business operations from unlawful disclosure or transmission. Failure to do so may result in legal penalties, adverse regulatory action, restriction or prohibition from conducting business with certain countries and irreparable damage to Duke Energy's brand. This policy is designed to support Duke Energy's business values as Duke Energy seeks to be a leader in considering and addressing privacy-related concerns of customers, employees and shareholders.

Policy Expectations

Personal Information may be shared among Duke Energy and its subsidiaries, its affiliates and Third Parties to fulfill legitimate business, service or administrative needs in a manner consistent with the requirements of the Code of Business Ethics, Affiliate Codes and Standards of Conduct and all applicable laws. Legitimate business, service or administrative needs include, but are not limited to:

- employment administration
- investor relations activities
- business requests
- customer service activities
- acquisition, divestiture or reorganization activities
- financing activities
- other items as required by law, any judicial or administrative federal, state or local agency.

Duke Energy will:

1. To the extent required by law, provide notice to individuals regarding the intended use of Personal Information.
2. To the extent required by law, give individuals the opportunity to exercise a choice regarding how Personal Information collected from them may be used.
3. Include social security numbers in mailed correspondence only when required by law and only if the social security number is not visible during mailing.

Duke Energy will NOT, unless permitted by law:

1. Communicate Personal Information to any third party unless there is a legitimate business need.
2. Print or embed a social security number on a card required to access products or services.
3. Require an individual to transmit a social security number over the internet unless either the social security number is encrypted or the internet connection is secure.
4. Require an individual to use a social security number to access an internet site unless an authentication device such as a password is also used.

Reasonable and appropriate processes or mechanisms will be implemented to assure:

1. Personal Information is accurate, complete and timely for the purposes for which it is being used, and accessible to fulfill legitimate business purpose, service, or administrative needs.
2. Personal Information is, to the extent required by law, protected from loss, misuse or alteration.

3. Personal Information is properly disposed of when the legitimate business purpose for maintaining the Personal Information ends.
4. Reasonable due diligence is conducted prior to providing Personal Information to anyone, including a Third Party.

Duke Energy may, pursuant to a court order, subpoena, other legal process or government request, share Personal Information. The Duke Energy Law Department should be consulted before any such requests are fulfilled.

Accountability: Roles and Responsibilities

Chief Compliance Officer will be Responsible for:

- Establishing direction, monitoring, and reviewing Personal Information privacy practices for Duke Energy,
- Establishing the oversight of all Duke Energy Personal Information privacy rules and designating responsibilities coordinating with Functional / Business Unit teams to ensure an ongoing and effective program to comply with all federal, state, and local laws, regulations and ordinances that are applicable in locations where Duke Energy operates, including those that protect Personal Information collected through normal business operations from unlawful disclosure or transmission.

Functional / Business Units Compliance Managers will be Responsible for:

- Ensuring that the expectations of this policy are achieved for their respective function / business unit and that the applicable processes or mechanisms are sustained.

Employees will be responsible for:

- Participating in training concerning this policy and ensuring their daily practices comply with this policy.
- Considering and addressing privacy-related concerns associated with any Personal Information within their possession and/or control.

Related Policies, Standards, or Procedures

IT 2002 - Information Asset Management Information Policy

IT 5000 - IT Security Policy

Purchasing Controls Policy

Duke Energy - Reference Inquiries / Other request for Information Procedure

HR Personal Information Privacy Standard

Key Terms

Personal Information: Any information collected by Duke Energy or its subsidiaries and affiliates that uniquely identifies a person, or from which a person can be reasonably identified, and the collection, use or disclosure of which is governed by applicable law or regulation. Personal Information includes, but is not limited to:

- a. health information,
- b. social security number or national ID (or equivalent),
- c. consumer report information,
- d. a natural person's first name or first initial and last name in combination with
 - social security or employer taxpayer ID numbers
 - drivers license, state identification card, or passport numbers
 - banking information
 - credit card numbers
 - PIN codes
 - electronic ID numbers
 - private electronic mail names or addresses
 - private phone number
 - internet account numbers
 - identification names
 - digital signatures
 - any information that can be used to access a person's financial resources
 - biometric data
 - fingerprints
 - passwords
 - parent's legal surname prior to marriage, or
- e. any other information protected by Duke Energy's Policies, Standards, Procedures or applicable laws.

Third Party: Individuals or entities other than Duke Energy and its subsidiaries and affiliates.

If contractually required, please complete the following:

The undersigned hereby acknowledges that he or she has read the foregoing Duke Energy Work-Site Policies and agrees to comply with such policies during the course of his or her assignment to Duke Energy.

Temporary Worker/Consultant
Signature

Temporary Worker/Consultant Name

Date