



STATE OF INDIANA
Department of Correction

Indiana Government Center—South

302 W. Washington Street • Indianapolis, Indiana 46204-2738

Phone: (317) 232-5711 • Fax: (317) 232-6798 • Website: www.in.gov/doc/

Mike Braun
Governor

FILED
FEB 13 2025
INDIANA STATE
ETHICS COMMISSION

Lloyd Arnold
Commissioner

IC 4-2-6-11

Post-employment waiver

As the Appointing Authority of Indiana Department of Correction, I am filing this waiver of the application of the Code of Ethics' post-employment restriction as it applies to Sarah Schelle in his/her post-employment with Mi-Case.

I understand that I must file and present this waiver to the State Ethics Commission at their next available meeting. I further understand that this waiver is not final until approved by the State Ethics Commission.

- A. This waiver is provided pursuant to IC 4-2-6-11(g) and specifically waives the application of
(Please indicate the specific restriction in 42 IAC 1-5-14 (IC 4-2-6-11) you are waiving):

IC 4-2-6-11(b)(1): 365 day required "cooling off" period before serving as a lobbyist.

☒ IC 4-2-6-11(b)(2): 365 day required "cooling off" period before receiving compensation from an employer for whom the state employee or special state appointee was engaged in the negotiation or administration of a contract and was in a position to make a discretionary decision affecting the outcome of such negotiation or administration.

☐ IC 4-2-6-11(b)(3): 365 day required "cooling off" period before receiving compensation from an employer for which the former state employee or special state appointee made a directly applicable regulatory or licensing decision.

☒ IC 4-2-6-11(c): Particular matter restriction prohibiting the former state employee or special state appointee from representing or assisting a person in a particular matter involving the state if the former state officer, employee, or special state appointee personally and substantially participated in the matter as a state worker. (Please provide a brief description of the specific particular matter(s) to which this waiver applies below):

Sarah Schelle began employment with the Indiana Department of Correction in October 2007 and has worked with DOC data systems most of her time during that period of employment. She currently serves as the agency's Chief Digital Officer and Data Privacy Officer. IDOC currently has a contract with Mi-Case, which started January 1, 2021 to replace the out-of-date Offender

Management System. During the vendor selection process for the replacement of DOC's 13 legacy systems, Ms. Schelle was not a scorer on the RFP or a signatory for the contract or its 7 amendments. However, Sarah was placed over the system modernization project in August 2021, after the project began, due to the then IT Director leaving his DOC employment. At that time, Ms. Schelle took over as the day-to-day oversight of the project signing off on deliverables being made by the CFO, her direct supervisor and Executive Sponsor of the project. This continued to be the case until much later in the project. As she leaves her employment with the state and joins Mi-Case to work full-time on helping other states successfully implement case management systems around the country, Ms. Schelle is requesting to:

1. Continue to be able to work with the Indiana implementation while they work on future development; and/or
2. Be exempted from the 365-day cooling off period.

B. IC 4-2-6-11(g)(2) requires that an agency's appointing authority, when authorizing a waiver of the application of the post-employment restrictions in IC 4-2-6-11(b)-(c), also include specific information supporting such authorization. Please provide the requested information in the following five (5) sections to fulfill this requirement.

1. Please explain whether the employee's prior job duties involved substantial decision-making authority over policies, rules, or contracts:

- a. In Ms. Schelle's role as IT Director and project champion for the Mi-Case implementation in Indiana, she was involved in making sure that Mi-Case was meeting schedule deadlines and that the deliverables were of high quality. Ms. Schelle also presented recommendations for these deliverables to the Mi-Case team. Ms. Schelle was also responsible for gathering information for amendments centering around continued development once the parties were engaged in the contract and realized changes in the scope of work were necessary.
- b. Policies that Ms. Schelle has overseen in her time with IDOC:
 - i. 04-05-101 Tech Hardware and Software Management
 - ii. 04-05-102 Internet, email and Online IT Services Use
 - iii. 04-05-103 IT Systems PW and Account Security
 - iv. 04-05-104 Offender Access to IT
 - v. 04-05-105 IT Security Incident Response
 - vi. 04-05-106 IT Security Plan
 - vii. 04-05-107 Sensitive Data Categorization Request
 - viii. 04-05-108 IT Service Requests
 - ix. 04-05-109 Computer Control
 - x. 00-04-201 Research & Statistics
 - xi. 00-04-202 Publication of Research

None of these policies are directly related to the work done by Mi-Case.

2. Please describe the nature of the duties to be performed by the employee for the prospective employer:

- a. Ms. Schelle has been offered the role of Project Manager. The Project Manager is responsible for overseeing the planning, execution, and successful delivery of multi-year, multi-million-dollar, enterprise level software implementation projects. The Project Manager works closely with cross-functional teams, including product managers, business analysts, software developers, quality assurance professionals, and other stakeholders to ensure projects are


delivered on time, within budget, and meet the highest quality standards. The Project Manager also leads teams to deliver multi-year, enterprise level projects that span across one or more business units. They manage schedules, resources, financials and adhere to control guidelines throughout the development life cycle. They manage issues, risks and project change requests to ensure successful and on-time project delivery. The Project Manager contributes to process improvement initiatives as it relates to improving project delivery and customer satisfaction.

3. Please explain whether the prospective employment is likely to involve substantial contact with the employee's former agency and the extent to which any such contact is likely to involve matters where the agency has the discretion to make decisions based on the work product of the employee:
 - a. If the particular matter restriction is waived, then Ms. Schelle would work alongside the IDOC project manager to assure that the project goals are met and that concerns are being handled. If the particular matter restriction is not waived, the specific state has not been chosen by Mi-Case as to where Ms. Schelle will work.
 - b. It is more likely that Ms. Schelle would also be working with a new state or locality in the United States (not Indiana) to implement their case management system and have no contact with IDOC staff members.
4. Please explain whether the prospective employment may be beneficial to the state or the public, specifically stating how the intended employment is consistent with the public interest:
 - a. If the 365-day cooling off period and particular matter restriction is waived, Ms. Schelle's experience dealing with the Mi-Case team would help assure that issues and questions are directed to the correct person at IDOC, and create a more efficient vendor relationship with Mi-Case. This is a value add for the IDOC as far as receiving timely service from the vendor in the resolution of bugs and other issues that IDOC may have with their system. The Department of Correction acknowledges that Ms. Schelle has vital information to provide to Mi-Case based on her time spent as the Chief Digital Officer within the agency and from previously working with Mi-Case on IDOC's offender management system. Ms. Schelle could ensure that the Mi-Case contract stays on budget and remains on time for project completion. The citizens of the state of Indiana are counting on their tax dollars to be spent appropriately and efficiently and allowing Ms. Schelle to work for Mi-Case would not be detrimental to the agency or the State of Indiana. The project for IDOC is in the final phases, and the contract is set to expire January 1, 2026.
5. Please explain the extent of economic hardship to the employee if the request for a waiver is denied:
 - a. None.

C. Signatures

1. Appointing authority/state officer of agency

By signing below I authorize the waiver of the above-specified post-employment restrictions pursuant to IC 4-2-6-11(g)(1)(A). In addition, I acknowledge that this waiver is limited to an employee or special state appointee who obtains the waiver before engaging in the conduct that would give rise to a violation.


(Name of state officer or appointing authority)
Lloyd Arnold, Commissioner

1/30/25
DATE


2. Ethics Officer of agency

By signing below I attest to the form of this waiver of the above-specified post-employment restrictions pursuant to IC 4-2-6-11(g)(1)(B).

Anna Quick
(Name of ethics officer)
Anna Quick, Ethics Officer

1/30/25
DATE

D. Approval by State Ethics Commission

FOR OFFICE USE ONLY	
Approved by State Ethics Commission	
	<u>2-13-25</u>
Katherine Noel, Chair, State Ethics Commission	Date

Mail to:
Office of Inspector General
315 West Ohio Street, Room 104
Indianapolis, IN 46202
OR
Email scanned copy to: info@ig.in.gov

Upon receipt you will be contacted with details regarding the presentation of this waiver to the State Ethics Commission.



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Lloyd Arnold
Commissioner

January 30, 2025

Indiana State Ethics Commission
c/o Office of Inspector General
315 W. Ohio Street, Room 104
Indianapolis, IN 46202

Re: Designation Letter

To Whom It May Concern:

I am the Commissioner of the Indiana Department of Correction, and accordingly, the appointing authority for the Chief Digital Officer, Sarah Schelle, of the Indiana Department of Correction. I have submitted a post-employment waiver for Ms. Schelle.

While I will be unable to attend the State Ethics Commission's meeting on February 13, 2025, I hereby designate Anna Quick, Chief Legal Officer and Ethics Officer for the Indiana Department of Correction to file and present the above-referenced waiver on my behalf. Therefore, please feel free to direct any questions concerning this filing to Ms. Quick.

Sincerely,

A handwritten signature in black ink, appearing to read "Lloyd Arnold", is written over a horizontal line.

Lloyd Arnold
Commissioner

