

INDIANA
STATE ETHICS COMMISSION

MAY 15 2019

FILED



ETHICS DISCLOSURE STATEMENT
CONFLICTS OF INTEREST – DECISIONS AND VOTING
State Form 55860 (R / 10-15)
OFFICE OF THE INSPECTOR GENERAL
IC 4-2-6-9

In accordance with IC 4-2-6-9, you must file your disclosure with the State Ethics Commission no later than seven (7) days after the conduct that gives rise to the conflict. You must also include a copy of the notification provided to your agency appointing authority and ethics officer when filing this disclosure. This disclosure will be posted on the Inspector General's website.

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|--|-----------------------|-----------------------------|
| Name (last) Rockensuess | Name (first) Brian | Name (middle) Charles |
| Name of office or agency Indiana Department of Environmental Management | | Job title Chief of Staff |
| Address of office (number and street) 200 N. Senate Ave. | | City Indianapolis |
| Office telephone number (317) 233-2550 | | ZIP code 46112 |
| Office e-mail address (required) brockens@idem.in.gov | | |

Describe the conflict of interest:
 Brian Rockensuess is the Chief of Staff at the Indiana Department of Environmental Management (IDEM). Brian Rockensuess has applied for a position at Indiana American Water. Brian Rockensuess does not currently have any known matter or regulatory oversight of a known matter concerning Indiana American Water. However, IDEM does have matters concerning and regulatory oversight of Indiana American Water.

**Protocol
to Screen IDEM Employee Brian Rockensuess
from Any Matters Regarding American Water**

Mr. Brian Rockensuess is the Chief of Staff for the Indiana Department of Environmental Management (“IDEM”). On May 5, 2019, Mr. Rockensuess applied for the Director of Government Affairs position with American Water. American Water is a national water and wastewater utility company whose operations in Indiana are regulated in part by IDEM.

The primary role of this position is to provide senior-level strategic government and consumer affairs counsel to the state president and the state senior management team. This role establishes and manages a comprehensive and effective state and local best practice government affairs program to advance and support the company’s overall business plan and state-specific objectives. This role also tracks all legislation with the potential to impact the company, either positively or negatively, and provides strategy recommendations and tactical implementation regarding how to employ government affairs activities in support of legislative objectives. This role is the senior government relations professional responsible for establishing, nurturing and maintaining relationships with elected and appointed individuals at the state, county and municipal levels of government, for ensuring that the state president and state leadership team are properly and effectively positioned with key elected/appointed individuals, and that the company is effectively positioned as a trusted and expert resource. The Director of Government and Consumer Affairs reports directly to the State President and indirectly indirectly to the Vice President Corporate Communications and External Affairs. This role interfaces and aligns government relations activities at the state level with the Director of Government Relations at the corporate and national level to ensure the company is advancing an integrated and effective government relations strategy across the business.

As Chief of Staff, Mr. Rockensuess is not directly involved in any specific permitting or compliance issue involving American Water. However, in the course of his duties, Mr. Rockensuess could be called upon to meet with representatives of the utility on general regulatory matters. Therefore, to prevent even a potential conflict of interest, IDEM shall implement the following procedure to screen Mr. Rockensuess from any matter that may arise at IDEM regarding American Water.

1. In accordance with IC 4-2-6-9(b), Mr. Rockensuess shall notify IDEM Commissioner Bruno Pigott that he is seeking potential employment with American Water.
2. The Commissioner shall not involve Mr. Rockensuess in any issue that may arise regarding American Water.
3. Mr. Rockensuess shall recuse himself from the portion of any meeting in which discussions specific to American Water or any facility owned by American Water or any issue affecting American Water are discussed or are expected to be discussed.
4. Mr. Rockensuess shall not discuss any matter involving American Water or any of its facilities with any IDEM employee.

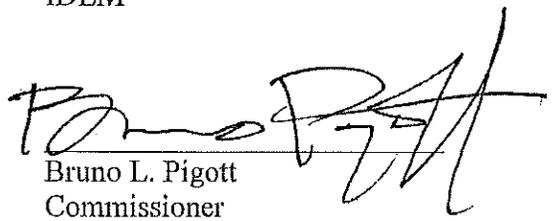
5. Mr. Rockensuess shall not meet with American Water on any regulatory matter.
6. Mr. Rockensuess shall not access any correspondence or files relating to any permit decision, or compliance/enforcement issue involving American Water.
7. Mr. Rockensuess shall not participate in decisions regarding or relating to American Water.
8. Mr. Rockensuess shall immediately inform his supervisor and the IDEM Ethics Officer Kathleen Mills if any provision of this screening protocol is violated.
9. Mr. Rockensuess shall follow IC 4-2-6-9(b) and file a written disclosure statement with the State Ethics Commission.
10. Mr. Rockensuess shall also notify American Water in writing that he has recused himself from all matters concerning the company while he is a candidate for the position.
11. Mr. Rockensuess and Ethics Officer Mills shall review this screening protocol within 30 days from the date of the last signature to assure this protocol has been followed and determine if the protocol should continue.



Brian Rockensuess
Chief of Staff
IDEM

5/9/19

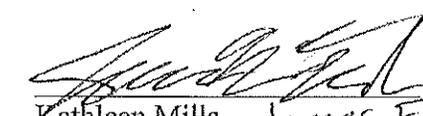
Date



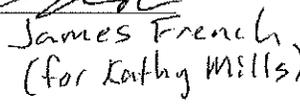
Bruno L. Pigott
Commissioner
IDEM

5/15/19

Date



Kathleen Mills
Ethics Officer
IDEM



James French
(for Kathy Mills)

5/9/19

Date

French, James M

From: KING, NANCY
Sent: Thursday, May 09, 2019 9:06 AM
To: French, James M
Subject: FW: American Water

From: Rockensuess, Brian
Sent: Monday, May 06, 2019 12:06 PM
To: PIGOTT, BRUNO <BPIGOTT@idem.IN.gov>
Cc: KING, NANCY <NKING@idem.IN.gov>
Subject: American Water

Commissioner Pigott,

In accordance with IC 4-2-6-9(b), I am notifying you of my intention to seek potential employment with American Water.

Regards,

Brian Rockensuess
Chief of Staff
Indiana Department of Environmental Management
E: BRockens@idem.in.gov
P: [317-233-2550](tel:317-233-2550)