





**Protocol  
to Screen IDEM Employee Brian Rockensuess  
from Any Matters Regarding Duke Energy**

Mr. Brian Rockensuess is the Chief of Staff for the Indiana Department of Environmental Management (“IDEM”). On March 2, 2018, an employee of Duke Energy (“Duke”) contacted Mr. Rockensuess about a job positing for a Midwest Principle Environmental Specialist with the company. Duke is a national power holding company whose operations in Indiana are regulated in part by IDEM.

The duties of the open Duke position include developing stakeholder relationships in the Indiana Ohio and Kentucky area. The successful candidate would collaborate with internal businesses to develop state regulatory/legislative plans and environmental compliance options.

As Chief of Staff, Mr. Rockensuess is not directly involved in any specific permitting or compliance issue involving Duke. 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 Duke.

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 Duke.
2. The Commissioner shall not involve Mr. Rockensuess in any issue that may arise regarding Duke.
3. Mr. Rockensuess shall recuse himself from the portion of any meeting in which discussions specific to Duke or any facility owned by Duke or any issue affecting Duke are discussed or are expected to be discussed.
4. Mr. Rockensuess shall not discuss any matter involving Duke or any its facilities with any IDEM employee.
5. Mr. Rockensuess shall not meet with Duke on any regulatory matter.
6. Mr. Rockensuess shall not access any correspondence or files relating to any permit decision, or compliance/enforcement issue involving Duke.
7. Mr. Rockensuess shall not participate in decisions regarding or relating to Duke.
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 Duke in writing that he has recused himself from all matters concerning the company while he is a candidate for the position.

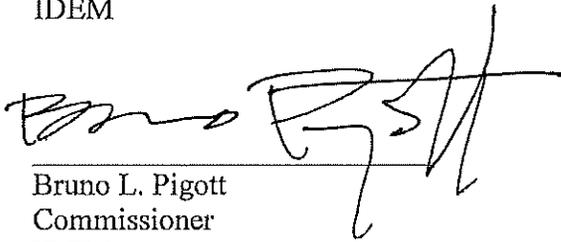
11. Mr. Rockensuess and Ethics Officer Mills shall review this screening protocol within 30 days from the date of the last signature to assure this protocol has been followed and determine if the protocol should continue.



Brian Rockensuess  
Chief of Staff  
IDEM

3/6/18

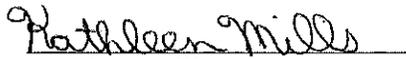
Date



Bruno L. Pigott  
Commissioner  
IDEM

3/5/18

Date



Kathleen Mills  
Ethics Officer  
IDEM

3/5/18

Date