



ETHICS DISCLOSURE STATEMENT
CONFLICTS OF INTEREST – DECISIONS AND VOTING
 State Form 55880 (R / 10-15)
 OFFICE OF THE INSPECTOR GENERAL
 IC 4-2-6-9

INDIANA
 STATE ETHICS COMMISSION

MAY 21 2021

FILED

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.

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
		ZIP code 46204
Office telephone number (317) 233-2550	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 Duke Energy. Brian Rockensuess does not currently have any known matter or regulatory oversight of a known matter concerning Duke Energy. However, IDEM does have matters concerning and regulatory oversight of Duke Energy.

Describe the screen established by your ethics officer: (Attach additional pages as needed.)

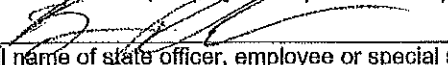
See attached

AFFIRMATION

Your signature below affirms that your disclosures on this form are true, complete, and correct to the best of your knowledge and belief. In addition to this form, you have attached a copy of your written disclosure to your agency appointing authority and ethics officer.

Signature of state officer, employee or special state appointee

Date signed (month, day, year)


Printed full name of state officer, employee or special state appointee
Brian Roekensuess

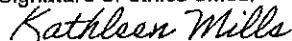
5/20/2021

FOR ETHICS OFFICER USE ONLY

Your signature below affirms that you have reviewed this disclosure form and that it is true, complete, and correct to the best of your knowledge and belief. You also attest that your agency has implemented the screen described above.

Signature of ethics officer

Date signed (month, day, year)



05/20/2021

Printed full name of ethics officer

Kathleen Mills


**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"). He recently applied for a position as a lobbyist with Duke Energy ("Duke"). Duke is a national power holding company whose operations in Indiana are regulated in part by IDEM.

As Chief of Staff, Mr. Rockensuess is not directly involved in any specific permitting or compliance issue involving Duke. He has made no contract or regulatory/licensing decision regarding Duke. However, in the course of his duties, Mr. Rockensuess has met with representatives of the utility as part of general stakeholder meetings. 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.

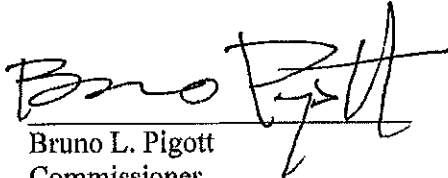
1. In accordance with IC 4-2-6-9(b), Mr. Rockensuess shall notify IDEM Commissioner Bruno Pigott that he is seeking potential employment with Duke.
2. The Commissioner shall not involve Mr. Rockensuess in any issue that may arise regarding Duke.
3. Mr. Rockensuess shall recuse himself from the portion 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

5/20/2021
Date



Bruno L. Pigott
Commissioner
IDEM

5/20/2021
Date

Kathleen Mills

Kathleen Mills
Ethics Officer
IDEM

05/20/2021
Date

Baker, Nathaniel P

From: Rockensuess, Brian
Sent: Wednesday, May 19, 2021 4:37 PM
To: PIGOTT, BRUNO
Cc: KING, NANCY; MILLS, KATHLEEN
Subject: Ethics Disclosure

Commissioner,

In accordance with IC 4-2-6-9(b), I am notifying you of my intention to seek potential employment with Duke Energy. I will work with OLC to make sure a screen is put in place. I will also make sure that my direct reports know not to discuss anything related to Duke with me until the screen is removed.



*Celebrating Thirty-Five
Years of Protecting
Hoosiers and Our
Environment*

Brian Rockensuess
Chief of Staff

(317) 233-2550 • brockens@idem.IN.gov

*IDEM values your feedback.
Please use our online comments to let us know*



A row of social media icons for Twitter, LinkedIn, Facebook, YouTube, and Instagram, followed by the website address www.idem.IN.gov.

IDOH COVID-19 Call Center
Call (877) 826-0011 (open 24/7)
www.coronavirus.in.gov

