



## IC 4-2-6-11

### Post-employment waiver

As the Appointing Authority of the Indiana Department of Natural Resources, I am filing this waiver of the application of the Code of Ethics' post-employment restriction as it applies to Monique Riggs in his/her post-employment with Indiana Rural Water Association.

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):*

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:

Ms. Riggs is currently employed as an Environmental Scientist III. Her job duties do not include decision-making authority over policies, rules, or contracts. Job duties include compliance with statutes, decisions of the Natural Resources Commission via rule and water supply contracts, as well as those of her supervisor and assistant director at the Division of Water. Primary duties are to administer Indiana's licensing and continuing education program for water well drillers and pump installers under IC 25-39 & 312 IAC 13. Secondary is the water supply program under 14-25-2 & 312 IAC 6.3 and assisting with collection of field data for water resource evaluations and water rights concerns and conflicts under IC 14-25-4.

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

The position with the Indiana Rural Water Association is for Program Manager. The role would focus on facilitating and organizing trainings, workshops and conferences that provide required continuing education for water and wastewater operators (of public water supply and wastewater facilities) to maintain their certifications. The certification programs for water operators and wastewater operators are administered by the Indiana Department of Environmental Management. The Program Manager would not personally conduct the actual training of the operators. The organization also provides training and education for the governing boards of member water utilities. A very small portion of the trainings this organization provides gets reviewed for water well drillers and pump installers.

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:

The role of Program Manager at the Indiana Rural Water Association will not have substantial contact with the Indiana Department of Natural Resources, nor involve any former work product by Monique Riggs. Substantial contact would take place with the Indiana Department of Environmental Management which has regulatory authority over water and wastewater operators and the associated continuing education with those certifications. There may be minimal contact with the Indiana Department of Natural Resources for review of any continuing education events that may be applicable to the well drillers and pump installers. This type of contact would be in the best interest of the license holders currently regulated by the Indiana Department of Natural Resources, as providing additional opportunities for training to maintain licensure.

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:

Employment with the Indiana Rural Water Association would continue to benefit the citizens of Indiana by providing well-educated water utility operators and wastewater operators. The role of these individuals is extremely important to provide safe drinking water and to process wastewater for our Indiana communities. The members of the Indiana Rural Water Association are typically smaller utilities that need additional

assistance in keeping their operators up to date. In many cases, there is a lack financial resources to allow for these smaller utilities to send operators to educational events. Many prefer the local nature of the Indiana Rural Water Association as well. This helps keep water & sewer rates reasonable for Indiana citizens as well.

5. Please explain the extent of economic hardship to the employee if the request for a waiver is denied:

It would be financially devastating to have to wait 365 days to work after leaving State employment to take this job. Ms. Riggs and her family would face extreme hardship and potentially lose her home. Her father, who suffers significant memory and health issues, depends on Ms. Riggs as well.

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.



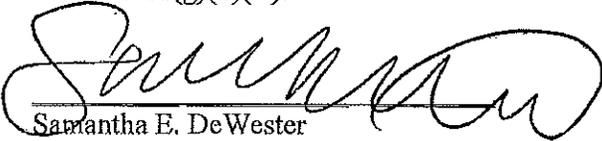
Cameron F. Clark

6-12-17

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).



Samantha E. DeWester

6-12-17

DATE

D. Approval by State Ethics Commission

**FOR OFFICE USE ONLY**  
Approved by State Ethics Commission



James Clevenger, Chair, State Ethics Commission

6/22/17  
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](mailto:info@ig.in.gov)

*Upon receipt you will be contacted  
with details regarding the*