



Describe the screen established by your ethics officer: (Attach additional pages as needed.)  
See attached screening protocol for Mr. Lam.

[Dotted lines for text entry]

**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)

*[Handwritten Signature]*

11/2/2017

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

James Douglas Lam

**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)

*[Handwritten Signature]*

11/2/17

Printed full name of ethics officer

Kathleen Mills

**Protocol  
to Screen IDEM Employee Doug Lam  
from Any Matters Regarding Patriot Engineering**

During the past year, Mr. Doug Lam served as an Indiana Department of Environmental Management ("IDEM") employee working under the Indiana Finance Authority ("IFA") as a Petroleum Brownfields Team Leader. His duties in that position included technical review of Request for Proposal responses (bids) to select vendors for remediation sites under the Petroleum Orphan Site Initiative ("POSI"). During the time he worked as a Petroleum Brownfields Team Leader, he was involved in the selection of Patriot Engineering ("Patriot") as a vendor for one of the POSI sites. He also worked as a Project Manager for that site and another Patriot site. Prior to becoming a Petroleum Brownfields Team Leader, Mr. Lam worked as a Project Manager in the Voluntary Remediation Program ("VRP") at IDEM. In that position, Mr. Lam managed one site in which Patriot was the environmental consultant.

Mr. Lam is hoping to begin work with Patriot as a Project Geologist.

On or about September 25, 2017, Mr. Lam submitted his resignation to IDEM. His then supervisor, Andrea Robertson, instructed him to turn over to her all site files/information in his possession of any site in which his future employer was/is involved.

For the duration of his IDEM employment, IDEM has moved Mr. Lam to the Underground Storage Tank and Compliance Section within the Office of Land Quality ("OLQ"). Mr. Lam will be updating notification forms and assisting in preparing enforcement referral packages as needed. In this temporary position, Mr. Lam should not have contact with any matters regarding Patriot from his previous positions.

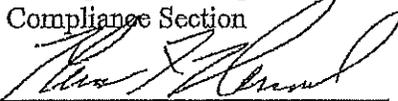
IDEM will also implement the following protocol to screen Mr. Lam from any other current or future matters regarding Patriot in order to prevent even a potential conflict of interest.

1. Should any matters arise with Patriot, the Underground Storage Tank and Compliance Section Chief, Thomas Newcomb, will assign those matters to another employee within the section.
2. Mr. Lam shall recuse himself from the portion of any meeting in which discussions specific to Patriot Engineering are discussed or are expected to be discussed.
3. Mr. Lam shall not discuss any matter involving Patriot Engineering with any IDEM or IFA employee.
4. Mr. Lam shall not send any emails concerning Patriot Engineering to any IDEM or IFA employee.

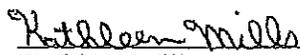
5. Mr. Newcomb will notify the employees in his section in writing that they are not to discuss any matter involving Patriot Engineering with Mr. Lam or send him any emails concerning the company or its facilities.
6. Mr. Lam has already turned over all files and information in his possession regarding Patriot Engineering to his former supervisor. Mr. Lam shall not access any correspondence or files relating to or involving Patriot Engineering.
7. Mr. Lam shall not participate in decisions regarding or relating to Patriot Engineering.
8. Mr. Lam shall immediately inform his supervisor Mr. Newcomb and the IDEM Ethics Officer Kathleen Mills if any provision of this screening protocol is violated.
9. Mr. Lam shall follow IC §4-2-6-9(b) and file a written disclosure statement or seek an advisory opinion from the State Ethics Commission.

  
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Mr. Doug Lam  
Underground Storage Tank and  
Compliance Section

OCTOBER 12, 2017  
Date

  
\_\_\_\_\_  
Thomas Newcomb  
Section Chief  
Underground Storage Tank and  
Compliance Section

October 12, 2017  
Date

  
\_\_\_\_\_  
Kathleen Mills  
Ethics Officer  
Office of Legal Counsel

October 12, 2017  
Date

## Croft, Celeste

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**From:** Lam, James (Doug)  
**Sent:** Thursday, November 02, 2017 1:03 PM  
**To:** IG Info  
**Subject:** Conflict of Interest – Decisions and Voting - Email Scanned Copies  
**Attachments:** 20171102125536066.pdf

**Follow Up Flag:** Follow up  
**Flag Status:** Flagged

Attached please find the Ethics Disclosure Statement, Conflicts of Interest – Decisions and Voting form and the Screening Protocol.

James Douglas Lam  
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