



INDIANA
STATE ETHICS COMMISSION

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

DEC 6 2018

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) Lambert	Name (first) Dustin	Name (middle)
Name of office or agency Indiana Department of Transportation		Job title Construction Engineer, Ft. Wayne District
Address of office (number and street) 5333 Hatfield Road		City Ft. Wayne
		ZIP code 46808
Office telephone number (260) 205-6092	Office e-mail address (required) DLambert1@indot.IN.gov	

Describe the conflict of interest:
Dustin Lambert is a Construction Engineer for the Ft. Wayne District of the Indiana Department of Transportation. Mr. Lambert recently accepted employment with Primco, Inc., a construction contractor that does business with INDOT. Mr. Lambert has overseen several INDOT contracts with Primco in his capacity as Construction Engineer. He currently oversees one open contract with Primco (B-40354), for which all work was completed December 3, 2018. Mr. Lambert completed 95% of the closing paperwork for this contract before entering negotiations with Primco. Mr. Lambert notified his supervisor of his employment offer from Primco and potential conflict of interest. Pursuant to the screen executed by the employee, Mr. Lambert's supervisor will oversee the completion of any remaining work to close out B-40354. The signed screen further prevents Mr. Lambert from supervising, or otherwise working on Primco contracts during his remaining weeks with the Department. As a Construction Engineer, Mr. Lambert does not have the discretion to change the nature or value of contracts he oversees. Mr. Lambert has not negotiated any agreements with Primco in this position, and does not make regulatory or licensing determinations. Accordingly, Mr. Lambert is not subject to the cooling down period, but only the particular matter restriction, and may immediately begin work for Primco. This disclosure was provided to the employee's appointing authority, Commissioner Joe McGuinness, on December 6, 2018. Evidence of said disclosure to Commissioner McGuinness is filed herewith pursuant to IC 4-2-6-9(b)(2)(D). Pursuant to IC 4-2-6-9(b)(2), this disclosure was executed and filed with the SEC within seven days (7) of the employee becoming aware of the potential conflict by virtue of the advise of the undersigned ethics officer, delivered on November 30, 2018.

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

A formal screen was executed with INDOT's ethics officer preventing Dustin Lambert from doing any work with Primco, Inc. in his capacity as an INDOT employee. Said screen prohibits Mr. Lambert from under taking any of his official duties, or otherwise participating in any decision or vote, or matter related to such decision or vote, involving Primco, or in which Primco has an interest. The screen further provides that Mr. Lambert's supervisor will oversee the closing of Contract B-40354, to ensure that this work it is not effected by the potential conflict disclosed herein.

The screen was executed on December 6, 2018, a copy of which was sent to Commissioner Joe McGuinness the same day.

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)

12/6/2018

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

Dustin Lambert

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)

12/6/2018

Printed full name of ethics officer

Christopher B. Serak

CONFLICT OF INTEREST SCREEN FOR DUSTIN LAMBERT

December 6, 2018

I. RECITALS

WHEREAS, Dustin Lambert is a Construction Engineer for the Ft. Wayne District of the Indiana Department of Transportation; and

WHEREAS, Dustin Lambert has recently accepted employment with Primco, Inc.; and

WHEREAS, Primco has a business relationship with INDOT and active contracts with the Department; and

WHEREAS, as Construction Engineer Dustin Lambert has supervised several Primco contracts, including one open contract, B-40354; and

WHEREAS, Dustin Lambert could be assigned additional Primco contracts in his position with INDOT; and

WHEREAS, the employment arrangement between Primco and Dustin Lambert creates a potential decisions and voting conflict under IC 4-2-6-9, requiring a formal screen to prevent the employee from working with the company on future contracts in his capacity with INDOT; and

WHEREAS, all work has been completed on B-40354 and the contract is nearly closed; and

WHEREAS, operational continuity requires Dustin Lambert to finish closing B-40354; and

WHEREAS, the potential conflict stated herein requires Dustin Lambert's work on B-40354 to be monitored and checked to ensure said conflict does affect his closing of the contract.

NOW THEREFORE, Dustin Lambert, Construction Engineer for the Ft. Wayne District of INDOT, for the remaining duration of his employment with the Department, agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen.

II. CONFLICT OF INTEREST SCREEN

1. Dustin Lambert shall finish closing contract B-40354 subject to the oversight and direction of his supervisor, Dave Somerlott, Area Engineer for the Ft. Wayne District.
2. Dustin Lambert shall make no decisions regarding B-40354 without the approval of his supervisor.
3. Dustin Lambert shall not participate in any other decision or vote, or any matter related to such decision or vote, in which Primco, Inc. has a financial interest.
4. Dustin Lambert should be screened from participating in any present or future agreement between INDOT and Primco, except for the limited purposes of closing B-40354.

III. EMPLOYEE AFFIRMATION

I have read and understand the terms of the foregoing Conflict of Interest Screen, and will in all ways follow, adhere to, and satisfy the above stated restrictions on my participation in any decision or vote in which Primco has a financial interest. I have shared and discussed this Conflict of Interest Screen and its requirements with my supervisor, who will oversee my work closing contract B-40354.

Executed and agreed this 6th day of December, 2018, by:



Dustin Lambert, Construction Engineer,
Indiana Department of Transportation, Ft. Wayne District

Cooper, Jennifer

From: Serak, Chris (INDOT)
Sent: Thursday, December 06, 2018 8:02 AM
To: Cooper, Jennifer
Cc: Grand, Alison; Lambert, Dustin R
Subject: FW: Executed Conflict Disclosure and Internal Screen
Attachments: Dustin Lambert Executed Screen.pdf; Dustin Lambert Executed CI Disclosure.pdf

Follow Up Flag: Follow up
Flag Status: Flagged

Jen-

In accordance with Ind. Code 4-2-6-9(b)(2), please find the attached conflict disclosure executed by INDOT employee Mr. Dustin Lambert. The same was provided to the employee's appointing authority, INDOT Commissioner Joe McGuinness. Said disclosure included below as part of this email.

Thanks!

Chris

Christopher B. Serak,
Prequalification Director
Ethics Officer
Indiana Department of Transportation
Office: (317) 234-2115
Cell: (317) 440-9868
Email: chserak@indot.in.gov

From: Serak, Chris (INDOT)
Sent: Thursday, December 6, 2018 8:00 AM
To: McGuinness, Joe <JMcGuinness@indot.IN.gov>
Cc: Lambert, Dustin R <DLambert1@indot.IN.gov>; Grand, Alison <AGrand@indot.in.gov>
Subject: Executed Conflict Disclosure and Internal Screen

Commissioner McGuinness-

Pursuant to the notice requirements of Ind. Code 4-2-6-9(b), please find the attached conflict disclosure and internal screen executed by employee Mr. Dustin Lambert. The disclosure will be filed with the Indiana Ethics Commission in satisfaction of the same.

Please let me know if you have any questions.

Thank you.

Chris