

APR 17 2019



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

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) Louks	Name (first) Douglas	Name (middle) Ryan
Name of office or agency Indiana Department of Environmental Management - OLQ		Job title Deputy Assistant Commissioner
Address of office (number and street) 100 N. Senate Ave., IGCN 1154		City Indianapolis
		ZIP code 46204
Office telephone number (317) 234-5344	Office e-mail address (required) dlouks@idem.in.gov	

Describe the conflict of interest:
 Doug Louks is Deputy Assistant Commissioner in the Office of Land Quality at the Indiana Department of Environmental Management (IDEM). Doug Louks has applied for a position at Cummins, Inc. Doug Louks does not currently have any known matter or regulatory oversight of a known matter concerning Cummins, Inc. However, IDEM does have matters concerning and regulatory oversight of Cummins, Inc.

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

Please see the attached screening protocol.

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)

04/17/2019

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

Douglas R. Louks

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)

4/17/19

Printed full name of ethics officer

James M. French (For Kathleen Mills)

**Protocol to Screen
IDEM Office of Land Quality's
Deputy Assistant Commissioner Doug Louks
from Any Matters Regarding Cummins Inc.**

Mr. Doug Louks is employed by the Indiana Department of Environmental Management ("IDEM") as a Deputy Assistant Commissioner ("DAC") within the Office of Land Quality ("OLQ"). His current duties include oversight of the Science Services Branch, the Underground Storage Tank Branch and the Emergency Response Branch within OLQ.

DAC Louks has applied for the position of Senior Auditor with Cummins, Inc. Cummins designs, manufactures, sells and services diesel and alternative fuel engines and diesel and alternative-fueled generators. Duties for this position include: overseeing the execution of financial and operational audits; providing technical guidance to contracted audit staff, ensuring that objectives are met; reviewing financial and operating procedures to determine whether or not internal controls are being properly applied; leading and executing internal financial and/or system audits and risk assessments within established business process controls; testing and documenting more complex financial and computer system records for information system integrity and transaction accuracy and reports discrepancies; preparing less complex audit plans or assists with more complex plans; preparing formal written reports to communicate audit results to management, and making recommendations as appropriate; and, leading onsite audit processes including contracted audit staff to perform internal audits and risk assessments within established business process controls.

DAC Louks has had no contact with Cummins in his position as DAC, but had minor contact in his previous role as an IDEM OLC Attorney two years prior to this application. Therefore, and because of his oversight of multiple branches within OLQ, IDEM will institute the following protocol to make sure DAC Louks is screened from any potential conflict of interest.

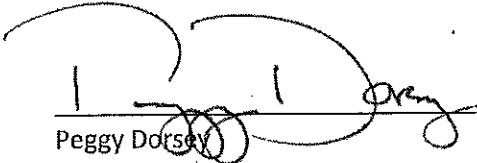
1. Assistant Commissioner ("AC") Peggy Dorsey is DAC Louks' immediate supervisor. AC Dorsey will not assign any current or future matter that may arise involving Cummins Inc. to DAC Louks.
2. DAC Louks shall recuse himself from the portion of any meeting in which discussions specific to Cummins Inc. or any of its clients or interests are discussed or are expected to be discussed.\
3. DAC Louks shall not discuss any matter involving Cummins Inc. or its clients with any other IDEM employee
4. AC Dorsey will notify in writing all branch chiefs supervised by DAC Louks that they are not to discuss any matters involving Cummins Inc. or its clients with DAC Louks or send him any emails concerning Cummins Inc. or its clients.
5. DAC Louks shall not participate in decisions regarding or relating to Cummins Inc. or any of its clients.
6. DAC shall not access any correspondence or files relating to or involving Cummins Inc. or its clients. Such documents, if not a matter of public record in IDEM's Virtual File Cabinet, shall be housed with the employee assigned to the matter or kept where DEC Louks does not have access to alter the documents.

7. DAC Louks shall immediately inform his supervisor and IDEM Ethics Officer Kathleen Mills if any provision of this screening protocol is violated.
8. DAC Louks shall follow IC 4-2-6-9(b) and file a written disclosure statement with the State Ethics Commission.
9. All signatories to this screening protocol shall review it within thirty (30) days from the date of the last signature to assure it has been followed and determine if the circumstances have changed to make the protocol no longer necessary.



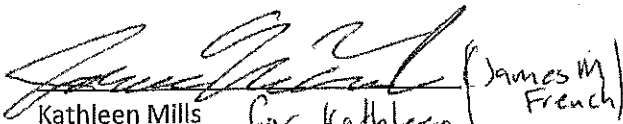
Doug Louks
Deputy Assistant Commissioner
Office of Land Quality

04/17/2019
Date



Peggy Dorsey
Assistant Commissioner
Office of Land Quality

4/17/19
Date



(James M. French)

Kathleen Mills
Ethics Officer
Office of Legal Counsel
for Kathleen Mills

4/17/19
Date

French, James M

From: Louks, Douglas
Sent: Wednesday, April 17, 2019 12:09 PM
To: PIGOTT, BRUNO
Cc: Rockensuess, Brian; Dorsey, Peggy; French, James M
Subject: Notice of Negotiation

Bruno,

I needed to make you aware that I will likely be scheduling an interview with Cummins for a position in their Indianapolis office. The position is in their Audit Services group and would involve internal financial, compliance, and operational auditing related to Cummins' international and domestic processes/transactions. This is not a regulatory compliance or legal position, but to assure compliance with Indiana Ethics requirements I needed to make you aware and set up screening process with our Ethics Officer. I am happy in my current role at IDEM, but this potential opportunity with Cummins would allow utilization all of my education and experience with law, international business, and management and is something I want to explore further.

I advised Peggy of this matter this Monday afternoon just prior to applying for the position.

Sincerely,



Douglas Louks
Deputy Assistant Commissioner
Office of Land Quality
Indiana Department of Environmental Management

(317) 234-5344 | dlouks@idem.IN.gov



Help us improve!
IDEM values your feedback

