



**ETHICS DISCLOSURE STATEMENT
CONFLICTS OF INTEREST – DECISIONS AND VOTING**
State Form 55260 (R / 10-15)
OFFICE OF THE INSPECTOR GENERAL
IC 4-2-6-9

MAY 21 2020

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) Phillippe	Name (first) Lora	Name (middle)
Name of office or agency Indiana Department of Transportation- Vincennes District		Job title Project Manager
Address of office (number and street) 3050 South U.S. Highway 41		City Vincennes
Office telephone number (812) 895-7336		ZIP code 47591
Office e-mail address (required) LPhillippe@indot.IN.gov		

Describe the conflict of interest:

Lora Phillippe is a Project Manager for the Indiana Department of Transportation (INDOT), Vincennes District.

Phillippe recently commenced employment negotiations with Lochmueller Group, Inc. ("Lochmueller").

Lochmueller has a business relationship with INDOT, including ongoing contracts with the Department. As such, Phillippe's employment negotiations with Lochmueller created a potential decisions and voting conflict under IC 4-2-6-9.

Along with this disclosure, the employee executed a formal screen, preventing her from working with Lochmueller during her remaining term of employment with INDOT, or until employment negotiations with Lochmueller are terminated. Said screen also contains provisions related to the particular matter restriction under IC 4-2-6-11(a).

This disclosure was provided to the employee's appointing authority, INDOT Commissioner Joe McGuinness, on May 21, 2020. 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 potential conflict.

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

A formal screen was executed with INDOT's ethics officer preventing Lora Phillippe from participating in any decision or vote, or matter related to such decision or vote, involving Lochmueller Group, Inc. ("Lochmueller"), or in which the firm has a financial interest.

Lora Phillippe has been screened from participating in the following Lochmueller contracts:

R-39847, RS-40637, RS-41128, RS-41128, R-41234, R-41234, R-41237, R-41599, R-41598, R-40124, B-41771,

R-42003, and B-42004. Pursuant to the executed screen, Ms. Phillippe will also not participate in any future contract involving Lochmueller, or in any decision or vote, or any related matter, in which Lochmueller has any interest whatsoever. The formal screen also prevents Ms. Phillippe from working for Lochmueller on any INDOT project she personally and substantially participated in while employed by the Department.

The screen was executed on May 20, 2020, a copy of which was sent to Commissioner Joe McGuinness along with this disclosure on the same date.

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)

5/20/2020

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

Lora Phillippe

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)

5/20/2020

Printed full name of ethics officer

Christopher B. Serak

CONFLICT OF INTEREST SCREEN FOR LORA PHILLIPPE

May 20, 2020

I. RECITALS

WHEREAS, whereas Lora Phillippe is a Project Manager for the Vincennes District of the Indiana Department of Transportation (INDOT); and

WHEREAS, Lora Phillippe recently entered employment negotiations with Lochmueller Group, Inc. ("Lochmueller"); and

WHEREAS, Lochmueller has a business relationship with INDOT, including ongoing contracts with the Department; and

WHEREAS, Lora Phillippe has compliance oversight of federal funding for several active Lochmueller contracts; and

WHEREAS, in order to prevent a potential decisions and voting conflict under IC 4-2-6-9, Lora Phillippe needs to be screened from working with Lochmueller for the duration of her service as an INDOT project manager, or until she cease employment negotiations with the company;

NOW THEREFORE, Lora Phillippe, Project Manager for the Vincennes District of INDOT, for the duration of her remaining employment with INDOT or until the termination of employment negotiations with Lochmueller Group, Inc., whichever occurs first, agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. Consistent with the particular matter restriction under Ind. Code 4-2-6-11(a), the provisions of item three of the conflict of interest screen shall apply for the life of the covered projects.

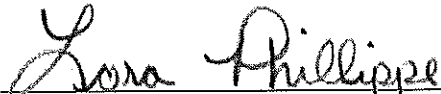
II. CONFLICT OF INTEREST SCREEN

1. Lora Phillippe shall not participate in any decision or vote, or any matter related to such decision or vote, in which Lochmueller has a financial interest.
2. Lora Phillippe should be screened from participating in any present or future contract, agreement, or other formal collaborative venture between INDOT and Lochmueller, including the following active contracts: R-39847, RS-40637, RS-41128, RS-41128, R-41234, R-41234, R-41237, R-41599, R-41598, R-40124, B-41771, R-42003, and B-42004.
3. As a Lochmueller employee, Lora Phillippe should not be assigned to work on any INDOT matter, including public works projects, in which she personally and substantially participated as a Project Manager in the Department's Vincennes District.

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 Lochmueller Group, Inc. has a financial interest. I will forego any further participation in the following contracts: R-39847, RS-40637, RS-41128, RS-41128, R-41234, R-41234, R-41237, R-41599, R-41598, R-40124, B-41771, R-42003, and B-42004. Lastly, I will adhere to the provisions of the particular matter restriction for the life of covered projects. I have shared and discussed this Conflict of Interest Screen and its requirements with my supervisor. I understand that provisions one and two of this screen shall be effective for the duration of my employment with INDOT or until I terminate employment negotiations with the subject firm, whichever occurs first. I further understand that item three of this screen shall be in effect for the life of the covered projects.

Executed and agreed this 20th day of May, 2020, by:



Lora Phillippe, Project Manager
Vincennes District, Indiana Department of Transportation

Baker, Nathaniel P

Subject: RE: Executed COI Disclosure and Internal Screen (Lora Phillippe)

From: Serak, Chris (INDOT)
Sent: Thursday, May 21, 2020 12:08 PM
To: McGuinness, Joe <JMcGuinness@indot.IN.gov>
Cc: Kennedy, Heather <HKennedy@indot.IN.gov>; Phillippe, Lora <LPhillippe@indot.IN.gov>
Subject: Executed COI Disclosure and Internal Screen (Lora Phillippe)

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 Lora Phillippe. 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

Christopher B. Serak,
Prequalification Director
Ethics Officer
Prequalification Committee (Chairman)
Selection Review Committee (Member)
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