



**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

INDIANA  
STATE ETHICS COMMISSION

OCT 1 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) Smith	Name (first) Amy	Name (middle) Elizabeth
Name of office or agency IDEM-Office of Land Quality		Job title Deputy Assistant Commissioner
Address of office (number and street) 100 N Senate Avenue, IGCN 1154		City Indianapolis
Office telephone number ( 317 ) 234-0892		ZIP code 46204
Office e-mail address (required) asmith@idem.in.gov		

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

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

Please see attached Screening Document.

**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)

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

Amy E. Smith

9/26/18

**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)

Printed full name of ethics officer

Kathleen Mills

9/26/18

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

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

DAC Smith has applied for the position of Environmental Policy Leader with Cummins, Inc. Cummins designs, manufactures, sells and services diesel and alternative fuel engines and diesel and alternative-fueled generators. A core duty of that position is to lead processes to determine Cummins' energy and environmental policy positions on strategic environmental and business priorities. The person hired for that position would serve as a member of the Cummins Corporate Environmental Policy team.

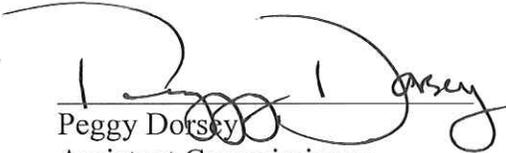
DAC Smith has had no contact with Cummins in her position as DAC or in any other position she previously held within IDEM. However, because of her oversight of multiple branches within OLQ, IDEM will institute the following protocol to make sure DAC Smith is screened from any potential conflict of interest.

1. Assistant Commissioner ("AC") Peggy Dorsey is DAC Smith's immediate supervisor. AC Dorsey will not assign any current or future matter that may arise involving Cummins Inc. to DAC Smith.
2. DAC Smith shall recuse herself 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 Smith 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 Smith that they are not to discuss any matters involving Cummins Inc. or its clients with DAC Smith or send her any emails concerning Cummins Inc. or its clients.
5. DAC Smith 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 DAC Smith does not have access to alter the documents.
7. DAC Smith shall immediately inform her supervisor and IDEM Ethics Officer Kathleen Mills if any provision of this screening protocol is violated.
8. DAC Smith 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.

  
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Amy Smith  
Deputy Assistant Commissioner  
Office of Land Quality  
IDEM

9/26/18  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
Peggy Dorsey  
Assistant Commissioner  
Office of Land Quality  
IDEM

9/28/18  
\_\_\_\_\_  
Date

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

9/26/18  
\_\_\_\_\_  
Date

## Smith, Amy E

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**From:** Smith, Amy E  
**Sent:** Monday, September 17, 2018 10:31 AM  
**To:** PIGOTT, BRUNO; Rockensuess, Brian  
**Cc:** Dorsey, Peggy; MILLS, KATHLEEN  
**Subject:** Notice of negotiation/discussion

Bruno and Brian-

I needed to make you aware that I will likely be scheduling an interview with Cummins for a position in their Columbus office. This is not a regulatory/compliance position but with an abundance of caution and existing requirements I needed to make you aware and set up screening process with our Ethics Officer so all is above board.

I am very happy in my current role at IDEM but this potential opportunity with Cummins is something I want to explore.

I advised Peggy of this matter this morning.

Regards,  
Amy

Amy E. Smith, Deputy Assistant Commissioner IDEM Office of Land Quality  
317-234-0892  
asmith@idem.in.gov

Sent from my iPhone