

DEC 18 2018



**CONFLICTS OF INTEREST – CONTRACTS
ETHICS DISCLOSURE STATEMENT**
State Form 53345 (R2 / 6-15)
OFFICE OF THE INSPECTOR GENERAL
IC 4-2-6-10.5

Mail to:
OFFICE OF INSPECTOR GENERAL
315 West Ohio Street, Room 104
Indianapolis, IN 46202
Telephone: (317) 232-3850
E-mail scanned copy to: info@ig.in.gov

Check if you are making a correction to a previously filed statement.

A state officer, employee, or special state appointee may not knowingly have a financial interest in a contract made by an agency. The term financial interest is defined in IC 4-2-6-1. This prohibition, however, does not apply to an officer, employee, or special state appointee who (1) does not participate in or have contracting responsibility for the contracting agency and (2) meets the criteria in IC 4-2-6-10.5(b)(2) and (c)(1)-(5). One criterion is that the officer, employee, or special state appointee must file a written statement with the Inspector General before the officer, employee, or special state appointee executes the contract with the state agency.

The foregoing consists only of excerpts from IC 4-2-6-10.5. Care should be taken to review IC 4-2-6-10.5 in its entirety to ensure compliance with all criteria set forth in the statute. This disclosure will be posted on the Inspector General's website.

PART 1 – GENERAL INFORMATION

Last name Lechleiter	First name John	Middle initial C.
Address of office (number and street, city, state, and ZIP code) 1 N. Capitol Avenue, Suite 700, Indianapolis, IN 46204		
Title or position within agency Board Member (special state appointee)	Name of agency Indiana Economic Development Corporation (IEDC)	

PART 2 – CONTRACT

List the name for each entity (i.e. vendor, contractor, consultant, subcontractor, or subconsultant) in which you have a financial interest that has a contract with a state agency. Also, list the name of the state agency the entity is contracting with (use a different form for each contract).

Business name of entity Indiana Biosciences Research Institute ("IBRI")	Name of entity contact person (first name and last name) Dr. John Lechleiter
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This contract was (check one):

- made after public notice and, if applicable, through competitive bidding; or
 not subject to notice and bidding requirements

If the contract was not subject to notice and bidding requirements, please provide the basis for that conclusion here.
The grant agreement was not subject to public bidding requirements because the General Assembly appropriated state funds to IBRI pursuant to House Enrolled Act (HEA) 1001- CC 1 (effective July 1, 2017). Each award of funds to IBRI, however, is subject to the approval of the Indiana Economic Development Corporation ("IEDC") Board of Directors. This grant agreement was initially presented and reviewed by the Board's Entrepreneurship Committee at its public meeting on December 11, 2018. Due to Dr. Lechleiter's potential conflict and pursuant to IEDC policy and the Ethics Commission's Advisory Opinion 17-I-2, the matter was considered by the full IEDC Board. Dr. Lechleiter did not attend either the public meeting of the Entrepreneurship Committee or the public meeting of the full IEDC Board on December 11, 2018, but his conflict was formally acknowledged at both meetings and will be noted in the minutes for both meetings.

Description(s) of Contract(s): (Describe the type of contract involved and the effective date and term of the contract if reasonably determinable.)

The grant agreement will memorialize the appropriation of state funds from the IEDC to IBRI, pursuant to HEA 1001- CC 1 (effective July 1, 2017). The grant agreement will also provide terms and conditions required for the disbursement of funds, such as the satisfaction of specific performance-based milestones. The term of the agreement is July 1, 2018 through July 1, 2020 and will be effective when fully executed.

Description of the Financial Interest: *(Describe in what manner the state officer, employee, or special state appointee expects to derive a financial interest from or otherwise has a pecuniary interest in, the above contract. State the approximate dollar value of the interest if reasonably determinable. Attach extra pages if additional space is needed.)*

On December 11, 2018, the Indiana Economic Development Corporation ("IEDC") Board of Directors and its Entrepreneurship Committee considered an award of funds to the Indiana Biosciences Research Institute (IBRI). Pursuant to House Enrolled Act (HEA) 1001- CC 1 (effective July 1, 2017), the IEDC Board must approve each award of funds to IBRI. Dr. Lechleiter serves as an IEDC Board member. Prior to the meeting, Dr. Lechleiter notified the IEDC's General Counsel & Ethics Officer that he serves on the IBRI Board of Directors. Dr. Lechleiter, by virtue of his board position, has a potential financial interest (as defined in Indiana Code section 4-2-6-1(a)(11)), in the IEDC's award of state funds to IBRI. The IEDC's General Counsel & Ethics Officer identified this as a potential financial interest requiring an ethical screen and disclosure.

The approximate dollar value of the financial interest to IBRI related to the pending grant is \$20,000,000. In the interests of transparency and out of an abundance of caution, Dr. Lechleiter has taken the appropriate steps to recuse himself and be completely screened from any discussion, decision, and vote on the pending grant agreement.

ONLY COMPLETE PART 3 IF CONTRACT IS FOR PROFESSIONAL SERVICES

PART 3 – AGENCY CERTIFICATION

Approval of appointing authority

Being the _____ of _____
(Title of Appointing Authority) *(Name of Contracting Agency)*

I hereby affirm that no other state officer, employee, or special state appointee of _____
(Name of the Contracting Agency)

is available to perform those services as part of the regular duties of the state officer, employee, or special state appointee.

Signature of Appointing Authority _____ Date signed (month, day, year) _____

Name of Appointing Authority _____

PART 4 – AFFIRMATION

I submit this statement to the Inspector General pursuant to 42 IAC 1-5-7 (IC 4-2-6-10.5) to disclose my financial interest in a contract with an agency. This contract can be performed without compromising the performance of my official duties and responsibilities as a state officer, employee or special state appointee. I affirm that I do not participate in or have contracting responsibility for the contracting agency. I further affirm that the contract was made after public notice or competitive bidding, if applicable. I also affirm, under penalty of perjury, the truth and completeness of the statements made above and that I am the above named state officer, employee, or special state appointee.

Signature  Date signed (month, day, year) 12-17-18