

Indiana University State Legislative Liaison Reporting Procedures

This document refers to procedures related to State Legislative Liaison reporting. To review procedures related to reporting for Federal lobby activity reporting, please visit <http://gov.indiana.edu/policies/lobbying/index.shtml>.

Legislative Liaison Statute (IC 5.14.7)

Legislation was passed in the 2010 General Assembly that establishes reporting requirements for gifts or expenditures incurred on behalf of a state legislator or other legislative persons, as defined below. Following is an overview of the law and procedures that Indiana University is developing in order to comply with it.

Who Is Covered?

1. Definitions applicable to lobbyists in IC 2-7-1 apply to legislative liaison reporting.
2. Legislative Liaison refers to an individual designated by an employer who spends 10% or more of their time lobbying. For IU that includes a small group of individuals working in the Office of State Relations.
3. Legislative Person is defined as :
 - A member of the Indiana General Assembly
 - a candidate for the Indiana General Assembly
 - an officer of the Indiana General Assembly
 - employees of the Indiana General Assembly
 - immediate families of the aforementioned individuals
 - a paid consultant of the Indiana General Assembly
 - an agency of the Indiana General Assembly.

What is covered?

Under IC 5-14-7-4, each employer of a legislative liaison is required to file annually with the Indiana Lobby Registration Commission a single, aggregate report for lobbying activities by each of the employer's legislative liaisons. This includes expenses for any lobbying activities on behalf of the university, whether the expenditures were made by the legislative liaisons or other university departments. As a result, we request that all campuses comply with the Reporting Procedures outlined in this document.

Eating in a Restaurant

Each legislative person's reportable expenditures will include: (1) the food consumed only by that person, (2) a pro rata share of food or drink that is shared between two or more individuals, (3) tax and tip, which should be figured in a proportionate manner.

If you share a bottle of wine or a side dish or appetizer, ask the restaurant to divide the shared food and drink into pro rata shares and attribute a share of those costs to each legislative person to appear on their receipt. Be sure to ask if this is possible when ordering, if it is not, you should order wine by the glass. If you are not sure which individuals consumed which shared items, it is still okay to divide the items by the number of individuals at the table as long as they have not stated that they will not consume the shared food or beverage. Include tax and tip of the shared item in each share.

Tickets

Tickets to games, performances, or other events are reportable. Expenses for tickets given to a legislative person should be attributable to that legislative person unless there is an understanding that one or more of the tickets will be used for another legislative person at the time they asked for the ticket. If at the time of asking the legislative person intends to pay for the ticket him or herself, those tickets are not reportable. Whether or not the legislative person pays for the tickets themselves, University Policy requires that the Office of State Relations be notified of the event.

The Office of State Relations will send a letter to each legislative person receiving tickets notifying them of the amount of that will be reported for the event.

Reporting Procedures

1. Notify the Associate Vice President of Public Affairs and Government Relations

Notify the Associate Vice President of Public Affairs and Government Relations through the State Legislative Liaison Reporting website (<https://www.indiana.edu/~gov/ld1/index.phtml>) if you anticipate contact with a covered legislative person to ensure coordination of plans and tracking of legislative expenses.

If it is not possible to provide information prior to the potentially reportable event, then report as soon thereafter as possible, e.g. same day.

Be prepared to estimate the costs associated and the potential guest list along with a brief description of the purpose for the contact.

2. IU Foundation Account

Each university unit will need to work with the Office of State Relations to estimate the aggregate amount of reportable expenditures that they will expend over the course of the year. They should then transfer that amount of money into the *State Liaison Expenses* IU Foundation Account. The decision by the IU Foundation board of directors that no lobbying expense will be permitted in IU Foundation operating accounts required the university to establish a special agency account for federal lobbying activity. The *State Governmental Affairs* account will likewise be an agency account.

Funds transferred into this account will not be refundable to the unit at the end of a calendar year if not expended, but will carry forward into subsequent years for future use. The Office of State Relations will track separately the contributions of each unit and their use. Each campus unit may contact the Office of State Relations at any time to inquire about their individual account balances.

3. Expense Reimbursement and Third Party Payments

The Office of State Relations will process all claims for expenses related to legislative persons.

Units must have separate receipts and costs for each legislative person and submit them to the campus coordinator who will work with the Office of State Relations to arrange for reimbursement or payment to a third party vendor. Clearly specify on each receipt the legislative person for which the expenditures were made. Some points to consider:

- a. If ordering a meal in a restaurant, request separate checks for each legislative person. Each check should include tax, tip, and overhead/service costs. These should be figured as a percentage of the legislative persons meal (the amount of tax and tip attributable to each legislative person should NOT be found by dividing the total amount of tax and tip by the number of persons eating).
- b. If hosting an event which is priced per plate or per individual, provide information documenting the individualized charge and submit a list of all legislative persons who attended the event. Include tax, tip, and other overhead/service expenses per person in the per person costs.
- c. In the case of receptions where the attendance is limited but a per head price is not available, submit the total cost of the event to the Office of State Relations, along with a list all attendees. A change in the lobbyist law may require that the full cost of the reception be reported on the institution's annual report.
- d. Provide detailed information including costs associated with any gifts to legislative persons (note all gifts regardless of value should be provided to the Office of State Relations).

Names to Watch for State and Federal Reporting Purposes

As you receive IU Foundation check requests, we wanted to give you a list of individuals to watch for both federal and state reporting purposes. If you should see any of the names below named associated with expenses to be paid by an IU Foundation check request please contact either Judy Palmer (jgpalmer@iu.edu or 318-231-2113) or Becca Polcz (rpolcz@iu.edu or 317-681-1776) prior to completing the check request.

Covered Officials

These will be individuals who work with the federal government. Below is a list of individuals that you may run across more often than others, however, because the list of covered officials is expansive, this list is not exhaustive. If you see expenses attributable to anyone at all who is associated with the Federal government please contact Judy Palmer or Becca Polcz. This includes those who work with agencies, the US House of Representatives, the US Senate, presidential appointees, members of the armed services, among others.

Senator/Congressman

- Senator Richard Lugar
- Senator Dan Coats
- Congressman Pete Visclosky
- Congressman Joe Donnelly
- Congressman Marlin Stutzman
- Congressman Todd Rokita
- Congressman Dan Burton
- Congressman Mike Pence
- Congressman André Carson
- Congressman Larry Bucshon
- Congressman Todd Young

Chief of Staff

- Marty Morris
- Dean Hingson
- Mark Lopez
- Joel Elliott
- Tim Harris
- Mike Ward
- Mark Walker
- Bill Smith
- Kim Rudolph
- Jon Causey
- John Connell

Legislative Assistant for Education

- Connor Burns
- Casey Murphy
- Stephanie Kalmbach
- Nathan Fenstermacher
- Sarah Milligan
- Lindley Kratovil
- Mary O'Keeffe
- Brian Neale
- Erica Powell
- Will Brown
- Trevor Foughty

Legislative Person

These will be individuals who work with the Indiana General Assembly. This includes:

- (1) A member.
- (2) A candidate.
- (3) An officer of the general assembly.
- (4) An employee of the general assembly.
- (5) A member of the immediate family of anyone described in subdivision (1), (2), (3), or (4). A lobbyist who is a close relative of a legislative person is not considered a legislative person.
- (6) A paid consultant of the general assembly.
- (7) An agency of the general assembly.

Below is a list of legislators and other legislative persons that you might run across. As above, this list is not exhaustive, so if you run across other names that associated with state government, please contact Judy Palmer or Becca Polcz.

- Terri Jo Austin
- Ron Bacon
- Jim Baird
- Jeb Bardon
- John Bartlett
- Rebecca Kubacki
- Linda Lawson
- Don Lehe
- Matthew Lehman
- Daniel Leonard
- Ron Alting
- Jim Arnold
- Jim Banks
- Vaneta Becker
- Phil Boots

- Kreg Battles
- B. Patrick Bauer
- Robert W. Behning
- Bruce Borders
- Brian Bosma
- Charlie Brown
- Tim Brown
- Woody Burton
- David Cheatham
- Robert Cherry
- Ed Clere
- William A. Crawford
- Suzanne Crouch
- Wes Culver
- Bill Davis
- Steve Davisson
- John Day
- Ed Delaney
- Nancy Dembowski
- Tom Dermody
- Chester F. Dobis
- Richard "Dick" Dodge
- Ryan Dvorak
- Sean Eberhart
- Sue Ellspermann
- Jeffrey K. Espich
- Ralph M. Foley
- William C. Friend
- David Nason Frizzell
- Craig R. Fry
- Randy Frye
- Phil GiaQuinta
- Terry A. Goodin
- F. Dale Grubb
- Douglas Gutwein
- Earl L. Harris
- Bob Heaton
- Kathy Heuer
- Phillip D. Hinkle
- Mike Karickhoff
- Clyde Kersey
- Cindy Kirchhofer
- Sheila Klinker
- Thomas D. Knollman
- Eric Koch
- Brittany Campbell
- Jen Carlton
- David Dukes
- L. Jack Lutz
- Kevin Mahan
- Richard W. McClain
- Jud McMillin
- Wendy McNamara
- Mark Messmer
- Bob Morris
- Charles Moseley
- Winfield C. Moses, Jr.
- Tim Neese
- David L. Niezgodski
- Cindy Noe
- Scott Pelath
- Phillip Pflum
- Matt Pierce
- Phyllis J. Pond
- Gregory W. Porter
- Cherish Pryor
- Mara Candelaria Reardon
- Scott Reske
- Rhonda Rhoads
- Kathy Kreg Richardson
- Gail C Riecken
- Thomas E. Saunders
- Vernon G. Smith
- Milo Smith
- Edmond Soliday
- Mike Speedy
- Steven R. Stemler
- Greg Steuerwald
- Dan Stevenson
- Mary Ann Sullivan
- Vanessa Summers
- Jeffrey Thompson
- Jerry Torr
- Randy Truitt
- P. Eric Turner
- Dennis Tyler
- Matt Ubelhor
- Shelli VanDenburgh
- Heath VanNatter
- Peggy Welch
- Tim Wesco
- David Alan Wolkins
- David Yarde II
- Erik Gonzalez
- Elise Shrock Mannies
- Jeff Papa
- Richard D. Bray
- Jean Breaux
- John Broden
- James Buck
- Ed Charbonneau
- Mike Delph
- Doug Eckerty
- Beverly J. Gard
- Susan Glick
- Ron Grooms
- Randy Head
- Brandt Hershman
- Travis Holdman
- Lindel O. Hume
- Howard "Luke" Kenley
- Dennis K. Kruse
- Tim Lanane
- Sue Landske
- Connie Lawson
- Jean Leising
- David C. Long
- James W. Merritt, Jr.
- Patricia L. Miller
- Ryan D. Mishler
- Frank Mrvan, Jr.
- Johnny Nugent
- Allen E. Paul
- Lonnie Randolph
- Earline S. Rogers
- Scott Schneider
- Vi Simpson
- Timothy D. Skinner
- Jim Smith
- Brent Steele
- Karen Tallian
- Greg Taylor
- Jim Tomes
- Greg Walker
- Brent Waltz
- John M. Waterman
- Thomas J. Wyss
- Carlin Yoder
- Richard D. Young, Jr.
- R. Michael Young
- Joseph C. Zakas
- Susan Preble
- Mike Smith
- Ben Tooley