

FILED

MAR 4 2024

INDIANA STATE ETHICS COMMISSION



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

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) Balaba	Name (first) Paul	Name (middle)
Name of office or agency Indiana Department of Transportation		Job title Construction Project Manager
Address of office (number and street) 41 W 300 N		City Crawfordsville
Office telephone number (765) 361-5215		ZIP code 47933
Office e-mail address (required) pbalaba@indot.in.gov		
Describe the conflict of interest: Paul Balaba is a Construction Project Manager for the Indiana Department of Transportation- Crawfordsville District. Paul Balaba recently discussed possible employment with two engineering firms, HNTB and EGIS. Both EGIS and HNTB have business relationships with INDOT, including active contracts with the Department. Paul Balaba's employment negotiations with HTNB and EGIS created a potential decisions and voting conflict of interest under IC 4-2-6-9. This disclosure is therefore being filed in anticipation of that potential conflict. Paul Balaba is not subject to the mandatory cooling off period (IC 4-2-6-11(b)) with regard to HTNB or EGIS. Paul Balaba is subject to the particular matter restriction and will not assist HNTB or EGIS with any matter he personally and substantially participated in on behalf of INDOT. This disclosure was provided to Mr. Balaba's appointing authority, Commissioner Michael J. Smith, on Feb. 29, 2024. Evidence of said disclosure to Commissioner Smith 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 being identified by the below signed ethics officer.		

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

A formal screen was executed with INDOT ethics officer preventing Paul Balaba from working with HNTB or EGIS

In his capacity as an INDOT employee. Said screen prohibits Paul Balaba from exercising any of his official duties

or otherwise participating in any decision or vote, or matter related to such decision or vote, involving HNTB or EGIS,

or in which HNTB or EGIS has an interest. Paul Balaba is further screened from assisting any future employer,

including HNTB and EGIS, with any matter in which he personally and substantially participated while employed by INDOT.

The screen was executed on Feb. 29, 2024, a copy of which was sent to Commissioner Michael J. Smith along with this disclosure.

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

paulbalaba

Date signed (month, day, year)

02/28/2024

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

Paul Balaba

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

Michele D. Steele

Date signed (month, day, year)

2/29/2024

Printed full name of ethics officer

Michele D. Steele

CONFLICT OF INTEREST SCREEN FOR PAUL BALABA

February 28, 2024

I. RECITALS

WHEREAS, Paul Balaba is a Construction Project Manager for the Indiana Department of Transportation-Crawfordsville District ("INDOT" or "Department"); and

WHEREAS, Paul Balaba recently has been in discussions regarding potential employment with EGIS and HNTB, two engineering firms; and

WHEREAS, Both EGIS and HNTB has a business relationship with INDOT, including active contracts; and

WHEREAS, as Construction Project Manager for INDOT, it is possible that Paul Balaba could be assigned to participate in matters in which EGIS or HNTB has an interest as part of his regular duties; and

WHEREAS, Paul Balaba's employment negotiations with EGIS and HNTB created a potential decision and voting conflict of interest under IC 4-2-6-9 requiring disclosure and a formal screen; and

WHEREAS, Paul Balaba is subject to the particular matter restriction (IC 4-2-6-11(a)) and cannot assist future employers, including EGIS and HNTB, with any matter he personally and substantially participated in for INDOT; and

WHEREAS, Paul Balaba may have obtained confidential information in the course of his employment with INDOT and has an affirmative duty to protect such information from disclosure and to refrain from relying on such information for the benefit of himself or future employers.¹

NOW THEREFORE, Paul Balaba, Construction Project Manager for INDOT, for his remaining tenure with INDOT, or until he discontinues employment negotiations with EGIS or HNTB, agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. Paul Balaba must adhere to terms three (3) and four (4) regarding the particular matter restriction and confidential information in perpetuity.

II. CONFLICT OF INTEREST SCREEN

1. Paul Balaba shall not participate in any decision or vote, or any matter related to such decision or vote, in which EGIS or HNTB has a financial interest.
2. Paul Balaba is screened from participating in any present or future contract or other matter involving EGIS or HNTB.
3. Paul Balaba shall not assist any future employers, including EGIS and HNTB, with any matter he personally and substantially participated in while employed by INDOT. This restriction applies in perpetuity, for the life of the particular matter.
4. Pursuant to his duty under Ind. Code §5-14-3-10, Paul Balaba shall not disclose or otherwise rely upon information classified as confidential under Ind. Code §5-14-3-4. This restriction applies in perpetuity, so long as the subject information is deemed confidential.

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 EGIS or HNTB has a financial interest. I understand that the first two (2) terms of this screen terminate upon my leaving the Department or the discontinuation of negotiations with EGIS, whichever occurs first. I further understand that terms three (3) and four (4) regarding particular matters and confidential information respectively, apply in perpetuity, for the life of each matter and so long as the subject information is deemed confidential. I have shared and discussed this Conflict-of-Interest Screen and its requirements with my supervisor.

Executed and agreed this 28 day of February 2024, by:



Paul Balaba, Construction Project Manager
Indiana Department of Transportation- Crawfordsville Office

¹ State employees have an affirmative duty under Ind. Code §5-14-3-10 to protect from disclosure and to refrain from relying upon information defined as confidential under Ind. Code §5-14-3-4.

Baker, Nathaniel P

From: Shelby, Kate
Sent: Monday, March 4, 2024 12:23 PM
To: Baker, Nathaniel P; Gorman, Sean M
Cc: Steele, Michele
Subject: INDOT notice of filing: COI disclosure and screen Paul Balaba
Attachments: COI Disclosure-Paul Balaba (INDOT)-signed.pdf; Paul Balaba COI screen.pdf

Mr. Gorman and Mr. Baker,
Attached, please find executed documents related to a conflict of interest screen and ethics disclosure for an employee at INDOT. Per the email below, Commissioner Smith was notified of these documents and the need for filing today.
Thanks,
Kate

Kate Shelby
Deputy Commissioner and Chief Legal Counsel
Indiana Department of Transportation
Central Office
Office: 855-463-6848
Email: kshelby@indot.in.gov
[Find us on social media!](#)



From: Shelby, Kate
Sent: Monday, March 4, 2024 12:22 PM
To: Smith, Michael J <Michael.Smith@indot.IN.gov>
Cc: Steele, Michele <MSteele@indot.IN.gov>
Subject: INDOT notice of filing: COI disclosure and screen

Commissioner Smith,
Attached, please find a conflict of interest screen and disclosure related to Paul Balaba, an INDOT employee. These documents will be filed with the State Ethics Commission shortly.
Thanks,

Kate Shelby
Deputy Commissioner and Chief Legal Counsel
Indiana Department of Transportation
Central Office
Office: 855-463-6848
Email: kshelby@indot.in.gov
[Find us on social media!](#)

