



ETHICS DISCLOSURE STATEMENT
CONFLICTS OF INTEREST – DECISIONS AND VOTING
 State Form 55860 (R / 10-16)
 OFFICE OF THE INSPECTOR GENERAL
 IC 4-2-6-9

INDIANA
 STATE ETHICS COMMISSION

AUG 4 2022

FILED

<p>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.</p>			
Name (last) Carpenter		Name (first) Patrick	
Name of office or agency Indiana Department of Transportation- Environmental Services		Job title Section 106 Specialist	
Address of office (number and street) 100 N Senate Ave		City Indianapolis	ZIP code 46204
Office telephone number (317) 416-7960		Office e-mail address (required) pacarpenter@indot.in.gov	
<p>Describe the conflict of interest: Patrick Carpenter is a Section 106 Specialist for the Indiana Department of Transportation- Environmental Services. Patrick Carpenter recently entered employment negotiations with Gray & Pape, Inc. Gray & Pape has a business relationship with INDOT, including active contracts with the Department. Patrick Carpenter's employment negotiations with Gray & Pape therefore 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. Patrick Carpenter is not subject to the mandatory cooling off period (IC 4-2-6-11(b)) with regard to Gray & Pape. Patrick Carpenter is subject to the particular matter restriction and will not assist future employers, including Gray & Pape, with any matter he personally and substantially participated in on behalf of INDOT. This disclosure was provided to Patrick Carpenter's appointing authority, Commissioner Michael J. Smith, on August 4, 2022. 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.</p>			

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

Formal screen was executed with INDOT's ethics officer preventing Patrick Carpenter from working with Gray & Pape, Inc. in his capacity as an INDOT employee. Said screen prohibits Patrick Carpenter from under taking any of his official duties or otherwise participating in any decision or vote, or matter related to such decision or vote, involving Gray & Pape, or in which Gray & Pape has an interest. Patrick Carpenter is further screened from assisting any future employer, including Gray & Pape, with any matter in which he personally and substantially participated in while employed by INDOT.

The screen was executed on August 4, 2022, 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

Patrick Carpenter

Date signed *(month, day, year)*

August 4, 2022

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

Patrick Carpenter

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

/s/ Christopher Serak

Date signed *(month, day, year)*

August 4, 2022

Printed full name of ethics officer

Christopher B. Serak

CONFLICT OF INTEREST SCREEN FOR PATRICK CARPENTER

August 4, 2022

I. RECITALS

WHEREAS, Patrick Carpenter is Section 106 Specialist for the Indiana Department of Transportation (“INDOT” or “Department”); and

WHEREAS, Patrick Carpenter has entered employment negotiations with Gray & Pape, Inc.; and

WHEREAS, Gray & Pape has a business relationship with INDOT, including active contracts; and

WHEREAS, as Section 106 Specialist for INDOT, it is possible that Patrick Carpenter could participate in matters in which Gray & Pape has an interest as part of his regular duties; and

WHEREAS, Patrick Carpenter’s employment negotiations with Gray & Pape created a potential decision and voting conflict of interest under IC 4-2-6-9 requiring disclosure and a formal screen; and

WHEREAS, Patrick Carpenter is subject to the particular matter restriction (IC 4-2-6-11(a)) and cannot assist future employers, including Gray & Pape, with any matter he personally and substantially participated in for INDOT; and

WHEREAS, Patrick Carpenter 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, Patrick Carpenter, Section 106 Specialist for INDOT, for his remaining tenure with INDOT, or until he discontinues employment negotiations with Gray & Pape, Inc., agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. Patrick Carpenter 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. Patrick Carpenter shall not participate in any decision or vote, or any matter related to such decision or vote, in which Gray & Pape, Inc. has a financial interest.
2. Patrick Carpenter is screened from participating in any present or future contract or other matter involving Gray & Pape, Inc..
3. Patrick Carpenter shall not assist any future employers, including Gray & Pape, Inc., 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, Patrick Carpenter 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 Gray & Pape, Inc. 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 Gray & Pape, Inc., 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 4th day of August 2022, by:

Patrick Carpenter

Patrick Carpenter, Section 106 Specialist
Indiana Department of Transportation- Environmental Services

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

To: Serak, Chris (INDOT)
Subject: RE: Executed COI Disclosure & Screen (Patrick Carpenter)

From: Serak, Chris (INDOT)
Sent: Thursday, August 4, 2022 11:20 AM
To: Smith, Michael J <Michael.Smith@indot.IN.gov>
Cc: Shelby, Kate <KShelby@indot.IN.gov>; Carpenter, Patrick A <PACarpenter@indot.IN.gov>
Subject: Executed COI Disclosure & Screen (Patrick Carpenter)

Commissioner Smith-

Pursuant to the notice requirements of Ind. Code 4-2-6-9(b), please find the attached conflict disclosure and internal screen executed by INDOT employee Patrick Carpenter. The disclosure and screen will be filed with the Indiana Ethics Commission in satisfaction of the same.

Please let me know if you have any questions.

Chris

Christopher B. Serak,
Director of Prequalification & Construction Compliance
Ethics Officer
Prequalification Committee (Chairman)
Selection Review Committee (Member)
Risk Advisory Board (Member)
Indiana Department of Transportation
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