



**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

FILED

FEB 1 2023

INDIANA STATE  
ETHICS COMMISSION

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) Carter	Name (first) Andrew	Name (middle)	
Name of office or agency Indiana Department of Transportation		Job title Construction Engineer	
Address of office (number and street) 3650 Old US Hwy 41		City Vincennes	ZIP code 47591
Office telephone number ( 812 ) 681-1457	Office e-mail address (required) D60CARTE@indot.IN.gov		

Describe the conflict of interest:  
Andrew Carter is a Construction Engineer for the Indiana Department of Transportation- Vincennes District.

Andrew Carter recently entered employment negotiations with CLR, Inc.

CLR has a business relationship with INDOT, including active contracts with the Department.

Andrew Carter's employment negotiations with CLR 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.

Andrew Carter is not subject to the mandatory cooling off period (IC 4-2-6-11(b)) with regard to CLR.

Andrew Carter is subject to the particular matter restriction and will not assist future employers, including CLR, with any matter he personally and substantially participated in on behalf of INDOT.

This disclosure was provided to Andrew Carter's appointing authority, Commissioner Michael J. Smith, on January 31, 2023.

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's ethics officer preventing Andrew Carter from working with CLR, Inc.

in his capacity as an INDOT employee. Said screen prohibits Andrew Carter 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 CLR,

or in which CLR has an interest. Andrew Carter is further screened from assisting any future employer,

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

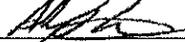
The screen was executed on January 31, 2023, a copy of which was sent to Commissioner Michael J. Smith along

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



Date signed *(month, day, year)*

January 31, 2023

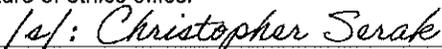
Printed full name of state officer, employee or special state appointee

Andrew Carter

**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)*

January 31, 2023

Printed full name of ethics officer

Christopher B. Serak

**CONFLICT OF INTEREST SCREEN FOR ANDREW CARTER**

January 31, 2023

**I. RECITALS**

WHEREAS, Andrew Carter is a Construction Engineer for the Indiana Department of Transportation (“INDOT” or “Department”); and

WHEREAS, Andrew Carter entered employment negotiations with CLR, Inc.; and

WHEREAS, CLR has a business relationship with INDOT, including active contracts; and

WHEREAS, as a Construction Engineer for INDOT, it is possible that Andrew Carter could participate in matters in which CLR has an interest as part of his regular duties; and

WHEREAS, Andrew Carter’s employment negotiations with CLR created a potential decision and voting conflict of interest under IC 4-2-6-9 requiring disclosure and a formal screen; and

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

WHEREAS, Andrew Carter 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.<sup>1</sup>

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

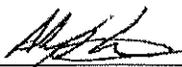
**II. CONFLICT OF INTEREST SCREEN**

1. Andrew Carter shall not participate in any decision or vote, or any matter related to such decision or vote, in which CLR has a financial interest.
2. Andrew Carter is screened from participating in any present or future contract or other matter involving CLR.
3. Andrew Carter shall not assist any future employers, including CLR, 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, Andrew Carter 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 CLR, 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 CLR, 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 31<sup>st</sup> day of January 2023, by:

  
\_\_\_\_\_  
Andrew Carter, Construction Engineer  
Indiana Department of Transportation

<sup>1</sup> 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

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**To:** Serak, Chris (INDOT)  
**Subject:** RE: Executed COI Disclosure & Screen (Andrew Carter)

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**From:** Serak, Chris (INDOT)  
**Sent:** Wednesday, February 1, 2023 8:27 AM  
**To:** Smith, Michael J <[Michael.Smith@indot.IN.gov](mailto:Michael.Smith@indot.IN.gov)>  
**Cc:** Shelby, Kate <[KShelby@indot.IN.gov](mailto:KShelby@indot.IN.gov)>; Carter, Andrew <[D60CARTE@indot.IN.gov](mailto:D60CARTE@indot.IN.gov)>  
**Subject:** Executed COI Disclosure & Screen (Andrew Carter)

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 Andrew Carter. 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*  
*ADA/Title VI*  
*Ethics Officer*  
*Prequalification Committee (Chairman)*  
*Selection Review Committee (Member)*  
**Indiana Department of Transportation**  
Office: (317) 234-2115  
Email: [chserak@indot.in.gov](mailto:chserak@indot.in.gov)  
Location: *IGCN, 100 N Senate, N658-PQ*