



**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

INDIANA
STATE ETHICS COMMISSION

MAR 8 2022

FILED

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) Scott	Name (middle) Albert
Name of office or agency Indiana Department of Transportation- Ft. Wayne District		Job title Project Supervisor
Address of office (number and street) 5333 Hatfield Road		City Ft. Wayne
		ZIP code 46808
Office telephone number (260) 222-3376	Office e-mail address (required) SCarter2@indot.IN.gov	

Describe the conflict of interest:
 Scott Carter is a Project Supervisor for the Indiana Department of Transportation (INDOT)- Ft. Wayne District.
 Scott Carter recently entered negotiations for employment with HWC Engineering, Inc. ("HWC").
 HWC has a business relationship with INDOT, including active contracts with the Department.
 Scott Carter's employment negotiations with HWC 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.
 Scott Carter is not subject to the mandatory cooling off period (IC 4-2-6-11(b)) with regard to HWC Engineering, Inc. Scott Carter is subject to the particular matter restriction and will not assist future employers, including HWC, with any matter he personally and substantially participated in on behalf of INDOT.
 This disclosure was provided to Scott Carter's appointing authority, Commissioner Mike Smith, on March 8, 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.

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

A formal screen was executed with INDOT's ethics officer preventing Scott Carter from working with HWC Engineering in his capacity as an INDOT employee. Said screen prohibits Scott 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 HWC, or in which HWC has an interest. Scott Carter is further screened from assisting any future employer, including HWC, with any matter in which he personally and substantially participated in while employed by INDOT.

The screen was executed on March 8, 2022, a copy of which was sent to Commissioner Mike 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

Scott A. Carter indot

Date signed *(month, day, year)*

March 8, 2022

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

Scott A. 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

/s/ Christopher Serak

Date signed *(month, day, year)*

March 8, 2022

Printed full name of ethics officer

Christopher B. Serak

CONFLICT OF INTEREST SCREEN FOR SCOTT CARTER

March 8, 2022

I. RECITALS

WHEREAS, Scott Carter is a Project Supervisor for the Indiana Department of Transportation- Ft. Wayne District (“INDOT” or “Department”); and

WHEREAS, Scott Carter has entered employment negotiations with HWC Engineering, Inc. (“HWC”); and

WHEREAS, HWC has a business relationship with INDOT; and

WHEREAS, as a Project Supervisor for INDOT, it is possible that Scott Carter could be assigned to work with HWC or to participate in matters in which the company has an interest as part of his regular duties; and

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

WHEREAS, Scott Carter is subject to the particular matter restriction under IC 4-2-6-11(a) and cannot assist future employers, including HWC, with any matter he personally and substantially participated in while employed by INDOT; and

WHEREAS, Scott 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.¹

NOW THEREFORE, Scott Carter, Project Supervisor for the INDOT Ft. Wayne District, for his remaining tenure with the Department, or until he discontinues employment negotiations with HWC Engineering, Inc., agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. Scott 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. Scott Carter shall not participate in any decision or vote, or any matter related to such decision or vote, in which HWC has a financial interest.
2. Scott Carter is screened from participating in any present or future contract or other matter involving HWC.
3. Scott Carter shall not assist any future employers, including HWC, 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, Scott 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 HWC Engineering, 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 HWC, 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 subject 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 8th day of March 2022, by:

Scott A. Carter indot

Scott Carter, Project Supervisor
Indiana Department of Transportation- Ft. Wayne District

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- Scott Carter

From: Serak, Chris (INDOT)
Sent: Tuesday, March 8, 2022 11:19 AM
To: Smith, Michael J <Michael.Smith@indot.IN.gov>
Cc: Kennedy, Heather <HKennedy@indot.IN.gov>; Carter, Scott (INDOT) <SCarter2@indot.IN.gov>
Subject: Executed COI Disclosure & Screen- Scott 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 employee Scott Carter. The disclosure will be filed with the Indiana Ethics Commission in satisfaction of the same.

Please let me know if you have any questions.

Thank you.

Chris

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