



**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

MAY 2 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) Duncan	Name (first) Mallory	Name (middle)
Name of office or agency Indiana Department of Transportation		Job title Strategic Communications Director
Address of office (number and street) 100 N. Senate Ave.		City Indianapolis
Office telephone number (317) 452-2369		ZIP code 46204
Office e-mail address (required) MaDuncan@indot.IN.gov		

Describe the conflict of interest:
Mallory Duncan is a Strategic Communications Director for the Indiana Department of Transportation (INDOT).
Mallory Duncan recently entered employment negotiations with HNTB Corporation ("HNTB").
HNTB has a business relationship with INDOT, including active contracts with the Department.
Mallory Duncan's employment negotiations with HNTB 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.
Mallory Duncan is not subject to the mandatory cooling off period (IC 4-2-6-11(b)) as Strategic Communications Director.
Mallory Duncan is subject to the particular matter restriction and will not assist future employers, including HNTB, with any matter she personally and substantially participated in on behalf of INDOT.
This disclosure was provided to Mallory Duncan's appointing authority, Commissioner Michael J. Smith, on May 2, 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.)*

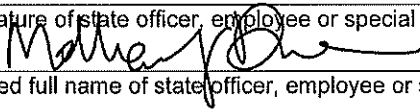
A formal screen was executed with INDOT's ethics officer preventing Mallory Duncan from working with HNTB Corporation in her capacity as an INDOT employee. Said screen prohibits Mallory Duncan from under taking any of her official duties or otherwise participating in any decision or vote, or matter related to such decision or vote, involving HNTB, or in which HNTB has an interest. Mallory Duncan is further screened from assisting any future employer, including HNTB, with any matter in which she personally and substantially participated in while employed by INDOT.

The screen was executed on May 2, 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



Date signed (month, day, year)

May 2, 2022

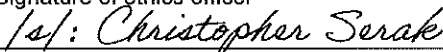
Printed full name of state officer, employee or special state appointee

Mallory Duncan

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)

May 2, 2022

Printed full name of ethics officer

Christopher B. Serak

CONFLICT OF INTEREST SCREEN FOR MALLORY DUNCAN

May 2, 2022

I. RECITALS

WHEREAS, Mallory Duncan is Strategic Communications Director for the Indiana Department of Transportation (“INDOT” or “Department”); and

WHEREAS, Mallory Duncan has entered employment negotiations with HNTB Corporation (“HNTB”); and

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

WHEREAS, as Strategic Communications Director for INDOT, it is possible that Mallory Duncan could participate in matters in which HNTB has an interest as part of her regular duties; and

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

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

WHEREAS, Mallory Duncan may have obtained confidential information in the course of her 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 herself or future employers.¹

NOW THEREFORE, Mallory Duncan, Strategic Communications Director for INDOT, for her remaining tenure with INDOT, or until she discontinues employment negotiations with HNTB Corporation, agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. Mallory Duncan must adhere to terms three (3) and four (4) regarding the particular matter restriction and confidential information in perpetuity.

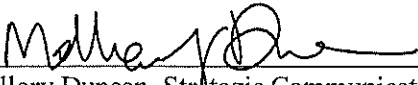
II. CONFLICT OF INTEREST SCREEN

1. Mallory Duncan shall not participate in any decision or vote, or any matter related to such decision or vote, in which HNTB has a financial interest.
2. Mallory Duncan is screened from participating in any present or future contract or other matter involving HNTB.
3. Mallory Duncan shall not assist any future employers, including HNTB, with any matter she personally and substantially participated in while employed by INDOT. This restriction applies in perpetuity, for the life of the particular matter.
4. Pursuant to her duty under Ind. Code §5-14-3-10, Mallory Duncan 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 HNTB Corporation 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 HNTB, 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 2nd day of May 2022, by:



Mallory Duncan, Strategic Communications Director
Indiana Department of Transportation

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 (Mallory Duncan)

From: Serak, Chris (INDOT)
Sent: Monday, May 2, 2022 12:41 PM
To: Smith, Michael J <Michael.Smith@indot.IN.gov>
Cc: Creighton, Chris (INDOT) <CCreighton@indot.IN.gov>; Duncan, Mallory <MaDuncan@indot.IN.gov>
Subject: Executed COI Disclosure & Screen (Mallory Duncan)

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 Mallory Duncan. 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)
Indiana Department of Transportation
Office: (317) 234-2115
Email: chserak@indot.in.gov
Location: *IGCN, 100 N Senate, N658-PQ*