

AUG 26 2022

FILED



**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) Estelle	Name (first) Kevin	Name (middle)	
Name of office or agency Indiana Department of Transportation- Greenfield District		Job title Highway Technician	
Address of office (number and street) 32 S Broadway St		City Greenfield	ZIP code 46140
Office telephone number (765) 745-1715		Office e-mail address (required) kestelle@indot.in.gov	

Describe the conflict of interest:
Kevin Estelle is a Highway Technician for the Indiana Department of Transportation- Greenfield District.

Kevin Estelle recently entered employment negotiations with Resolution Group, Inc.

Resolution Group, Inc. has a business relationship with INDOT, including active contracts with the Department.

Kevin Estelle's employment negotiations with Resolution Group 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.

Kevin Estelle is not subject to the mandatory cooling off period (IC 4-2-6-11(b)) with regard to Resolution Group, Inc.

Kevin Estelle is subject to the particular matter restriction and will not assist future employers, including Resolution Group, with any matter he personally and substantially participated in on behalf of INDOT.

This disclosure was provided to Kevin Estelle's appointing authority, Commissioner Michael J. Smith, on August 26, 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.)*

Formal screen was executed with INDOT's ethics officer preventing Kevin Estelle from working with Resolution Group, Inc.

In his capacity as an INDOT employee. Said screen prohibits Kevin Estelle 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 Resolution Group, or in which Resolution Group has an interest. Kevin Estelle is further screened from assisting any future employer, including Resolution Group, with any matter in which he personally and substantially participated in while employed by INDOT.

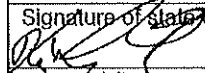
The screen was executed on August 26, 2022, a copy of which was sent to Commissioner Michael J. Smith along with this disclosure.

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)*



August 26, 2022

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

Kevin Estelle

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)*



August 26, 2022

Printed full name of ethics officer

Christopher B. Serak

CONFLICT OF INTEREST SCREEN FOR KEVIN ESTELLE

August 26, 2022

I. RECITALS

WHEREAS, Kevin Estelle is a Highway Technician for the Indiana Department of Transportation- Greenfield District ("INDOT" or "Department"); and

WHEREAS, Kevin Estelle has entered employment negotiations with Resolution Group, Inc.; and

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

WHEREAS, as a Highway Technician for INDOT, it is possible that Kevin Estelle could participate in matters in which Resolution Group has an interest as part of his regular duties; and

WHEREAS, Kevin Estelle's employment negotiations with Resolution Group created a potential decision and voting conflict of interest under IC 4-2-6-9 requiring disclosure and a formal screen; and

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

WHEREAS, Kevin Estelle 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, Kevin Estelle, Highway Technician for INDOT- Greenfield District, for his remaining tenure with INDOT, or until he discontinues employment negotiations with Resolution Group, Inc., agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. Kevin Estelle must adhere to terms three (3) and four (4) regarding the particular matter restriction and confidential information in perpetuity.

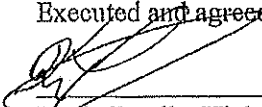
II. CONFLICT OF INTEREST SCREEN

1. Kevin Estelle shall not participate in any decision or vote, or any matter related to such decision or vote, in which Resolution Group, Inc. has a financial interest.
2. Kevin Estelle is screened from participating in any present or future contract or other matter involving Resolution Group, Inc.
3. Kevin Estelle shall not assist any future employers, including Resolution Group, 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, Kevin Estelle 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 Resolution Group, 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 Resolution Group, 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 26th day of August 2022, by:



Kevin Estelle, Highway Technician
Indiana Department of Transportation- Greenfield 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 (Kevin Estelle)

From: Serak, Chris (INDOT)
Sent: Friday, August 26, 2022 12:27 PM
To: Smith, Michael J <Michael.Smith@indot.IN.gov>
Cc: Shelby, Kate <KShelby@indot.IN.gov>; Estelle, Kevin L. <kestelle@indot.in.gov>; Nahrwold, David Andrew <ANAHRWOLD@indot.IN.gov>
Subject: Executed COI Disclosure & Screen (Kevin Estelle)

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 Kevin Estelle. 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
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Location: *IGCN, 100 N Senate, N658-PQ*