

OCT 24 2024

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.

Page 1 of 2

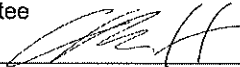
Describe the screen established by your ethics officer: (Attach additional pages as needed.)

Please see attached screening protocols

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)

10/24/2024

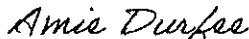
Printed full name of state officer, employee or special state appointee

Christopher Ray Henderson

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)

10/24/2024

Printed full name of ethics officer

Amie Durfee

**CONFLICT OF INTEREST SCREENING PROTOCOLS
FOR CHRIS HENDERSON
FROM MATTERS INVOLVING RSM US LLP**

I. NARRATIVE

Chris Henderson (Henderson) serves as the Chief Information Officer (CIO) for the Indiana Department of Workforce Development (DWD). Henderson is accountable for the technology direction of DWD and acts as the steward of the technology staff and resources. Henderson functionally manages a team of technologists comprised of state employees and contractors and represents those functions in DWD's leadership meetings. Henderson's immediate supervisor is the Chief Financial Officer (CFO) of DWD. At times, Henderson acts as an advisor or evaluator for procurements for DWD in his duties as CIO.

RSM US LLP (RSM) is an assurance, tax, and consulting services firm. RSM seeks to do business with the State of Indiana and DWD. RSM has not done any business with DWD directly, and there are no active decisions or votes being considered by DWD in which RSM is known to have a financial stake. However, RSM has done business with the State of Indiana and may bid or respond to procurement opportunities that are issued by DWD or involve DWD. Henderson may be in a position to act as an advisor or evaluator for these procurement opportunities in his duties as CIO for DWD. RSM has contacted Henderson to gauge Henderson's interest in being employed by RSM in the future. Out of an abundance of caution, DWD will implement screening protocols to avoid any potential conflicts of interest for Henderson with RSM in his duties as DWD CIO.

To prevent any conflict of interest, Henderson must follow the screening protocols outlined in this document.

II. SCREENING PROTOCOLS

DWD will institute the following protocols to ensure Henderson is screened from any potential conflicts of interest relating to RSM.

If Henderson's immediate supervisor becomes aware of a matter or decision regarding RSM, Henderson's immediate supervisor shall:

1. Inform DWD's Ethics Officer of the decision or matter, and any potential conflicts of interest.
2. Remind Henderson of these protocols.
3. Ensure Henderson is not assigned to any matters involving the decision or matter, or any decision or matter competing therewith.
4. Refrain from consulting or otherwise discussing with Henderson any matters involving the matter or decision, or any matter or decision competing therewith.
5. Immediately report any breach of these protocols to DWD's Ethics Officer.

If Henderson becomes aware of a matter or decision regarding RSM, Henderson shall:

1. Inform both his immediate supervisor and DWD's Ethics Officer of the matter or decision, and any potential conflicts of interest.
2. Refrain from any involvement in the matter or decision, or any matter or decision competing therewith.
3. Refrain from consulting or otherwise discussing with any individual any matters involving the matter or decision, or any matter or decision competing therewith.
4. Refrain from accessing any documents, files, or correspondence that are not subject to public access and related to any matters involving the matter or decision, or any matter or decision competing therewith.
5. Immediately report any breach of these protocols to DWD's Ethics Officer.


Within thirty (30) days of the date of the last signature of this document, all signatories shall review these protocols to ensure they have been followed and determine if the circumstances have changed to make these protocols no longer necessary. This screen will remain in place until the sooner of (a) Henderson ceasing employment negotiations with RSM or (b) Henderson leaving employment with DWD.

III. Affirmation

I have read and understand the foregoing protocols, and will in all ways follow, adhere to, and satisfy the foregoing protocols.


10/24/2024

Date


Chris Henderson
Chief Information Officer

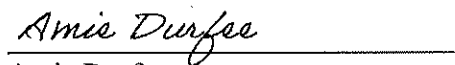
10/24/2024

Date


Mike Smith
Chief Financial Officer

10/24/2024

Date


Amie Durfee
Ethics Officer

Baker, Nathaniel P

From: Henderson, Chris
Sent: Tuesday, October 22, 2024 11:32 AM
To: Paulk, Richard; Durfee, Amie
Cc: Green, Elizabeth C; Smith, Mike (DWD)
Subject: Notice of Potential Conflict of Interest (IC 4-2-6-9)

Commissioner Paulk and Agency Ethics Officer Durfee:

I must inform you of a potential conflict of interest under IC 4-2-6-9. I have been contacted by a tax, audit, and consulting firm to gauge my interest in joining their firm in the future. The firm is RSM US LLP. While I have not engaged in negotiating employment or had a formal interview with the firm, I have been advised by the Office of the Inspector General that any "back-and-forth exchange" related to employment requires disclosure and may constitute a potential conflict of interest regarding decisions and voting. As far as I am aware, RSM has not done any business with DWD directly and there are no decisions or votes under consideration in which they would have a financial stake. However, they do seek to do business with the State and DWD in the future. Out of an abundance of caution, I wanted to bring this to your attention and allow for any and all appropriate steps to be put in place to avoid any potential of a conflict of interest.

I have already sought an informal advisory opinion from the Office of the Inspector General which prompted me to provide this written notification to you both and have provided that confidential inquiry in its entirety to Amie. I will work with Amie to draft an appropriate ethics disclosure statement as required by the Office of the Inspector General and comply with any screen deemed appropriate by DWD.

CRH



Chris Henderson
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