



**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

AUG 24 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) Howder	Name (first) Lucas	Name (middle)	
Name of office or agency Indiana Department of Transportation- Vincennes District		Job title Project Supervisor	
Address of office (number and street) 3650 South U.S. Highway 41		City Vincennes	ZIP code 47591
Office telephone number (812) 582-0352	Office e-mail address (required) LHowder@indot.IN.gov		

Describe the conflict of interest:
Lucas Howder is a Project Supervisor for the Indiana Department of Transportation- Vincennes District.

Lucas Howder recently accepted employment with HNTB Corporation ("HNTB"), a company that has a business relationship with INDOT, including active contracts with the Department. Lucas Howder'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.

As a Project Supervisor, Lucas Howder is not subject to the mandatory cooling off period (IC 4-2-6-11(b)). Lucas Howder is subject to the particular matter restriction and may not assist any future employers, including HNTB, with any matter he personally and substantially participated in on behalf of INDOT.

This disclosure was provided to Mr. Howder's appointing authority, Commissioner Michael J. Smith, on August 20, 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 has executed with INDOT ethics officer preventing Lucas Howder from working with HNTB

in his capacity as an INDOT employee. Said screen prohibits Lucas Howder from exercising any of his 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. Lucas Howder is further screened from assisting any future employer,

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

The screen was executed on August 20 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

Lucas Howder

Date signed (month, day, year)

August 20, 2023

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

Lucas Howder

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

cf: Christopher B. Serak

Date signed (month, day, year)

August 20, 2023

Printed full name of ethics officer

Christopher B. Serak

CONFLICT OF INTEREST SCREEN FOR LUCAS HOWDER

August 20, 2023

I. RECITALS

WHEREAS, Lucas Howder is a Project Supervisor for the Indiana Department of Transportation- Vincennes District ("INDOT" or "Department"); and

WHEREAS, Lucas Howder recently accepted employment with HNTB Corporation; and

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

WHEREAS, as Project Supervisor for INDOT, it is possible that Lucas Howder could participate in matters in which HNTB has an interest as part of his regular duties; and

WHEREAS, Lucas Howder'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, in his role as Project Supervisor it is possible that Lucas Howder could be assigned to contracts and other matters in which HNTB has an interest and needs to be proactively screened from participation in any matter in which HNTB has an interest; and

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

WHEREAS, Lucas Howder 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.

NOW THEREFORE, Lucas Howder, Project Supervisor for INDOT, for his remaining tenure with INDOT, or until he 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. Lucas Howder 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. Lucas Howder 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. Lucas Howder is screened from participating in any present or future contract or other matter involving HNTB.
3. Lucas Howder shall not assist future employers, including HNTB, with

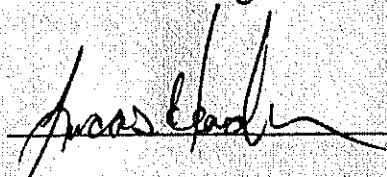
any matter he personally and substantially participated in as an INDOT employee. This restriction applies for the life of the matter.

4. Pursuant to his duty under Ind. Code §5-14-3-10, Lucas Howder 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 20th day of August 2023, by:



Lucas Howder, Project Supervisor
Indiana Department of Transportation- Vincennes District

Baker, Nathaniel P

To: Serak, Chris (INDOT)
Subject: RE: Executed COI Disclosure & Screen (Lucas Howder)

From: Serak, Chris (INDOT)
Sent: Thursday, August 24, 2023 12:09 PM
To: Smith, Michael J <Michael.Smith@indot.IN.gov>
Cc: Shelby, Kate <KShelby@indot.IN.gov>; Howder, Lucas F <LHowder@indot.IN.gov>
Subject: Executed COI Disclosure & Screen (Lucas Howder)

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 Lucas Howder. 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 & 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
Location: *IGCN, 100 N Senate, N758-PQ*