



**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

MAR 15 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) Mathas	Name (first) Marlene	Name (middle)	
Name of office or agency Indiana Department of Transportation		Job title Major Project/LPA Review Liaison	
Address of office (number and street) 100 N. Senate Ave.		City Indianapolis	ZIP code 46204
Office telephone number (317) 694-8284	Office e-mail address (required) MMathas@indot.IN.gov		

Describe the conflict of interest:
 Marlene Mathas is a Major Project/LPA Review Liaison for the Indiana Department of Transportation (INDOT).
 Marlene Mathas recently entered negotiations for employment with SESCO Group (SESCO).
 SESCO Group has a business relationship with INDOT, including active contracts with the Department.
 Marlene Mathas' employment negotiations with SESCO 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.
 Marlene Mathas is not subject to the mandatory cooling off period (IC 4-2-6-11(b)) with SESCO Group.
 Marlene Mathas is subject to the particular matter restriction and will not assist future employers, including SESCO Group, with any matter she personally and substantially participated in on behalf of INDOT.
 This disclosure was provided to Marlene Mathas' appointing authority, Commissioner Mike Smith, on March 15, 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 Marlene Mathas from working with SESCO Group in her capacity as an INDOT employee. Said screen prohibits Marlene Mathas 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 SESCO Group, or in which SESCO Group has an interest. Marlene Mathas is further screened from assisting any future employer, including SESCO, with any matter in which she personally and substantially participated in while employed by INDOT.

The screen was executed on March 15, 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

Marlene Mathas

Date signed *(month, day, year)*

March 15, 2022

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

Marlene Mathas

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 15, 2022

Printed full name of ethics officer

Christopher B. Serak

CONFLICT OF INTEREST SCREEN FOR MARLENE MATHAS

March 15, 2022

I. RECITALS

WHEREAS, Marlene Mathas is a Major Project/LPA Review Liaison for the Indiana Department of Transportation (“INDOT” or “Department”); and

WHEREAS, Marlene Mathas has entered employment negotiations with SESCO Group (“SESCO”); and

WHEREAS, SESCO has a business relationship with INDOT; and

WHEREAS, as a Major Project/LPA Review Liaison for INDOT, it is possible that Marlene Mathas could be assigned to work with SESCO or to participate in matters in which the company has an interest as part of her regular duties; and

WHEREAS, Marlene Mathas’ employment negotiations with SESCO created a potential decision and voting conflict of interest under IC 4-2-6-9 requiring disclosure and a formal screen; and

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

WHEREAS, Marlene Mathas 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, Marlene Mathas, Major Project/LPA Review Liaison for INDOT, for her remaining tenure with the Department, or until she discontinues employment negotiations with SESCO Group, agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. Marlene Mathas 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. Marlene Mathas shall not participate in any decision or vote, or any matter related to such decision or vote, in which SESCO Group has a financial interest.
2. Marlene Mathas is screened from participating in any present or future contract or other matter involving SESCO.
3. Marlene Mathas shall not assist any future employers, including SESCO, 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, Marlene Mathas 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 SESCO Group 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 SESCO Group, 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 15th day of March 2022, by:

Marlene Mathas Digitally signed by Marlene Mathas
Date: 2022.03.15 07:58:11 -04'00'

Marlene Mathas, Major Project/LPA Review Liaison
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- Marlene Mathas

From: Serak, Chris (INDOT)
Sent: Tuesday, March 15, 2022 9:22 AM
To: Smith, Michael J <Michael.Smith@indot.IN.gov>
Cc: Kennedy, Heather <HKennedy@indot.IN.gov>; Mathas, Marlene <MMathas@indot.IN.gov>
Subject: Executed COI Disclosure & Screen- Marlene Mathas

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 Marlene Mathas. 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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