

INDIANA  
STATE ETHICS COMMISSION

MAY 13 2019

FILED



**ETHICS DISCLOSURE STATEMENT  
CONFLICTS OF INTEREST – DECISIONS AND VOTING**  
State Form 55060 (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) England	Name (first) Katie	Name (middle)
Name of office or agency Indiana Department of Transportation- Greenfield District		Job title Director of Capital Program Management
Address of office (number and street) 32 S Broadway St		City Greenfield
		ZIP code 46140
Office telephone number ( 317 ) 467-3975	Office e-mail address (required) kengland1@indot.IN.gov	

Describe the conflict of interest:  
Katie England is the Director of Capital Program Management for the Greenfield District of the Indiana Department of Transportation (INDOT). Ms. England was recently offered a position with Butler Fairman & Seufert Inc. ("BF&S"). BF&S has a business relationship with INDOT, including ongoing contracts with the Department. As such, Ms. England's employment negotiations with BF&S 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.  
Ms. England has not worked with BF&S in her capacity with INDOT and is therefore not subject to the mandatory cooling off period with regard to the firm.

This disclosure was provided to the employee's appointing authority, INDOT Commissioner Joe McGuinness, on May 10, 2019. Evidence of said disclosure to Commissioner McGuinness 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.

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

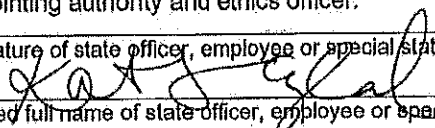
A formal screen was executed with INDOT's ethics officer preventing Katie England from participating in any decision or vote, or matter related to such decision or vote, involving Butler Fairman & Seufert Inc., or in which the firm has a financial interest.

The screen was executed on May 10, 2019, a copy of which was sent to Commissioner Joe McGuinness along with this disclosure on the same date.

**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)  
5/9/2019

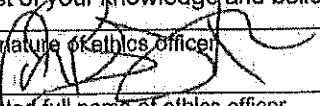
Printed full name of state officer, employee or special state appointee

Katie England

**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)  
5/9/2019

Printed full name of ethics officer

Christopher B. Serak

**CONFLICT OF INTEREST SCREEN FOR KATIE ENGLAND**

May 10, 2019

**I. RECITALS**

WHEREAS, Katie England is the Director of Capital Program Management for the Greenfield District of the Indiana Department of Transportation (INDOT); and

WHEREAS, Katie England has recently entered employment negotiations with Butler Fairman & Seufert Inc. ("BF&S"); and

WHEREAS, BF&S has a business relationship with INDOT and active contracts with the Department; and

WHEREAS, in her capacity with INDOT, Katie England could be assigned to matters in which BF&S has an interest; and

WHEREAS, the employment negotiations commenced between BF&S and Katie England created a potential decisions and voting conflict under IC 4-2-6-9, requiring a formal screen to prevent the employee from working with BF&S in her capacity with INDOT.

NOW THEREFORE, Katie England, Director of Capital Program Management for the INDOT Greenfield District, for the duration of her employment with INDOT or until the termination of her negotiations with Butler Fairman & Seufert Inc. ("BF&S"), whichever occurs first, agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen.

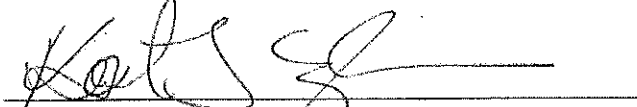
**II. CONFLICT OF INTEREST SCREEN**

1. Katie England shall not participate in any decision or vote, or any matter related to such decision or vote, in which BF&S has a financial interest.
2. Katie England should be screened from participating in any present or future contract, agreement, or other collaborative venture between INDOT and BF&S.

**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 Butler Fairman & Seufert Inc. ("BF&S") has a financial interest. I have shared and discussed this Conflict of Interest Screen and its requirements with my supervisor. I understand that this screen shall be effective for the duration of my employment with INDOT or until I terminate employment negotiations with the subject firm, whichever occurs first.

Executed and agreed this 10<sup>th</sup> day of May, 2019, by:



Katie England, Director of Capital Program Management  
Indiana Department of Transportation- Greenfield District



## Cooper, Jennifer

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**From:** Serak, Chris (INDOT)  
**Sent:** Monday, May 13, 2019 9:09 AM  
**To:** Cooper, Jennifer  
**Cc:** England, Katherine; Grand, Alison  
**Subject:** FW: Executed Conflict Disclosure  
**Attachments:** Signed CI Disclosure- Katie England.pdf; Signed Conflict Screen- K. England (INDOT).pdf

**Follow Up Flag:** Follow up  
**Flag Status:** Flagged

Jen-

Please find the below communication to INDOT Commissioner Joe McGuinness, containing the signed internal screen for employee, Katie England. This screen was executed on May 10, 2019, and is attached to supplement the disclosure submitted on that same date. A copy of the signed disclosure is also attached hereto.

Thank you,

Chris

**Christopher B. Serak,**  
*Prequalification Director*  
*Ethics Officer*  
*Prequalification Committee Chairman*  
*Selection Review Committee Member*  
**Indiana Department of Transportation**  
**Office:** (317) 234-2115  
**Cell:** (317) 440-9868  
**Email:** [chserak@indot.in.gov](mailto:chserak@indot.in.gov)

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**From:** Serak, Chris (INDOT)  
**Sent:** Monday, May 13, 2019 9:04 AM  
**To:** McGuinness, Joe <JMcGuinness@indot.IN.gov>  
**Cc:** Grand, Alison <AGrand@indot.in.gov>; England, Katherine <KEngland1@indot.IN.gov>  
**Subject:** RE: Executed Conflict Disclosure

Commissioner McGuinness-

Pursuant to the requirements of Ind. Code 4-2-6-9, please find the attached Conflict Screen executed by employee, Katie England, on May 10, 2019. This is being provided to supplement the previously submitted disclosure, also attached hereto. This screen shall prevent Ms. England from working with BF&S for the remaining duration of her employment with INDOT. The employee has no ongoing matters with BF&S and has never worked directly with the firm in the past. Therefore the screen is a preventative measure, to avoid potential conflicts over Ms. England's remaining tenure with the Department.

Thank you,

Chris

**Christopher B. Serak,**  
*Prequalification Director*  
*Ethics Officer*  
*Prequalification Committee Chairman*  
*Selection Review Committee Member*  
**Indiana Department of Transportation**  
Office: (317) 234-2115  
Cell: (317) 440-9868  
Email: [chserak@indot.in.gov](mailto:chserak@indot.in.gov)

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**From:** Serak, Chris (INDOT)  
**Sent:** Friday, May 10, 2019 6:25 PM  
**To:** McGuinness, Joe <[JMcGuinness@indot.IN.gov](mailto:JMcGuinness@indot.IN.gov)>  
**Cc:** Grand, Alison <[AGrand@indot.in.gov](mailto:AGrand@indot.in.gov)>; England, Katherine <[KEngland1@indot.IN.gov](mailto:KEngland1@indot.IN.gov)>  
**Subject:** Executed Conflict Disclosure

Commissioner McGuinness-

Pursuant to the notice requirements of Ind. Code 4-2-6-9(b), please find the attached conflict disclosure executed by employee Katie England. The disclosure will be filed with the Indiana Ethics Commission in satisfaction of the same. An internal screen preventing Ms. England from working with BF&S during the duration of her employment with INDOT has also been executed and will be provided in short order.

Please let me know if you have any questions.

Thank you.

Chris

**Christopher B. Serak,**  
*Prequalification Director*  
*Ethics Officer*  
*Prequalification Committee Chairman*  
*Selection Review Committee Member*  
**Indiana Department of Transportation**  
Office: (317) 234-2115  
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