



**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

INDIANA  
STATE ETHICS COMMISSION  
  
FEB 28 2017  
  
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) Gargano	Name (first) Michael	Name (middle) Anthony
Name of office or agency Family and Social Services Administration		Job title Deputy Secretary and Chief of Staff
Address of office (number and street) 402 W. Washington Street, Room W461		City Indianapolis
Office telephone number ( 317 ) 234-6309	Office e-mail address (required) michael.gargano@fssa.in.gov	
Address of office (ZIP code) 46204		

Describe the conflict of interest:  
Before rejoining the State on January 30, 2017, I provided consulting services to Maximus, a FSSA vendor, from April 5, 2016 through December 21, 2016. I was engaged by Maximus to provide business support, technical and management assistance, and assist with certain formatting and clarifying language analyses related to Maximus' response to FSSA's RFP 16-102. Adrienne Shields, the Division of Family Resources (DFR) Director and I approached Allison Taylor in her official capacity as FSSA's Ethics Officer to ensure this situation is addressed ethically and transparently. Based upon Allison Taylor's understanding of the facts, she believes a simple screen is all that is needed in this case. Further details and explanation can be found in the accompanying letter to FSSA Secretary, Dr. Jennifer Walthall.

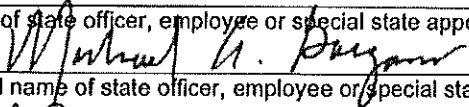
Describe the screen established by your ethics officer: *(Attach additional pages as needed.)*

The DFR Director and FSSA Ethics Officer propose I be entirely screened from any remaining process processes related to this RFP. Additional information is provided in the accompanying letter to FSSA Secretary Dr. Jennifer Walthall.

**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)

2-27-17

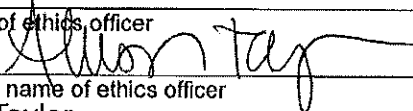
Printed full name of state officer, employee or special state appointee

Michael A. Gargano

**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)

2-27-17

Printed full name of ethics officer

Allison Taylor



Eric Holcomb, Governor  
State of Indiana

*Office of General Counsel*  
402 W. WASHINGTON STREET, ROOM W451, MS27  
INDIANAPOLIS, IN 46204-2744

Jennifer Walthall, Secretary  
Indiana Family and Social Services Administration  
400 W Washington St., W461  
Indianapolis, Indiana 46204

February 25, 2017

**Re: Notice of Screen for Michael Gargano relating to FSSA RFP 16-102**

Dear Dr. Walthall:

Thank you for discussing this issue with FSSA's Ethics Officer Allison Taylor and me on February 24, 2017. Please allow this letter to serve as official notice to you, in your capacity as the appointing authority for FSSA, of a potential conflict of interest we are addressing via the screen below. Before rejoining the State, I provided consulting services to Maximus, a FSSA vendor, from April 5, 2016 through December 21, 2016. I was engaged by Maximus to provide business support, technical and management assistance, and to assist with certain formatting and clarifying language analyses related to Maximus' response to FSSA's RFP 16-102 (the "RFP"). Adrienne Shields, the Division of Family Resources (DFR) Director and I approached Allison Taylor in her official capacity as Ethics Officer to ensure this situation is addressed ethically and transparently. Based upon Allison Taylor's understanding of the facts, she believes a simple screen is all that is needed in this case. Please allow me to explain below.

I was the Deputy Secretary to FSSA until November, 2015, when at this time, I returned to the private sector as a consultant. I obtained a formal ethics opinion regarding the same. During my prior tenure with FSSA, the DFR Director indicated to FSSA's Ethics Officer I was generally aware the RFP would soon be under development and that the RFP would contain three (3) areas of focus. I had ended my employment with FSSA by the time any of the actual documents (including Scope of Work) were developed and the RFP at issue was released nearly six (6) months later on April 26, 2016. Additionally, the three (3) focus areas were further solidified by DFR after my departure and were made available equally to all the bidders. The DFR Director indicated with confidence to FSSA's Ethics Officer that I had no input or information regarding the selection of the evaluation team, the timing, the scoring, etc. of the RFP. As such, I did not have insider information that would have been beneficial to any RFP bidder. I only had access to the same publicly available information regarding the specifications of the RFP (available through the Indiana Department of Administration) as was available to other members of the



public. It is also notable that during my prior term as Deputy Secretary, I did not negotiate or administer the contract Maximus had with the State for enrollment broker services.

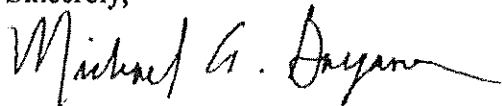
After leaving State government in November, 2015 and during my private sector endeavors, I was retained by Maximus who was bidding on the RFP, to provide the consulting services noted above. My contract ran from April 5, 2016 to January 14, 2017, although my services ended on December 21, 2016.

Furthermore, upon leaving FSSA in November, 2015, I had *zero* expectation of ever returning to the State for employment. I have assured FSSA's Ethics Officer that I did not provide confidential information to Maximus obtained from my previous positions with the State (and as indicated above, the DFR Director is confident that I was not privy to any confidential or insider information regarding the RFP). Instead, I assured FSSA's Ethics Officer that I simply reviewed some portions of Maximus' RFP response for clarity and formatting issues. I would review proposed responses and ask Socratic questions to get Maximus to fully think through providing a comprehensive response to the RFP. My assistance to Maximus largely focused on helping Maximus to clearly articulate its services and abilities, and had nothing to do with outward facing endeavors, like lobbying the administration or discussing with external stakeholders. My focus was solely on coaching Maximus in ways to best articulate the services it provides.

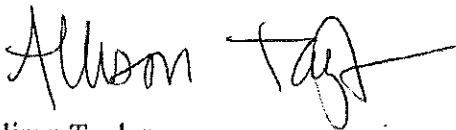
After my return to FSSA, as soon as I became aware the RFP process was still underway, the DFR Director and I met with FSSA's Ethics Officer to discuss. At this point in time, DFR and FSSA have completed all orals and each team is in the final phase of scoring. **Since my return, I have not been involved in, nor have I had any input into the final scoring or selection process of the RFP. The DFR Director and FSSA's Ethics Officer propose that I be entirely screened from any remaining processes relating to this RFP.** The DFR Director and FSSA Ethics Officer believe this screen will be sufficient to ensure I am not involved in this RFP process. Notably, DFR is in the process of preparing for the final announcement of the winning bidder in early March 2017. I will be shielded until after the announcement.

If you have any questions or need additional information please contact me.

Sincerely,



Michael A. Gargano  
Deputy Secretary and Chief of Staff, FSSA



Allison Taylor  
Ethics Officer, FSSA