

INDIANA
STATE ETHICS COMMISSION

APR 22 2019



**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

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) Ross	Name (first) Anthony	Name (middle)	
Name of office or agency Indiana Department of Transportation		Job title Historian	
Address of office (number and street) 100 N Senate Ave		City Indianapolis	ZIP code 46204
Office telephone number (317) 234-0142		Office e-mail address (required) aross3@indot.IN.gov	

Describe the conflict of interest:
 Anthony Ross is an Historian for the Indiana Department of Transportation (INDOT), Cultural Resources Office.
 Mr. Ross was recently approached by ASC Group, Inc. ("ASC") regarding employment opportunities with the firm.
 ASC has a business relationship with INDOT, including ongoing contracts with the Department.
 As such, Mr. Ross' employment negotiations resulted in 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.
 Mr. Ross is not otherwise subject to the mandatory cooling off period with regard to ASC.
 This disclosure was provided to the employee's appointing authority, INDOT Commissioner Joe McGuinness, on April 22, 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.)*

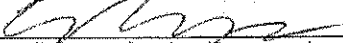
A formal screen was executed with INDOT's ethics officer preventing Anthony Ross from participating in any decision or vote, or matter related to such decision or vote, involving ASC Group, Inc. ("ASC"), or in which the firm has a financial interest. The only exceptions apply to Des. Nos. 1592385 and 1600808, which Mr. Ross will continue to assist with under the close direction of his supervisor.

The screen was executed on April 22, 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)

4/22/2019

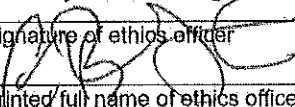
Printed full name of state officer, employee or special state appointee

Anthony Ross

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)

4/22/19

Printed full name of ethics officer

Christopher B. Serak

CONFLICT OF INTEREST SCREEN FOR ANTHONY ROSS

April 22, 2019

I. RECITALS

WHEREAS, Anthony Ross is an Historian for the Indiana Department of Transportation (INDOT), Cultural Resources Office; and

WHEREAS, Anthony Ross has recently entered employment negotiations with ASC Group, Inc. ("ASC"); and

WHEREAS, ASC has a business relationship with INDOT and active contracts with the Department; and

WHEREAS, as an Historian, Anthony Ross has reviewed and helped supervise ASC's work on several INDOT projects; and

WHEREAS, Anthony Ross could be assigned additional such duties on future ASC contracts in his position with INDOT; and

WHEREAS, the employment negotiations commenced between ASC and Anthony Ross creates a potential decisions and voting conflict under IC 4-2-6-9, requiring a formal screen to prevent the employee from working with ASC on future contracts in his capacity with INDOT; and

WHEREAS, the effective administration of INDOT projects Des. Nos. 1592385 and 1600808 requires Anthony Ross to complete his duties with regard to ASC deliverables.

NOW THEREFORE, Anthony Ross, Historian for INDOT, until the termination of employment negotiations with ASC Group, Inc. ("ASC"), agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen.

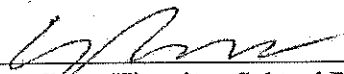
II. CONFLICT OF INTEREST SCREEN

1. Except with regard to Des. Nos. 1592385 and 1600808, Anthony Ross shall not participate in any decision or vote, or any matter related to such decision or vote, in which ASC has a financial interest.
2. Except with regard to Des. Nos. 1592385 and 1600808, Anthony Ross should be screened from participating in any present or future agreement between INDOT and ASC.
3. Subject to the close direction of his supervisor, Anthony Ross may review ASC's work on INDOT projects Des. Nos. 1592385 and 1600808, and complete such other tasks as required to satisfy his job duties with regard to that project.

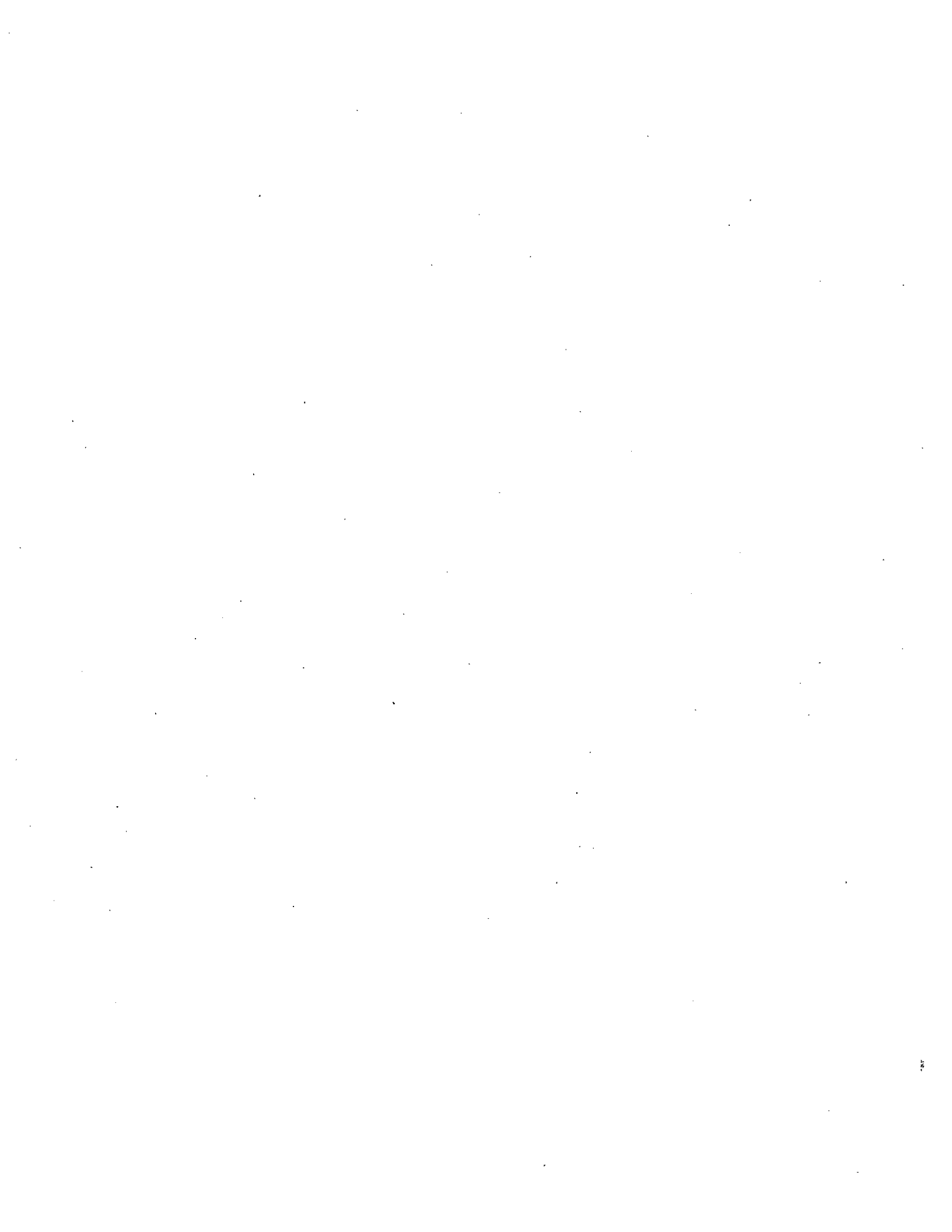
III. EMPLOYEE AFFIRMATION

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 ASC Group, Inc. ("ASC") 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 until the termination of my employment negotiations with the subject firms.

Executed and agreed this 22nd day of April, 2019, by:



Anthony Ross, Historian- Cultural Resource Office
Indiana Department of Transportation



Cooper, Jennifer

From: Serak, Chris (INDOT)
Sent: Monday, April 22, 2019 1:48 PM
To: Cooper, Jennifer
Cc: Grand, Alison; Ross, Anthony
Subject: Executed Conflict Disclosure and Screen (Ross, INDOT)
Attachments: Signed CI Disclosure- Ross.pdf; Internal Screen- Ross.pdf

Follow Up Flag: Follow up
Flag Status: Flagged

Jen-

In accordance with Ind. Code 4-2-6-9(b)(2), please find the attached conflict disclosure executed by INDOT employee Mr. Anthony Ross. The same was provided to the employee's appointing authority, INDOT Commissioner Mr. Joe McGuinness. Said disclosure is included below as part of this email.

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

From: Serak, Chris (INDOT)
Sent: Monday, April 22, 2019 1:47 PM
To: McGuinness, Joe <JMcGuinness@indot.IN.gov>
Cc: Grand, Alison <AGrand@indot.in.gov>; Ross, Anthony <ARoss3@indot.IN.gov>
Subject: Executed Conflict Disclosure and Screen

Commissioner McGuinness-

Pursuant to the notice requirements of Ind. Code 4-2-6-9(b), please find the attached conflict disclosure and internal screen executed by employee Anthony Ross. 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,
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