

INDIANA
STATE ETHICS COMMISSION

SEP 02 2020

FILED



**ETHICS DISCLOSURE STATEMENT
CONFLICTS OF INTEREST – DECISIONS AND VOTING**
State Form 65860 (R / 10-18)
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.

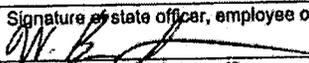
Name (last) Smith	Name (first) William	Name (middle) Benjamin
Name of office or agency Indiana Department of Transportation	Job title Traffic Systems Engineer	
Address of office (number and street) 8620 East 21st St.	City Indianapolis	ZIP code 46219
Office telephone number (765) 361-5668	Office e-mail address (required) WSmith1@indot.IN.gov	
Describe the conflict of interest: W. Benjamin Smith is a Traffic Systems Engineer for the Indiana Department of Transportation (INDOT). Mr. Smith has entered employment negotiations with WSP USA Inc. ("WSP"), WSP has a business relationship with INDOT, including active contracts. Mr. Smith's employment negotiations with WSP 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.		
W. Benjamin Smith is not subject to the mandatory cooling off period under IC 4-2-6-11(b) with respect to WSP USA Inc. Mr. Smith is subject to the particular matter restriction and will not assist any future employer with a matter he personally and substantially participated in on behalf of INDOT.		
This disclosure was provided to Mr. Smith's appointing authority, Commissioner Joe McGuinness, on September 1, 2020. 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 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 W. Benjamin Smith from doing work with WSP USA Inc. in his capacity as an INDOT employee. Said screen prohibits Mr. Smith from under taking any of his official duties or otherwise participating in any decision or vote, or matter related to such decision or vote, involving WSP, or in which WSP has an interest. Mr. Smith is further screened from assisting any future employer, including WSP, with a matter in which he personally and substantially participated in while employed by INDOT.

The screen was executed on September 1, 2020, a copy of which was sent to Commissioner Joe McGuinness along with this disclosure.

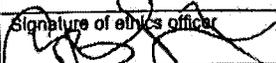
AFFIRMATION

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 	Date signed (month, day, year) September 1, 2020
Printed full name of state officer, employee or special state appointee W. Benjamin Smith	

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) September 1, 2020
Printed full name of ethics officer Christopher B. Serak	

CONFLICT OF INTEREST SCREEN FOR W. BENJAMIN SMITH

September 1, 2020

I. RECITALS

WHEREAS, W. Benjamin Smith is a Traffic Systems Engineer for the Indiana Department of Transportation (“INDOT” or “Department”); and

WHEREAS, W. Benjamin Smith has entered employment negotiations with WSP USA Inc. (“WSP”); and

WHEREAS, WSP has a business relationship with INDOT, including ongoing contracts with the Department; and

WHEREAS, as a Traffic Systems Engineer for INDOT, it is possible that W. Benjamin Smith could be assigned to work with WSP or to participate in matters involving WSP as part of his regular duties; and

WHEREAS, W. Benjamin Smith’s employment negotiations with WSP created a potential decisions and voting conflict of interest under IC 4-2-6-9 requiring disclosure and a formal screen; and

WHEREAS, W. Benjamin Smith is subject to the particular matter restriction under IC 4-2-6-11(a) and cannot assist future employers, including WSP USA Inc., with any matter he personally and substantially participated in while employed by INDOT.

NOW THEREFORE, W. Benjamin Smith, a Traffic Systems Engineer for INDOT, for his remaining tenure with the Department, or until he discontinues employment negotiations with WSP USA Inc. agrees to in all ways follow, adhere to, and satisfy the terms of the following Conflict of Interest Screen. W. Benjamin Smith must adhere to term three (3) regarding the particular matter restriction in perpetuity, for the life of the particular matter.

II. CONFLICT OF INTEREST SCREEN

1. W. Benjamin Smith shall not participate in any decision or vote, or any matter related to such decision or vote, in which WSP has a financial interest.
2. W. Benjamin Smith should be screened from participating in any present or future contract or other matter involving WSP.
3. W. Benjamin Smith shall not assist any future employers, including WSP, with any matter he personally and substantially participated in while employed by INDOT. This restriction applies in perpetuity, for the life of the particular matter.

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 WSP USA Inc. 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 WSP USA Inc., whichever occurs first. I further understand that term three (3) concerning the particular matter restrict applies in perpetuity, for the life of the matter. I have shared and discussed this Conflict of Interest Screen and its requirements with my supervisor.

Executed and agreed this 1st day of September 2020, by:



W. Benjamin Smith, Traffic Systems Engineer
Indiana Department of Transportation

Baker, Nathaniel P

Subject: Executed COI Disclosure and Internal Screen (Ben Smith (W. Benjamin Smith))

From: Serak, Chris (INDOT)

Sent: Wednesday, September 2, 2020 9:52 AM

To: McGuinness, Joe <JMcGuinness@indot.IN.gov>

Cc: Smith, Ben (William) <WSmith1@indot.IN.gov>; Kennedy, Heather <HKennedy@indot.IN.gov>

Subject: Executed COI Disclosure and Internal Screen (Ben Smith (W. Benjamin Smith))

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 Ben Smith (W. Benjamin Smith). 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

Location: Room N730 (Internal Affairs)

