

INDIANA
STATE ETHICS COMMISSION

NOV 8 2018



**ETHICS DISCLOSURE STATEMENT
CONFLICTS OF INTEREST – DECISIONS AND VOTING**
State Form 55880 (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) Travis Underhill	Name (first) Underhill Travis	Name (middle)
Name of office or agency Indiana Department of Transportation		Job title Deputy Commissioner, Capital Program Manager
Address of office (number and street) 100 N Senate Ave		City Indianapolis
		ZIP code 46204
Office telephone number (317) 234-7173	Office e-mail address (required) Tunderhill@Indot.IN.gov	

Describe the conflict of interest:
Travis Underhill is Deputy Commissioner, Capital Program Manager for the Indiana Department of Transportation (INDOT). Mr. Underhill recently entered employment negotiations with the consulting firm, Fleis & Vanderbrink Engineering Inc. ("Fleis"). Fleis has a limited business relationship with INDOT; the firm holds a certificate of qualification from the Department, but primarily contracts for work with local units. Mr. Underhill has not worked with Fleis in his capacity as an INDOT employee. However, Mr. Underhill's role as Deputy Commissioner, Capital Program Manager places him in a position to potentially work with Fleis in the future, if the firm was to contract with the Department. Accordingly, his employment negotiations with Fleis create the potential for a future conflict of interest under IC 4-2-6-9, in the event Fleis was to contract with INDOT. Said employment negotiations do not create a current conflict of interest under the statute. Pursuant to IC 4-2-6-9(b)(2), this disclosure was executed and filed with the SEC within seven days (7) of the employee becoming aware of the potential conflict by virtue of the advise of the undersigned ethics officer, delivered on November 7, 2018. This disclosure was provided to the employee's appointing authority, Commissioner Joe McGuinness, on November 8, 2018. Evidence of said disclosure to Commissioner McGuinness is filed herewith pursuant to IC 4-2-6-9(b)(2)(D).

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

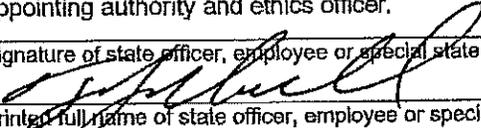
A formal screen was executed with INDOT's ethics officer preventing Travis Underhill from doing any work with Fleis & Vanderbrink Engineering Inc. In his capacity as an INDOT employee. Said screen prohibits Mr. Underhill from under taking any of his official duties, or otherwise participating in any decision or vote, or matter related to such decision or vote, involving Fleis & Vanderbrink Engineering Inc., or in which Fleis & Vanderbrink Engineering Inc. has an interest. The screen was executed on November 8, 2018, 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)



11-8-18

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

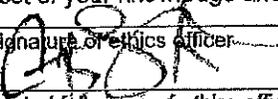
Travis Underhill

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)



11/7/2018

Printed full name of ethics officer

Christopher B. Serak

CONFLICT OF INTEREST SCREEN FOR TRAVIS UNDERHILL

November 8, 2018

I. RECITALS

WHEREAS, Travis Underhill is Deputy Commissioner, Capital Program Manager for the Indiana Department of Transportation; and

WHEREAS, Travis Underhill has entered employment negotiations with Fleis & Vanderbrink Engineering Inc. ("Fleis"); and

WHEREAS, Fleis is prequalified by INDOT and has done business with the Department, and may do further business with INDOT in the future; and

WHEREAS, as Deputy Commissioner, Capital Program Manager, Travis Underhill is in a position to be assigned negotiating and/or approval authority with regard to current or future contracts executed with Fleis; and

WHEREAS, Travis Underhill's employment negotiations with Fleis created a potential decisions and voting conflict of interest under IC 4-2-6-9 requiring a formal screen.

NOW THEREFORE, Travis Underhill, Deputy Commissioner, Capital Program Manager, for as long as he continues negotiations with Fleis & Vanderbrink Engineering Inc., 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. Travis Underhill shall not participate in any decision or vote, or any matter related to such decision or vote, in which Fleis & Vanderbrink Engineering Inc. has a financial interest.
2. Travis Underhill should be screened from participating in any present or future agreement between INDOT and Fleis & Vanderbrink Engineering Inc.

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 Fleis & Vanderbrink Engineering Inc. has a financial interest. I have shared and discussed this Conflict of Interest Screen and its requirements with my supervisor.

Executed and agreed this 8th day of November, 2018, by:



Travis Underhill, Deputy Commissioner,
Capital Program Manager

Croft, Celeste

From: Cooper, Jennifer
Sent: Thursday, November 08, 2018 4:07 PM
To: Croft, Celeste
Subject: FW: Executed Conflict Disclosure and Internal Screen
Attachments: Ethics Disclosure.pdf; Screen.pdf

Celeste-

Can you process this new COI:D&V disclosure form, please?

Thank you!
Jen

From: Serak, Chris (INDOT)
Sent: Thursday, November 08, 2018 4:03 PM
To: Cooper, Jennifer <JCooper@ig.IN.gov>
Cc: Underhill, Travis <TUnderhill@indot.IN.gov>
Subject: FW: Executed Conflict Disclosure and Internal Screen

Jen-

In accordance with Ind. Code 4-2-6-9(b)(2), please find the attached conflict disclosure executed by INDOT employee Mr. Travis Underhill. The same was provided to the employee's appointing authority, INDOT Commissioner Joe McGuinness. Evidence of the same is contained below.

Thanks!

Chris

Christopher B. Serak,
Prequalification Director
Ethics Officer
Indiana Department of Transportation
Office: (317) 234-2115
Cell: (317) 440-9868
Email: chserak@indot.in.gov

From: Serak, Chris (INDOT)
Sent: Thursday, November 8, 2018 4:00 PM
To: McGuinness, Joe <JMcGuinness@indot.IN.gov>
Cc: Underhill, Travis <TUnderhill@indot.IN.gov>
Subject: Executed Conflict Disclosure and Internal 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 Mr. Travis Underhill. 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
Indiana Department of Transportation
Office: (317) 234-2115
Cell: (317) 440-9868
Email: chserak@indot.in.gov