

AUG 21 2017

FILED



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

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) Wuellner	Name (first) Mark	Name (middle) James
Name of office or agency Office of Lieutenant Governor	Job title Deputy Chief of Staff	
Address of office (number and street) One North Capitol Ave, Suite 600	City Indianapolis	ZIP code 46204
Office telephone number (317) 232-8831	Office e-mail address (required) mwuellner@lg.in.gov	

Describe the conflict of interest:

I serve as the Lt. Governor's designee to the Indiana Housing and Community Development Board. By statute, the Lt. Governor is chair of the Board. For those meetings which the Lt. Governor is unable to attend, I attend in her place.

As designee, I also attend and participate on the Audit subcommittee of the Board. IHEDA, as a public body corporate and politic and state housing finance authority has its annual financial and compliance audits performed by an independent third-party firm.

In the normal course of business, the Audit Committee has 4 functions: (1) it convenes to receive the annual audits from the auditing firm; (2) to allow a direct link to the Board from the auditing firm without needing to go through management should the need arise, (3) to present for the full Board's consideration the annual audits at a regularly scheduled and open public meeting, and (4) when IHEDA puts the auditing services out to bid, it convenes to review proposals and present a recommendation for auditing firm to the full Board's consideration at a regularly scheduled and open public meeting.

In May 2017, IHEDA issued an RFP for external auditing services. On June 13th, the Audit Committee (incl. me) met with members of IHEDA management to review the 4 proposals received. We determined to request in-person proposals from the 2 most responsive applicants. IHEDA set calendar invites which included only the lead audit partner for each applicant, along with each Audit Committee.

Following scheduling the interviews, my brother-in-law, who works at one of the applicants, contacted me and asked if I had any detail for the meeting I could share. Apparently his lead partner had asked him to attend the IHEDA interview but had given little detail. My brother-in-law saw my name as another invitee and contacted me to see if I had details.

This was the first I was aware he was part of the proposal team - because I was not the meeting organizer, my appointment did not show that it had been forwarded to others aside from the lead audit partner). I did not feel comfortable participating further in a decision process with a family relationship in one of the two finalists, and identified it as a conflict.

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

I indicated to my brother-in-law I had no details about the meeting. As ethics officer for the Lt. Governor, I contacted the Chief of Staff and another member of the Audit Committee to describe the conflict. We then worked with IHCD A to set up the following screen: (a) remove me from the Audit Committee for this activity;

(b) the Lt. Governor would designate another member of the team to serve on the Audit Committee for this activity;

(c) not to communicate with the applicants, the Audit Committee or IHCD A on this matter, including not attending the interviews;

(d) because I was on a pre-existing email string, it was possible that staff might still send me materials related to the process. If I received an email like that from IHCD A, I would take no action other than filing it out of my inbox;

(e) if Lt. Governor could not preside over the Board meeting at which the Audit Committee presented its recommendation, I would recuse myself from presiding over that portion of the agenda, noting that I had a conflict. I would leave the room when the item was called, and remain out of the room during the vote. I will be brought back in after the vote.; and

(f) I would file this form to publicly disclose the conflict and screen established.

The Audit Committee will be presenting the recommendation for audit firm to the full Board at the July 27, 2017 meeting.

Per the screen, I was not involved in arriving at that recommendation. Because the Lt. Governor cannot chair the meeting, I will chair it, following step (e) listed above. I will ensure that when meeting minutes are presented at the August meeting of the IHCD A Board that they reflect my recusal from the vote on this matter.

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)

July 26, 2017

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

Mark J. Wueller

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)

7/31/17

Printed full name of ethics officer

S. Kyleen Welling

Croft, Celeste

From: Stewart, David
Sent: Monday, August 21, 2017 12:32 PM
To: Cooper, Jennifer; Croft, Celeste
Cc: Sipe, Jacob (IHCDA); Welling, Kyleen (IHCDA)
Subject: For IG Records - Executed COI Statement (Wuellner-IHCDA Board of Directors)
Attachments: Wuellner-Ethics Disclosure Statement - COI (00028938xD2C80).pdf

Ms. Cooper,

Attached please find an executed Conflict of Interest statement for the July 27th, 2017 IHCDA Board Meeting. Our Agency Appointing Authority and Ethics Officer were aware of this conflict at the time and are also copied on this email transmission. Thank you.

David W. Stewart

General Counsel

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For updates from Lt. Governor Suzanne Crouch, please visit www.lg.in.gov

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<https://www.surveymonkey.com/r/LS5QWQX>

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