521-ETHICS COMMISSION

Dept # **/521/** Department Name **ETHICS COMMISSION**

RDA #	RDA Title	Retention	Disposition	PII
00002000.	**ETHICS GUIDELINES**	**EVT+6**	**SHSW**	**N**

These records include, but are not limited to, guideline development and research, policy papers and study files and matters of general interest regarding ethics, campaign finance, or lobbying.

Research and choice of subjects may be directed by statute, staff or commission.

RETENTION: EVENT (adoption of new or superseded document) + 6 years and transfer to State Archives (WHS)

00003000.	**FORMAL ADVISORY OPINIONS**	**EVT+6**	**SHSW**	**Y**

These records include, but are not limited to, ethics, campaign finance, and lobbying law advisory opinion requests, responses, and related materials.

A formal advisory opinion is an informal advisory opinion the Commission has adopted or modified. Within 30 days after completing an investigation related to and the preparation of a formal advisory opinion, the Commission shall make public the formal advisory opinion and records obtained in connection with the request for the formal advisory opinion.

RETENTION: EVENT (Withdrawal of opinion) + 6 years and transfer to State Archives (WHS)

00004000.	**INFORMAL ADVISORY OPINIONS**	**EVT+6**	**DEST**	**Y**

These records include, but are not limited to, ethics, campaign finance, and lobbying law advisory opinion requests, responses, and related materials.

The Ethics Commission provides informal advisory opinions only to the requestor. A request for an advisory opinion and any records obtained in connection with a request for advice are confidential.

RETENTION: EVENT (withdrawal of opinion) + 6 years and destroy confidential

00005000.	**ACTIONED COMPLAINT CASE FILES**	**EVT+6**	**SHSW**	**Y**

These records include but are not limited to, records of complaints that resulted in action. This may include, but is not limited to, authorizations for investigation, subpoenas, affidavits, findings of fact and conclusions, resolutions, and correspondence which are related to possible violations of ethics, campaign finance, or lobbying laws.

RETENTION: EVENT (date complaint closed) + 6 years and transfer to State Archives (WHS)

00006000.	**NON-ACTIONED COMPLAINT CASE FILES**	**EVT+6**	**DEST**	**Y**

Records of complaint case files where no action was taken. Records include, but are not limited to, initial complaint, investigation, and materials correspondence.

RETENTION: EVENT (date complaint closed) + 6 years and destroy confidential

00007000.	**SETTLEMENT AGREEMENTS**	**EVT+6**	**SHSW**	**Y**

Series contains settlement agreements reached after an alleged violation of Wis. Stat. ch. 11 Campaign Financing, Wis. Stat. ch. 13 subchapter Ill Regulation of Lobbying, or Wis. Stat. ch. 19 subchapter Ill Code of Ethics for Public Officials and Employees, and signed by the individual or a representative of the organization , and the Administrator of the Ethics Commission. The series also contains settlement agreements that were issued, but not signed by either party, and either terminated by the Commission or referred for civil action.

Event = Date settlement agreement is signed by both parties, or the agreement is terminated by the Ethics Commission, or civil action is filed.

Signed settlement agreements are open for public review per Wis. Stat. § 19.49(1)(b). Unsigned settlement agreements are confidential, per Wis. Stat. § §
19.50, 19.55(3).

Reason for creation: These records were identified as unique to the agency, and not easily maintained using existing agency RDAs.

RETENTION: EVENT (Date settlement agreement is signed by both parties, or the agreement is terminated by the Ethics Commission, or civil action is filed)+ 6 years and Transfer - State Archives (WHS)

00008000.	**STATEMENTS OF ECONOMIC INTERESTS (SEI)**	**EVT+3**	**DEST**	**Y**

Pursuant to Wis. Stat. § 19.48(4)(a-c), series contains information on candidates for state public office, appointment nominees for state

public office, and former state public officials filings of Statements of Economic Interest (SEIs). Records include, but are not limited to, related correspondence, mailing lists, Investment Board Quarterly Reports per Wis. Stat. § 19.43(5), telephone call logs relating to SEIs, and written requests to examine SEIs. In accordance with Wis. Stat. § 19.48(8), requests contain the full name and address of the requester and the name and address of the person the requester represents.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (date of termination as a state public official, loss of election, or failure to obtain appointment confirmation from the Wisconsin Senate) + 3 years and destroy confidential

00014000. LOBBYIST REPORTS AND LICENSE APPLICATIONS, LOBBYING PRINCIPAL F EVT+6 SHSW Y

The records contain, but are not limited to, lobbying license requests, license revocation information, principal registration forms, authorization for specific lobbyists to lobby on a principal's behalf, principal's withdrawal of an authorization, statements of lobbying expenses, correspondence relating to issuance of the license, and all correspondence relating to a principal's information. Wis. Stat. §§ 13.63-13.65, 13.67-13.68, 13.695, and 13.74.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (End of legislative session) + 6 years and transfer to State Archives (WHS)

00022000. CAMPAIGN FINANCE REPORTS, REGISTRATION STATEMENTS, AND AUDIT F EVT+6 SHSW Y

This records series includes, but is not limited to, campaign finance reports, registration statements, audit records, and related correspondence required or authorized by Wis. Stat. §§ 11.0102-11.0105, 11.0201-11.0204, 11.0301-11.0304, 11.0401-11.0404, 11.0501-11.0505, 11.0601-11.0605, 11.0701-11.0704, 11.0801-11.0804, 11.0901-11.0904, 11.1001, and 11.1304-11.1305.

This records series includes, but is not limited to: Campaign Finance Registration Statement, Campaign Finance Report, Special Report of Late Contribution, Conduit Special Report of Late Contribution, Oath of Independent Disbursements, Report of Independent Disbursements, Conduit Registration, Conduit Campaign Finance Report, Sponsoring Organization Campaign Registration Statement, Sponsoring Organization Campaign Registration Statement, Registration on Nonresident Political Action Committee.

The records contain financial information including, but not limited to, receipts and expenditures of candidates for statewide legislative and judicial elections, political party committees, political action committees, legislative campaign committees, referenda, corporations, and conduits.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (date of receipt) + 6 years and transfer to State Archives (WHS)