



# RECORDS RETENTION AND DISPOSITION SCHEDULE

## Inspector General's Office. Ethics Commission, Indiana State.

| Agency: Ethics Commission, Indiana State |               | Division:  |   |
|--|---------------|--|---|
| ITEM NO.                                 | RECORD SERIES | TITLE/DESCRIPTION<br>(This Retention Schedule is approved on a space-available basis)  | RETENTION PERIOD  |
| 1  | 78-26         | <b>FINANCIAL DISCLOSURE STATEMENT, SF# 40876</b><br>IC 4-2-6-8 requires the Governor, Lieutenant Governor, Secretary of State, Auditor of State, Treasurer of State, Attorney General and the Superintendent of Public Instruction to file these disclosures. Candidates for these offices as well as certain appointed officials must also file this document.  | TRANSFER to the INDIANA ARCHIVES , for EVALUATION, SAMPLING or WEEDING pursuant to archival principles, after ten (10) years.   |
| 2  | 2012-14       | <b>FINAL CASE REPORTS</b><br>Final reports of the Inspector General's office on both the disposition of matters before the State Ethics Commission, and various criminal investigations. Information may include the matter of the investigation, the manner in which it was investigated and the outcome of the investigation, i.e. whether criminal charges were filed or the allegations could not be substantiated. Disclosure of these records may be affected by IC 4-2-6-4(B)(2)(d) , 4-2-7-4(3) and 4-2-7-8. | TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles, five (5) years after the year of filing.                                 |
| 3  | 2012-15       | <b>POST-EMPLOYMENT AND GIFT WAIVERS</b><br>Waivers that allow a state officer, state employee or special state appointee to leave their state position and take a new position without being in violation of the post-employment rule, or to solicit, accept or receive any of the eight (8) prohibited items listed in the rule without being in violation of the gifts rule.   | TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles, after ten (10) years.  |
| 4  | 90-56         | <b>ADVISORY OPINIONS</b><br>Pursuant to IC 4-2-6-4, the State Ethics commission shall issue advisory opinions. These are filed numerically by calendar year. They are numbered consecutively and with -I- (inquiry) added. That is, the numbers are 12-I-1, 12-I-2, etc. Informal advisory opinions are also issued by the Office of the Inspector General per 42 IAC 1-8-1, which do not follow the numbering sequence. Disclosure of informal advisory opinions may be affected by 42 IAC 1-8-1.                   | TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles; ten (10) years after the advisory opinion is issued.                     |
| 5  | 90-57         | <b>PUBLIC HEARING MASTER FILE</b><br>The State Ethics Commission may hear any complaint involving allegations of violations of the Code of Ethics. Records are confidential until the Commission finds probable cause to support the complaint. If a public hearing is scheduled, the master file will contain the original Complaint, any evidence and any investigation records.   | TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles; five (5) years after the conclusion of the public hearing.                |
| 6  | 90-58         | <b>NON-PUBLIC COMPLAINTS</b><br>If after an investigation the State Ethics commission determines probable cause for an ethics violation does not exist, the matter is concluded without a public hearing. Disclosure may be affected by IC 4-2-6-4.  | DESTROY after five (5) years.   |
| 7  | 90-60         | <b>CONFLICT OF INTEREST DISCLOSURES</b><br>Disclosure of potential conflicts of interest across the spectrum of agencies and parties overseen by the State Ethics Commission. May include the Uniform Conflict of Interest Ethics Disclosure Statement (SF 53345) or similar information in a substitute format.   | TRANSFER to the Indiana Archives, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles ten (10) years after the year of filing with the State Ethics Commission. |

|    |       |  |  |
|----|-------|--|--|
| 8  | 90-61 | <b>CONFLICT OF INTEREST DISCLOSURES INDEX</b><br>The State Ethics Commission is mandated by IC 35-44-1-3 to maintain an index of all disclosures by a public servant. Original disclosures are filed with the State board of Accounts and a copy is forwarded to the State Ethics Commission. This index must contain a listing of each public servant, setting forth the disclosures received by the Commission made by that public servant.  | TRANSFER to computer medium on receipt.<br>TRANSFER annual computer printout to the Indiana Archives, for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles, three (3) years after the year in which it was produced. REUSE back-up medium after the production of the annual printout. |
| 9  | 93-23 | <b>REPORTING APPROVAL TO ACCEPT PAYMENT OF EXPENSES</b><br>For reporting approval of travel or other expenses for any meeting, convention, conference, seminar or similar activity from a person who has a business relationship with the employee-s agency. (SF# 45022 or equivalent.) Pursuant to 40 IAC 2-1-7, this written approval must be filed with the State Ethics Commission within 30 days of the event or receipt of expenses, whichever comes first.  | TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles; five (5) years after the year of filing with the STATE ETHICS COMMISSION.   |
| 10 | 93-24 | <b>VOTING SYSTEMS ADVISORY COMMITTEE DISCLOSURE FORM, STATE FORM 44968</b><br>Established in 1991 by IC 3-11-4.5-1, et seq., this committee is required to advise the State Election Board on the approval of voting systems which have not been previously approved. Before the appointment of an individual to the committee becomes effective, the individual must file a sworn statement with the State Ethics Commission certifying that the individual does not have a direct or indirect financial interest in a voting equipment vendor. Retention partially based on IC 3-11-4.5-3, (1992 Supplement)                           | TRANSFER to the Indiana Archives, for EVALUATION, SAMPLING, or WEEDING, pursuant to archival principles, two (2) years after the appointee is no longer a board member.  |
| 11 | 93-25 | <b>POST-EMPLOYMENT RESTRICTION WAIVERS</b><br>Pursuant to IC 4-2-6-11, 1992 Supplement, former State officers or State employees have certain post-employment restrictions. As defined in the statute, during the period that is twelve (12) months after the date the former State officer or State employee had responsibility for the particular matter, that officer or employee is not permitted to represent or assist an entity. Written waivers must be filed with the State Ethics Commission. Records consist of written approval of various current appointing authorities. Retention based on IC 4-2-6-11, (1992 Supplement) | TRANSFER to the Indiana Archives, three (3) years after the year of filing with the STATE ETHICS COMMISSION.   |