

OFFICE OF THE UNIVERSITY  
OMBUDSPERSON  
RECORDS RETENTION  
SCHEDULE

CREATED AUGUST 2016



MICHIGAN STATE UNIVERSITY

## MICHIGAN STATE UNIVERSITY OFFICE OF THE UNIVERSITY OMBUDSPERSON RECORDS RETENTION SCHEDULE:

University Archives and Historical Collections has developed this retention schedule to document the nature of Office of the University Ombudsman records created by the university and define the appropriate retention period according to the legal, fiscal, administrative, and historical needs of the university.

The Office of the University Ombudsman Records Retention Schedule applies to all ombudsman documentation at Michigan State University, regardless of format or media. For additional information regarding electronic records management, please go to the University Archives website at <http://archives.msu.edu/>.

Not all offices may create all the record series listed on the retention schedule. If you are not currently creating records in a series, you do **NOT** need to start creating new records.

If you believe that you have a record that does not fall under a specific record series, please contact University Archives at 5-2330. University Archives will either help you identify which record series applies to your record or will create a new record series. Do not assume that the record can be destroyed; all records reflecting the official activities of university officers and offices are the property of Michigan State University and thus cannot be destroyed without the approval of the director of the Archives.

Please note that all records pertaining to ongoing or pending audits, lawsuits or even reasonably anticipated lawsuits, and public disclosure proceedings may not be destroyed, damaged, or altered until the issue is resolved, and an office or unit has been specifically advised that such records may be destroyed. Any of these conditions supersedes the retention period listed in the records retention schedule.

### **NON-RECORDS:**

According to State of Michigan guidelines, some records used at Michigan State University can be considered non-records. These non-records are not covered by the retention schedule and may be destroyed once they are no longer administratively necessary.

Non-records may include:

- Duplicate copies of documents retained for distribution or convenience
- Miscellaneous notices of memoranda such as "All-Staff" emails, messages on upcoming events, or memos on minor administrative details
- Blank forms
- Unsolicited advertising and product catalogs
- Preliminary drafts of letters, memoranda or reports that do not form significant stages in the preparation of a final document
- Personal messages or correspondence
- Non-university publications, such as manuals, directories, catalogs, newsletters, pamphlets, and periodicals

Please contact University Archives at 517-355-2330 or at [archives@msu.edu](mailto:archives@msu.edu) with any questions regarding non-records.

### DESCRIPTION OF TERMS:

**Schedule Title:** This is the official title of the individual record series.

**Schedule Description:** This is the official description of the individual record series, usually consisting of a general statement of record function, followed by a description of some of the documents that can be found in that record series.

**Schedule Retention:** This is the minimum amount of time that the record series must be kept, also known as a retention period. It typically consists of a retention code plus a date range in years.

For example) Schedule Retention: EV + 0/1 (Event + 1 month)

The retention code index can be found below.

#### Retention Code Index:

Retention Code	Retention Period Description
CR	Creation
EV	After Event
PRM	Permanent

**Event Date:** This documents the event after which the retention period will be applied. Some retention periods can be applied only after a specific event or date has occurred. For example, email messages received from visitors are to be deleted at least one month after receipt. Thus, the receipt of the message is the event from which the retention period is measured.

**Disposition:** This is a statement that describes how long the document must be kept and how it must be destroyed. Many university records contain confidential information, such as social security numbers; thus, University Archives recommends confidential destruction, i.e. shredding, whenever possible to protect personal information.

**Office of Record:** This field identifies the office that is responsible for maintaining the official record series. The designated office keeps the record for the entire retention period and then arranges for its destruction once the retention period has passed. Other offices which maintain copies of a record series but are not the office of record may destroy those non-records when they are no longer administratively necessary unless otherwise noted in the schedule.

**Data Sourced From:** This field identifies the data sources for the record series, including electronic systems where related data may be stored. If there is no relevant data source for the record series, the field will be considered "not applicable".

**Notes:** This may document additional notes about the retention series, legal citations affecting retention, or university best practices regarding the records.

## **SPECIAL NOTES ON CONFIDENTIALITY:**

The Office of the University Ombudsperson follows the International Ombudsperson Association (IOA) Standards of Practice to protect personal information and ensure confidentiality.

The confidentiality standards from the IOA Standards of Practice are detailed below:

3.1 The Ombudsman holds all communications with those seeking assistance in strict confidence and takes all reasonable steps to safeguard confidentiality, including the following: The Ombudsman does not reveal, and must not be required to reveal, the identity of any individual contacting the Ombudsman Office, nor does the Ombudsman reveal information provided in confidence that could lead to the identification of any individual contacting the Ombudsman Office, without that individual's express permission, given in the course of informal discussions with the Ombudsman; the Ombudsman takes specific action related to an individual's issue only with the individual's express permission and only to the extent permitted, and even then at the sole discretion of the Ombudsman, unless such action can be taken in a way that safeguards the identity of the individual contacting the Ombudsman Office. The only exception to this privilege of confidentiality is where there appears to be imminent risk of serious harm, and where there is no other reasonable option. Whether this risk exists is a determination to be made by the Ombudsman.

3.2 Communications between the Ombudsman and others (made while the Ombudsman is serving in that capacity) are considered privileged. The privilege belongs to the Ombudsman and the Ombudsman Office, rather than to any party to an issue. Others cannot waive this privilege.

3.3 The Ombudsman does not testify in any formal process inside the organization and resists testifying in any formal process outside of the organization regarding a visitor's contact with the Ombudsman or confidential information communicated to the Ombudsman, even if given permission or requested to do so. The Ombudsman may, however, provide general, non-confidential information about the Ombudsman Office or the Ombudsman profession.

3.4 If the Ombudsman pursues an issue systemically (e.g., provides feedback on trends, issues, policies and practices) the Ombudsman does so in a way that safeguards the identity of individuals.

3.5 The Ombudsman keeps no records containing identifying information on behalf of the organization.

3.6 The Ombudsman maintains information (e.g., notes, phone messages, appointment calendars) in a secure location and manner, protected from inspection by others (including management), and has a consistent and standard practice for the destruction of such information.

3.7 The Ombudsman prepares any data and/or reports in a manner that protects confidentiality.

3.8 Communications made to the ombudsman are not notice to the organization. The ombudsman neither acts as agent for, nor accepts notice on behalf of, the organization and shall not serve in a position or role that is designated by the organization as a place to receive notice on behalf of the organization. However, the ombudsman may refer individuals to the appropriate place where formal notice can be made.

The full IOA Standards of Practice are available online [here](#). For more information about the IOA Standards of Practice, please contact the Office of the University Ombudsperson at 3-8830.

**ADDITIONAL GUIDANCE:**

For any questions, concerns, or additional guidance regarding this retention schedule, please contact University Archives at 517-355-2330 or at [archives@msu.edu](mailto:archives@msu.edu) .

Schedule Approved: 9/7/2016

# Michigan State University

## Office of the University Ombudsperson

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<b>Schedule Title</b>	Appointment Calendar Entries
<b>Schedule Description</b>	This record series documents communication with students who seek the services of the Ombudsperson. This record series includes, but is not limited to: appointment calendar entries.
<b>Schedule Retention</b>	CR+2
<b>Event Date</b>	Creation
<b>Disposition</b>	Retain calendar entries for 2 years after creation. All personally identifiable information should be stripped out of the appointment calendar within 7 days of the appointment.
<b>Office of Record</b>	Office of the University Ombudsperson
<b>Data Sourced From</b>	Not Applicable
<b>Notes</b>	Based on <a href="#">International Ombudsperson Association Standards of Practice</a> and State of Michigan retention schedules.

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<b>Schedule Title</b>	Contact Database
<b>Schedule Description</b>	This record series documents the entries of the secure database used by the office for intra-office coordination and communication as well as underlying data for annual reporting purposes. This record series includes, but is not limited to: secure contact database.
<b>Schedule Retention</b>	PRM
<b>Event Date</b>	Creation
<b>Disposition</b>	Database records are maintained permanently in office.
<b>Office of Record</b>	Office of the University Ombudsperson
<b>Data Sourced From</b>	AIS SQL Database
<b>Notes</b>	Based on <a href="#">International Ombudsperson Association Standards of Practice</a> . The database is backed up monthly and is archived on an annual basis. All personally identifiable information is stripped from the database during the archiving process.

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<b>Schedule Title</b>	Email Messages
<b>Schedule Description</b>	This record series documents correspondence with students who seek the services of the Ombudsperson. This record series includes, but is not limited to: email messages both received from and sent to office visitors.
<b>Schedule Retention</b>	EV+0/1
<b>Event Date</b>	Receipt of Message
<b>Disposition</b>	Delete all incoming visitor related emails within one month of receipt, if not sooner. Copies of emails sent from the office to the visitors will be deleted after every semester.
<b>Office of Record</b>	Office of the University Ombudsperson
<b>Data Sourced From</b>	Not Applicable
<b>Notes</b>	Based on <a href="#">International Ombudsperson Association Standards of Practice</a> .

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<b>Schedule Title</b>	Phone Messages and Notes
<b>Schedule Description</b>	This record series documents communication with students who seek the services of the Ombudsperson. This record series includes, but is not limited to: phone messages, including voicemail, and handwritten notes.
<b>Schedule Retention</b>	EV
<b>Event Date</b>	Receipt of Message
<b>Disposition</b>	Shred or delete messages and notes within 7 days after receipt, if not sooner.
<b>Office of Record</b>	Office of the University Ombudsperson
<b>Data Sourced From</b>	Not Applicable
<b>Notes</b>	Based on <a href="#">International Ombudsperson Association Standards of Practice</a> .