



UNIVERSITY OF PASADENA (UPAS)  
Operational Procedures

Doc #: PO-QC-12.3

Title: Record Retention Policy


Rev #: 08

Approved By: Chief Executive  
Officer (CEO)

Date: 15 Sep 2022

REVISION HISTORY

Rev No	Description of change	Author	Effective Date
1	New Procedure	Quality and Compliance Officer (QCO)	16 Oct 2015
2	No Change	Quality and Compliance Officer (QCO)	14 Oct 2016
3	No Change	Quality and Compliance Officer (QCO)	13 Oct 2017
4	No Change	Quality and Compliance Officer (QCO)	12 Oct 2018
5	Updated retention timeline	Quality and Compliance Officer (QCO)	21 Feb 2019
6	No Change	Quality and Compliance Officer (QCO)	03 Dec 2020
7	No Change	Quality and Compliance Officer (QCO)	06 Sep 2021
8	No Change	Quality and Compliance Officer (QCO)	15 Sep 2022

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**1. Purpose**

- The record retention policy of the University ensures that use of electronic and physical storage space and disposal of outdated Records meets all applicable state and federal law

**2. Scope**

- This policy applies to all the records including student records, administrative records and finance records.

**3. Definitions**


- Administrative records: Administrative records are those records related to operations including human resource records, agreements, contracts, etc.,
- Finance records: Finance records are those records related to finance including butnot limited to statement of retained earnings and cash flow, income statements, university balance sheet and tax returns.
- Student records – Student records are those records directly related to a student including but not limited to application form, mark sheets, certificates, enrollment agreements, etc.

**4. Responsibility**

- The Registrar is responsible for effective implementation of this policy.

**5. Procedure/Process**

- All student records are retained permanently.
- All finance records are retained permanently.
- Meeting minutes, Official business communication at the executive level, Policies and procedures., Employee personal files, Payroll records, Purchase records are maintained for a minimum period of 20 years and longer if there is a legal hold.
- All records pertaining to ongoing or pending audits or lawsuits (including reasonably anticipated lawsuits) will not be destroyed, damaged, or altered, even if the records retention date has expired.

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- If the record retention period has expired and the Record is not appropriate for the University Archives, the record will be recycled or destroyed.
- No one person or unit can be directly responsible for all University Records. Therefore, every office or department managing University records is responsible for:
  - Implementing records management practices in compliance with the policy.
  - Preserving Records as required under this Policy.
  - Properly disposing of outdated records at the end of the applicable retention period.
  - Protecting Records against misuse, misplacement, damage, destruction, or theft.
  - Monitoring compliance with this Policy.
  - Educating staff in the Records management practices.
- The Compliance officer conducts internal audit, once a year, for compliance with all applicable federal and state laws.
- Any requests to deviate from or modify this policy or these retention periods must be made to and approved by the compliance officer.

## 6. Review

The University of Pasadena reviews record retention policy every year.