COLLEGE OF
Engineering, Architecture
&Technology

Engineering Extension Records Management	Policies and Procedures CEAT-EE-012 Effective Date: 11/21/25

Scope

1.01 This procedure establishes requirements for maintaining, protecting, and releasing records related to CEAT Engineering Extension (EE) continuing education and training (CE/T) programs of the Center for Local Government and Technology (CLGT) and Professional Development (PD) units.

Definitions

2.01 Records: Provide evidence of activities such as functions, decisions, commitments, and/or transactions. Examples include learner participation, program completion status, assessment results, and CEUs awarded. Records generally have defined retention periods.

2.02 Documents: Information in printed or electronic form used in CEAT EE operations and functions. Examples include policies, processes, contracts, meeting minutes, and instructional materials.

Procedure

3.01 Learner records will be protected in compliance with applicable privacy laws and OSU policies, including but not limited to the following:

a. OSU Policy 1-0130 (General University) Open Records

b. OSU Policy 3-0322 (Administration & Finance: Information Technology) Electronic Use of Social Security Numbers

c. OSU Policy 3-0603 (Administration & Finance: Information Technology) Information Security Policy

d. CEAT Policy CEAT-G-003 CEAT Continuity of Administrative Information Operations Plan (CCAIOP)

3.02 CEAT EE will maintain a records management system that includes storage of all learner and learning event records.

a. The records management system will allow verification and tracking of learner registration and course completion.

i. Records will include at least the following:

1. For learning events: title, dates, provider's name and address, IACET CEUs awarded, and description of any codes used.

a. If codes are used on a learner's transcript, they will be described on the transcript.

2. For learners: name and/or unique identification, learning event title(s), and learning event completion date(s).

b. Backups will be sufficient to ensure data integrity, protect against loss and damage, and ensure recovery.

3.03 Following completion of CE/T programs that issue CEUs, learners will receive a certificate or transcript

documenting their participation and the CEUs earned.

a. Learners will receive, and/or receive notification that they can access, these records following program completion.

3.04 All learner records related to CE/T programs will be retained for at least seven years from the date of the learning event.

3.05 Access to records is restricted to authorized personnel only.

a. Learners may request access to their records at any time during the retention period. Requests must be submitted in writing and will be fulfilled as established in CEAT EE procedures.

b. Records will not be released to third parties without written consent from the learner, except as required by law.

3.06 CEAT EE personnel involved with the input, maintenance, release, and security of learner records will receive training on this procedure and related processes.

a. Training will include data privacy requirements, secure record handling, and processes for responding to record access and/or release requests.

Noncompliance

4.01 Failure to complete the review is a violation of the procedure and may result in corrective action. Suspected or confirmed instances of non-compliance should be reported to the Directors of CLGT and PD. If necessary, compliance issues should be escalated to the Associate Dean for Engineering Extension.

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