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TITLE 100 – DEPARTMENT OF STATE

CHAPTER 50 – PUBLIC RECORDS ADMINISTRATION

SUBCHAPTER 20 – STATE AGENCY RECORDS RETENTION SCHEDULES

PART 13 – DEPARTMENT OF EDUCATION RECORDS (EDU)

13.1 Purpose, Authority, Severability, and Destruction

13.1.1 Purpose

To establish the official retention, maintenance, and disposal requirements for a public record based upon any administrative, legal, fiscal, and/or historical value related to that record created or received by an agency, department, division, board, commission, office, or quasi-public corporation under any branch of State or local government which performs functions relating to government, or acts on behalf of a governmental agency, pursuant to law or relating to the transaction of public business.

13.1.2 Authority

This Regulation is promulgated pursuant to the authority granted in R.I. Gen. Laws Title 38 (“Public Records”), including expressly but without limitation R.I. Gen. Laws §§ 38-3-1 et seq.

13.1.3 Severability

If any provision of these Regulations or the application thereof to any Person or circumstances is held invalid by a court of competent jurisdiction, the validity of the remainder of the regulations shall not be affected thereby.

13.1.4 Destruction Review Procedure

Government employees should also consult with their administration to determine if any records eligible for destruction may be involved in current, pending, or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act. (Part 10-2 of this Chapter (Legal Records) and R.I. Gen. Laws Chapter 38-2)

The Rhode Island Office of Postsecondary Education and the Department of Elementary and Secondary Education (hereafter, RIDE) serve as the administrative arms of the Rhode Island Board of Educations. Led by the commissioner of elementary and secondary education, RIDE is responsible for carrying out the policies and programs formulated by the board as they relate to elementary and secondary education. This records retention schedule covers the records of the Board of Governors and the Department of Elementary and Secondary Education, and RIDE is Rhode Island's State Education Agency (SEA.) As the SEA, RIDE is responsible for providing policy guidance, information, resources, and technical assistance on educational matters to the state's elementary and secondary school administrators, faculty, students, parents, and residents. Over the course of the last half of the twentieth century, federal education legislation has significantly affected state education programs. Much of this legislation has aimed to promote national efforts to help racial minorities, women, and people with disabilities, and non-English speaking students, to gain equal access to education. Along with state education laws and regulations, federal legislative enactments and subsequent amendments continue to have an impact on education in Rhode Island, including RIDE's programs and records. 1965 Elementary and Secondary Education Act of 1965. (Public Law 89-10) The ESEA authorized grants for elementary and secondary school programs for children of low-income families; school library resources, textbooks, and other instructional materials for school children; supplementary educational centers and services; strengthening state education agencies; and educational research and research training. 1966 Adult Education Act (Public Law 89-750). 1984 Carl D. Perkins Vocational Education Act. 1975 Education for All Handicapped Children Act. 1987 McKinney-Vento Homeless Assistance Act. 1997 Individuals with Disabilities Education Act (IDEA) - Amendments of 1975 Act. 2002 No Child Left Behind Act of 2001 (Public Law 107-110). Comprehensive reauthorization of the Elementary and Secondary Education Act of 1965, incorporating specific proposals in such areas as testing, accountability, parental choice, and early reading. The Act also stressed the establishment and integration of high standards, accountability and data-driven educational school improvement. 2009 The American Recovery and Reinvestment Act (ARRA). Provided funds for the Race to the Top program. It was designed to encourage and reward states to undertake education reform in four core areas, each of which has had an impact on the kinds of programs, records, and data that RIDE has been developing, collecting, generating and managing. These are: Adopting standards and assessments whose purpose is to prepare students to succeed in college and the workplace; Building user-friendly data systems that

facilitate research and measure student growth and performance, and also inform teachers and principals about how they can improve instruction; Recruiting, developing, rewarding, and retaining effective teachers and principals; Turning around the state's lowest-achieving schools. This schedule covers records that document RIDE's programs, many of which constitute response to these legislative initiatives and requirements. The schedule consists of the following sections: EDU1 Records of the Board of Education (see note); EDU2 Records of the Commissioner of Education; EDU3 Common/Multiple Office Records; EDU4 Student Records and Data; EDU5 State Level/Program Records and Data; EDU6 District/School Records and Data; EDU7 Educator Records and Data. All records addressed in this schedule, if related to litigation, shall be retained according to GRS2.1 Case Files.

EDU1 **Records of the Board of Education (Council on Elementary & Secondary Education)**

The Rhode Island Board of Education was created by the Rhode Island General Assembly in 2014. It replaced the Board of Regents for Elementary and Secondary Education and the Board of Governors for High Education. Half of the board's members serve on a Council of Elementary and Secondary Education and half serve on a Council of Higher Education. This consolidated governance of all public education in Rhode Island represents an integration of policymaking and planning for state elementary, secondary and higher public education. Thus, the board's coordination responsibilities, including its information management, span education from pre-kindergarten through to higher education.

EDU1.1 **Appeals Committee Records**

The Board includes an Appeals Committee composed of three members and the Chair. The Appeals Committee considers appeals to the Board from decisions of the Commissioner of Elementary and Secondary Education, to submit its recommendations for decisions on appeals to the Board, and to exercise such other functions as are assigned to it. The council files include legal documentation, briefs, and associated correspondence, and hearing records.

Retention: Permanent.

EDU1.2 **Strategic Plans**

By state law (R.I. Gen. Laws § 16-97-1.2(a)) the Board is required to produce strategic plans defining the broad goals and objectives for education in the state. The board has been producing five-year strategic plans. The Comprehensive Education Strategies provide a K-12

blueprint for education in Rhode Island that sets high standards and clear expectations, develops information systems that measure progress towards those standards, and ensures the effective implementation of proven strategies to improve learning and accountability for results (Rhode Island Department of Elementary and Secondary Education [RIDE]) In 1997, these ideas were made actionable as the Student Investment Initiative, also known as Article 31, which provides, among other things, funding for school improvement. This record series consists of the boards' final strategic documents.

Retention: Permanent.

See Also: For associated retention, see GRS1.2 (Program Establishment and Development Records).

EDU1.3 Minutes of Meetings

The Board keeps a record of its proceedings in minutes of meetings. The minutes cover a wide range of issues and subjects. They may include, but are not limited, to documentation related to the board's responsibilities for reviewing and approving education standards and policies, school construction proposals, the development of regulations, reports from the commissioner, renewal of charter school certifications, testimony on various matters, and other matters related to the effective delivery of quality education.

Retention: Permanent.

Note: Documentation related to the development of standards and policies may also be found in the files of RIDE's various offices.

EDU1.4 Records of Appointment of Commissioners of Education

The Board is empowered to approve the appointment of a commissioner of elementary and secondary education (and the commissioner of higher education). The records in this series document such appointments.

Retention: Permanent.

EDU2 Records of the Commissioner of Education

Under state law, the Commissioner of Elementary and Secondary Education is required, among other things, to carry out the policies and program formulated by the Board of Governors to evaluate credentials of applicants for educator certificates, to verify that the certification of teachers is in accordance with law and established standards, and to issue certificates at the direction of the board; to certify the approval of

accredited schools; to recommend to the board an outline of the subjects and courses of study and the instructional standards for elementary and secondary schools; to approve the distribution of state school funds in accordance with law and the regulations of the board; to verify that school sites and school building plans are in accordance with law and regulations, and to certify that school bus routes and schedules and all contracts for pupil transportation conform with provisions of law and the rules and regulations of the board.

EDU2.1 Appeals Records

Individuals who are aggrieved by decisions of school committees or by any other matter falling within the compass of state education law can appeal to the Commissioner. RIDE hearing officers appointed to hear and recommend decisions on appeals must complete and transmit to the Commissioner their written recommended decisions. An appeal record is deemed to be complete when the hearing officer has in his or her possession the official transcript of the hearing and written legal briefs (when applicable) from the parties to the dispute. The Commissioner is authorized to grant an extension when both parties to the appeal request an extension or for other reasons, he/or she deems appropriate.

Retention: Permanent.

Note: All other records of the Commissioner of Education are covered by GRS1 (Executive, High-Level, and Policy-Making Records).

EDU3 Common/Multiple Office Records

Note: This section includes records that two or more offices within RIDE may produce and keep.

EDU3.1 Policy, Best Practice, Frameworks Guidelines, Standards, Strategy Documents

As part of Rhode Island's State Education Agency (SEA), RIDE's several offices and programs may develop, adapt, and adopt state-wide education policies, standards, frameworks, guidelines, and strategies related to their offices' respective mandates and responsibilities. These documents are frequently designed to assist schools and districts to meet federal and state legal and regulatory requirements. This series includes, but is not limited to, a wide range of documentation prepared by or for the Department of Education that describes a range of policies, standards, guidelines, and frameworks documents. This documentation may concern, but is not limited to, instruction methodologies, curriculum and content standards for various subjects, student assessment

methodologies and student health and discipline standards (for example, Compressive Assessment Methodology) and data standards, and content and curriculum alignment development, diploma and graduation requirements, and nutritional guidelines. RIDE is also responsible for setting policy and standards of skill and knowledge for students in K-12 schools in various settings, including, but not limited to, special education programs, career and technical education programs, and adult education programs. These include Grade Span Expectations (GSEs) and Grade Level Expectations (GLEs). These standards may be adopted from external entities, adopted with changes made by RIDE, developed, and adopted in concert with other states, or developed by RIDE. These are not assessment tools; they are knowledge and content standards EG Common Core.

EDU3.1A Final Product (Board-Approved)

Retention: Retain one copy permanently.

See Also: For associated retention, see GRS1.6 (Special Plans, Publications, Studies and Reports).

EDU3.1B Draft Copies

Retention: Retain until final copy is approved for distribution.

Note: Certain standards may appear as separate record series elsewhere in this schedule.

EDU3.2 Training and Guidance Records

One of RIDE's major responsibilities is to provide various forms of training and guidance to the state's elementary, middle, and high school administrative and educator community as well as students and parents. Each of the Department of Elementary and Secondary Education's divisions develops training and guidance products intended to explain what is required to achieve compliance with state and federal law, and with RIDE-developed or adopted standards, frameworks, requirements, and best practices. The documents in this series include training, instructional, and informational materials that RIDE's various offices create for presentation and dissemination to schools and local education authorities (LEAs). These records range from professional development workshops to information providing explanations of newly established national state or regional teaching standards and requirements. The records may also include materials related issues such as nutrition, health, student behavior, and transportation; the use of newly developed

instructional support resources; guidance on student assessment systems; information on curriculum alignment and development; pedagogical tools and technologies, including "blended" methods and "virtual learning" methods. The records may also include instruction on the creation, uploading and use of student and other of data required by various jurisdictions, and advice on grant application preparation. The records may take the form, but are not limited to, of electronic on-line webinars and online publications; pamphlets, brochures, lecture notes/talking points, evaluation forms and compiled data, and electronic (e.g. PowerPoint) presentations.

EDU3.2A Substantially New Versions of Presentation Materials

Retention: Retain one copy permanently.

EDU3.2B Versions Not Substantially Different from Previous Presentation Materials

Retention: Retain until no longer required for presentation purposes (minimum three (3) years).

EDU3.2C Training, Guidance, and Informational Preparation Materials

Retention: Retain until no longer required for administrative purposes (minimum three (3) years).

EDU3.2D Workshop Sign-In Sheets, Evaluation Forms, and Other Administrative Materials

Retention: Retain three (3) years.

EDU3.3 Contract Records

RIDE's various offices may enter into contracts for the purchase of various services related to its mandate (for example, transportation, school nutrition, and telecommunication). This series consists of contract files.

EDU3.3A Records Retained Exclusively by Agency

Retention: Retain ten (10) years after completion of the contract. If in litigation, retain ten (10) years after a case opens or seven (7) years after final disposition or litigation, whichever is later.

EDU3.3B Copies of Records Transmitted to Financial Authority

Retention: Retain ten (10) years.

EDU3.3C Small Purchases (Established Legal/Regulatory Maximum)

Retention: Retain four (4) years after completion of contract. If in litigation, retain ten (10) years after a case opens or seven (7) years after final disposition or litigation, whichever is later.

EDU3.4 Grant Records

Many of the programs that RIDE's offices oversee are funded by various block, formula, categorical, competitive and entitlement federal and state grants. This series contains records documenting RIDE's application for grants as well as its review and conditions of approval of the allocation of sub-grants to schools and districts. Grants may provide funding for, but are not limited to, promoting education data collection and analysis; programs dedicated to meet the needs of students with special education or language learning needs, or with socio-economic disadvantages, or who are homeless; grants for adult education and career and technical education programs; school improvement grants for underachieving schools, after school programs, and full service community schools, and funding for curriculum innovation and teacher development. School/District Sub-Grant Application Files.

Retention: Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.

See Also: For associated retention, see LG5.8.2 (Grant Files). For Federal grant application files, see GRS1.18 (Grant Program Files).

EDU4 RIDE Student Records and Data

This section covers hard copy records and electronic data in RIDE's custody that pertain to individual students.

EDU4.1 Student Level Data Collections [SUPERSEDED]

In accordance with a growing federal and national emphasis on data driven education, RIDE has been building an electronic (digital) information infrastructure over the last fifteen or twenty years. This infrastructure is intended to streamline the data entry and collection

process, and to improve the accuracy, timeliness, and utility of information collected about the state's elementary and secondary school system. This has resulted in a more consistent and standardized statewide framework for the collection of individual student-level data. RIDE annually issues specifications to schools and districts for the submission of individual student data to its data system. The sets of data submitted are described as "data collections." All of these data collection of student data, however, include specifications for including personal student ID data (for example, name and/or assigned unique student number.) The collection and the data elements required within each collection, may vary from years to year. In addition, each data collection may include data from other collections. This record series consists of several collections of student-level data that schools and districts are required to collect and submit to RIDE through its electronic information system. RIDE uses student-level data in its custody strictly for the purposes of aggregation and analysis at the group, school, district, or state level. It does not use this data for the examination or publication of individual student information. This data enables RIDE to conduct aggregate analyses by assigning unique ID information to individual students, schools, and districts. With this information, RIDE produces a wide range of discretionary and required state-, district-, and school-level reports and other documentation described in this and other sections of the schedule. Finally, portions of the student data in RIDE's custody may also feed into other systems residing within RIDE, in other state agencies, with the federal government, or in non-government organizations.

Note: RIDE's information system also collects and stores information about individual teachers and other school staff).

See Also: For associated retention, see EDU4.2 (Enrollment Census Data) through EDU4.9 (Grade Earned Data).

EDU4.2 Enrollment Census Data

Enrollment data forms a fundamental source of information in RIDE's information infrastructure. The enrollment census includes information about every student enrolled in Rhode Island's elementary and secondary schools. It serves as a principal source of input to other RIDE applications and systems, and for the production of a wide range of analyses, studies, and reports. It is used frequently for federal reporting, funding formula calculations, student average daily membership (ADM), and NECAP rosters. The census data may include, but is not limited, to school, district and student ID number; personal information, including date of birth, gender, ethnic background, and residency information, and disability status; date of enrollment, type of enrollment, Limited English

proficiency, migrant and immigrant status and Individual Education Plan status; vocational education status, lunch status, homelessness status, student grade or setting, parental status, home language, student grade or setting, and exit or withdrawal type. LEAs submit enrollment data daily. RIDE pulls together enrollment data at specific times during the year and at the end of the school year for the purposes of analysis and reporting.

EDU4.2A School, District, and State October Enrollment Census Reports

Retention: Permanent.

EDU4.2B Periodic School, District, and State Census Update Reports

Retention: Permanent.

EDU4.2C End of Year Enrollment Census Data Submissions

Retention: Permanent.

EDU4.2D All Other Census Data

Retention: Permanent.

EDU4.3 Attendance Data

This collection includes daily attendance information submitted for every school day for every student. The data pertain to school, district and student ID number; days of attendance as well as reasons and days of absence, tardiness, and early dismissal.

Retention: Permanent.

EDU4.4 Career and Technical Education (CTE) Data

The Career and Technical Education data collection specification applies to all RIDE approved or provisionally approved CTE programs. The data relates to students registered in RIDE- approved CTE programs. In addition to information concerning the identity of the CTE programs, the CTE data also includes information about students registered in apprenticeship programs, and those enrolled in CTE and post-secondary programs. LEAs must submit the CTE-Programs and CTE-Courses data to RIDE when the school year begins and kept up to date throughout school year.

Retention: Permanent.

EDU4.5 Charter School Student Applications

Once each year (currently March), after collecting applications from prospective students and managing enrollment lotteries, Rhode Island charter schools must submit their application data to RIDE. The submission provides data on each student who has applied to a charter school, and whether the schools have offered a seat, a waitlist spot, or were invalid applicants. The data may include, but is not limited to, school, district, and student ID student name, birth date, address, application status (wait listed, seat offered, invalid applicant), and grade.

Retention: Permanent.

EDU4.6 Discipline Data

Federal special education law requires RIDE to examine in-school suspensions, out-of-school suspensions, and total number of disciplinary removals by race/ethnicity. Based upon these data, districts may be required to review and revise policies, procedures, and practices, reserve IDEA funds for coordinated early intervening services, and publicly report on the revision of policies, procedures, and practices. Discipline data are also necessary for our Race to the Top data systems. Districts submit this data daily. The data may include but is not limited to, school, district and student ID number; the type of infraction (e.g., carrying a weapon, intimidation (bullying), sexual assault, smoking, and vandalism); the method of discipline; duration of discipline chosen; date and type of infraction; where applicable, type of weapon involved, and a description of any physical injury. The method of discipline data pertains to information on in-school suspensions, out-of-school- suspensions, and removals to Interim Alternative Educational Settings (by school personnel or by a due process hearing officer). This data is used for many federal and state reporting requirements, and for determining compliance with federal special education law by identifying districts with discrepancies in the rates of short- and long-term suspensions for students with disabilities, and for decisions regarding a district's use of funds.

Retention: Permanent.

EDU4.7 Dual/Concurrent Enrollment Data

"Dual enrollment" means that a student is enrolled in a secondary school while being simultaneously enrolled part-time or full-time as a non-matriculating student at a post-secondary institution, such as a community college, college, or university. The collection is open throughout the school year, allowing LEAs to report as frequently as they would like. The GPA data submission is a required collection for

students enrolled in grades 6 through 12. This data collection is submitted to RIDE at the end of each term. The data includes school, district and student ID number; course names, course credit information, grade earned, and name of post-secondary institution.

Retention: Permanent.

EDU4.8 Grade Point Average Data

A grade point average (GPA) is a calculated average of the letter grades earned in school following an established scale. The data includes school, district, and student ID number, GPA based on the grades earned in all courses offered in the district/school during a particular term.

Retention: Permanent.

EDU4.9 Grade Earned Data

The Grade Earned Data includes school, district and student ID number, all grades earned by a student in a class for each term of the class. This data is a component of RIDE's Early Warning System, which alerts teachers to students who may need special services. The Grade Earned data submission is currently (2016) required for grades 6 to 12.

Retention: Permanent.

EDU4.10 Program Participation Data [SUPERSEDED]

This collection houses several sub-groups of data each recording individual students' participation in various special programs, including also data about students receiving special services. These services and programs may change over time depending on the availability of funding and other resources. The data includes, but is not limited to, student participation in Student Early Intervention Services (EIS), Homeless Students, Dual Language, Students Earning Credentials, Academic Enrichment programs, 21st Century CLC (a federal after school or summer program), and Title 1 services.¹ Each set of program data include school, district, and student ID information. However, each program has unique data submission specifications. The data includes data concerning students receiving different types of extra assistance or special services. Services recorded for each student may include, but are not limited to, services under Title I of the ESEA Act (Pub. L. No. 89-10), including instructional assistance provided for various subjects; health, dental or eye care; supporting guidance and advocacy; and other support services. The collection also includes data related to individual homeless students (for example, students living in shelters, transitional housing, or awaiting foster care; students sharing housing with other

persons due to loss of housing; students living in parks, cars, or campgrounds, temporary trailers or abandoned buildings, or in hotels or motels). The collection also includes data on types of intervention to improve individual student skills in various academic subjects. The collection also includes data related to students with emotional, behavior management challenges, and who are provided with counseling services; data about students who have earned one or more recognized credentials, and data about students who are participating in an academic enrichment program, or other special programs or services. The due dates for the submission of data may vary from program to program.

See Also: For associated retention, see EDU4.11 (Student Test Data) through EDU4.18 (Student Dispute Resolution Files).

EDU4.11 Student Test Data

This series includes student scores on standardized tests. Exams like American College Testing (ACT), Scholastic Aptitude Tests (SATs), Advanced Placement (AP), and International Baccalaureate (IB) provide information about students college readiness and also provide states with a picture of how well their students are prepared for education after high school. This data forms input into the Longitudinal Data System.

Retention: Permanent.

Note: The requirement concerning Title I data applies only to those LEAs which contain Title I Targeted Assistance Schools. The TAS provides funds to allow schools to identify students who are failing or at risk of failing and who have higher numbers or higher percentages of children from low-income families. LEAs with schools that are participating in Title I Targeted Assistance (TAS) under the ESEA Act are required to submit program data to RIDE on a yearly basis. Using federal grant funding, RIDE has overseen the design, development, and implementation of a statewide P-20 longitudinal data system that tracks individual student performance from preschool to high school, college, and the workforce.

EDU4.12 Student Contact Data

The student contact collection includes student contact information. The data may include, but is not limited to, school, district and student ID number, mailing address, dwelling address, email address, and phone numbers as well as primary and secondary contact information.

Retention: Retain five (5) years after students leaves or five (5) years after student reaches the age of 18, whichever is later.

EDU4.13 Special Education Census Data

Those schools receiving funding under Part 8 of IDEA, which covers children and youth (ages 3-21), for the delivery of special education and related services must collect data related to these programs. This series includes data on children with disabilities who receive special education and related services according to an individualized education program (IEP) or service plan. The Special Education Census data collection consists of four types of files: student information, service information, Individualized Service Plan information, and attendance and evaluation information. The Special Education Census collection includes state assigned student ID, student name, date of birth, and gender; ethnicity, language, and primary disability; transportation arrangements, municipality and serving district, assessment accommodation, Individualized Service Plan history and status, parent or surrogate information, contact information; information related to specific special services. Data submission currently occurs at two points during the year, December and May. RIDE submits annually to DOE data on students falling into several categories for which funding is provided under the IDEA.

Retention: Permanent.

EDU4.14 Summer Withdrawal Data

The summer withdrawal data collection allows districts to provide data updates on each school's student exits. In addition to school, district, and student ID data, it contains information on the exit type (for example, transfer from one public school to another, from one district to another, from public to private or religiously - affiliated school, home school, or charter school, or outside the country, or expulsion, death or illness). The data also includes updates of the current year's summer withdrawals.

Retention: Permanent.

EDU4.15 Teacher Course Student (TCS) Data

The teacher-course-student data collection consists of four submissions of K-12 information. Included are individual staff ID information and individual student ID information; courses offered and sections of the courses; staff teach teaching assignments, and students enrolled in a course. The TCS data is used for many purposes, including providing teachers with access to student and class-level data, in order to monitor

and inform teaching strategies (Instructional Management System), and for determining teacher growth as required for an educator's evaluation. RIDE requires daily submission of TCS data to reflect the changes in student classes, student mobility, teacher class assignments changes, and teacher mobility. TCS data is submitted at the beginning of the year and kept up to date throughout the school year.

Retention: Permanent.

EDU4.16 Adult Education Student Data

Adult education program data is not currently included in RIDE's annual set of data specification submissions. However, RIDE requires that adult education programs it has approved upload certain kinds of data about its programs to its Comprehensive Adult Literacy Information System (CALIS) on a daily basis. Until 2006, the RIDE Adult Basic Education office manually collected large quantities of data about Adult Basic Education (ABE) centers, such as student records on demographics, enrollment, attendance, curriculum, and academic performance. This data includes information about individual students. Developed in 2005, and implemented in 2006, CALIS is meant to respond to federal requirements for collection and assessment of Adult Education programs, and for reporting results to the National Reporting System for Adult Education Reporting System (NRS). RIDE receives aggregate data from individual programs, or individual measures. The data includes, but is not limited to, basic personal student information (name, student state ID; address, citizenship, ethnicity, and SSN); enrollment history, including enrollment type, and course registration; test-taking history; attendance, grade level, absences, class information, enrollment, outcome data; completed levels, number who exited before completion; performance levels, and student employment information. RIDE forwards aggregated state data to the federal Office of Vocational and Adult Education's National Reporting system: Statistical Section. State reports include data on numbers enrolled attendance hours, completed levels, number separated before completion of program, and percentages completing the program. Finally, RIDE also currently keeps high school equivalency (formerly GED) test scores and background information and number passed. Testing is done throughout the year at the sponsored testing centers.

Retention: Permanent.

Note: The National Reporting System for Adult Education (NRS) is an outcome-based reporting system for state-administered, federally funded adult education programs. Developed by the U.S. Department of Education's Division of Adult Education and Literacy (DAEL), the

NRS continues a cooperative process through which State adult education directors and DAEL manage a reporting system that demonstrates learner outcomes for adult education.

EDU4.17 End-of-Year Student-Level RIDE Data Reports

In addition to pulling together and submitting various specified sets of student data at various points throughout the year to meet internal, federal, and state reporting schedules, schools/districts are required to submit to RIDE end-of year student data. These year-end submissions may include, but are not limited to, the following types of data: enrollment, attendance, discipline, career and technical education; absence unexcused, absence excused, absenteeism, early dismissal and suspensions, tardiness, special education evaluations, and limited English proficiency data.

EDU4.17A End-of -Year Student-Level Data Reports

Retention: Permanent.

EDU4.17B All other Student Level Data Reports

Retention: Permanent.

EDU4.18 Student Dispute Resolution Files

This series concerns complaints relating to alleged violations against individual students or groups of students regarding the identification, evaluation, educational placement, or provision of free appropriate public education under the IDEA Act (Pub. L. No. 101-476). Individuals or organizations may file a formal written complaint with RIDE they believe a school department or other public educational agency has violated or failed to fully address a requirement of the Board of Education Regulations Governing the Education of Children with Disabilities or violated a provision of the Individuals with Disabilities Act. RIDE carries out investigations and issues a written Findings Letter. If the alleged violations relate to a specific child, the written complaint must also include the child's name and resident address; the name of the child's school; a description of the nature of the problem and related facts, and to the extent known and available at the time of the complaint, a proposed resolution of the problem. If RIDE or an appointed mediator or other appointed intervener finds that a school department or other public educational agency is in violation of special education laws or regulations, the school is required to develop and implement a corrective action plan. The conclusions and corrective actions stipulated in the Findings Letter represent the final decision of the Rhode Island Department of Education. This series includes records that document

dispute resolution concerning individual students or a group of students. The contents of dispute resolution case files depend on the nature of the specific dispute resolution case. The records may include, but are not limited to, notices of complaints, completed complaint forms or letters, support documentation from physicians, schools, and parents; investigation documentation, interview notes, mediation documentation, hearing and meeting records, written testimony, letters of determination, mediation agreements and related correspondence.

Retention: Retain five (5) years after student reaches age 18.

EDU5 State Level/Program Records and Data

This section covers those RIDE records that have statewide applicability, as well as data that RIDE aggregates at a statewide level. RIDE's collections of individual student data from received local sources are used to conduct state-level analyses, which the department may also distribute to other agencies, or use to produce publicly available data products. Local Education Agencies bear ultimate responsibility for the collection, storage and protection and retention of individual student data.

See Also: For associated retention, see LG5 (Public School Records).

EDU5.1 RIDE Federal Data Reports (EDEN)

This series covers the wide range of data reports that RIDE uploads to the federal Department of Education's Education Data Exchange Network (EDEN) Submission System at various points in the school year. This system is designed to provide each state's SEA and the federal government with a capacity to transfer and analyze information about the state's education programs. The federal Department of Education requires that State Education Agencies that have received certain kinds of education-related funding upload certain sets of this data for assessment and analysis and processing. Once the Federal DOE has completed its work of verification, and confirms that the data complies with national standards, a set of the data is returned to the SEA. These reports draw on data that LEAs submit in accordance with RIDE's annual specifications (EDU4 (RIDE Student Records and Data)). The data for these reports is drawn from the districts' submission of data on individual students. These reports upload aggregated school, district and state level data in accordance with federal (EDFacts) file submission specifications. Examples of the kinds of aggregated data RIDE currently uploads include the following: corrective actions; IDEA Child Count; neglected or delinquent students; migrant students; students involved

with firearms; school health reports; homeless children and youth reports.

Note: ED Facts does not collect individual student or staff level. All information provided to ED Facts is aggregated-often by categories such as grade level.

EDU5.1A RIDE Data Reports Uploaded to Federal Department of Education Systems

Retention: Retain three (3) years or until federal DOE returns validated data set to RIDE, whichever is later.

EDU5.1B Federally Processed Copies of Education Data Sets Downloaded to RIDE Systems

Retention: Retain until no longer required for operation purposes, or as specified elsewhere in this retention schedule, whichever is longer (minimum three (3) years).

EDU5.2 Strategic Documents

RIDE's program offices may each produce a wide range of strategic documents ranging from broad-based to issue-focused strategies. Examples include pedagogical and classroom strategies, professional development strategies, and technology strategies.

Retention: Permanent.

Note: The Board of Governors & Commissioner of Education may also hold these documents.

EDU5.3 State Consolidated Resource Plans

other products as part of their application before they can be eligible to apply for grant funding Pub. L. No. 107-110 § 9302 of the No Child Left Behind Act provides requirements concerning standards and assessments, accountability and school improvement, increased flexibility for application of federal resources, and an increased emphasis on educator quality, proven teaching strategies and parent engagement. Under the federal Race to the Top grant program, Local Education Agencies are responsible for submitting Consolidated Resource Plans (CRP) to the SEA (RIDE) for review and approval. The CRP is a single district application for several pools of federal funding made available under different parts of the IDEA Act (Pub. L. No. 101-476) (Title IA

(middle school) Title IIA (district-wide) and ESEA (district-wide). Each LEA prepares a Consolidated Resource Plan, which must be fully consistent with the annual update of its District Strategic Plan. RIDE bundles the LEA plans together to form a single state CRP for federal funds. The grant program is intended to encourage the integration of state, local, and ESEA programs through coherent and comprehensive planning and service delivery across multiple state and local programs. Once RIDE receives funding, it proceeds with the allocation of funding to the education districts. The plans include sections related to disadvantaged student performance, neglected and delinquent youth, teacher quality, and language instruction for English language learners. Individual district CRPs may include, but are not limited to, district plans and objectives; budget information; goals and priorities; funding requirements for each objective; public consultation process information, and requests to obligate federal funds. RIDE provides technical support and advice on the completion of the applications, and also reviews and approves the plans, or to seek amendments.

EDU5.3A State Consolidated Resource Plan

Retention: Permanent (federally approved plan).

EDU5.3B District Consolidated Resource Plans

Retention: Permanent.

EDU5.4 Consolidated State Performance Reports (CSPR)

Several federal education grants require that states submit already-developed state reports and plans as well as descriptions of state assessment measures, state education standards and requirements, and other documentation as part of their application before they can be eligible for grants. CSPRs are one of these products. CSPRs can be submitted under the Consolidated Resource Plan. CSPRs contain data that is required under Pub. L. No. 107-110 § 1111 of the No Child Left Behind Act (NCLB). This information is coordinated by RIDE, which then populates and submits its reports through EDFacts. The report may cover, but is not limited to, such areas as academic standards, academic assessments, accountability; provisions to support teaching and learning, the assessment of parental involvement, and the duration of the plan.

Retention: Permanent.

Note: EDFacts is a U.S. Department of Education (ED) initiative to collect, analyze, report on and promote the use of pre-kindergarten through grade 12 performance data for use in education planning, policymaking, and management

and budget decision-making. EDFacts centralizes data provided by state education agencies (SEAs), local education agencies and schools, and it provides users with the ability to easily analyze and report on submitted data.

EDU5.5 State Performance Plans/Annual Performance Reports

These plans involve RIDE staff reviews of LEA performance reports. The federal Department of Education evaluates state efforts to implement the requirements and purposes of Parts B (children 3 to 21) and C (birth to age 2) of the IDEA. The SPP/APR may include, but is not limited to, state-level quantitative data concerning the percentage of students with disabilities, number of children in special education, percentage of children with disabilities by type of disability (for example, autism, brain injury, deaf-blindness, emotional disturbance, graduation rates, learning environment, orthopedic impairment, post-school outcome. The plan describes how the State will improve its implementation. Section 616(b)(2) also requires that the state report annually to the Secretary of Education on its performance in its Annual Performance Report (APR). Section 616(d) also requires that SEAs review and report on each district's performance against the criteria established in the State Performance Plan. Included in the reports are reviews of performance with respect to graduation rates, parental involvement, equitable discipline, closing the achievement gap, and providing education in a least restrictive environment. It does this through information gathered on monitoring visits, and any other public information. Based on this information, the department must determine if the state is meeting the plan requirements; needs assistance; needs intervention; or needs substantial intervention. In making these determinations and in deciding upon appropriate enforcement actions, the RIDE can consider all information available at the time of the determination.

Note: For records related to RIDE intervention in underperforming schools/districts. In the IDEA, "Least Restrictive Environment" refers to the requirement that a student who has a disability should have the opportunity to be educated with non-disabled peers, to the greatest extent appropriate including the history, nature and length of time of any reported noncompliance, and any evidence of correction.

EDU5.5A State Performance Plans/Annual Performance Reports

Retention: Permanent.

EDU5.5B LEA Performance Reports and Supporting Documentation

Retention: Permanent.

EDU5.6 State Curriculum Development Records

RIDE is responsible for setting standards of skill and knowledge for students in the state's K- 12 schools. These may include but are not limited to, Grade Span Expectations (GSEs), Grade Level Expectations (GLEs). RIDE may adopt standards developed and established by external entities or adopt them with changes in concert with other states. RIDE may also develop state-specific curriculum which set knowledge and content standards. The federal government has encouraged states to adopt college- and career-ready standards, but it did not specify which standards. Common Core was created by states, and Massachusetts played a leading role. In addition, the Core outlines what students should be able to do at different grades. The standards do not dictate curriculum (how that knowledge will be taught), materials, or practices, all of which are up to districts, schools and teachers RIDE's adoption of various standards respecting grade level expectations as well documentation of explanations and implementation of assessment it chooses to adopt. Common Core standards, for example, are not necessarily the same in every state. Each state is free to customize a certain percentage of the standard. This series includes records documenting the state curriculum and knowledge standards that RIDE has adopted or developed.

EDU5.6A Final Approved Curriculum Documents

Retention: Retain one copy permanently.

EDU5.6B Curriculum Development Project Records

Retention: Permanent.

EDU5.6C Standards

Retention: Permanent.

EDU5.7 State Student Assessment Tool Records

RIDE develops various tools for improving the assessment of student learning and knowledge. (For example, the Comprehensive Assessment System.) A comprehensive assessment system is a coordinated plan for monitoring the academic achievement of students from Pre-Kindergarten through Grade 12. The goal of the comprehensive assessment system is to increase student learning by producing actionable data, evaluate the effectiveness of programs, and ensure that all students are making

progress toward achieving learning goals. This series consists of records of RIDE-approved student assessment systems.

Retention: Retain one copy permanently.

EDU5.8 State Report Cards

The No Child Left Behind Act (Pub. L. No. 107-110) requires that states receiving funding under Pub. L. No. 107-110 § 1111 of the act produce and disseminate annual report cards on the performance of all public schools, on all school districts, and on the state. When available, the report cards provide aggregate data for each district's elementary, middle, and high schools (State Report Cards, District Report Cards, and School Report Cards). The State Report Cards are based on student-level information provided at the school and district level. The report cards contain information broken out according to certain subgroups (for example, ethnic or "racial" group, students with disabilities, economically disadvantaged students, minority groups consolidated, and English Language Learners). The information in the report cards may include, but is not limited to, assessment results by performance level (basic, proficient and advanced), including two-year trend data for each subject and grade tested; comparisons between annual objectives and actual performance for each student group; attendance rates, graduation rates, rates of proficiency level of student performance in mathematics and reading as well information about schools identified as needing improvement. The report cards also contain data about graduation rates for secondary school students and any other student achievement indicators that the state chooses. Finally, the report cards may also include various kinds of data pertaining to professional qualifications of teachers in the state, including the percentage of teachers in the classroom with only emergency or provisional credentials and the percentage of classes in the state that are not taught by highly qualified teachers, including comparisons between high- and low-income schools.

EDU5.8A State Report Cards

Retention: Permanent.

EDU5.8B School and District Report Cards

Retention: Permanent.

EDU5.9 State Student Test Performance Data

RIDE has responsibility for identifying, developing, and adopting suitable student assessment tools and systems (for example, the Comprehensive Assessment System), and providing guidance on their development, implementation, and internal use at the local level. This record series,

however, consists of RIDE records documenting its collection of state-, district-, and school-level-test results from certain specialized standardized tests that it has adopted or developed on a statewide basis. Current examples (2016) of standardized tests administered in Rhode Island include New England Common Assessment Program (NECAP), Partnership for Assessment of Readiness for College and Careers (PARCC), National Assessment of Educational Progress (NAEP), Developmental Reading Assessment (DRA), Advanced Placement, and Alternative Assessments. These tests may be designed to measure student performance against established grade-level expected outcomes, and for certain subjects; to meet certain requirements of federal or state legislation, to fulfill a funding requirement, or to measure students' current performance in a way that points to what students need to learn by graduation in order to be ready for college and/or a career. This data may be aggregated for reports on performance at the school, district, and state levels.

Note: In addition to collecting performance information for specialized standardized tests that it has adopted or developed on a statewide basis, RIDE is also responsible for the collection of individual student grades and grade point averages data from schools and districts based on local examinations for individual courses.

EDU5.9A State Level Test Data

Retention: Permanent.

EDU5.9B District Level Test Data

Retention: Permanent.

EDU5.9C School Level Test Data

Retention: Permanent.

EDU5.9D Student Level Test Data

Retention: Schools and Local Education Agencies are custodians of individual student data.

See Also: LG5 (Public School Records).

EDU5.10 Waiver/Flexibility Request Records

As Rhode Island's SEA, RIDE is authorized to submit ESEA flexibility requests to the federal government. These requests seek federal approval for the waiver of certain limitations and requirements spelled

out in various sections of the ESEA Act (Pub. L. No. 89-10) and their associated regulatory, administrative, and reporting requirements. It also allows RIDE to request optional waivers from requirements under certain sections of the ESEA Act. The application also describes RIDE assurances that its measures will meet ESEA principles. It also spells out accountability measures and the steps that have been and will be taken to implement them. Finally, the waiver request describes the kinds of consultations and support that has been provided to underperforming schools.

Retention: Permanent.

Note: Principle 1: College- and Career-Ready Expectations; Principle 2: Differentiated Recognition, Accountability, and Support; Principle 3: Supporting Effective Instruction and Leadership the consultation of diverse stakeholders to develop and implement policies and initiatives.

EDU5.11 State School Ranking System Records

RIDE has developed a state school ranking system. The school-ranking scheme is based on composite index scores of performance for each school's student population. This score represents an aggregated assessment of the performance of the school's student. This state ranking system forms part of the fulfillment of a funding requirement in federal law that states become accountable for the development and implementation of measures designed to ensure that all students in their schools, regardless of economic background, ethnicity, or disability, meet established performance standards. For example, as of 2016, the following measures were in place to determine a school's ranking: Proficiency: How many students have attained proficiency or better? Distinction: How many students have attained distinction? Participation: How many students take the state assessments? Gap-closing: Is the school serving all students, including those with disabilities and English Learners? Growth (K-8): Are all students making progress? Graduation (high schools): Is the school reaching its graduation-rate goals? This system is designed to acknowledge outstanding school-level performance, and also to identify and provide support to under-achieving schools. The current classification system (2016) places schools in one of the following classifications: commended schools, leading schools, typical schools, warning schools, focus schools, and priority schools. This series includes records of RIDE's development and approval of school classification ranking schemes.

EDU5.11A RIDE-Approved Classification Scheme Records

Retention: Permanent.

EDU5.11B Classification Scheme Development Records

Retention: Retain for (3) three years, or until no longer required for administrative purposes, whichever is longer.

EDU5.11C Individual School Classification Data and Records

Retention: Permanent - Electronic and reports.

EDU5.12 School Diagnosis and Strategy Records

One purpose of RIDE's school ranking program is to identify those schools that are underperforming. Depending on their classification, schools are required to select from a number of RIDE-created tools for improving their performance. Under the current classification system (2016), schools that are identified as priority schools, focus schools, or warning schools are required to create improvement plans, with focus and priority schools targeted for different levels of state intervention. RIDE is responsible for providing technical assistance and guidance to those districts and schools needing improvement. For those schools requiring significant intervention due to persistent underperformance, RIDE provides certain formal diagnostic tools for assessing school performance in various areas; it has also developed and made available strategic planning and flexible improvement models and guidance for improving the performance of individual schools and, when necessary, individual LEAs. This series consists of records documenting RIDE's development and adoption of diagnostic tools and strategic options (currently Flex, Restart, Closure) for low-achieving schools. The records include descriptions of the diagnostic tools and menus of researched-based strategy options from which schools and districts identified for improvement must choose. The strategies may be related to school leadership, support for professional development, infrastructure modifications, and educational content improvement.

EDU5.12A Final Diagnostic and Strategy Scheme Documents

Retention: Permanent.

EDU5.12B Working Drafts and Project Documentation

Retention: Retain until no longer required for administrative purposes (minimum three (3) years).

EDU5.13 Educator and Support Professionals Evaluation System Records

RIDE develops state standards and models that provide districts with requirements and guidance for the evaluation and improvement of teacher performance. The model rating system is based on established measures of evaluation. These evaluation measures currently (2016) encompass the following: Classroom Environment, Instruction, Professional Responsibilities, and Student Learning. The Rhode Island Educator Evaluation Systems Standards also allow districts to develop their own systems to meet RIDE standards. In addition to preparing the model and standards, RIDE also requires that districts submit for approval their design of district educator evaluation plans, with supporting documentation, for RIDE review and approval.

Note: Districts are also required to submit individual teacher evaluation data (their effectiveness rating) to RIDE. RIDE uses this data for certification renewal decisions as well as to monitor the quality and fidelity of evaluation systems and to guide the department in the improvement of evaluation systems across the state.

See Also: EDU7 (Educator Records and Data) and LG5.2.2 (Teacher Evaluation File).

EDU5.13A RIDE Educator Evaluation Models and Standards

Retention: Permanent.

EDU5.13B District Educator Evaluation System Documentation

Retention: Retain until regulations are eliminated.

EDU6 District/School Level Records and Data

For educational purposes, Rhode Island is divided into Local Education Districts. A Local Education Agency is responsible for the elementary and secondary schools in its district. For monitoring purposes, Rhode Island currently (2016) has almost fifty LEAs (36 traditional LEAs, eight charter LEAs, and five state schools. This section covers records and data in RIDE's custody that document specific Local Education Agencies and/or individual schools, and also datasets that are aggregated at the level of individual schools or school districts.

EDU6.1 District Strategic Plans

In 1997, the Rhode Island General Assembly enacted educational aid legislation (R.I. Gen. Laws Chapter 16-7.1). The legislation includes a requirement that LEAs receiving state school aid annually prepare and submit strategic plans to the commissioner of elementary and secondary education. This legislation was intended to close inequitable resource,

performance, and achievement gaps among the state's schools. It specifically mentions gaps correlated to "poverty, gender, language background, and disability." District strategic plans are meant to improve the performance of students in mathematics, reading, and writing; maintain an orderly educational environment; promote the development of agency agreements for the coordination of services among state and local agencies responsible for service to children and families. District plans must address the identification and provision of services to pre-school children with disabilities and children and youth with behavioral health care needs, be designed to improve student achievement with emphasis on closing the performance gaps among groups of students such as the performance gaps correlated with poverty, gender, language background, and disability. The plans must also describe how these objectives will be achieved (e.g. improvement plans). with respect to physical activity, health education, and physical education. The plans must also include annual performance targets for determining whether schools and districts have made adequate yearly progress (up until 2015). Additionally, all district strategic plans must address strategies for responding to, recording, and planning for each individual student's social/emotional, academic, and career needs beginning no later than grade five.

Retention: Retain ten (10) years.

EDU6.2 RIDE School Survey/School Accountability, Learning and Teaching (SALT) Records

State law authorizes the Board of Education to conduct surveys of the public schools of any city or town (R.I. Gen. Laws § 16-2-24). RIDE conducts a SurveyWorks program consisting of annual surveys of students, parents, and teachers and staff. SurveyWorks surveys ask questions in order to collect perceptual and opinion data related to five key topic areas: Student Achievement, Teaching, Families and Communities, Safe and Supportive Schools, and Funding and Resources. The surveys gather opinion about learning activities, teacher expectations, technology use, family and community involvement college and career readiness bullying and school safety, tobacco alcohol and drug use; truancy and mental health; and sexual activity. SurveyWorks represents a resumption of survey work RIDE first undertook in the 1990s. In 1996, RIDE launched a school visit program that was supported by state and local schools. Between 1997 and 2004 RIDE teams conducted rounds of weeklong visits to each elementary, middle, and secondary school in Rhode Island. The visits consisted of interviews with administrative staff, faculty, students, and parents as well as reviews of documentation kept by the school inspections of facilities. The result was the production of SALT team visit reports for each school. The reports included brief histories of each school, descriptions of the

facilities, and findings on student learning, teachers' effectiveness, the school's support of good teaching and learning, the condition of school facilities, and findings and conclusions as well as recommendations. The SALT assessments include the following categories: classroom/curriculum practices and routines; cross-teacher and course content and instructional integration; advisory and guidance programs; teacher preparation and staff development needs assessment; governance, decision-making practices and structures; family and community involvement and linkages; and comprehensive health and adolescent development promotion. In addition to the school reports, the SALT project also included voluntary self-study surveys, largely in multiple-choice format. These included, for each school, an Administrator Survey, an Assistant/Associate Administrator Survey, a School Improvement Self-Study Staff Survey, Student Surveys for Elementary, Middle and High School Level students, and a Parent Survey. All of the data entered on the survey sheets has since been input to a RIDE database.

EDU6.2A SALT Team Visit Reports

Retention: Permanent.

EDU6.2B SALT Survey Sheets

Retention: Retain until data entered into RIDE database and verified for accuracy (minimum three (3) years).

EDU6.2C SALT/SurveyWorks Electronic Data

Retention: Permanent.

EDU6.2D All Other Documentation

Retention: Retain until no longer required for administrative purposes (minimum three (3) years).

EDU6.3 School- and District-Level Annual Reports

In addition to the requirement to annually upload certain kinds of data, schools and districts must also file various annual reports with RIDE. These may include, but are not limited to, English Language Learners, Limited English Proficiency Census, and School Health reports.

Retention: Permanent.

See Also: For associated retention, see GRS1.5 (Annual Reports).

EDU6.4 School and District Profiles

Drawing on its student data collections, RIDE generates summary school and district profiles. The profiles include location information, school grade span, grade enrollment numbers, teacher-student ratios, and enrollment by race/ethnicity.

Retention: Permanent.

EDU6.5 Special Education Program Approval and Monitoring Records

To be eligible for approval by RIDE, special education programs, whether offered in private and state-operated schools must meet standards and requirements set in RIDE regulations. Private and state operated school programs are evaluated in the same manner, on the same schedule, and with the same criteria and procedures as those utilized for public schools in Rhode Island. Private schools aiming to offer special education programs under the IDEA Act must also apply to RIDE for accreditation. These schools are subject to various forms of monitoring, on- site visits by the Rhode Island Commissioner of Elementary and Secondary Education or the Commissioner's authorized representative as often as is deemed necessary by RIDE. Approval of such programs occurs on a triennial basis. The files kept by RIDE for each school special education program may include, but are not limited to, policies, procedures, and program documentation. The files also contain copies of RIDE final reports of the results of the review and approval transmitted to LEAs as well as related correspondence. For private schools offering special education programs. The following types of records must be submitted to RIDE: income and retained earnings and changes in financial position; records of receipts and expenditures, personnel salaries; information on tuition and/or fee schedules on forms and instructions supplied by RIDE as part of the school approval application; documentation of the amount of finding spent on special education students. The files also contain compliance monitoring documentation such as written reports, on-site visits, and parent questionnaires, and related correspondence. Each program must also provide the number of children evaluated; the number of children determined to have disabilities; and the number of children served. Finally, files include documentation concerning compliance or non-compliance with state standards.

Retention: Retain ten (10) years.

EDU6.6 Comprehensive Early Childhood Education Program Approval Records

Preschool and kindergarten programs must apply to RIDE for approval. Approval signifies that the program (whether at a school or day care center) has met RIDE standards. The standards encompass assessments that measure a program with respect to health, safety, and nutrition, the physical facility, staff quality, curriculum, child assessment methods, and family engagement. Approval is for one year. Records in this series document RIDE's approval process. The records include applications for initial (first-time) approval, approval renewal forms, completed facilities visit checklists; completed administrator, teacher, assistant teacher, and substitute credentials forms; completed program assurance forms, periodic program reports, and documents filed to demonstrate that the applicant program has also submitted an application to the state's Quality Rating and Improvement System (a Department of Human Services-sponsored program.) The records may also include program notifications of major changes, and related correspondence. Finally, the files also include RIDE decision documentation, which may be Approval, Approval Variance, Provisional Approval, Probationary Approval, and Denial of Approval or Revocation of Approval. For those programs that have received provisional or probationary approval, the files may also include program-developed plans for meeting RIDE standards.

**EDU6.6A Final Report and Essential Supporting
Documentation for Projects/Programs Implemented**

Program notifications of major changes and essential supporting documentation.

Retention: Permanent.

**EDU6.6B Reference Records and Projects/Programs Not
Implemented**

Retention: Retain three (3) years.

**EDU6.6C Administrator, Teacher, Assistant Teacher, and
Substitute Credential Forms [SUPERSEDED]**

See Also: For associated retention, see EDU7.4
(Teacher Certification Records).

EDU6.7 Charter Schools – Requests for Charter School Proposals

RIDE's Office of Charter Schools promotes the development of educational strategies that meet the specific student achievement goals and objectives outlined in individual schools' charters. RIDE annually issues Charter School Requests for Proposal inviting interested parties to submit proposals for the establishment of charter schools. The

document defines charter schools and describes the process and requirements for applying for a school charter.

Retention: Retain ten (10) years. If in litigation, retain ten (10) years after a case opens or seven (7) years after final disposition or litigation, whichever is later.

EDU6.8 Charter School Application Files

The Rhode Island Board of Education has the sole authority to grant school charters. The charters may be granted upon a recommendation of the state's Commissioner of Education. The department's Office of Charter Schools facilitates the reviews of new charter school applications and evaluates existing charter schools. The staff assists the Commissioner of Education and the Board to make decisions relative to charter schools as well as setting charter school policy. Charters are awarded for a period of up to five years, and they are subject to renewal or revocation at the discretion of the Board. This series consists of the Office of Charter School's application files. The files are organized by applicant. Each file may include, but is not limited to, proposed school prospectuses and initial Statements of Intent. Upon review of this initial documentation, those deemed eligible are invited to proceed with full application proposals. Full proposals documentation may include education plans, program details, performance targets, and accountability plans. Each file may also include RIDE evaluations documentation created from candidate interviews, scoring documents, and public comments and hearing notes. The records may also include documentation of the Office's inspections and monitoring of charter school as well as charter amendments, renewal applications, and revocations of charters. Finally, the files include related correspondence.

EDU6.8A Approved Applications

Retention: Permanent.

EDU6.8B Denied Applications

Retention: Retain ten (10) years. If in litigation, retain ten (10) years after a case opens or seven (7) years after final disposition or litigation, whichever is later.

EDU6.9 Career and Technical Education (CTE) Program Approval Files

Pursuant to R.I. Gen. Laws Chapter 16-45, RIDE is authorized to review and approve CTE programs. Thus, LEAs seeking RIDE approval for CTE programs in their schools must go through an application process in order to have access to state CTE funding opportunities. The CTE

Program Approval Process is based on the CTE Career Preparation Program Standards. The approval process is conducted each year for currently approved programs and programs that wish to gain approval. The records in this series include documentation pertaining to the approval process. This documentation is meant to provide documentary evidence of responsiveness to each of the existing CTE program standards. Thus, an LEA application for initial or renewed approval of a CTE program must include detailed program design and implementation information aligned to published career preparation program standards and RIDE application requirements. In part drawn from the CTE Program Data Collection the documentation in the files covers such matters as academic/training curricula; school facilities, school improvement processes; student outcome monitoring; health and safety; staff level, quality, and professional development planning; student goal-setting and career guidance, and the program's ongoing relationships with secondary and postsecondary education, businesses, families, special populations and other community stakeholders; industry or advisory board routinely assessing the program, including a list of membership (formal agendas, on-site visit documentation, meeting minutes and related correspondence. The documentation may also include Onsite Review records. RIDE may issue the following decisions to LEA applicants seeking approval for their CTE programs: provisional, conditional, or temporary approval or full approval, or not approved. Files for career preparation programs that have been found deficient through RIDE's review and approval process may also contain copies of LEA improvement plans. Documentation of improvement efforts directly impacting the program (description of process, sample of changes made for improvement).

Note: There are currently seven CTE program standards: Policies and procedures; partnerships; program operations; staffing, certification, and professional development; curriculum, instruction and technical skill assessment; supplemental and support services; and secondary to postsecondary transition.

EDU6.9A Final Report and Essential Supporting Documentation for Projects/Programs Implemented

Program notifications of major changes and essential supporting documentation.

Retention: Permanent.

EDU6.9B Reference Records and Projects/Programs Not Implemented

Retention: Retain until obsolete or of no further administrative value, minimum three (3) years.

EDU6.10 High School Equivalency (GED) Testing Center/Instructional Program Approval and Monitoring Records

RIDE's adult education program is responsible for authorizing and monitoring the state's high school equivalency testing centers and instructional programs. Only RIDE-approved and Pearson VUE-approved testing centers may administer the tests and be eligible for grant funding. In addition to holding records related to grant applications, RIDE's files for each program include monitoring records. These records may include, but are not limited to, application forms, periodic reports, records documenting program goal setting and student assessment mechanisms; documentation related to site visits, curriculum information; quarterly RIDE reports; lists of instructional and administrative personnel; copies of sub-contractual agreements; and documentation related to program web site reviews.

Retention: Permanent.

Note: Pearson VUE is a private company that help clients to develop, manage, deliver and computer-based testing programs.

EDU6.11 School Support System Records

RIDE's School Support System (SSS) addresses the Comprehensive Education Strategy and the R.I. Student Investment Initiative (R.I. Gen. Laws Chapter 16-7.1). The purpose of the SSS is to provide RIDE with a means of assessment and accountability for each district's delivery of programs and services for students with exceptionalities. The system targets districts with schools identified as performing far below state standards for student performance. It is particularly intended to evaluate the quality and effectiveness of special education, and the extent to which districts meet special education laws and regulations. The SSS process provides models designed to promote the involvement of whole school districts and general educators as well as special educators and parents. The SSS integrates an array of sources of information, including SALT documentation School Improvement Plans and other performance data in order to develop a support plan to improve student performance. Finally, the SSS develops a school support plan for training and technical assistance. RIDE's role is to provide support through membership on school/district improvement teams through participation in improvement meetings, school visits, and reviews of documentation produced during the support process. RIDE records may include, but are

not limited to, staff and parent questionnaires, meeting and interview notes, on-site visit notes, SALT-related documentation qualitative and quantitative performance data from various sources, team reports, and copies of school improvement plans. RIDE's role is to provide support through membership on school/district improvement teams through participation in improvement meetings, school visits, and reviews of documentation produced during the support process. RIDE records may include, but are not limited to, staff and parent questionnaires, meeting and interview notes, on-site visit notes, SALT-related documentation qualitative and quantitative performance data from various sources, team reports, and copies of school improvement plans. Finally, the process produces combined district support plans and final reports. Final SSS Reports summarize the findings from the various data sources. Elements of the latter documents may include but are not limited to descriptions of performance or compliance. The records include findings concerning various categories, from school improvement to least restrictive environment, documentation of the sources of the report's findings, and a support plan - that reflects the responses to assistance available, and outlines procedures for verification.

Note: Exceptionalities is a term the education community has introduced to refer to students who may have exceptional strengths or weaknesses in intellectual ability, special learning disabilities or speech or language impairments; auditory or visual disabilities; who are emotionally disturbed or socially maladjusted; have orthopedic or mobility disabilities, or multiple exceptional conditions.

Retention: Permanent.

EDU6.11B Plan and Report Development Records

Retention: Permanent.

EDU6.12 School Improvement/Intervention Records

Federal and state law require that SEAs intervene with various degrees of intensity in schools that are identified as in need of improvement. The degree of intervention depends on the ranking of the school or schools in a particular district. Schools whose performance continues to stagnant or decline over time despite being identified as needing improvement (for example, in 2016, identified as "warning," "focus," or "priority" schools) and that continue to fail to make "adequate yearly progress" face progressively increasing RIDE intervention and control. The extent of RIDE intervention depends on, but is not limited to, the school's ranking, the school's achievement or failure to achieve improvement objectives over a specified number of years, and the effectiveness of LEAs in

raising the performance of the school(s). This series consists of records documenting RIDE's intervention in specific underperforming schools and participation in the school improvement process. The content of these files depends on the kinds of intervention required by each school's ranking and performance over time. RIDE's intervention involves working with districts and schools to ensure that their plans align with federal "turnaround principles" and other federal and state standards. For persistently underperforming schools, the records may include diagnostic documentation consisting of detailed assessments of performance based on data drawn from RIDE's accountability information system relating to school performance, culture, climate and student outcome data, including student outcome data aggregated at subpopulation levels. The records may also include RIDE's review, commentary on, and the commissioner's approval of districts' selection of an option from a RIDE-developed menu of intervention strategies; and copies of Commissioner reviews and approvals of school improvement plans. The records may also include meeting notes; interview and inspection notes, correspondence; quarterly school progress reports submitted by the schools, and dashboard reports summarizing what the school committed to accomplishing during the reporting period, and records documenting RIDE's monitoring of school improvement. Finally, the files may contain documentation of RIDE's determination that a school has or has not made sufficient improvement to exit the formal improvement process.

Note: "Adequate Yearly Progress" is a phrase that is specific to the federal No Child Left Behind Act (Pub. L. No. 107-110). It has been superseded by new measures. It encompasses a series of annual performance goals set by the state for each school district and school as well as for the state as a whole. By participating in Title I, a voluntary federal program that provides funds to participating states to help educate low-income and all children to become proficient in Reading/English Language Arts and Mathematics, as determined by state assessments. It is a measure of year-to-year student achievement on statewide assessments. The Turnaround Principles consist of indicators aligned to DOE "Turnaround Principles".

EDU6.12A School Improvement Plans

Retention: Permanent.

EDU6.12B Commissioner Decisions

Retention: Permanent.

EDU6.12C School Improvement Process Files [SUPERSEDED]

See Also: For these plans, see LG5.8.3 (Policies, Procedures and Guidelines) where custody of records resides with each school and district.

EDU6.13 School Awards

RIDE has in place a system for honoring excellent schools. As part of the statewide accountability system, RIDE identifies a number of Commended Schools for high performance across a variety of metrics. In addition, RIDE participates in the federal Blue Ribbon and Green Ribbon programs.

Retention: Retain five (5) years.

EDU6.14 Annual Textbook Lists

Each year districts are required to submit a complete listing of all textbooks planned for use during the next academic year.

Retention: Retain until updated, superseded, or of no further administrative value.

EDU6.15 School Construction, Renovation, and Repair Records

This records series consists of records that document RIDE's role in individual school construction projects from initial proposals to approval, monitoring, and closeout of projects. The Council on Elementary and Secondary Education is responsible for determining the need for all school housing construction projects. RIDE's review and approval of school housing projects serves two purposes: qualification of the project for reimbursement under the state aid for Housing Program or School Building Authority Capital Fund; and certifying to the General Assembly that the project is needed should the district require enabling legislation for a bond. Applications are placed on one of two approval tracks, a fast track repair approval process or a major projects approval process. School construction project application approval projects occur in three stages: In the first stage schools and districts must document the need for school construction. RIDE will either preliminarily approve the submission, request more information, or deny eligibility to proceed to a second stage. Once LEAs receive stage 1 approval, if they do not submit Stage 2 application documentation within a time specified by RIDE (currently one year), the approval expires, and districts must start at Stage 1 again. The content of the files in each stage depends of the nature of the project. However, stage 1 documentation generally includes, but is not limited to, the following categories of documentation:

Statement of Interest & Project Justification; district maps with highlighted educational facilities; school building committee membership list and backgrounds, district asset protection plan; capital facilities improvement plan; facilities analysis (current facilities); district and community demographics; educational program due diligence; approval of funding for architectural feasibility study, and operating budget analysis. In stage 2, districts are required to submit documentation that focuses more specifically on methods and cost of construction. Stage 2 documentation generally includes, but is not limited to, the submission of the following categories of documentation: Project Summary and Prioritization, which may include documentation explaining why new construction is required as opposed to renovating existing facilities; the current condition of existing facilities, and data that supports the need for the project; student enrollment projections, community data, and project cost comparisons, indications of whether building code compliance, health and safety concerns, or security issues exist. Architectural Feasibility Study Analysis, which may include schematic design documents and design and construction cost projection, a description of the correspondence between the proposed facility design and the school population's educational and other needs; traffic/transportation impact plan; energy analysis, financing plans, and local support documentation. Districts are directed to indicate whether the planning committee considered the historical implications of existing facilities. Finally the files include agreements, project-related correspondence, and copies of RIDE review documents.

Note: Projects that involve the renovation or demolition of an historic building are directed to advise the Rhode Island Historical Preservation & Heritage Commission.

EDU6.15A Approved Major Construction – School Buildings with Historical Significance

Retention: Permanent.

See Also: For associated retention, see GRS4.2A (Construction and Improvement Records).

EDU6.15B All Other Approved Major Project Construction Files

Retention: Retain for the life of the reimbursement period plus (10) years unless in litigation. If in litigation, retain ten (10) years after a case opens or seven (7) years after final disposition or litigation, whichever is later.

EDU6.15C Approved Projects – Fast Track Repairs

Retention: Permanent.

EDU6.15D Stage 1 Approved Project Records

Retention: Retain until RIDE-established deadline for Stage 2 submissions expires. If Stage 2 application is received by RIDE-established deadline, and approved, follow EDU6.15A (Approved Major Construction – School Buildings with Historical Significance), EDU6.15B (All Other Approved Major Project Construction Files), or EDU6.15C (Approved Projects – Fast Track Repairs)). If project disapproved, follow EDU6.15E (Disapproved Projects).

EDU6.15E Disapproved Projects

Retention: Retain for ten (10) years. If in litigation, retain ten (10) years after a case opens or seven (7) years after final disposition or litigation, whichever is later.

EDU6.16 Housing Aid Records

Districts that complete school housing projects for school repairs, renovation or new construction may be eligible for state housing aid reimbursement. Only construction projects approved by the Council on Elementary and Secondary Education are eligible for state aid. After an LEA completes the Necessity of School Construction process and receives Board of Education approval, school construction projects are eligible to receive housing aid reimbursement. Housing Aid also features incentive bonuses for asbestos abatement, energy conservation, handicapped access and rationalization as well as a debt service adjustment for heavily burdened districts. The records include, but are not limited to, completed forms providing information about the project's principal and interest costs, methods of financing school construction, itemized description of construction work and associated costs, the project's debt repayment schedule, and detailed invoice information.

Retention: Retain for the life of the State Reimbursement Period plus (10) years.

EDU6.17 School Closure Records

A district must notify RIDE in writing six months prior to the sale, lease, demolition, or other removal from service of any school facility in the

district's jurisdiction. The notification must include the district's plan for accommodating any displaced school programs or services and a plan for accommodating district students within remaining school buildings as a result of this sale, lease or removal from service. Where a building that has received school construction payments from RIDE for a building that has not remained in service for 50 years, RIDE may recapture at its discretion a portion of the housing aid reimbursement. This series documents the school closure process. The records may include, but are not limited to, completed RIDE school closure forms, a district's transition plans for displaced students, and for closed programs and services, as well as housing aid history.

Retention: Permanent.

EDU6.18 RI Telecommunications Educational Access Fund (RITEAF) Program

E-Rate is the common name of the federal Schools and Libraries Program (SLD) part of the Federal Communications Commission's Universal Service Fund. The program provides discounts to assist schools and libraries in the United States to obtain affordable telecommunications and Internet access. RIDE's RITEAF program supplements the E-Rate program to ensure that Internet access and other network resources are available and affordable for all private and public K12 schools and all public libraries. Schools that qualify for the federal E-Rate may apply to RIDE for the discount. RIDE achieves savings by organizing a consortium of districts that enable schools to apply for and receive E-Rate discounts. Districts must apply to RIDE to benefit from the consortium discount. The records in this series may include, but are not limited to, RIDE consortium applications documentation to E-Rate for the purchase of school internet access; district Letters of Agency; Certification by Administrative Authority to Billed Entity of Compliance with the Children's Internet Protection Act (Pub. L. No. 106-554); bandwidth upgrade forms, district technology plan; Information Form, and student enrollment forms.

Retention: Retain three (3) years.

EDU6.19 Wireless Classroom Initiative Records

This series concerns RIDE's responsibilities with respect to the provision of wireless access to classrooms across the state. As funding levels permit, RIDE makes funding available to districts/schools for the implementation of wireless classrooms. Schools submit layout plans and requirements to vendors who wish to bid. Districts must inform prospective vendors of RIDE requirements for the implementation of wireless classroom services. Vendors then submit proposal

documentation to RIDE. This series consists of records documenting RIDE's role in the approval and funding of school/district implementation of wireless classroom technology. The documentation may include, but is not limited to, vendor proposed scope of work, plan of implementation, site survey, design and cost information, and project timeline; conformity of proposed implementation with state and federal regulations, and proposal review meeting notes. Finally, the files include a WCI Implementation Quality Checklist submitted by the vendor, signed by the vendor and the LEA authority. The checklist includes identification and location of the school/district; vendor information; equipment/parts list and verification; a record of the location of the installed access points, including a photograph of each AP after installation; installation notes for changes that had to be made to support deployment (including difficulties related to wiring). Finally, the files include claims and reimbursement documentation.

Retention: Retain (7) years after the completion of the WCI initiative.

EDU6.20 Nutrition Program Records

The federal Department of Agriculture's Food and Nutrition Service administers several programs designed to provide healthy food to children. State law requires that Rhode Island's elementary and secondary schools implement programs to make nutritional food available to students meeting certain criteria established by federal and state regulations. These programs may include, but are not limited to, the National School Lunch Program, the School Breakfast Program, the Child and Adult Care Food Program, After School Program, the Summer Food Service Program, the Fresh Fruit and Vegetable Program, and the Special Milk Program. RIDE's school nutrition programs receive funding from the federal government. The department provides support to local nutrition program sponsors. Sponsors may include, but are not limited to, public schools, child and adult care programs, day care centers, evening meal programs, and summer programs. The department is responsible for reviewing and approving, or denying, annual funding applications and ensures that programs continue to adhere to adopted nutritional standards to receive or renew funding. It also verifies individual participants' eligibility to receive support. The files may also relate to Community Eligibility Participation (CEP) applications. This program provides schools that participate in the National School Lunch Program (NSLP) and the School Breakfast Program (SBP) with an alternative method for counting and claiming student meals in high poverty local educational agencies (LEAs) and commits schools to four- year participation. The records may include, but are not limited to, application forms, agreements between RIDE and nutrition program sponsors, verification documentation, CEP Agreement and CEP Participation claims and reimbursement documentation, compliance reports,

evaluation reports, corrective actions plans, sponsor update forms and data, and also notices of support termination as well as records related to appeals of denial or termination.

EDU6.20A Community Eligibility Participation Application Records

Retention: Retain (10) years.

EDU6.20B All Other Nutrition Support Application Files

Retention: Retain (5) years.

EDU6.20C Annual District Participation Reports

Retention: Permanent.

EDU6.21 School Transportation Program Records

In accordance with Rhode General Law (R.I. Gen. Laws Chapter 16-21.1), RIDE is responsible for maintaining a statewide transportation system. The system holds a registry for students attending schools outside their district, including homeless students. The system (managed for RIDE under contract to a private firm) coordinates scheduling, routing, service, and also billing and contractual compliance with private school bus companies, also under contract to RIDE. The records include completed annual requests for student transportation forms; school bus system transportation logistics data - such as stop location, student time spent on the bus, each student's assigned school and vehicle mechanics, and contracts established with school bus companies. This series may also include reports RIDE receives from the system manager concerning serious incidents involving school buses. Serious incidents means any accident with injuries requiring medical assistance, and any person transported from the scene to a medical facility; any accident with significant damage to either vehicle, and any time the news media is known to be on the scene.

Note: For bus company contracts and associated correspondence, please consult the General Records Retention Schedules.

EDU6.21A School Bus Transportation Logistics Data

Retention: Retain until no longer necessary for administrative purposes (three (3) years minimum).

Note: Vendors provide and manage the transportation registration and logistics system data. However, the data belongs to RIDE.

EDU6.21B Student Applications for Transportation Service

Retention: Retain three (3) years.

EDU6.21C Accident Reports

Retention: Permanent.

EDU7 Educator Records and Data

This section encompasses records and data relating to individual personnel in the state's educational system, including educators, administrators, and member of school and district staff.

EDU7.1 Educator Certification Records

The Office of Educator Quality and Certification is responsible for the issuance of teacher certificates to individual who meet the qualifications for teaching in Rhode Island's elementary, middle, and high schools.

Retention: Retain fifteen (15) years after last activity.

EDU7.2 Administrator Certification Records

Administrator certifications are issued to educators whose primary duties may include the supervision of programs or curriculum or the supervision or management of a local educational agency, a school building, a school program, or a school system. Records may include, but are not limited to, completed application forms, applicable test results and certification in appropriate academic or other area, evidence of internship hours; official or student issued transcripts with conferral of degree, letters of recommendation, and fee payment documentation.

Retention: Retain fifteen (15) years after last file activity.

EDU7.3 Credential Development Plan Review Records

RIDE sometimes provides assistance to prospective applicants who intend to apply for teacher certification by reviewing an applicant's preparation against a set of standards and criteria to determine eligibility for certification. The process of review may include a review of preparation, field experience, and testing results. The records include submitted credential records and related documentation as well RIDE

assessments of the credentials and recommendations for meeting certification requirements, and related correspondence.

Retention: Retain three (3) years. If individual obtains certification during the three-year period, then follow teacher certification file retention period in EDU7.4 (Teacher Certification Records).

EDU7.4 Teacher Certification Records

Individuals may apply for different levels of certification that make them eligible to teach elementary and high school in Rhode Island. RIDE issues several different types of certification, each of which assigns a different status to recipients and entitles them to assume different teaching positions in the educational system. This series covers full certification files, Initial Educator Certification Files, and Lifetime Certification Files. A Rhode Island "Full Certificate" is a multi-year certificate that demonstrates the educator has met all Rhode Island requirements for certification and is included in the three-tier system of Rhode Island Educator certificates. A full certificate is comparable to the National Association of State Directors of Teacher Education and Certification (NASDTEC) Stage 3 License and is recognized by other states for certificate reciprocity. Educators certified in other states seeking certification in Rhode Island present a valid Stage 3 license from their state to attain reciprocity. "Initial Educator Certificate" is the first level in the three-tier system of full certification. All educators hold this level of certification when they are certified for the first time in Rhode Island. Finally, teachers can apply for lifetime certification, which exempts them from having to renew their certifications. The content of each file depends on the type of certification. Files include, but may not be limited to, completed application forms, out-of-state certifications, academic transcripts, college verification forms attesting to completion of required educational program, professional development credit-reports, various testing scores, criminal history checks, internal certification checklists, as well as documentation related to applications for certification to teach different subjects. The files may also include regular applications for renewal of certification. Unless lifetime certified, individuals who receive regular certification must periodically renew their certification within a cycle established by RIDE. The renewal period depends on the type of certification, but it does not exceed five years. Finally, the files may also include performance-based non-renewal documentation. "Performance-based Non-renewal" of a certificate occurs when an employed educator has received a rating of "Ineffective" on the state-approved local evaluation system for each year of work under the certificate submitted for renewal. Social security numbers serve to organize teacher certification files. All have been entered into an

electronic database, which includes information about the storage location of each certification file.

Note: If in litigation, retain ten (10) years after a case opens or seven (7) years after final disposition or litigation, whichever is later.

EDU7.4A Lifetime Teacher Certification Files

Retention: Retain until age 80.

EDU7.4B Full and Initial Teacher Certification Files

Retention: Retain ten (10) years after last activity (e.g. retirement, or revocation or non-renewal of certification).

EDU7.4C Denied Teacher Certification Application Files

Retention: Retain ten (10) years.

EDU7.4D Revoked and Non-Renewed Teacher Certification Files

Retention: Retain ten (10) years from date of revocation or non-renewal.

See Also: If reinstated, follow EDU7.4B (Full and Initial Teacher Certification Files).

EDU7.5 Preliminary and Temporary Educator Certification Records

RIDE provides a variety of temporary provisional teacher certifications ("Preliminary Educator Certifications") to individuals who have not completed the certification process but who are in the process of doing so (individuals who do not yet possess Full, or Initial Educator Certification.) These may include, but are not limited to, Preliminary Educator Certificates, Alternate Route Preliminary, Career and Technical Education Preliminary, Emergency Preliminary, Expert Residency Preliminary, Temporary Initial Educator Preliminary, and Visiting Lecturer Preliminary. Preliminary certifications are issued for a one-year period and may have one-year extensions. Temporary initial certifications may also be issued to individuals who have met all requirements except for the passing of the certification test on condition that they pursue regular certification. and pass the test within one year. This series encompasses records that document the issuance of time-limited certificates to individuals who have not obtained Lifetime, Full, or Initial Educator Certification. These temporary certifications may be issued to individuals

who meet conditions that have been set by RIDE. Included are application forms and supporting documentation required by RIDE.

Retention: Retain three (3) years.

See Also: If applicant achieves initial educator certification, see EDU7.4B (Full and Initial Teacher Certification Files).

EDU7.6 Substitute Permit Records [OBSOLETE]

RIDE issues Substitute Permits to qualified individuals who wish to substitute teach or serve as nurses in the state. This permit is valid for one year and may be renewed. The file includes applications forms, criminal background checks, and documentation related to educational credentials.

Retention: No longer applicable. Retain for (5) years.

EDU7.7 Support Professional Certification Records [OBSOLETE]

A "Support Professional Certificate" is issued to an educator, other than a teacher or administrator, who has primary responsibility as an instructional leader, a specialist/consultant, or a related service provider in schools.

Retention: RIDE no longer issues these. Retain for (5) years.

EDU7.8 Athletic Coach Certification Records [OBSOLETE]

Individuals who wish to qualify to coach athletics in the Rhode Island schools must apply for eligibility and be certified by RIDE. The records in this series include Red Cross certification, training -related records and require annual proof of current and valid first aid training. Coach permits are valid for five years

Retention: RIDE no longer issues these. Retain for (5) years.

EDU7.9 Teacher Offender Files

RIDE maintains separate individual files on teaching staff that have been charged with a criminal offense (e.g. physical or sexual abuse.) The records may include, but are not limited to, notes of meetings, notifications of dismissal, appeal documentation, and copies of final decisions. Final decisions are placed in teacher certification file.

Retention: Permanent.

EDU7.10 Personnel Assignment Data

As of 2015-2016, data on individual school system personnel is one of the required annual data submissions specified for collection. (On RIDE's annual data specifications). The Personnel Assignment Submission data includes data concerning assignments for all staff members that are currently employed in districts and schools. The data may include, but is not limited to, first and last name, staff ID, school ID, and district ID; certification ID, certification status, and license status; teaching, administrative, special or other assignment type; subjects and grades taught, and assignment dates; data on age and percentage of special education students; types of special education services provided, and, when applicable, reasons for assignment change. The data is updated on an on-going basis. The collections also include information about the type and status of each individual's certification. RIDE takes snapshots of personnel assignment data on various dates to fulfill state and federal reporting obligations. Personnel assignment data is used for personnel certification decisions. Local education agencies (LEA) are required by federal law and Board of Regents Regulations to document the work assignments for teachers, administrators, support professionals and all non-instructional staff members employed at both schools and central offices. LEAs submit official reports of work assignments to Rhode Island Department of Education (RIDE) at different dates throughout the academic year.

Retention: Permanent.

EDU7.11 Educator Attendance Data

Educator Attendance data records, another annual data collection submission requirement, contain attendance information for every school day for every educator. The data includes all building administrators, teachers and support professionals who work in schools that have students in grades preschool-12. Long-term substitutes (as defined by local policy) filling assignments in any of these roles must be reported as well as educators who are absent due to a pre-approved leave must be included. This collection supports an effort to build a better understanding of absenteeism. The teacher absenteeism data collection is also intended to help identify possible gaps for Ensuring Equitable Access to Excellent Educators, as required by RIDE's Equity Plan, that is, to ensure that all students across the state benefit equally from well prepared, high quality educational personnel. This data collection may include, but is not limited to, staff ID., staff name, certification ID, staff title, school code, district code, type of staff, (teacher, administrator, support staff), and types and dates of absences.

EDU7.11A Vital Information Such as Hire and Separation Date, Salary and Position History, Accrued Hours Reports

**and Summaries, Pension Contributions/Returned
Contribution Summaries/Reports**

Retention: Retain fifty (50) years after separation.

EDU7.11B All Other Records

Retention: Retain ten (10) years after separation.

EDU7.11C Per Diem Employees

Retention: Retain seven (7) years after separation.

See Also: For associated retention, see LG15.1.1
(Personnel Files – Official Copy).

EDU7.12 Educator Evaluation Data

Each year, districts are required to submit individual evaluation data for teachers, support professionals and building administrators to RIDE. See EDU5 (State Level/Program Records and Data) on online Educator Performance and Support System (EPSS). These evaluations are currently (2016) based on three sets of criteria: Professional Practice, Professional Foundations, and Student Learning. RIDE uses this data for certification renewal decisions as well as to monitor the quality and fidelity of evaluation systems, and to guide the department in the improvement of evaluation systems across the state. This data may include, but is not limited to, staff ID, staff name, certification ID, certification status, staff title, school code, type of staff, (teacher, administrator, support staff), subject(s) taught, percentage of special education students, and student performance data as well as ratings related to collaboration, delivery methods, instructional quality, leadership, and organization. LEAs are also required to submit Final Effectiveness Rating Reports (Current ratings include exceeded, met, nearly met, not met) during the summer following each academic year.

Retention: Permanent.

EDU7.13 Educator Recognition Records

RIDE recognizes outstanding teachers and school administrators in the school system through the granting of various awards. RIDE coordinates the selection and recognition of several award programs, currently including the Rhode Island Teacher of the Year, the Rhode Island Principal of the Year, Milken Family Foundation Educator Awards, the Presidential Awards in Mathematics and Science as well as the Golden Apple™ Awards. RIDE invites each district to recommend educators who demonstrate strong leadership skills and instructional practices, and

impact students, colleagues, and the community, and who achieve high effectiveness ratings. The records include letters of endorsement explaining how the individual meets the criteria signed by the Superintendent of Schools or Head of School, a resume for each educator recommendation, a completed application for each educator and three references who can attest to the individual's educational accomplishments and practices.

Retention: Retain five (5) years.