



# **Educator Preparation Program Continuing Approval Review Handbook**

## **2017-2018**

## Continuing Approval Reviews

The Texas Education Agency (TEA) is committed to ensuring high quality educator preparation that starts with the educator preparation program (EPP) that recruits and prepares qualified educators. TEA is required by 19 Texas Administrative Code (TAC) §228.10(b) to review each EPP at least once every five (5) years. The scope of the five-year Continuing Approval Review is limited to the EPP's compliance with TAC and Texas Education Code (TEC). An EPP may also receive a discretionary Continuing Approval Review. This type of review may occur at any time outside of the five-year review rotation and most often occurs when an EPP needs assistance bringing program components back into compliance with TAC and TEC. There are two (2) different formats used for five-year Continuing Approval Reviews and discretionary Continuing Approval Reviews: the **desk** review and the **on-site** review. The EPP will be notified in advance of the type of review to expect. This handbook provides detailed instructions and forms to facilitate the review process.

### Continuing Approval Desk Reviews

Desk reviews require EPPs to submit specific review documents to TEA and do not include an on-site visit to the EPP. The desk review process includes: 1) notification and training by TEA; 2) preparation and submission of materials by the EPP; 3) TEA analysis of materials and data; 4) TEA conference call with EPP to review preliminary results; 5) EPP submission of additional documents, if requested; 6) follow-up conference call with EPP to discuss review results; and 7) an official written report. Once the follow-up conference call is complete, TEA Program Specialists will not accept any additional documentation.

### Continuing Approval On-Site Reviews

In the on-site review, TEA staff members travel to the EPP to conduct the review on-site. During the review, TEA staff members review documents and records compiled by the EPP staff. Since the review is considered a snapshot in time, all documentation and artifacts must be available during the on-site portion of the review. Once the TEA staff leave the site, additional documentation will not be accepted. The entire on-site review process has five stages: 1) notification and training by TEA; 2) preparation and submission of preliminary materials by the EPP; 3) TEA analysis of documentation and data on-site; 4) on-site conference with EPP staff regarding review findings; and 5) an official written report.

Note: A site visit may be required if more than two (2) accountability system data factors are in the bottom quartile for overall performance and the Continuing Approval Review shows non-compliance with rules.

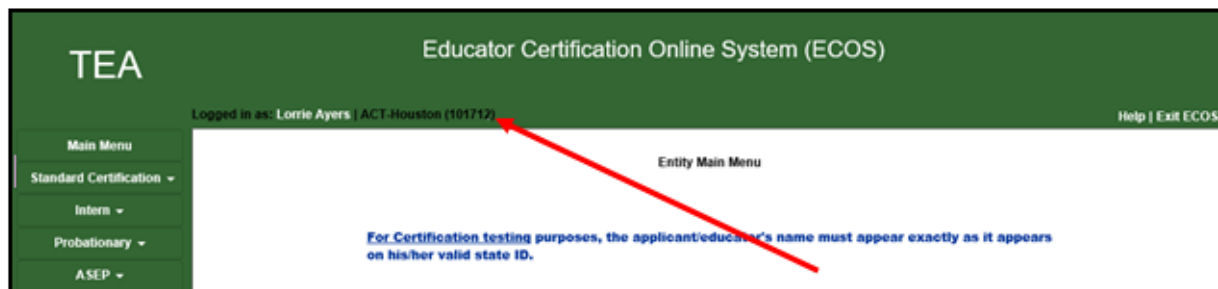
## The Nine Components of the Continuing Approval Review

EPPs are required to comply with TAC and TEC which guides various aspects of the program. The TAC specifies the components of the Continuing Approval Review:

- I. Governance 19 TAC §228.20
- II. Admission Criteria 19 TAC §227
- III. Curriculum 19 TAC §228.30
- IV. Coursework, Training, Program Delivery & Ongoing Support 19 TAC §228.35
- V. Assessment & Evaluation of Candidates & Program 19 TAC §228.40
- VI. Professional Conduct 19 TAC §228.30; §228.50; and §247
- VII. Complaint Procedures 19 TAC §228.70
- VIII. Certification Procedures 19 TAC §230
- IX. Integrity of Data Submission 19 TAC §229

## County/District Number

Many EPPs have the same names but different locations. To facilitate identification of the correct EPP, the county/district number (CDN), which is unique to the entity, should be placed on all communication with the TEA. If necessary, EPP personnel may contact the TEA Program Specialist to confirm the CDN, or the CDN is also found in ECOS:



## Assigned Program Specialist

For the Continuing Approval Review, a TEA Program Specialist will be assigned to work with EPP staff during the review. The assigned Program Specialist will be the “lead” who will assist with answers to questions, facilitate the review process, assist the EPP in developing a Compliance Plan, if necessary, and write the final report. All documents, records, and any other communications relating to the Continuing Approval Review must be submitted to the assigned Program Specialist.

## **Fees for the Continuing Approval Review**

There is no fee for a desk review. There will only be a fee required if TEA visits the EPP site.

In 19 TAC §229.9 the following fees are mandated for the Continuing Approval Review:

- Five-year continuing approval review (on-site) = \$4500
- Discretionary continuing approval review (on-site) = \$4500

To submit fees:

- ✓ Complete the “Educator Preparation Program Fee Form” found in **Appendix A** of this handbook;
- ✓ Make checks payable to: TEA – Educator Preparation; and
- ✓ Mail to: TEA-Accounting Dept., 1701 N. Congress Ave., Austin, TX 78701.

Note: The fee must be received **FOUR (4) WEEKS** prior to the Continuing Approval On-Site Review.

## Program Preparation Prior to the Continuing Approval Review

### The Notification Letter

An EPP that is scheduled for a Continuing Approval Review will be notified in advance via a **Notification Letter** sent as an email. The email will be sent to the EPP Legal Authority with copies to the Legal Authority Back-up(s). 'Read receipts' will be requested so that TEA staff may follow up, if necessary, to be sure EPP staff receives communication in a timely fashion.

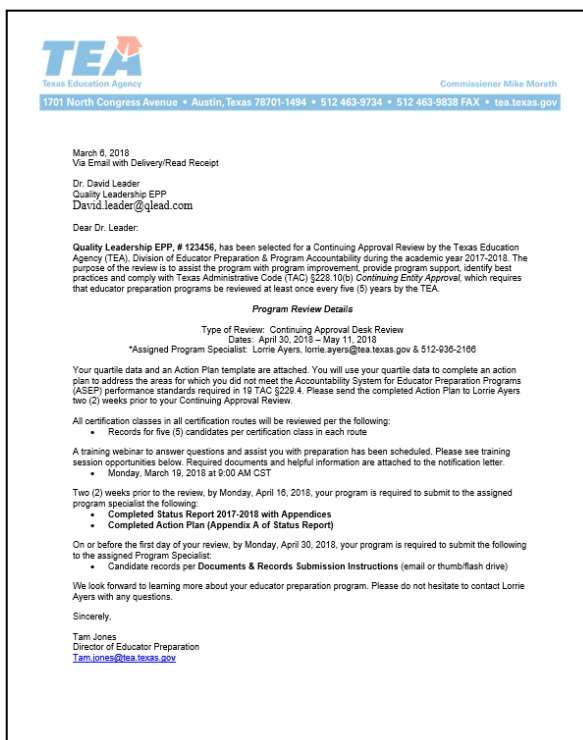
The Notification Letter identifies the following detail:

- Date of the review;
- Review format;
- Training webinar dates and links for EPP staff who may have questions about the review process;
- Number of candidates records to be reviewed with due dates;
- Status Report due date;
- Action Plan due date; and
- Assigned Program Specialist contact information.

The following documents are attached to the Notification Letter email:

- ✓ Educator Preparation Program Continuing Approval Review Handbook for reference
- ✓ Status Report-to be completed by EPP and returned to TEA
- ✓ Action Plan-to be completed by EPP and returned to TEA
- ✓ Continuing Approval Review – Desk Review Instructions (desk review format only)
- ✓ Review Process Overview
- ✓ Risk Assessment with EPP Quartile Noted
- ✓ Review rubric

Sample Notification Letter:



## Continuing Approval Review Handbook


The **Continuing Approval Review Handbook** is emailed to the EPP, along with the Notification Letter. A copy of the handbook is also posted on the Program Provider Resources page on the TEA website: [Link](#). The handbook is a reference document that should answer common questions concerning the EPP review process. The EPP staff may expect to find in the handbook:

- ✓ An overview of the Continuing Approval Review process
- ✓ Details about how the EPP can prepare for the review
- ✓ Appendices containing helpful documents

## Status Report

The **Status Report** is required in 19 TAC §228.10(b)(1) which states “at the time of the review, the entity shall submit to the TEA staff a status report regarding its compliance with existing standards and requirements for EPPs.” The Status Report is emailed to the EPP along with the Notification Letter. It is designed to be completed and submitted electronically. The spaces available for type-in responses will expand as necessary to accommodate EPP responses. The purpose of the Status Report is for EPP staff to provide insight into EPP design and processes as they relate to requirements in TEC and TAC. In addition, the Status Report will provide an opportunity for EPP staff to let TEA know about accomplishments and achievements.

The first page of the Status Report will be completed with the information about the EPP and the person who will be the primary EPP contact during the Continuing Approval Review process. In addition, the EPP Legal Authority will sign verifying the accuracy of all information reported within the Status Report.

  
Educator Preparation Program Status Report  
2017 – 2018

19 TAC §228.10(b)(1) At the time of the review, the entity shall submit to the TEA staff a status report regarding its compliance with existing standards and requirements for EPPs.

EPP Name	County/District Number
Mailing Address	Legal Authority Name
Primary Contact Name	Primary Contact Phone Number
Primary Contact Email	Dates of Review

SIGNATURE PAGE  
  
“I have reviewed the evidence in this status report and verify all the information contained in the report is true and accurate, and is compliant with all applicable state and federal requirements governing educator preparation programs”.

Signature of Legal Authority

Date

Printed Name of Legal Authority

Date

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[illegible]

TAC Requirements	Information to All Applicants Where / How
Candidates must undergo a criminal history background check prior to employment at an educator	
Candidates must undergo a criminal history background check prior to clinical teaching	

12. List the names (F, Last) with TEA ID numbers of applicants that have been ADMITTED into the EPP with credentials from outside the United States for the 2016-2017 and 2017-2018 reporting year. Add rows as needed to expand table.

Candidate Name (F, Last)	TEA ID Number	Class of Certificate Admitted Under

13. In the space below, provide one website for the EPP website where this information can be found. If programs within the EPP have different websites, include the links for all. Space will expand as necessary.

14. What is the average GPA of the incoming class for the 2017-2018 year? Include admitted candidates in all classes and routes.

15. If there is any additional information to share regarding the admission practices of the EPP, provide it below (examples: unique screening processes, notably high-quality standards, etc.)  
(limit of 600 words).

"I have reviewed the evidence provided for IS TAC §127 in this status report and verify all the information contained in Component II is true and accurate."

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Signature of Legal Authority Date

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At the end of each Component section the Legal Authority will be asked to verify that the reported information is “true and accurate”.

COMPONENT I – GOVERNANCE	
[19 TAC §228.20]	
<p>7. The expectation is that the EPP meets requirements in TAC for governance. If TAC requirements are met or exceeded, record "Meets" or "Exceeds" in the EPP Implementation column. If the EPP exceeds the minimum requirements or implements the TAC rule in a unique way, include this information in the response to question 8. Consider all certification classes and certification routes in responses. Spaces will expand, if needed.</p>	
TAC Requirements	EPP Implementation
Support and resources for EPP [19 TAC §228.20(a)]	
Advisory committee membership [19 TAC §228.20(b)]	
Advisory committee member training [19 TAC §228.20(c)]	
Advisory committee meetings/activity [19 TAC §228.20(d)]	
Advisory committee meetings-frequency [19 TAC §228.20(e)]	
<p>8. If there is any additional information to share regarding the governance of the EPP or the advisory committee(s) for the EPP, provide it below (examples: grants, special projects, notable accolades, etc.) [limit of 600 words].</p> <p>"I have reviewed the evidence provided for 19 TAC §228.20 in this status report and verify all the information contained in Component I is true and accurate."</p>	
Signature of Legal Authority	Date


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The Appendices at the end of the Status Report identify documents that should accompany the completed Status Report when it is returned to the assigned Program Specialist at the TEA. These documents are used by the review team to learn more about the EPP prior to the review, which not only allows staff to understand documentation relative to EPP design but also allows the review process to be more efficient.

APPENDICES	
Please submit the following with your completed Status Report:	
<b>Appendix A</b>	<b>ASEP Action Plan for 2016-2017</b>
<b>Appendix B</b>	<b>Candidate Handbook(s)</b>
<b>Appendix C</b>	<b>Field Supervisor Handbook</b>
<b>Appendix D</b>	<b>Cooperating Teacher / Mentor / Site Supervisor Handbooks</b>
<b>Appendix E</b>	<b>Benchmark Documents / Timelines per <a href="#">19 TAC §228.20(g)</a></b>
<b>Appendix F</b>	<b>Summary of Accreditations Received from Any Other Accrediting Entity(s)</b>
<b>Appendix G</b>	<b>Any Other Documents EPP Wants TEA to See (as relates to EPP quality)</b>

To submit the requested documents to the assigned Program Specialist, create an electronic folder for each appendix, labeled with the appendix letter/name, and then save the requested document(s) in the related folder. Send the documents through one of the three (3) submission options as appropriate for the contents. Folders containing documents may be saved directly onto the flash drive or attached to an email in a zipped file. If individual documents are attached to the email, the subject line of the email should contain the folder name and only the documents for that folder should be attached to the email.

The completed Status Report document must be submitted either attached to an email, via secure document transmission, or mailed via an encrypted flash drive. If secure information, such as candidate records, is included in the Status Report, then the Status Report must be submitted through one of the secure submission options. The Status Report must be received by the assigned Program Specialist at TEA **at least two (2) weeks prior to the review start date identified in the Notification Letter**. The Status Report due date is also specifically identified in the Notification Letter.


 <div style="text-align: right;"> <small>Commissioner Mike Morath</small>  <small>1701 North Congress Avenue • Austin, Texas 78701-1494 • 512 463-9734 • 512 463-9838 FAX • <a href="http://tea.texas.gov">tea.texas.gov</a></small> </div>	
<small>March 6, 2018 Via Email with Delivery/Read Receipt</small>  <small>Dr. David Leader Quality Leadership EPP <a href="mailto:David.leader@qlead.com">David.leader@qlead.com</a></small>  <small>Dear Dr. Leader:</small>  <small>Quality Leadership EPP: # 123456, has been selected for a Continuing Approval Review by the Texas Education Agency (TEA), Division of Educator Preparation &amp; Program Accountability during the academic year 2017-2018. The purpose of the review is to assist the program with program improvement, provide program support, identify best practices and comply with Texas Administrative Code (TAC) §228.10(b) Continuing Entity Approval, which requires that educator preparation programs be reviewed at least once every five (5) years by the TEA.</small>  <div style="text-align: center;"> <small>Program Review Details</small>  <small>Type of Review: Continuing Approval Desk Review</small>  <small>Dates: April 30, 2018 – May 11, 2018</small>  <small>*Assigned Program Specialist: Lorrie Ayers, <a href="mailto:lorrie.ayers@tea.texas.gov">lorrie.ayers@tea.texas.gov</a> &amp; 512-936-2166</small> </div> <small>Your quartile data and an Action Plan template are attached. You will use your quartile data to complete an action plan to address the areas for which you did not meet the Accountability System for Educator Preparation Programs (ASEP) performance standards required in 19 TAC §229.4. Please send the completed Action Plan to Lorrie Ayers two (2) weeks prior to your Continuing Approval Review.</small>  <small>All certification classes in all certification routes will be reviewed per the following:</small> <ul style="list-style-type: none"> <li>• Records for five (5) candidates per certification class in each route</li> </ul>	



## Continuing Approval Desk Review – Document & Records Submission Instructions

As part of the Continuing Approval Review process, EPP staff will be asked to submit various documents, including candidate records, as evidence that EPP processes are compliant with TAC. Documents such as training transcripts and degree plans provide information about coursework hours. Candidates' records such as applications, university transcripts, service records, and completed EPP training transcripts provide evidence of a "candidate's eligibility for admission to the program and completion of all program requirements" as required in 19 TAC §228.40(f). The retention of documents and records is required in TAC so it is expected that the EPP will be able to provide this evidence. The Figure: 19 TAC §228.10(b)(1) in **Appendix B**, will provide guidance on the types of documents and information that may be collected and evaluated by TEA staff during the review.

For EPPs notified that they will be reviewed in the "desk" format, a modified version of the **Continuing Approval Desk Review: Document & Records Submission Instructions** document which contains only the components to be reviewed is emailed to the EPP along with the Notification Letter. These instructions provide specific detail about how to create electronic files to be submitted for review and instructions about how to submit documents securely. There is also a full copy reflecting all components in **Appendix C** of this handbook.

  
**Continuing Approval Desk Review  
Document & Records Submission Instructions  
2017-2018**

\*\*Please read this section and all other report components carefully. Failure to submit requested documentation will indicate that documentation is unavailable and will therefore reflect as "non-compliance" in the Review. \*\*

The purpose of this review is to comply with Texas Administrative Code (TAC) §228.10(b), which states educator preparation programs (EPPs) "shall be reviewed at least once every five years under procedures approved by the TEA staff; however, a review may be conducted at any time at the discretion of the TEA staff." The documents and records requested in the "Continuing Entity Approval Review" reflect EPP compliance with the State Board for Educator Certification (SBEC) rules governing EPPs.

To complete this "Continuing Approval Desk Review", the EPP may submit documents and records to Texas Education Agency (TEA) in any combination of these three (3) methods:

- (1) mailed on an encrypted flash drive;
- (2) attached to an email (non-secure documents only); and/or
- (3) electronically submitted via TEA's Secure File Transfer service.

Some document submission requirements may refer to a specific item identified on the Status Report so it will be important to retain a completed copy of the Status Report when gathering documents to submit for review.

**Document Submission**

1. Copies of EPP records should be submitted and labeled as requested in these "Document & Records Submission Instructions". Secure file submission should be used for submission of all requested candidate records.
2. When documentation is required for a specified year, a "year" will be defined as September 1 – August 31. For example, information requested for the year 2016-2017 will include all information within the time-frame September 1, 2016 - August 31, 2017.
3. For the records review, TEA has pre-selected candidates from the EPP Finisher Lists. When information and records are requested for "Designated Candidates", the EPP should send information ONLY for these pre-selected candidates via secure file transfer or encrypted flash drive. If the requested information is missing for any of the candidates, the missing item should be noted in the documentation. Please DO NOT substitute information for any other candidates for the missing information.

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Within the document organization instructions, the file name will be identified, and under the file name next to the arrow, details about the documents that should be included in that file.

Label File: Component 4 – Mentor Training ← **File Name**

⇒ Submit a copy of the presentation, manual, or other training material used by the EPP to train each of the mentors/cooperating teachers/site supervisors assigned to the "Designated Candidates". Reference Status Report Item #19.

⇒ Submit evidence that each mentor/cooperating teacher/site supervisor received the training. If district provided mentor /cooperating teacher/site supervisor training, submit certificate of completion for each mentor/cooperating teacher/site supervisor. Reference Status Report Item #19 ← **Document Detail**

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

Some of the items may reference an item on the Status Report. This is meant to be a helpful tool for deciding what types of documentation to submit. For additional guidance on documentation, the instructions refer to the [Figure: 19 TAC §228.10\(b\)\(1\)](#).

Some of the document instructions will require the EPP to submit specific candidate records. These must be carefully labeled so that records may be correctly attached to each candidate in the request. Use the identifier that includes the first initial and last name of the candidate followed by the TEA ID number. **DO NOT SUBMIT SOCIAL SECURITY NUMBERS. Candidate records must be submitted via secure electronic submission or mailed on an encrypted flash drive. No paper documents will be accepted.**

Label File: Component 4 – candidate identifier (FS) [Example: Component 4 - B. Smith, 0000000 (FS)]

⇒ For each of the "Designated Candidates", submit the formal observations completed by the Field Supervisors. Include start and end dates of the clinical teaching/internship/practicum placement, evidence of the interactive conference, and evidence the cooperating teacher/mentor and/or campus administrator (interns) received a copy of the observation report. Reference Status Report Item #19.

⇒ For each of the "Designated Candidates", submit evidence to show informal / ongoing candidate support by Field Supervisors. Reference Status Report Item #19.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

For EPPs notified that they will be reviewed in the on-site format, the TEA review team will provide guidance on-site about the documents needed for review. For preparation purposes, the **Continuing Approval Desk Review: Document & Records Submission Instructions** in **Appendix C** may be a helpful guide for EPP staff as they gather documents and records in preparation for a TEA on-site review. For an on-site review, the documents and records should NOT be submitted to TEA but instead should be available for review when the review team arrives on-site.

## Candidate Records

The candidates' records to be reviewed will be pre-determined by the TEA review team. Those candidates designated for review, referred to as "Designated Candidates", are selected from EPP Finisher lists (Other Enrolled and Finisher). Candidates are generally selected from the current reporting year and the previous reporting year but if necessary, may be selected from reporting years up to five (5) years prior to the review date.

Candidate names will be selected from each certification class and from each certification route. Up to five (5) records will be selected from each. A minimum of ten (10) records will be selected from an EPP. During the review, additional records for additional candidates may be requested at the discretion of the review team. This may happen if the team uncovers a compliance issue in a specific class or route and needs to gather more evidence and information.

Example of Designated Candidate List:

A "Designated Candidate List", populated with specific candidates, will be sent to the EPP by secure email two (2) weeks prior to the review date identified in the Notification Letter.

**Designated Candidate List**

Documents due at TEA by: **Start Date of Review Identified in Notification Letter**

When the Document & Records Submission Instructions request information and documentation about "Designated Candidates", it is referring to the candidates on this list. These names will be selected from the EPP Finisher lists. Please DO NOT substitute any other names for those on this list.

Certification Route (U, PB, ACP)	Certification Class/Category	Candidate Name	TEA ID Number	Other Enrolled (OE) or Finisher (F)	Year
U	Core Subjects EC-6	B. Smith	0000000	OE	2017-2018
PB	Principal	J. Leader	1111111	F	2016-2017

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For the **desk review**, the EPP will receive the Designated Candidate List containing the names of candidates for review two (2) weeks prior to the Continuing Approval Review date identified in the Notification Letter. The EPP will then gather the requested records for the "Designated Candidates" on the list and submit them to TEA for review. Candidates' records must be submitted to the TEA assigned Program Specialist using the secure document submission process that is defined in the Continuing Approval Desk Review - Document & Records

Submission Instructions emailed with the Notification Letter. A full copy of the Continuing Approval Desk Review - Document & Records Submission Instructions is also included in this handbook in **Appendix C**. Candidate records submitted to TEA will be destroyed at the close of the review so EPP staff must retain the original records as per the record retention policy.

For the **on-site review**, the EPP will receive the Designated Candidate List containing the names of candidates for review when the review team arrives on-site on opening day. In this case, EPP staff will deliver candidate records to the work room designated for the review team. The work room must lock to secure the records in the event the review team must leave the room for some reason. If records are stored electronically, a person from the EPP staff must assist in retrieving the documents. It is preferred that electronic documents are not printed for the review. Candidate records will be returned in original condition to the EPP staff for storage.

### **Curriculum Review**

TEA will notify the program if curriculum will be reviewed. TEA staff will review the material requested to ensure the program is adhering to all curriculum requirements as prescribed by TAC. For the desk review, curriculum is typically not reviewed but could be requested if needed.

### **Continuing Approval Review Rubric**

A copy of the rubric used for the review will be emailed along with the Notification Letter. The rubric is aligned to TAC for all certification classes and all certification routes (Undergraduate, Post-Bac, and ACP). The completed rubric will be a permanent record of findings during the review. The rubric reflects the types of evidence the reviewers would expect to see if the EPP is compliant with TAC and TEC. If the review team cannot populate the rubric based on the evidence submitted, the assigned Program Specialist may request additional evidence to verify compliance with a specific requirement in TAC.

### **Travel Arrangements for the On-site Continuing Approval Review**

For a Continuing Approval Review that is conducted on-site at the EPP, all travel arrangements will be made by the TEA review team in accordance with TEA policies and procedures. The assigned Program Specialist may request assistance from EPP staff in securing specific directions to the EPP site and/or information about parking on-site.

The EPP should not plan for breakfasts, lunches or evening activities for the TEA review team during the visit. The review team often continues work after leaving the review site.

### **Agenda for the On-site Continuing Approval Review**

The TEA assigned Program Specialist will consult with the EPP on the specific agenda for the on-site visit and will prepare and email a final copy of the agenda to the EPP. The EPP can expect the review team to report to the EPP site between 8:00-9:00 am on Tuesday morning and close the review/depart from the EPP site between 12:00-1:00 pm on Thursday.

## On-Site Facilities for the On-site Continuing Approval Review

The TEA review team will require a room which can be locked and which has internet access.

### The Review

For the **desk review**, the review officially opens and closes on the dates identified in the Notification Letter. During this two to four-week window, the review team will review documents, record evidence, and populate the rubric. After the first review, the assigned Program Specialist will schedule a conference call with the EPP staff to discuss initial findings and seek clarification. The TEA review team may request additional documentation, if necessary. The assigned Program Specialist will also identify the due date for the follow-up documents. The TEA review team will then complete the review with any additional documentation submitted by the EPP. A final conference call will be scheduled with EPP staff to discuss final outcomes. The completed rubric and a proposed Compliance Plan, if necessary, will be sent electronically to EPP staff prior to the final conference call. The assigned Program Specialist will work with EPP staff to create a Compliance Plan to bring the EPP back into alignment with TAC and TEC. After the second conference call, the Continuing Approval Review will close. At that point, no additional documentation will be accepted for review.

For the **on-site review**, the review officially opens and closes on the dates identified in the Notification Letter which coincide with the dates the review team is on-site at the EPP. The review “opens” on the morning the team arrives on-site and “closes” on the day the team leaves the EPP site, usually between 2 ½ - 3 days. The length may depend on the organization and availability of records and relevant documents at the EPP or the type of review. Once on-site, the review team will review documents, record evidence, and populate the rubric. After the review window closes and the review team has departed the EPP site, no additional documentation will be accepted for review.

The EPP must assign an EPP staff member to assist the review team with retrieving documents, accessing electronic records, and reaching out to other EPP staff that the review team may need to interview (examples may include the certification officer, teaching faculty, technology staff, or other).

### Closing Session

Once the Continuing Approval Review window is closed, no additional documents will be accepted. Upon completion of both the **desk review and on-site review**, the assigned Program Specialist will review the findings in a closing session with the EPP staff. For desk reviews, the closing session is via conference call. For on-site reviews, the closing session will be the last item on the review agenda. In either closing format, EPP staff may include anyone they choose to attend the final session. If compliance issues are identified during the review, the TEA and EPP staff will work together during the closing session to develop a Compliance Plan to correct the out-of-compliance issues.

Once the Compliance Plan is in place, EPP staff will be expected to follow-up with the assigned Program Specialist every 60 days to update progress on the Compliance Plan.

## Continuing Approval Review Report

An official report will be prepared and mailed electronically within approximately two (2) to four (4) weeks of the close of the desk or on-site review. In some instances, the preparation of the report may take longer. After the EPP Legal Authority receives the report, he/she will have ten (10) business days to review the report and request any corrections to its contents. If the EPP Legal Authority does not respond within ten (10) business days, the report will become official on the eleventh business day. There will be no changes to the report once it becomes official.

## Compliance Plan

If a Compliance Plan is created during the close of the review, it will be reviewed approximately every 60 days thereafter to ensure the EPP follows up on needed improvements. The itemized evidence listed in the Compliance Plan should be submitted to the assigned Program Specialist at TEA on or before the due date(s) identified in the plan. EPP staff do not need to wait for the 60-day review to submit compliance items. If EPP staff cannot complete the compliance items as outlined in the Compliance Plan, the Legal Authority should contact the assigned TEA Program Specialist to negotiate an extension. Once EPP staff has completed the items in the Compliance Plan, the Legal Authority will receive a letter from TEA stating that the EPP has met TAC requirements. This letter should be attached to the original TEA Continuing Approval Review report and retained in the EPP records for five (5) years.

Sample Section from Compliance Plan Document:

Compliance Plan 2017 – 2018						
Program EPP Name:			County/District Code:			
Component	TEA Compliance Discrepancy to be Addressed (Insert TAC and descriptor)	TEA General Recommendations	EPP Idea(s) for Improvement	EPP Implementation Date	EPP Contact Person	Evidence of Completion (complete with TEA)
Governance						
Admission						
Curriculum						
Coursework, Training, Program Delivery & Ongoing Support						
Assessment						

## Appendix A



TEXAS EDUCATION AGENCY  
**Division of Educator Preparation & Program Accountability**  
**Educator Preparation Program Fee Form**  
**For On-Site Visit**

19 Texas Administrative Code §229.9 ***Fees for Educator Preparation Program Approval and Accountability*** requires payment for certain services provided by the TEA. Please complete this form and remit with payment.

EPP Name	Name of Person Submitting Form
County/District Number	Contact Person
EPP Mailing Address	Contact Phone Number
Contact Email	Amount Enclosed / Check Number
	\$4500.00 /

Please send this form with a money order or check made payable to **TEA Educator Preparation** prior to services being rendered.

If the payment sent to TEA is not honored by the financial institution, TEA will not be able to complete the requested service. Any bank fees assessed due to payment that is not honored by the financial institution will be the responsibility of the EPP.

Failure to return this form with the correct or complete payment may result in a delay of the review process.

**Please send your payment(s) to the following address:**

**TEA Accounting**  
**1701 N. Congress Ave.**  
**Austin, TX 78701**



## Appendix B

**Figure: 19 TAC §228.10(b)(1)**

<b>Component I: Governance</b>	<b>Evidence</b>
19 TAC §228.20(b): The representative nature of an advisory committee.	Records of advisory committee membership reflecting at least three of the groups listed in this subsection; and Advisory committee meeting attendance records.
19 TAC §228.20(b): Input provided by an advisory committee.	Advisory committee member input reflected in the advisory committee minutes.
19 TAC §228.20(b): EPP informed advisory committee members of their roles and responsibilities.	Advisory committee training materials, date(s), attendance records; or Advisory committee handbook with acknowledgement of receipt by advisory committee member; or Letter of invitation with roles and responsibilities outlined and acknowledged by invitee as to accept or decline; or Bylaws acknowledged receipt by advisory committee member.
19 TAC §228.20(b): Advisory committee meeting.	Dated minutes of each advisory committee meeting.
19 TAC §228.20(e): The EPP provided notice of amendments to its approved program.	Record of notification to TEA.
19 TAC §228.20(f): The EPP provided notice and received approval of amendments to its approved program.	Record of approval or denial from TEA.
19 TAC §228.20(g): The EPP published a calendar of activities.	Calendar posted on EPP website.
19 TAC §228.10(a): The EPP has met the requirements for approval.	EPP accreditation status on file with TEA.
19 TAC §228.10(b): The EPP has met the requirements for continuing approval.	EPP accreditation status on file with TEA.
19 TAC §228.10(c): The EPP has met the requirements to offer clinical teaching.	EPP clinical teaching status on file with TEA.
19 TAC §228.10(d): The EPP has met the requirements to offer a certification class and/or category.	EPP certification class and/or category status on file with TEA.
19 TAC §228.10(e): The EPP provided notice of an additional location.	Record of letter(s) on letterhead signed by an EPP's legally authorized agent or representative sent by email or regular mail.

<b>Component I: Governance</b>	<b>Evidence</b>
19 TAC §228.15: The EPP has met the requirements for consolidation or closure.	EPP notice of consolidation or closure; and EPP notification of candidates; and EPP completion of required SBEC and TEA actions.  If closing, EPP notification of representative.

<b>Component II: Admission</b>	<b>Evidence</b>
19 TAC §227.1(c): The EPP has informed applicants of the required information.	Website; or Recruitment information; or Orientation materials; or Admission material.
19 TAC §227.10(a)(1) and (2): Candidates have met the required institution of higher education (IHE) enrollment or degree requirements.	Original transcripts.
19 TAC §227.10(e): Out-of-country candidates have met the required degree requirement.	Official transcript evaluated by approved entity with equivalent report issued.
19 TAC §227.10(a)(3)(A): Candidates have met the minimum grade point average (GPA) requirement.	Official transcripts; and Documentation of calculations to determine GPA in the last 60 hours.
19 TAC §227.10(a)(3)(B) and (D): Candidates that have been admitted with a GPA less than the 2.5 minimum have met the requirements for the GPA exception.	Program policy; and Documentation signed by the director that certifies each applicant's work, business, or career experience demonstrates achievement equivalent to the academic achievement represented by the GPA requirement; and Pre-Admission Content Test score report.
19 TAC §227.10(a)(4): Applicants demonstrated content knowledge prior to admission.	Official transcripts; and Record of calculation of content hours by course; and Score report for a comparable examination approved by TEA; or Score report for Pre-Admission Content Test.
19 TAC §227.10(a)(5): Applicants demonstrated basic skills prior to admission.	Score reports; or Official transcripts bearing TSI requirements.
19 TAC §227.10(a)(6): Applicants demonstrated proficiency in English language skills prior to admission.	Official transcripts with degree from U.S. university or college; or A letter from the out-of-country institution stating the language of instruction is English; or Official TOEFL scores.*

<b>Component II: Admission</b>	<b>Evidence</b>
19 TAC §227.10(a)(7): A screening device has been used to determine applicant admission.	Completed application; and Interview with standard questions and evaluated with a cut score or rubric that includes descriptions of levels of performance quality based on a coherent set of criteria; or Other screening instrument evaluated with a cut score or a rubric that includes descriptions of levels of performance quality based on a coherent set of criteria.
19 TAC §227.10(a)(8): Applicants have met other academic criteria for admission.	Application for admission; and Records of academic requirements; and Academic requirements are published on website, or catalogues, or brochures, or orientation materials.
19 TAC §227.10(b): Applicants have met additional admission requirements.	Records of admission requirements; and Documentation of published requirements in candidate records; and Admission requirements are published on website, or catalogues, or brochures, or orientation materials.
19 TAC §227.10(c): The EPP has appropriately admitted applicants who have transferred from other EPPs.	Transfer form; and Application for admission; and Official transcripts.
19 TAC §227.10(d): Career and Technical Education applicants have been admitted with the required documentation of licensure and experience.	License and/or other supporting documentation of work experience; and Statement of qualifications; and Diploma or Transcript.
19 TAC §227.17(a): Applicants have been formally admitted to the EPP.	Required admission documents; and Written formal admission offer letter; and Written and dated formal admission acceptance letter.
19 TAC §227.17(e) and (f): Candidates were admitted prior to beginning coursework and training or receiving approval to test.	Written and dated formal admission acceptance letter; and Coursework record with start and completion dates; and Testing history.
19 TAC §227.15(a): Applicants admitted on a contingency basis met all admission requirements relating to contingency admission.	Written contingency admission offer letter; and Written and dated contingency admission acceptance letter; and Required admission documents; and Official transcripts; and Information from university confirming date of graduation; and Program records indicating which semester admission applies.
19 TAC §241.5(c), Principal, and 19 TAC §242.5(c), Superintendent: Candidates admitted met all admission requirements.	Screening instrument with rubric and cut score.

<b>Component II: Admission</b>	<b>Evidence</b>
19 TAC §242.5(a): Superintendent applicants were admitted with required degree requirements.	Official transcript.

**\*See 19 TAC 230.11(b)(5) for updated TAC regarding English language proficiency.**

<b>Component III: Curriculum</b>	<b>Evidence</b>
19 TAC §228.30(a): The curriculum is based on approved educator standards.	Charts identifying alignment of educator standards in curriculum; and Application of educator standards identified in syllabi/course outlines; or Application of educator standards identified in course/training lesson plans.
19 TAC §228.30(a): The curriculum addresses the relevant Texas Essential Knowledge and Skills (TEKS).	Charts identifying alignment of educator standards in curriculum; and Syllabi/course outlines identifying training in using TEKS to inform instruction and assessment; or Instructor lesson plans reflecting instruction and use of TEKS.
19 TAC §228.40(a): The EPP uses assessments to measure candidate progress.	Syllabi/course outlines reflecting assessments of knowledge and skills; and Assessments that measure mastery of educator standards.
19 TAC §228.30(b): The curriculum is research-based.	Syllabi/course outlines with bibliographies/references.
19 TAC §228.30(c)-(e): The required subject matter has been included in the curriculum for candidates seeking initial certification in any certification class.	Charts identifying alignment of educator standards in curriculum; and Syllabi/course outlines; or Coursework.

<b>Component IV: Coursework, Training, Program Delivery, and Ongoing Support</b>	<b>Evidence</b>
19 TAC §228.35(a)(1): The EPP provides candidates with adequate preparation and training.	Candidate testing history; and Syllabi/course outlines; and Program benchmarks; and Degree plan/transcripts.
19 TAC §228.35(a)(2): Coursework and/or training meets requirements.	Syllabi/course outline; or Coursework.
19 TAC §228.35(a)(3): Candidates complete coursework and training prior to EPP completion and standard certification.	Program benchmarks; and Attendance records or attendance policies that require a certain level of attendance for a passing grade; and Program schedule of courses/modules; and Degree plan/transcripts for each candidate

Component IV: Coursework, Training, Program Delivery, and Ongoing Support	Evidence
	reviewed.
19 TAC §228.35(a)(4): Late hire candidates may receive a portion of the required coursework and training by their school district or campus.	Certificate of attendance; or Sign-in sheet; or Other written school district verification.
19 TAC §228.35(a)(5)(A): The EPP has procedures for allowing relevant military experiences.	Policies and procedures in handbooks; and Advisory committee minutes; or Admission information; or Orientation material; or Website information.
19 TAC §228.35(a)(5)(B): The EPP has procedures for allowing prior experience, education, or training.	Policies and procedures in handbooks; and Advisory committee minutes; or Admission information; or Orientation material; or Website information.
19 TAC §228.35(a)(6): Coursework and training that is offered online meets standards.	Accreditation documentation; or Quality assurance documentation; or THECB compliance documentation.
19 TAC §228.35(b): Candidates for initial teacher certification receive the required number of hours of coursework and training.	Document tracking hours for courses; or Degree plans; or Transcripts; or Program Course/Module Schedule; or Benchmarks.
19 TAC §228.35(b)(1): Candidates have completed the field-based experience requirements prior to clinical teaching or internship.	Start date of clinical teaching or internship; and Field-based experience observation log reflecting date, subject area, grade level, campus, district, time in and time out, and interaction with students; verifying signatures of observed teacher; and Written or videotaped reflections of observation.
19 TAC §228.35(b)(2): Candidates have completed the required coursework and/or training prior to clinical teaching or internship.	Start date of clinical teaching or internship; and Document tracking hours for courses; or Degree plans; or Transcripts; or Program Course/Module Schedule; or Benchmarks.
19 TAC §228.35(c): Candidates seeking initial certification in a class other than classroom teacher have completed the required clock hours of coursework and/or training.	Document tracking hours for courses; or Degree plans; or Transcripts; or Program Course/Module Schedule; or Benchmarks.
19 TAC §228.35(d): Late hire candidates have completed the pre-internship requirements.	Record of coursework completed (start and end dates); and Field-based experience observation log reflecting date, subject area, grade level,

Component IV: Coursework, Training, Program Delivery, and Ongoing Support	Evidence
	campus, district, time in and time out, and interaction with students; verifying signatures of observed teacher; and Reflections of observation; and Record of assignment date.
19 TAC §228.35(e)(1)(A): Teacher candidates complete required field-based experiences.	Field-based experience observation log reflecting date, subject area, grade level, campus, district, time in and time out, and interactions with students; verifying signatures of observed teacher; and Reflections of observation.
19 TAC §228.35(e)(1)(B): Field-based experience via electronic transmission or other video or technology-based method meets requirements.	Field-based observation log reflecting date, subject area, and grade level; verifying signatures of program staff; and Reflections of observation.
19 TAC §228.35(e)(2)(A) and (B): Candidates seeking initial teacher certification have completed clinical teaching.	Clinical teaching placement lists with placement information including start and end dates, start and end time; grade level, subject area, cooperating teacher name, and field supervisor assigned; and Clinical teaching log including dates, start and end times each day; verified by cooperating teacher.
19 TAC §228.35(e)(2)(C)(i): Candidates seeking initial teacher certification have completed an internship.	Completed statement of eligibility; and Internship placement lists with placement information including tests passed, start and end dates, start and end times, district, campus, grade level, subject area, mentor, and field supervisor assigned. If more than 30 days of internship are missed: <ul style="list-style-type: none"> <li>• Request letter from candidate; and</li> <li>• Approval by appropriate program staff; and</li> <li>• Identified start date and end date of internship; and</li> <li>• Make-up plan if more than thirty days; and</li> <li>• Documentation of make-up time.</li> </ul>
19 TAC §228.35(e)(2)(C)(iii): Candidates complete additional internship assignments that meet requirements for an internship and are appropriately supervised by the EPP.	Record of coursework completed; and Completed statement of eligibility; and Internship placement lists with placement information including tests passed, start and end dates, start and end times, district, campus, grade level, subject areas, mentor, and field supervisor assigned; and Intern or probationary certificates; and Field supervisor observation logs; and



Component IV: Coursework, Training, Program Delivery, and Ongoing Support	Evidence
	Letter from school district.
19 TAC §228.35(e)(2)(C)(iv): Candidates hold probationary or intern certificates while completing internship assignments.	Intern or probationary certificate.
19 TAC §228.35(e)(2)(C)(v): Additional internships recommended by the EPP have met the requirements for allowing candidates to complete additional internships.	Record of successful or unsuccessful internship; and Deficiency plan; and Benchmarks.
19 TAC §228.35(e)(2)(C)(vi)(I): The EPP supports the candidate during an additional internship unless the internship is ended early due to issuance of a standard certificate.	Standard certificate.
19 TAC §228.35(e)(2)(C)(vi)(II) The EPP supports the candidate during an additional internship unless the internship is ended early because the candidate is non-renewed by, resigns from, or is terminated by the employer.	Written notice from candidate; and Written notice to candidate; and Written notice to TEA.
19 TAC §228.35(e)(2)(C)(vi)(III): The EPP supports the candidate during an additional internship unless the internship is ended early because the candidate is released from the EPP.	Written notice to candidate; and Written notice to school or district; and Written notice to TEA.
19 TAC §228.35(e)(2)(C)(vi)(IV): The EPP supports the candidate during an additional internship unless the internship is ended early because the candidate withdraws from the EPP.	Written notice to program; and Written notice to candidate; and Written notice to school or district; and Written notice to TEA.
19 TAC §228.35(e)(2)(E): The EPP requested and was approved for an exception to the clinical teaching option.	Record of approval from SBEC.
19 TAC §228.35(e)(2)(F): Candidate training included experiences with a full range of professional responsibilities including the start of the school year.	Documentation of field-based experiences and/or clinical teaching experiences.
19 TAC §228.35(e)(3): An internship or clinical teaching experience was completed at a Head Start Program that meets requirements.	Teacher certification and mentor training records; and Federal and TEA approval records; and Records documenting Head Start student population; and Head Start curriculum.
19 TAC §228.35(e)(4) and (5): The internship or clinical teaching experiences take place in setting that meets requirements.	Internship or clinical teaching placement lists with placement information including tests passed, start and end dates, start and end times, district, campus, grade level, subject areas, mentor, and field supervisor assigned; and



Component IV: Coursework, Training, Program Delivery, and Ongoing Support	Evidence
	Statement of eligibility (only required for internship).
19 TAC §228.35(e)(6)(A) and (B): Candidates seeking certification in a class other than classroom teacher complete a practicum that meets the requirements.	Field supervisor observation logs reflecting educator standards based activities; and Practicum information with start and end dates, district, campus, site, and field supervisor assigned.
19 TAC §228.35(e)(6)(C)(i): An intern or probationary certificate has been issued to a candidate for a certification class other than classroom teacher who meets the requirements and conditions.	Statement of eligibility; and Program requirements; and Testing history.
19 TAC §228.35(e)(6)(C)(ii): Additional practicums recommended by the EPP have met the requirements for allowing candidates to complete additional practicums.	Record of successful or unsuccessful practicum; and Deficiency plan; and Benchmarks.
19 TAC §228.35(e)(7): The EPP applied and received approval for a candidate to complete field-based experience, clinical teaching, internship, or practicum in an out-of-state or out-of-country placement.	Record of approval from TEA.
19 TAC §228.35(f): Candidates placed in clinical teaching, internship, or practicum assignments were assigned cooperating teachers, mentors, or site supervisors as appropriate.	Candidate placement information showing date of placement, name of candidate, name of cooperating teacher/mentor/site supervisor, subject area, grade level, supervising administrator name, campus name, and district name.
19 TAC §228.2(12) and (23): The cooperating teachers and mentors were trained and held the required credentials.	<p>Service record and teaching certificate; or A form signed by the campus or district administrator attesting that the cooperating teachers and mentors meet requirements for certification, experience, and accomplishment as an educator; and Evidence of training; and Evidence of accomplishment as an educator includes:</p> <ul style="list-style-type: none"> <li>• Evaluations that include evidence of student learning; or</li> <li>• Campus or district reports that include evidence of student learning; or</li> <li>• Letters of recommendation that include evidence of student learning.</li> </ul> <p>Documentation from EPP and campus or district administrator is required if an individual with the required credentials is not available.</p>
19 TAC §228.2(30): The site supervisors were	Service record and educator certificate; or A form signed by the campus or district

Component IV: Coursework, Training, Program Delivery, and Ongoing Support	Evidence
trained and held the required credentials.	<p>administrator attesting that the cooperating teachers and mentors meet requirements for certification, experience, and accomplishment as an educator; and  Evidence of training; and  Evidence of accomplishment as an educator includes:</p> <ul style="list-style-type: none"> <li>• Evaluations that include evidence of student learning; or</li> <li>• Campus or district reports that include evidence of student learning; or</li> <li>• Letters of recommendation that include evidence of student learning.</li> </ul> <p>Documentation from EPP and campus or district administrator is required if an individual with the required credentials is not available.</p>
19 TAC §228.35(f): The EPP provided scientifically-based training to cooperating teachers, mentors, and site supervisors.	<p>Training materials and dated attendance records with signatures; or  School district/ESC certificate of completion; or  Cooperating teacher/mentor/site supervisor handbook acknowledgement; or  Training materials and dated attendance information for online training.</p>
19 TAC §228.35(g): Candidates have been assigned to field supervisors who held the required credentials.	<p>Candidate placement information showing date of placement and field supervisor assigned; or  Field supervisor logs; and  Records of field supervisor certification, degree, experience, and/or continuing professional education.</p>
19 TAC §228.35(g) and (h): Field supervisors have been trained.	<p>Training material and dated attendance records with signature of field supervisor; or  Handbook acknowledged with field supervisor signature; or  Training materials and dated attendance information for online training.  After 9/1/2017, certificate of completion of TEA-approved observation training.</p>
19 TAC §228.35(g): Field supervisors made the required initial contact.	<p>Field supervisor log; or  Emails; or  Phone records; or  Other electronic communication; or  Course syllabi with first contact class noted with attendance records.</p>
19 TAC §228.35(g): For each observation, the	Documentation verifying pre-conference and individualized post-conference; and

<b>Component IV: Coursework, Training, Program Delivery, and Ongoing Support</b>	<b>Evidence</b>
field supervisor has held the required conferences with each candidate. Each candidate has received written feedback that meets the requirements.	Observation documents signed by candidate and field supervisor with date, start and stop time, subject, and grade level with record of instructional strategies observed.
19 TAC §228.35(g): The field supervisor has provided a copy of the written observation feedback to the required individuals.	Observation instrument with cooperating teacher, mentor, and/or campus supervisor signature; or Email with delivery/read receipt; or Dated copy of letter on program letterhead sent with observation results.
19 TAC §228.35(g): The candidate receives informal observations and ongoing coaching as appropriate.	Field supervisor log; or Email records with delivery/read receipts; or Phone records; or Observation forms; or Other electronic records of observation and coaching.
19 TAC §228.35(g): The field supervisor collaborates with the required individuals.	Field supervisor log; or Email records with delivery/read receipts; or Phone records; or Signed observation forms.
19 TAC §228.35(g)(1)(8): Formal observations conducted by field supervisors meet the requirements for duration, frequency, and format.	Observation forms signed by candidate and field supervisor with date, start and stop time, subject, and grade level with record of instructional strategies observed.
19 TAC §228.35(h): Candidates seeking certification in a class other than Classroom Teacher are assigned to field supervisors who have the required education and credentials.	Candidate placement information showing date of placement and field supervisor assigned; and Records of field supervisor certification, degree, experience, and continuing professional education.
19 TAC §228.35(h): Field supervisors make required initial contact with candidates.	Field supervisor log; or Emails; or Phone records; or Other electronic communication; or Course syllabi with first contact class noted with attendance records.
19 TAC §228.35(h): For each observation, the field supervisor has held the required conferences with each candidate. Each candidate has received the required written feedback.	Documentation verifying pre-conference and individualized post-conference; and Observation documents signed by candidate and field supervisor with date, start and stop time, subject, and grade level with record of instructional strategies observed.
19 TAC §228.35(h): The field supervisor has provided a copy of the written observation feedback to the candidate's site supervisor.	Field supervisor log; or Email records with delivery/read receipts; or Signed observation forms.
19 TAC §228.35(h): The field supervisor provides informal observations and coaching as appropriate.	Field supervisor log; or Email records with delivery/read receipts; or Phone records; or

<b>Component IV: Coursework, Training, Program Delivery, and Ongoing Support</b>	<b>Evidence</b>
	Observation forms; or Other electronic records of observation and coaching.
19 TAC §228.35(h): The field supervisor collaborates with the candidate and site supervisor throughout the practicum experience.	Field supervisor log; or Email records with delivery/read receipts; or Phone records; or Signed observation forms.
19 TAC §228.35(h)(1)-(4): Observations conducted by field supervisors meet the requirements for duration, frequency, and format.	Observation forms signed by candidate and field supervisor with date, start and stop time, subject, and grade level, with record of instructional strategies observed; and/or Field supervisor contact log with date and signatures.
19 TAC §228.35(i): A candidate seeking certification as a teacher has been exempt from completing field-based experience, clinical teaching or internship by meeting requirements.	Record from the THECB documenting exemption eligibility.
19 TAC §228.35(i)(2): A candidate that currently is or was a JROTC instructor has been exempt from completing field-based experience, clinical teaching, or internship by meeting requirements.	Service record; or Record of current employment.
19 TAC §241.10(b), Principal; 19 TAC §242.10(b), Superintendent; 19 TAC §239.10(b), Counselor; 19 TAC §239.50(a), Librarian; 19 TAC §239.82(a), Educational Diagnostician; 19 TAC §239.92(a), Reading Specialist; and 19 TAC §239.100(c), Master Teachers: During the practicum, candidates demonstrate proficiency in the standards.	Field supervisor logs of educator standards based activities with verifying signatures; or Candidate journals which reflect standards; or Completed educator standards based projects and activities.

<b>Component V: Assessment and Evaluation of Candidates and Program</b>	<b>Evidence</b>
19 TAC §228.40(a): The EPP has established benchmarks to measure candidate progress.	Benchmarks.
19 TAC §228.40(b): The EPP has processes to ensure candidates are prepared to be successful on their content examinations.	Candidate document(s) reflecting meeting criteria for testing with date; and Syllabi/course outlines; or Benchmarks.
19 TAC §228.40(c): A candidate who is prepared in different certification in which the candidate was admitted.	Written request of candidate.

<b>Component V: Assessment and Evaluation of Candidates and Program</b>	<b>Evidence</b>
19 TAC §228.40(d): The EPP has a process for determining that formally admitted candidates are prepared to take certification examinations.	Criteria for testing published; and Dated record verifying criteria met.
19 TAC §228.40(e): The EPP uses information from a variety of sources to evaluate program design and delivery.	Evaluation plan detailing the activity, timeline, person responsible; and Data results from internal and external sources; and Dated evaluation reports; and Advisory committee minutes.

<b>Component VI: Professional Conduct</b>	<b>Evidence</b>
19 TAC §228.50: EPP staff and candidates adhere to the Educators' Code of Ethics.	Signed statement by staff and candidates of reading, understanding and abiding.

<b>Component VII: Complaints Procedures</b>	<b>Evidence</b>
19 TAC §228.70(b)(1): The EPP has sent a copy of the EPP complaint procedure to TEA.	Complaint process on file with TEA.
19 TAC §228.70(b)(2): The EPP has posted on its website the complaint policy and a link to the TEA complaints website.	Web posting.
19 TAC §228.70(b)(3): The EPP complaint policy is posted on-site.	Notification posting at physical site.
19 TAC §228.70(b)(4): The EPP provides written information about filing complaints.	Written information for candidate available.

<b>Component VIII: Certification Procedures</b>	<b>Evidence</b>
19 TAC §230.13(a)(1): The candidate has met the appropriate degree and/or experience requirements.	Official transcripts; and/or Documentation of experience.
19 TAC §230.13(b)(2): The candidate has met the appropriate preparation, experience, and/or licensure certification, or registration requirements.	Documentation of preparation, experience, and/or licensure certification, or registration requirements.
19 TAC §230.13(a)(2) and (b)(3): The candidate has completed an EPP.	Record of EPP completion.
19 TAC §230.13(a)(3) and (b)(4): The candidate has passing scores on required certification examinations.	Testing history.

Component VIII: Certification Procedures	Evidence
19 TAC §241.20, Principal; 19 TAC §242.20, Superintendent; 19 TAC §239.20, Counselor; 19 TAC §239.60, Librarian; 19 TAC §239.84, Educational Diagnostician; 19 TAC §239.93, Reading Specialist; and 19 TAC §239.100, Master Teachers: Candidates have passed appropriate certification examinations.	Testing history.
19 TAC §241.20, Principal; 19 TAC §242.20, Superintendent; 19 TAC §239.20, Counselor; 19 TAC §239.60, Librarian; 19 TAC §239.84, Educational Diagnostician; and 19 TAC §239.93, Reading Specialist: Candidates have met the degree requirement.	Official transcripts.
19 TAC §241.20, Principal, and 19 TAC §239.84, Educational Diagnostician; Candidates have met the certification requirement.	Valid classroom teaching certificate.
19 TAC §242.20, Superintendent: Candidates have met the certificate requirement.	Principal certificate or equivalent.
19 TAC §241.20, Principal; 19 TAC §239.20, Counselor; 19 TAC §239.60, Librarian; 19 TAC §239.84, Educational Diagnostician; and 19 TAC §239.93, Reading Specialist: Candidates have met the creditable years of teaching experience requirement.	Service records.
19 TAC §241.20, Principal; 19 TAC §242.20, Superintendent; 19 TAC §239.20, Counselor; 19 TAC §239.60, Librarian; 19 TAC §239.84, Educational Diagnostician; and 19 TAC §239.93, Reading Specialist: Candidates have successfully completed an EPP.	Record of EPP completion.
19 TAC §239.101, Master Reading Teacher: Candidates either 1) hold the Reading Specialist Certificate & complete an EPP; OR 2) hold a valid teaching certificate with the required creditable years of service, and complete an EPP.	Reading Specialist Certificate; and Record of EPP completion; or Valid teaching certificate; and Official service records; and Record of EPP completion.
19 TAC §239.102, Master Mathematics Teacher: Candidates hold a valid teaching certificate, the required creditable years teaching experience, and complete an EPP.	Valid teaching certificate; and Official service records; and Record of EPP completion.

<b>Component VIII: Certification Procedures</b>	<b>Evidence</b>
<p>19 TAC §239.103, Master Technology Teacher: Candidates either</p> <p>1) hold the Technology Applications Certificate or the Technology Education Certificate, and complete an EPP;</p> <p>OR</p> <p>2) hold a valid teaching certificate with the required creditable years of teaching experience and complete an EPP.</p>	<p>Technology Application or Technology Education Certificate; and</p> <p>Record of EPP completion; or</p> <p>Valid teaching certificate; and</p> <p>Official service records; and</p> <p>Record of EPP completion.</p>
<p>19 TAC §239.104, Master Science Teacher: Candidates hold a valid teaching certificate with the required creditable years of teaching experience, and complete an EPP.</p>	<p>Valid teaching certificate; and</p> <p>Official service records; and</p> <p>Record of EPP completion.</p>

<b>Component IX: Integrity of Data Submission</b>	<b>Evidence</b>
<p>19 TAC §229.3(f)(1): The EPP has reported required data in an accurate and timely manner.</p>	<p>Met timeline for reporting; and</p> <p>Accuracy of ASEP reports.</p>

## Appendix C





## **Continuing Approval Desk Review Document & Records Submission Instructions 2017-2018**

**\*\*Please read this section and all other report components carefully. Failure to submit requested documentation will indicate that documentation is unavailable and will therefore reflect as “non-compliance” in the review. \*\***

The purpose of this review is to comply with Texas Administrative Code (TAC) §228.10(b), which states educator preparation programs (EPPs) “shall be reviewed at least once every five years under procedures approved by the TEA staff; however, a review may be conducted at any time at the discretion of the TEA staff.” The documents and records requested in the Continuing Entity Approval Review reflect EPP compliance with the State Board for Educator Certification (SBEC) rules governing EPPs.

To complete this Continuing Approval Desk Review, the EPP must submit documents and records to Texas Education Agency (TEA) in any combination of these three (3) methods:

- (1) mailed on an encrypted flash drive;
- (2) attached to an email (non-secure documents only); and/or
- (3) electronically submitted via TEA's Secure File Transfer service.

Some document submission requirements may refer to a specific item identified on the Status Report, so it will be important to retain a completed copy of the Status Report when gathering documents to submit for review.

### **Document Submission**

1. Copies of EPP records must be submitted and labeled as requested in these Document & Records Submission Instructions. Secure file submission must be used for submission of all requested candidate records.
2. When documentation is required for a specified year, a “year” will be defined as September 1 – August 31. For example, information requested for the year 2016-2017 will include all information within the time-frame September 1, 2016 - August 31, 2017.
3. For the records review, TEA has pre-selected candidates from the EPP Finisher Lists. When information and records are requested for “Designated Candidates”, the EPP shall send information **ONLY** for these pre-selected candidates via secure file transfer or encrypted flash drive. If the requested information is missing for any of the candidates,

the missing item should be noted in the documentation. Please DO NOT substitute information for any other candidates for the missing information.

### **Secure Submission**

**Candidate information and records must be submitted via secure electronic transmission or on an encrypted flash drive. To submit documents via TEA's Secure File Transfer service, please follow these instructions:**

1. Go to <https://sendfiles.tea.state.tx.us>.
2. Click on **I don't have an account yet, unless you have already used this system.**
3. Enter your email address.
4. You should then receive a verification email at the email address you entered. Follow the link in that email to verify that address.
5. Create a password. Passwords must be at least eight characters long and must contain a minimum of one number and one uppercase letter.
6. Once the account is created, use the **Send File** tab to send a secure email with your file attached.

The EPP may submit non-secure documents and other EPP artifacts either: a) on a flash drive mailed to TEA; or b) as electronic attachments via email to the assigned Program Specialist. DO NOT SUBMIT PAPER RECORDS. If mailed, please send to the attention of the assigned Program Specialist identified in the Notification Letter. All shipping will be at the expense of the EPP. If submitted electronically via email, send email(s) to the assigned Program Specialist with Delivery/Read receipt(s). If file sizes are large, several emails may be required to submit multiple attachments. DO NOT USE DROP BOX OR ANY OTHER SIMILAR FORM OF DOCUMENT DELIVERY.

EPPs are strongly encouraged to retain copies of everything sent to TEA. Due to FERPA laws, documents containing candidate information will be deleted or destroyed upon completion of the TEA desk review. Do not send information for any candidates other than those requested by TEA. The names and TEA ID numbers for "Designated Candidates" pre-selected for this review will be sent to the EPP two (2) weeks prior to the Continuing Approval Desk Review date identified in the Notification Letter.

**Note: When submitting records for specific candidates, please use this format as the *candidate identifier*:**

**First Initial. Last Name, TEA ID number.  
(For example: B. Smith, 000000)**

**There is no fee for a Continuing Approval Desk Review.** 19 TAC §229.9 requires the EPP to pay a fee of \$4,500 for a 5-year continuing approval visit / discretionary review visit on-site.

**Mailing Address for Status Report and related documents identified in Notification Letter:**

**Texas Education Agency  
Educator Preparation Rm 5-100  
1701 N. Congress Ave.  
Austin, TX 78701  
Attn: Insert Program Specialist Assigned**

A “Designated Candidate List”, populated with specific candidates, will be sent to the EPP by secure email two (2) weeks prior to the review date identified in the Notification Letter.

### Designated Candidate List

Documents due at TEA by: **Start Date of Review Identified in Notification Letter**

When the Document & Records Submission Instructions request information and documentation about “**Designated Candidates**”, it is referring to the candidates on this list. These names will be selected from the EPP Finisher lists. Please DO NOT substitute any other names for those on this list.

Certification Route (U, PB, ACP)	Certification Class/Category	Candidate Name	TEA ID Number	Other Enrolled (OE) or Finisher (F)	Year
U	Core Subjects EC-6	B. Smith	0000000	OE	2017-2018
PB	Principal	J. Leader	1111111	F	2016-2017

## **Submission of Requested Documents & Records**

Please submit the following documents and/or records to TEA. Create electronic folders for each component and then create sub-folders (files) labeled as identified. Place the requested documents and/or records in the related file.

### **Component 1- Governance**

Label File: Component 1 – Reviews from Other Accrediting Agencies

- ⇒ Submit the summary page(s) from the accrediting agency(s) that shows that the EPP is accredited by another accrediting agency(s).

### **Component 2 - Admission**

Label File: Component 2 – Out-of-Country Candidates

- ⇒ Submit a copy of the official TOEFL score report or documentation of other demonstration of English language proficiency for each candidate admitted into the EPP with credentials from countries outside of the U.S. during the 2016-2017 and 2017-2018 reporting years. Reference Item #13 of the Status Report.
- ⇒ Submit a copy of the foreign credential evaluation for each candidate. Reference Item #13 of the Status Report.

Label File: Component 2 – 10% Exception

- ⇒ Submit ‘extraordinary circumstances’ and ‘work experience equivalent’ documentation for each candidate admitted into the 2016-2017 cohort with a GPA less than 2.5. Reference Item #10 of the Status Report.

Label File: Component 2 – *candidate identifier* (Example: Component 2 - B. Smith, 0000000)

- ⇒ For each admission requirement (each item identified in Item #9 of the Status Report), submit the evidence (artifact / document / record) for each of the “Designated Candidates”.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

### **Component 3 – Curriculum**

- ⇒ No documents required to be submitted now. TEA will review the information submitted in the status report. If additional documentation is required, TEA will notify the program.

## **Component 4 – Coursework, Training, Program Delivery & Ongoing Support**

### **Label File: Component 4 – Total Clock Hours for Undergraduate Teacher Program**

⇒ Submit the document used for tracking completion of coursework hours.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

### **Label File: Component 4 – Total Clock Hours for ACP Teacher Program**

⇒ Submit the document used for tracking completion of coursework hours.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

### **Label File: Component 4 – Total Clock Hours for Post-Bac Teacher Program**

⇒ Submit the document used for tracking completion of coursework hours.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

### **Label File: Component 4 – Total Clock Hours for ACP Non-Teacher Programs**

⇒ Submit the document used for tracking completion of coursework hours for each of the non-teacher programs (Principal, School Counselor, etc.) within the ACP route.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

### **Label File: Component 4 – Total Clock Hours for Post-Bac Non-Teacher Programs**

⇒ Submit the document(s) used for tracking completion of coursework hours for each of the non-teacher programs (Principal, School Counselor, etc.) within the Post-Bac route.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

### **Label File: Component 4 – *candidate identifier* (Example: Component 4 - B. Smith, 0000000)**

⇒ For each of the “Designated Candidates”, submit the completed tracking document that provides evidence that candidates completed the required coursework hours.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

### **Label File: Component 4 – Field Based Experience**

⇒ Include a step-by-step plan or timeline that explains EPP requirements for completing the 30 Field-Based Experience (FBE) hours. Include a descriptor of the way your EPP tracks the FBE hours.

⇒ Submit a blank copy of each document that a candidate is required to submit as part of the FBE requirements (i.e., log sheets, reflection questions, etc.).

Label File: Component 4 – candidate identifier (FBE) [Example: Component 4 - B. Smith, 0000000 (FBE)]

- ⇒ For each of the “Designated Teacher Candidates”, submit completed logs, reflections, and other related documents as evidence that each candidate has completed the 30 hours of FBE. Reference Status Report Item #19.

Label File: Component 4 – candidate identifier (Mentor) [Example: Component 4 - B. Smith, 0000000 (Mentor)]

- ⇒ For each of the “Designated Candidates”, submit evidence that each candidate was assigned a mentor/cooperating teacher/site supervisor (provide name of mentor/cooperating teacher/site supervisor for each candidate). Reference Status Report Item #19.

Label File: Component 4 – Mentor Qualifications

- ⇒ Submit evidence that the cooperating teacher/mentor/site supervisor for each of the “Designated Candidates” meets the qualification requirements for years of experience, certification, and influence on student achievement.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

Label File: Component 4 – Mentor Training

- ⇒ Submit a copy of the presentation, manual, or other training material used by the EPP to train each of the mentors/cooperating teachers/site supervisors assigned to the “Designated Candidates”. Reference Status Report Item #19.
- ⇒ Submit evidence that each mentor/cooperating teacher/site supervisor received the training. If district provided mentor /cooperating teacher/site supervisor training, submit certificate of completion for each mentor/cooperating teacher/site supervisor. Reference Status Report Item #19.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

Label File: Component 4 – Field Supervisors

- ⇒ For each Field Supervisor assigned to the “Designated Candidates”, submit evidence that each meets the qualification requirements in 19 TAC §228.2(16). Reference Status Report Item #19.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

Label File: Component 4 – Field Supervisor Training

- ⇒ Submit a copy of the presentation, manual, or other training material used to train field supervisors. Reference Status Report Item #19.
- ⇒ Include evidence that each Field Supervisor received EPP training. Reference Status Report Item #19.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

- ⇒ Submit evidence that each field supervisor attended the TEA-approved field supervisor training. Reference Status Report Item #19.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

Label File: Component 4 – Observation Form

- ⇒ Submit a blank copy of the form(s) Field Supervisors use to conduct formal observations. Provide a form for each certificate class in each certification route offered. Reference Status Report Item #19.

Label File: Component 4 - *candidate identifier (CTE)* (Example: Component 8 - B. Smith, 0000000)

- ⇒ For each of the “Designated Candidates”, if applicable, submit the documentation of preparation, experience, and/or licensure required for certification.

Label File: Component 4 – *candidate identifier (FS.)* [Example: Component 4 - B. Smith, 0000000 (FS)]

- ⇒ For each of the “Designated Candidates”, submit the formal observations completed by the Field Supervisors. Include start and end dates of the clinical teaching/internship/practicum placement, evidence of the interactive conference, and evidence the cooperating teacher/mentor and/or campus administrator (interns) received a copy of the observation report. Reference Status Report Item #19.
- ⇒ For each of the “Designated Candidates”, submit evidence to show informal / ongoing candidate support by Field Supervisors. Reference Status Report Item #19.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

Label File: Component 4 – *candidate identifier (PRAC)* [Example: Component 4 – B. Smith, 0000000 (PRAC)]

- ⇒ For each of the “Designated Candidates”, provide evidence the EPP verified the duration and successful completion of clinical teaching/internship/practicum.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

#### Label File: Component 4 – Out-of-State / Out-of-Country Placements

- ⇒ For each candidate completing clinical teaching, internship, or practicum outside of Texas (identified in Item #21 of the Status Report), submit evidence that TEA approved the placement.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

- ⇒ For each candidate completing clinical teaching, internship, or practicum outside of Texas (identified in Item #21 of the Status Report), submit mentor/cooperating teacher/site supervisor name, field supervisor name, and observation results for formal observations.

#### **Component 5: Assessment & Evaluation of Candidates and Program**

##### Label File: Component 5 – Program Benchmarks

- ⇒ For each certification category / class, submit a blank copy of the document used to track candidate completion of program benchmarks. If a degree plan is used, identify by marking on the degree plan document, the program benchmarks used to track candidate progress through the educator preparation experience. Reference Status Report item #23.

##### Label File: Component 5 – *candidate identifier* (Example: Component 5 - B. Smith, 0000000)

- ⇒ For each of the “Designated Candidates”, submit the documents that provide evidence of completion of the identified program benchmarks, including documentation of candidates’ readiness to take the certification exams.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

##### Label File: Component 5 – Program Evaluation

- ⇒ Submit a sample of feedback collected by the program to be used for program evaluation and improvement of the EPP. Write a brief descriptor of the way the feedback was used for program improvement. Reference Status Report item #23.

#### **Component 6: Professional Conduct**

##### Label File: Component 6 – *candidate identifier* (Example: Component 6 - B. Smith, 0000000)

- ⇒ For each of the “Designated Candidates”, submit evidence that candidates are required to adhere to the Educator Code of Ethics. Reference Status Report Item #26.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.



#### Label File: Component 6 – Faculty & Staff Ethics

- ⇒ For each of the faculty/staff members and for each Field Supervisor involved in preparation of the “Designated Candidates”, submit evidence that the faculty and staff are required to adhere to the Educator Code of Ethics. Reference Status Report Item #27.

See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

#### **Component 7: Complaint Procedures**

##### Label File: Component 7- Complaint Process

- ⇒ Submit the written formal complaint process for your EPP. This will remain on file with TEA. Reference Status Report Item #30.

#### **Component 8: Certification Procedures**

##### Label File: Component 8 – *candidate identifier (Degree)* (Example: Component 8 - B. Smith, 0000000)

- ⇒ For each of the “Designated Candidates”, submit the copy of official transcript to evidence that each “Designated Candidate” held the appropriate degree required for the certificate recommended (if not the same transcript collected at admission).

##### Label File: Component 8- *candidate identifier (Service)* (Example: Component 8 - B. Smith, 0000000)

- ⇒ For the “Designated Candidates” (non-teacher candidates only), submit a copy of the official service record as evidence that each of the “Designated Candidates” met the years of creditable teaching experience requirement (if different than the document already submitted in Component 2 as an admission document).

#### **Component 9: Integrity of Data Submission**

TEA will review documentation in the EPP Accountability File for the following Academic Years to determine compliance:

- ⇒ 2014-2015
- ⇒ 2015-2016
- ⇒ 2016-2017

## Appendix D

## **Educator Preparation & Program Accountability Contact List**

Contact the assigned Program Specialist with any questions or concerns. The assigned Program Specialist will facilitate the Continuing Approval Review process and will continue to work with the EPP staff as they complete Compliance Plan items.

### **Vanessa Alba**

[Vanessa.alba@tea.texas.gov](mailto:Vanessa.alba@tea.texas.gov)

512-463-6282

Program Specialist

### **Lorrie Ayers**

[Lorrie.ayers@tea.texas.gov](mailto:Lorrie.ayers@tea.texas.gov)

512 936-2166

Program Specialist

### **Kerri Elzie**

[Kerri.Elzie@tea.texas.gov](mailto:Kerri.Elzie@tea.texas.gov)

512-936-8264

Program Specialist