Educator Preparation Program
Continuing Approval Review Handbook

2019-2020
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 purpose of a regular periodic review is to provide evidence to ensure an EPP is adequately preparing candidates for educator certification and meeting the standards and requirements set by the State Board for Educator Certification (SBEC). Through the Continuing Approval Review process, TEA staff provide clarification of current rules and requirements to EPPs and share best practices to promote a continuous improvement mindset. TEA staff develops and implements targeted training to individuals and groups of EPPs based on common issues that arise across multiple EPP reviews. The review process also provides TEA with an opportunity to identify and showcase exceptional programs or practices that can be shared with other EPPs.

The scope of the five-year Continuing Approval Review is limited to the EPP’s compliance with TAC and Texas Education Code (TEC). In the review process, TEA gathers evidence to determine EPP compliance with the TEC and TAC in the program approval components of:

- Governance;
- Admission practices;
- Curriculum;
- Coursework, training, program delivery, and ongoing support of candidates;
- Assessment and evaluation of candidates and the program;
- Professional conduct;
- Complaints procedures;
- Certification procedures; and
- Integrity of data submission.

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 one or more program components back into compliance with TAC and TEC.

There are two (2) different formats used for conducting 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 instruction and forms to facilitate the review process.

Desk Review Overview

The desk review format requires the EPP to submit specific documents and records to TEA for review and does not include an on-site visit to the EPP. The desk review process includes: 1) notification and training by TEA; 2) preparation and secure 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) a 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.
On-Site Review Overview

The on-site review format requires two to three TEA staff members to travel to the EPP to conduct the review at the EPP site. During the on-site review, TEA staff members review documents and records compiled by the EPP staff. TEA staff may also interview EPP staff members and instructors regarding EPP processes and/or curriculum. 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) candidate records, documentation and data requested and reviewed by TEA at EPP site; 4) TEA conducts daily debriefs with EPP staff followed by a final conference to review findings; and 5) an official written report.

Note: Following a desk review, a discretionary on-site review may be required depending upon the nature and extent of compliance issues to be corrected.

The Nine Components of the Continuing Approval Review

EPPs are required to comply with TAC and TEC which guides various aspects of the program. Compliance is determined by reviewing EPP documentation and records within the context of these components:

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

During the review, the TEA review team records evidence of compliance on a standardized rubric that reflects TAC and TEC requirements within each component.
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 assigned Program Specialist at TEA to confirm the CDN. The CDN is also found in the Educator Certification Online System (ECOS):

Assigned Program Specialist

For the Continuing Approval Review, a TEA Program Specialist will be assigned to work with EPP staff during the review process. The Program Specialist may not be the specialist that is usually assigned to the EPP. 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 communication 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 to conduct an on-site review.

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

- Five-year continuing approval review (on-site) = $4,500
- Discretionary continuing approval review (on-site) = $4,500

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

Note: Fees for programs receiving on-site reviews in 2019-2020 must be received at TEA between September 1, 2019-September 23, 2019.
Risk Assessment

At the beginning of the review cycle, TEA staff develops a set of risk factors to use in assessing the overall risk level for each EPP to determine the type of review for that EPP in accordance with TEC §21.0454. 19 TAC §228.10(b)(3) specifies that TEA staff shall, at the minimum, use the following risk factors to determine the need for discretionary reviews and the type of five-year reviews:

(A) a history of the program’s compliance with state law and board rules, standards, and procedures, with consideration given to:
   (i) the seriousness of any violation of a rule, standard, or procedure;
   (ii) whether the violation resulted in an action being taken against the program;
   (iii) whether the violation was promptly remedied by the program;
   (iv) the number of alleged violations; and
   (v) any other matter considered to be appropriate in evaluating the program’s compliance history;

(B) whether the program meets accountability standards under Texas Education Code, §21.045, and

(C) whether the program is accredited by other organizations

The factors used in the risk assessment for 2019-2020 Continuing Approval Reviews include:
1) Accreditation data including two areas:
   • The principal appraisal of first-year teachers who were either “sufficiently prepared” or “well prepared”
   • The quality of field supervision by the EPP
2) Annual performance data including two areas:
   • Retention of teachers – the percentage of teachers who are still employed as a teacher five years after earning a standard certificate
   • The percentage of tests passed by students in an EPP
3) Formal complaints against the EPP that occurred within the five years prior to the 2019-2020 review and that revealed one or more violations of TAC prescribed in TEC §21.0454(a)(1)
4) Accreditation status of the EPP with increased risk for those with Accredited-Warned or Accredited-Probation status prescribed in TEC §21.0454(a)(2)
5) Accreditation by other organizations, which reduced the risk for those EPPs accredited by a national organization for educator preparation.

The method used to conduct the risk assessment:

ASEP Indicators

The preliminary risk assessment calculated a value for each program using data from the most recent reporting year. The assessment was conducted using the ASEP indicators at the “All” level, as well as the demographic group level and allowed for small group exception to be factored into the calculation. The risk assessment was calculated by counting the number of indicators and groups where the program met standard and dividing by the number of indicators and groups in which they had data. The resulting values were converted to percentages.
Specifically, to complete the preliminary risk assessment, the following process was used: for the denominator, count the total possible “met standard”/“did not meet standard” cells; for the numerator, count the total number of these cells with “did not meet standard.” Exclude all cells without data. Values for the “All” cells were weighted to be more substantial than the disaggregated grouped cells. SAS code was written to consistently generate the program percentages. Using these percentages, three stages of risk were calculated with Stage 1 representing the highest risk and Stage 3, the lowest level of risk.

Accreditation Status
The Accreditation Status in effect at the time of the risk assessment was used. Programs rated Accreditation-Probation were automatically assigned a risk of Stage 1 (highest risk).

Complaints
Violations that resulted from formal complaints incurred by an EPP from December 27, 2016 to present were quantified as follows:

- For each violation of the TAC or TEC identified in a formal complaint, the EPP received -1 point.
- If a violation was promptly remedied by the EPP, thus addressing the root cause of the problem within the time frame provided, the EPP received 0 points for each violation remedied. If a violation was not remedied within the time frame provided, the EPP received -1 point for each violation not remedied.
- If the number of complaints of alleged violations against the same program was two (2) or more, the EPP received -1 point (not including complaints that violated TAC)

Accreditation by Other Organizations
Accreditation by other organizations was quantified in this way:
- If the program was accredited by other organizations in addition to what is required in TAC (e.g. SACS for higher education), the EPP received +1 one point for additional accreditation.

Process for Assigning the Final Risk Stage
1. The Preliminary risk stage of 1, 2, or 3 was calculated for each EPP;
2. Any EPP rated Accredited-Probation was moved to a final risk of Stage 1;
3. Points deducted due to violations of TAC or TEC, as identified through formal complaints, were combined with points awarded due to accreditation by other organizations. The resulting total points were factored into the risk model through a sliding scale where:
   
   0-2 points = No change in Risk Stage assignment
   3-5 points = Level down one Risk Stage assignment (higher risk)
   6 or more points = Level down two Risk Stage assignments (higher risk)
The Notification Letter

An EPP that is scheduled for a Continuing Approval Review will be notified by TEA via a Notification Letter sent attached to 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 date 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; and
- Assigned Program Specialist contact information.

The following documents are attached to the Notification Letter email:

- Notification Letter
- Status Report-to be completed by EPP and returned to TEA

Sample Notification Letter:

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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. 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
- Details about risk assessment
- Document submission instructions
- 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 to TEA 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.
Throughout the Status Report, there are opportunities to provide general information about the programs within the EPP as well as specific information about candidates within the programs.

EPP staff will also be asked to provide information about how the programs within the EPP met TAC requirements for each component. These responses will take into consideration all programs in all routes within the EPP. For example, Component 1 asks questions about the implementation of the governance requirements. Governance includes advisory committee activity. If the EPP has separate advisory committees for the Teacher certification program and the Principal certification program, then information about both programs would be included.

There is a space for each component in which EPP staff may describe anything additional they would like TEA to know. These responses, as well as other responses identified as “optional”, may be completed at the discretion of the EPP.

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

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. The EPP may not have some of these documents and/or some of the documents may not be applicable to the EPP. For example, the Scope and Sequence document is required for EPPs assigned a risk of Stage 1 (highest risk) or Stage 2. If the requested documents are not necessary or required for the EPP, it is strongly recommended that EPP staff do not create these documents solely to provide them for the review.

To submit the requested Appendix items to the assigned Program Specialist, create an electronic folder for each appendix, labeled with the appendix letter/name, and then save the related document(s) in the labeled folder. Folders containing documents may be saved directly onto a flash drive, attached to an email in a zipped file, or uploaded as attachments via a Help Desk ticket. 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 and related appendix items may be submitted attached to an email, attached to a Help Desk ticket, or mailed via a flash drive. If secure information, such as candidate records, is included in the Status Report, then the Status Report must be submitted through the Help Desk or mailed via an encrypted flash drive. 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.
Continuing Approval Review Rubric

A copy of the rubric used for the review is posted on the Program Provider Resources page on the TEA website. The rubric is aligned to TAC requirements for all certification classes and all certification routes (Undergraduate, Post-Bac, and ACP). Some parts of the rubric may not be completed during the review depending on the type of review completed for the EPP. The completed rubric will be a permanent record of findings during the review. If the review team cannot populate the rubric based on the evidence submitted, the assigned Program Specialist may request additional evidence from the EPP to verify compliance with a specific requirement in TAC.

Continuing Approval Desk Review
(Information for EPPs reviewed in a desk review format)

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 requirements in TAC and TEC. Documents such as training transcripts and degree plans provide information about coursework hours. Documentation retained in candidates’ records such as applications, university transcripts, service records, observation documents, 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) will provide some guidance on the types of documents and information that may be collected and evaluated by TEA staff during the review (note: the Figure may not be up to date with the most recent updates elsewhere in TAC). The assigned Program Specialist at TEA can assist with answers to questions regarding evidence of compliance with TAC. Some of the items may reference an item on the Status Report. This reference is meant to be a helpful tool for deciding what types of documentation to submit.

All documents must be carefully labeled for efficient processing. During the review, TEA staff must be able to link documents and records to specific certificate categories and classes, certification routes, and/or specific candidates. For that reason, please use the name scheme identified in the document submission instructions in the Continuing Approval Desk Review: Document & Records Submission Instructions in Appendix C.
When labeling candidate records, 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 submission, either using the link provided or mailed on an encrypted flash drive. No paper documents will be accepted.

**Component 2 – Admission (Label Folder: C2_Adm ission)**

<table>
<thead>
<tr>
<th>Label a Document in this Folder: C2_Document Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: To submit a document that contains a list of candidates admitted under the 10% exception, label the document:</td>
</tr>
<tr>
<td>C2_10% Exception</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Label a Candidate Record in this Folder: C2_First Initial.Last Name.TEA ID #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: To submit admission documents for Beth Smith (TEA ID#00000000), label the document:</td>
</tr>
<tr>
<td>C2_B.Smith.00000000</td>
</tr>
</tbody>
</table>

**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) and the Status Report. Candidate names are generally selected from the current reporting year and the previous reporting year but if necessary, may be selected from reporting years within five (5) years of the review date.

Candidate names will be selected from each active certification class and from each active certification route within the EPP. Up to five (5) records will be selected from each. A minimum of ten (10) records will be selected for review from an EPP. During the review, additional records for additional candidates may be requested at the discretion of the review team. For example, TEA may request additional documentation if the team uncovers a compliance issue in a specific class or route and needs to gather more information; or if the evidence previously submitted contains incomplete information and the team needs more information to determine compliance with a TAC requirement.

For the **desk review**, the EPP will receive the **Designated Candidate List** containing the names of candidates whose records will be reviewed two (2) weeks prior to the Continuing Approval Review date identified in the **Notification Letter**. The EPP will then gather copies of the requested records for the “Designated Candidates” on the list and submit them securely to TEA for review. Candidates’ records must be submitted securely to the TEA assigned Program Specialist either using the Share Files link embedded in the **Designated Candidate List** document or saved onto an encrypted flash drive that is physically delivered to TEA. See more information about submitting documents to TEA in the **Continuing Approval Desk Review - Document & Records Submission Instructions** included in this handbook in **Appendix C**. Documents, records, and flash drives submitted to TEA for the **desk review** will not be returned to the EPP and candidate records submitted to TEA will be destroyed at the close of the review. It is important that EPP staff retain the original records as per the record retention policy.
Example of Designated Candidate List:

The Desk Review Process

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 draft report containing Next Steps, 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 plan to address the Next Steps necessary 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.
Curriculum Review

TEA will notify the program if curriculum will be reviewed during the desk review. 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 On-Site Review
(Information for EPPs reviewed in an on-site format)

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 the first day (usually a Tuesday morning) and close the review and depart from the EPP site between 12:00-1:00 pm on the last day (usually a Thursday). The agenda may reflect time at the beginning of the first day for the EPP staff to have a brief introductory meeting with the TEA staff to discuss the agenda and a brief overview of the EPP. Opening and closing sessions on any day may be attended by any EPP staff at the discretion of the EPP. There will be time built into the end of each day to review the findings with EPP staff and discuss documentation that may be needed for the next review day.

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.

EPP 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 work room must lock to protect secure records in the event the review team must leave the room for some reason. Internet access is necessary so that the TEA review team may access the ECOS system and TAC and TEC via electronic links.

Document & Records Submission Instructions

Except for the Status Report documents, EPPs reviewed in the on-site format will not submit documents and records to TEA. Instead, documents and records will be reviewed by TEA on-site. EPP staff should begin to collect general EPP records and documents in preparation for the review; however, candidate records will be requested by the TEA review team once the team is on-site at the EPP. For planning purposes, the Figure: 19 TAC §228.10(b)(1) will provide some guidance on the types of documents and information that may be collected and evaluated by TEA staff during the review (note the Figure may not be up to date with the most recent updates elsewhere in TAC). The assigned Program Specialist at TEA can assist with
answers to questions regarding evidence of compliance with TAC which may be a helpful guide for EPP staff as they prepare for a TEA on-site review. Other than the Status Report and related Appendices, documents and records must NOT be submitted to TEA but instead must be available for review when the review team arrives on-site. **Note: EPP staff will need to be on hand to provide access to any records that are maintained in electronic EPP files. TEA supports the use of electronic files and does not expect or prefer that EPP staff print electronic records for the purposes of the review.**

For the **on-site review**, the EPP will receive a list containing the names of candidates whose records will be reviewed when the review team arrives on-site on opening day. In this case, EPP staff will deliver the requested candidate records to the work room designated for the TEA review team. If records are stored electronically, a person from the EPP staff must assist in retrieving the records. Paper copies of candidate records will be returned in original condition to the EPP staff for storage. Examples of candidate records that will be reviewed include: all admission records, including transcripts; benchmarking documents; observation documents completed by field supervisors; service records; and any other documents that provide evidence of candidate completion of program requirements.

Some other records and documents the review team will want to evaluate are: documentation of qualifications of field supervisors, mentors, cooperating teachers, and site supervisors and evidence of training provided to them; evidence of advisory committee activity; posted information for candidates and applicants such as the EPP complaints process, information about background check requirements, and other required information; curriculum materials for one or more certificate areas; evidence of interaction between instructors and candidates; and program evaluation documents, including evidence of programmatic changes based on ongoing program evaluation.

**The Review**

For the **on-site review**, the review officially opens on the date identified in the **Notification Letter** which coincides with the date 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 finally leaves the EPP site, usually a duration of 2 ½ - 3 days. The time 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 standardized rubric. After the review window closes and the review team has departed the EPP site, no additional documentation will be accepted for review.

At the end of the first and second days, the TEA review team will meet with EPP staff to discuss the findings from that day and any additional documentation that may be needed for the next day.

The EPP is strongly encouraged to 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).

During the closing session on the last day, the findings will be discussed with EPP staff with specific areas of growth and improvement identified. TEA staff will work with EPP staff, if necessary, to develop a Compliance Plan to bring identified EPP processes back into alignment with TAC.
Closing a Continuing Approval Review

Closing Session

Once the Continuing Approval Review is closed, no additional documents will be accepted. Upon completion of either the desk review or 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. If compliance issues are identified during the review, the TEA and EPP staff will work together during the closing session to develop a plan to correct the out-of-compliance issues. Some reviews such as those conducted in accordance with SBEC Orders may not result in a Compliance Plan. EPP staff may include anyone they choose to attend the closing session. It is recommended that staff responsible for the various programs within the EPP engage in the closing session so that they may contribute to resolutions and timelines for the action items identified to bring the EPP back into compliance with requirements in TAC.

Once a plan is in place to address the action items, EPP staff will be expected to follow-up with the assigned Program Specialist with evidence that all identified action items have been resolved by the identified resolution date.

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 10 business days to review the report and request any corrections to its contents. If the EPP Legal Authority does not respond within 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. Reports are posted on the Consumer Information page on the TEA website.

Next Steps / Compliance Plan

If areas of the EPP are identified as non-compliant with TAC or TEC during the review, the TEA assigned Program Specialist will work with EPP staff to develop a plan of action to bring the EPP back into compliance in all identified areas. This will be identified in the Next Steps section of the report and, for on-site reviews, will also be itemized in a Compliance Plan. Evidence that the identified items have been corrected must be submitted to the assigned Program Specialist by the agreed upon dates. If EPP staff cannot correct the compliance issues by the agreed deadlines, the Legal Authority should contact the assigned TEA Program Specialist in writing to negotiate an extension. When all compliance issues have been brought into alignment with TAC or TEC, the Legal Authority will receive a letter from TEA stating that the EPP has met TAC requirements and resolved all identified issues. This letter should be attached to the original TEA Continuing Approval Review report and retained in the EPP records.

Likewise, all Next Steps resulting from the desk review must be completed and evidence of completion sent to the assigned Program Specialist at TEA by the identified deadline.
Sample Section from Compliance Plan Document for On-Site Reviews:

<table>
<thead>
<tr>
<th>Component</th>
<th>TEA Compliance Discrepancy to be Addressed (Insert TAC and descriptor)</th>
<th>TEA General Recommendations</th>
<th>EPP Idea(s) for Improvement</th>
<th>EPP Implementation Date</th>
<th>EPP Contact Person</th>
<th>Evidence of Completion (complete with TEA)</th>
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<tbody>
<tr>
<td>Governance</td>
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<td>Coursework, Training, Program Delivery &amp; Ongoing Support</td>
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<tr>
<td>Assessment and Evaluation of Candidates &amp; Program</td>
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<td>Professional Conduct</td>
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<td>Complaint Procedures</td>
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<td>Certification Procedures</td>
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What Happens Next?

19 TAC §229.6(a) identifies that the continuing approval of an EPP will be based on the EPP’s accreditation status and compliance with SBEC rules (as determined in the continuing approval review). If, during the five-year review, the EPP is found to be compliant with TAC and TEC, 19 TAC §229.6(b) requires TEA staff to issue a proposed recommendation to the SBEC to approve the renewal of the EPP. If TEA staff determines that an EPP has failed to comply with TAC or TEC and the EPP does not achieve compliance within the timelines established, the TEA staff must recommend that the SBEC sanction the EPP. Sanctions may include, but are not limited to, “public reprimand, revocation of program approval, or the imposition of conditions upon continuing program approval”.

©Texas Education Agency 2019-2020
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.

<table>
<thead>
<tr>
<th>EPP Name</th>
<th>Name of Person Submitting Form</th>
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<tr>
<td>County/District Number</td>
<td>Contact Person</td>
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<td>EPP Mailing Address</td>
<td>Contact Phone Number</td>
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<td>Contact Email</td>
<td>Amount Enclosed / Check Number</td>
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<td>$4,500.00 /</td>
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</tbody>
</table>

Please send this form with a money order or check made payable to **TEA-EPP** prior to services being rendered. **Payment for on-site Continuing Reviews for 2019-2020 is expected at TEA between September 1, 2019-September 23, 2019.**

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
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
Appendix C
**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 four (4) methods:

1. mailed on an encrypted flash drive;
2. attached to an email (non-secure documents only);
3. electronically submitted via TEA’s Secure File Transfer service; and/or
4. via a Help Desk ticket (this is a secure submission).

Some document submission requirements may refer to a specific item identified on the Status Report, so it will be important for EPP staff to retain a completed copy of the Status Report as a reference 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 2018-2019 will include all information within the time-frame September 1, 2018 - August 31, 2019.

3. For the records review, TEA has pre-selected candidates from the EPP Finisher Records 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. DO NOT substitute information for any other candidates for the missing information.

Secure Submission Options

Candidate information and records must be submitted via secure electronic transmission or on an encrypted flash drive.

Option 1 - To submit documents via Share Files:

1. Use the link provided on the Designated Candidate List document to submit secure files. When the files are received, an email will be generated to the assigned Program Specialist that the files have been uploaded into the shared folder.

Option 2 - To submit documents securely via the TEA Help Desk, submit a ticket using the Help Desk link on the TEA website. Documents may be attached to the information form.

Option 3 – Documents may be saved on a flash drive which is then encrypted to protect secure information. The flash drive is then submitted to TEA via US mail or some other physical delivery system. The EPP must send an email to the assigned Program Specialist at TEA containing the password and/or instructions to unlock the encryption.

The EPP may submit non-secure documents and other EPP artifacts either: a) on a flash drive mailed to TEA (can be save on the encrypted flash drive); or b) as electronic attachments via
email to the assigned Program Specialist. TEA Share Files may also be used for non-secure document submission. DO NOT SUBMIT PAPER RECORDS. If a flash drive is mailed, 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 documents are submitted electronically via email, send the email(s) to the assigned Program Specialist with Delivery/Read receipt(s). If file sizes are large, several emails may be required with fewer attachments per email. 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. 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
Submission of Requested Documents & Records

Candidates Identified for Records Review

For EPPs receiving a desk review, a “Designated Candidate List” document, populated with specific candidates, will be sent securely to the EPP two (2) weeks prior to the review date identified in the Notification Letter. When the documents submission instructions require documents to be submitted for the “Designated Candidates”, the instructions are referring to the candidates on this document:

![Designated Candidate List](image)

Records and Documents to be Submitted to TEA

Submit the following documents and/or records to TEA. Create electronic folders for each component and then collect/save the requested documents in those folders, labeled as identified.

Component 1 - Governance

This component is not evaluated in the Continuing Approval Desk Review.

Component 2 – Admission (Label Folder: C2_Admission)

Label a Document in this Folder: C2_Document Name

Example: To submit a document that contains a list of candidates admitted under the 10% exception, label the document:

C2_10% Exception

Label a Candidate Record in this Folder: C2_First Initial.Last Name.TEA ID #

Example: To submit admission documents for Beth Smith (TEA ID#0000000), label the document:

C2_B.Smith.0000000
Documents & Records to Submit for Component 2-Admission:

⇒ 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**

This component for desk reviews is reviewed as part of the Status Report; for on-site reviews, it will be evaluated at the EPP site. 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 (Label Folder: C4_Training)**

<table>
<thead>
<tr>
<th>Label a Document in this Folder: C4_Document Name</th>
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</thead>
<tbody>
<tr>
<td>Example: To submit a document such as a degree plan, training schedule, or benchmarking document that reflects clock hours required for coursework in the undergraduate teacher program, label the document something like this:</td>
</tr>
<tr>
<td>C4_UndergradDegreePlan</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Label a Candidate Record in this Folder: C4_First Initial.Last Name.TEA ID #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: To submit observation documents for Beth Smith (TEA ID#0000000), label the document:</td>
</tr>
<tr>
<td>C4_B.Smith.0000000</td>
</tr>
</tbody>
</table>

Documents & Records to Submit for Component 4-Training:

⇒ Submit the document used for tracking completion of coursework hours for each program in each route within the EPP.

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

⇒ 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.

⇒ 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.

⇒ 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).
⇒ 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.

⇒ 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”.

⇒ Submit evidence that each mentor/cooperating teacher/site supervisor completed the training. If district provided mentor/cooperating teacher/site supervisor training, submit certificate of completion for each mentor/cooperating teacher/site supervisor.

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

⇒ Submit a copy of the presentation, manual, or other training material used to train field supervisors.

⇒ Include evidence that each Field Supervisor completed EPP training.

⇒ Submit evidence that each field supervisor attended the TEA-approved field supervisor training.

⇒ 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.

⇒ For each of the “Designated Candidates” that is seeking teacher certification in an area that requires licensure and work experience, submit the documentation of preparation, experience, and/or licensure required for certification.

⇒ For each of the “Designated Candidates”, submit the formal observations completed by the Field Supervisors. Include assignment start and end dates, evidence of pre- and post-conferences, and evidence the appropriate campus staff received a copy of the observation report.

⇒ For each of the “Designated Candidates”, submit evidence to show informal and ongoing candidate support by Field Supervisors.

⇒ For each of the “Designated Candidates”, provide evidence the EPP verified the duration and successful completion of clinical teaching/internship/practicum (evidence of success submitted by Field Supervisor and appropriate campus staff).

⇒ For each candidate completing clinical teaching, internship, or practicum outside of Texas (identified in Item #24 of the Status Report), submit evidence that TEA approved the placement.

⇒ For each candidate completing clinical teaching, internship, or practicum outside of Texas (identified in Item #21 of the Status Report), submit evidence to verify the assignment was completed as approved, including observation documents.
See Figure in 19 TAC §228.10(b)(1) for acceptable evidentiary documents.

**Component 5: Assessment & Evaluation of Candidates and Program (Label File: C5_Program Benchmarks)**

<table>
<thead>
<tr>
<th>Label a Document in this Folder: C5_Document Name</th>
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<tbody>
<tr>
<td>Example: To submit a document that contains feedback collected from cooperating teachers for program improvement, you might label the document:</td>
</tr>
<tr>
<td>C5_CoopTeacherSurvey</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Label a Candidate Record in this Folder: C5_First Initial.Last Name.TEA ID #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: To submit the completed benchmarking document for a candidate, you might label the document:</td>
</tr>
<tr>
<td>C5_B.Smith.0000000</td>
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</table>

Documents & Records to Submit for Component 5-Assessment & Evaluation of Candidates and Program:

- 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 #27.

- Submit a copy of the document used to verify candidates have met benchmarks established by the program (one document for each program) Reference Status Report item #27.

- 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.
**Component 6: Professional Conduct (Label File: C6_ProConduct)**

Label a Document in this Folder: C6_Document Name

Example: To submit evidence that EPP staff have signed the Educators Code of Ethics, you might label the document:

C6_StaffECOE

Label a Candidate Record in this Folder: C6_First Initial.Last Name.TEA ID #

Example: To submit evidence the candidate has signed the Educators Code of Ethics, label the document:

C6_B.Smith.0000000

Documents & Records to Submit for Component 6-Professional Conduct:

⇒ 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.

⇒ For each of the “Designated Candidates”, submit evidence that candidates are required to adhere to the Educator Code of Ethics.

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

**Component 7: Complaint Procedures**

This component is usually not evaluated in the Continuing Approval Desk Review. TEA will verify the EPP complaints process is on file at TEA and will review the information submitted in the status report and the EPP formal complaints history. If additional documentation is required, TEA will notify the program.

**Component 8: Certification Procedures (Label File: C8_Certification)**

Label a Document in this Folder: C8_Document Name

Example: To submit a blank checklist used to verify candidates have met all certification requirements, label the document:

C8_CertCheck

Label a Candidate Record in this Folder: C8_First Initial.Last Name.TEA ID #

Example: To submit evidence the EPP verified all certification requirements were met by candidate, label the document:

C8_B.Smith.0000000
Documents & Records to Submit for Component 8-Certification Procedures:

⇒ For each program within the EPP submit the document or description of process used to verify that candidates have met certification requirements prior to recommending the certificate.

⇒ For each of the “Designated Candidates”, submit the document used to verify the candidate met certification requirements prior to recommending the certificate.

⇒ 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 different than the transcript collected at admission).

⇒ 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:

⇒ 2017-2018
⇒ 2018-2019
⇒ 2019-2020