



Division of Educator Preparation, Certification, & Enforcement

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

## **2021-2022**

## 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 clarify current rules and requirements to EPPs and share best practices to promote a continuous improvement mindset. TEA staff develops and implements targeted training for 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 five-year Continuing Approval Review scope is limited to the EPP's compliance with TAC and Texas Education Code (TEC). In the review process, TEA reviews evidence to determine EPP compliance in the [Nine Components of the Continuing Approval Review](#) identified on page 3.

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 (1) or more program components back into compliance with TAC and TEC.

Two (2) different formats are used for conducting five-year Continuing Approval Reviews and discretionary Continuing Approval Reviews: the **desk** review and the **virtual 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. 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.

### Virtual On-Site Review Overview

The **virtual on-site** review format requires two or three TEA staff members to conduct the review remotely utilizing synchronous digital platforms (e.g., Microsoft Teams) to communicate with the EPP staff. During the **virtual on-site** review, TEA staff will 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. The entire **virtual on-site** review process has five stages: 1) notification and training by TEA; 2) preparation and secure

submission of materials by the EPP; 3) remote review of candidate records, documentation, and data by TEA staff; 4) TEA conducts a daily debrief with EPP staff followed by a final conference to review findings, and 5) an official written report.

### The [Nine Components of the Continuing Approval Review](#)

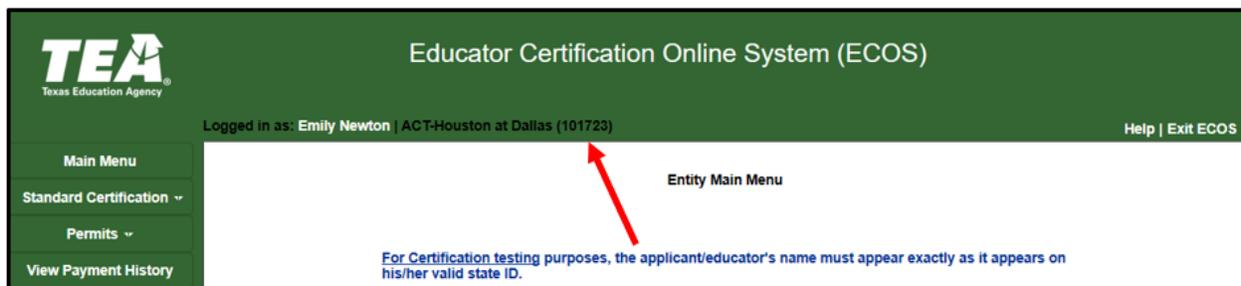
EPPs are required to comply with TAC and TEC, which guide various aspects of the program. Compliance is determined by reviewing EPP documentation and records within the context of these components:

- I. Governance 19 TAC §228.20
- II. Admission Criteria 19 TAC Chapter 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 Chapter 247
- VII. Complaint Procedures 19 TAC §228.70
- VIII. Certification Procedures 19 TAC Chapter 230
- IX. Integrity of Data Submission 19 TAC Chapter 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 identifying 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 Education Specialist at TEA](#) to confirm the CDN. The CDN is also found in the Educator Certification Online System (ECOS):



## Assigned Review Education Specialist

For the Continuing Approval Review, a TEA Education Specialist will be assigned to work with EPP staff during the review process. The Review Education Specialist may not be the specialist that is usually assigned to the EPP. The assigned Review Education Specialist will be the “lead” who will assist with answers to questions, facilitate the review process, assist the EPP in developing a Compliance Plan/Next Steps 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 Review Education Specialist.

## Fees for the Continuing Approval Review

There is no fee for a **desk review**. There will be a fee required for TEA to conduct a **virtual 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 / virtual on-site) = \$4,500
- Discretionary continuing approval review (on-site / virtual on-site) = \$4,500

To submit fees:

- ✓ Complete the “Educator Preparation Program Fee Form” found in **Appendix A** of this handbook; and
- ✓ Pay Fees Electronically – contact Education Specialist for instructions; or
- ✓ Make checks payable to **TEA – EPP** and mail to:  
TEA-Accounting Dept.  
1701 N. Congress Ave.  
Austin, TX 78701.

Note: Fees for programs receiving virtual on-site reviews in 2021-2022 **must** be received at TEA between **September 1 - September 30, 2021**

## Program Preparation Prior to the Continuing Approval Review

### Risk Assessment

At the beginning of the review cycle, TEA staff develops a set of risk factors to assess 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 2021-2022 Continuing Approval Reviews include:

- 1) All available data from the Accountability System for Educator Preparation Programs (ASEP):
  - Results on all ASEP indicators at the All level and disaggregated at individual demographic levels, as specified in 19 TAC §229.4, were used.
- 2) Formal complaints against the EPP that occurred within the five (5) years prior to the 2021-2022 review and that revealed one (1) or more violations of TAC prescribed in TEC §21.0454(a)(1)
- 3) Accreditation status of the EPP with increased risk for those with Accredited-Probation status prescribed in TEC §21.0454(a)(2)
- 4) 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 September 1, 2018, to the 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 a -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 (i.e., NCATE, CAPE, etc.), 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 scheduled for a Continuing Approval Review will be notified by TEA via a **Notification Letter** sent attached to a notification email. The email will be sent to the EPP Legal Authority with copies to the Legal Authority Back-up(s) and Certification Officer. '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 candidate records to be reviewed with due dates;
- Status Report due date; and
- Assigned Education Specialist contact information.

The following documents are attached to the notification email:

- ✓ Notification Letter
- ✓ Continuing Approval Review Handbook 2021-2022 for reference
- ✓ Status Report - to be completed by EPP and returned to TEA by the specified due date
- ✓ 2021-2022 Rubric for reference
- ✓ Scope and Sequence Document - required for EPPs assigned a risk of Stage 1 or 2

Sample Notification Letter:



TEA  
Texas Education Agency

Commissioner Mike Morath

1701 North Congress Avenue • Austin, Texas 78701-1494 • 512 463-9734 • 512 463-9838 FAX • [tea.texas.gov](http://tea.texas.gov)

August 11, 2021  
Via Email with Delivery/Read Receipt

Dr. Education Leader  
Quality Leadership EPP  
Education.Leader@tleader.com

Dear Dr. Leader:

Quality Leadership EPP, #123456, has been selected for a Continuing Approval Review by the Texas Education Agency (TEA), Division of Educator Preparation, Certification, and Enforcement during the 2021-2022 academic year. 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.

**Program Review Details**

Type of Review: Continuing Approval Desk Review  
Dates: Monday, October 4, 2021  
Assigned Education Specialist for the Review: Emily Carrizalez, [Emily.carrizalez@tea.texas.gov](mailto:Emily.carrizalez@tea.texas.gov), 512-463-9820

The results of the risk assessment used to determine the type of review per 19 TAC §228.10(b)(3):

CDN	EPP	Percent	PRELIM	Accred Status	Violations	Other Certs	FINAL
123456	Quality Leadership EPP	93.2203	2	Accredited	1	CAEP +1	2

All certification classes in all certification routes will be reviewed per the following:

- Records for five (5) candidates per certification class in each route

To assist EPP staff with preparation and to answer questions:

- A training webinar has been scheduled for Wednesday, August 25, 2021 / 2:00 PM (Central Standard Time). Webinar details are on page two (2) of this letter.
- Required documents and helpful information are attached to the notification letter email.

Two (2) weeks prior to the review, by Monday, September 20, 2021:

- The EPP submits the completed EPP Status Report 2021-2022 with Appendices to the assigned Education Specialist
- The Status Report should be submitted to TEA using this Sharefile link: [CLICK HERE](#)
- The TEA assigned Education Specialist sends the Designated Candidate List to the EPP contact

On or before the date of the review, by Monday, October 4, 2021, EPP staff must submit the following to the assigned Education Specialist:

- Candidate records per Documents & Records Submission Instructions found in Appendix D in the 2021-2022 Continuing Approval Review Handbook (secure submission required-insert Sharefile link)

We look forward to learning more about Quality Leadership EPP. Please do not hesitate to contact Emily Carrizalez with any questions.

Sincerely,

Jessica McLoughlin  
Director of Educator Standards, Testing, & Preparation  
[Jessica.mcloughlin@tea.texas.gov](mailto:Jessica.mcloughlin@tea.texas.gov)

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## 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 document

## 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**.



**TEA**  
Texas Education Agency

Educator Preparation Program (EPP) Status Report  
2021-2022

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.

**Note:** For any section that is not applicable to your program, please include "N/A" in the corresponding table or text box.

EPP Name	County/District Number
Mailing Address	Legal Authority Name
Primary Contact Name	Primary Contact Phone Number
Primary Contact Email	Review Start Date
Type of Review	Accreditation Status

**SIGNATURE PAGE**

"I have reviewed the evidence in this status report and verify all the information contained in the report is true, 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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The Appendices at the end of the **Status Report** identify documents that should accompany the completed **Status Report** when returned to the assigned Education Specialist at the TEA. The review team uses these documents to learn more about the EPP prior to the review, which allows staff to understand documentation relative to EPP design and 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.

APPENDICES	
Please submit the following, if applicable, with your completed Status Report:	
Appendix A	Candidate Handbook(s)
Appendix B	Field Supervisor Handbook(s)
Appendix C	Cooperating Teacher / Mentor / Site Supervisor Handbook(s)
Appendix D	Calendar of Program Activities per <a href="#">19 TAC §228.20(e)</a>
Appendix E	Summary of Accreditations Received from Any Other Accrediting Entity(s)
Appendix F	Any Other Documents EPP Wants TEA to See (as relates to EPP quality)
Appendix G	Copy of Completed Memoranda of Understanding (If applicable) - Optional
Appendix H	Early Childhood Performance Assessment (If applicable)
Appendix I	Science of Teaching Reading Performance Assessment (If applicable)
Appendix J	Science of Teaching Reading Alignment Chart(s) (If applicable)
Appendix K	Scope and Sequence (for EPPs with Stage 1 or 2 risk).
Appendix L	Curriculum Alignment Chart(s) for Lowest Performing/Highest Enrollment Certificate Area (Request charts from Education Specialist assigned)

To submit the requested Appendix items to the assigned Review Education Specialist, create an electronic folder for each appendix, labeled with the appendix letter/name (i.e., Appendix A – Candidate Handbooks), and then save the related document(s) in the labeled folder. Folders containing documents may be uploaded through a unique Share File link. **All folders uploaded through a unique Share File link must be zipped/compressed.**

Since secure information, such as candidate records, is included in the **Status Report**, the **Status Report must** be submitted through a unique Share File link. The **Status Report** must be received by the assigned Education 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 explicitly identified in the **Notification Letter**.


Commissioner Mike Morath

1701 North Congress Avenue • Austin, Texas 78701-1494 • 512 463-9734 • 512 463-9838 FAX • [tea.texas.gov](http://tea.texas.gov)

August 11, 2021  
Via Email with Delivery/Read Receipt

Dr. Education Leader  
Quality Leadership EPP  
[Education.Leader@qleader.com](mailto:Education.Leader@qleader.com)

Dear Dr. Leader:

Quality Leadership EPP, #123456, has been selected for a Continuing Approval Review by the Texas Education Agency (TEA), Division of Educator Preparation, Certification, and Enforcement during the 2021-2022 academic year. 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.

**Program Review Details**

Type of Review: Continuing Approval Desk Review  
Dates: Monday, October 4, 2021

Assigned Education Specialist for the Review: Emily Carrizalez, [Emily.carrizalez@tea.texas.gov](mailto:Emily.carrizalez@tea.texas.gov), 512-463-9838

**Review Start Date**

## 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). The completed rubric will be a permanent record of findings during the review. Suppose the review team cannot populate the rubric based on the evidence submitted. In that case, the assigned Review Education 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 provide this evidence. [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 Review Education 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 link documents and records to specific certificate categories and classes, certification routes, and/or specific candidates. For that reason, please use the naming scheme identified in the document submission instructions in the **Continuing Approval Desk Review: Document & Records Submission Instructions** in **Appendix D**.



**Continuing Approval Desk Review  
Document & Records Submission Instructions  
2021-2022**

**\*\*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 (5) 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.

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 using the unique Share File link provided. No paper documents will be accepted.**

<p><b>Component 2 – Admission (Label Folder: C2_Admission)</b></p> <p>Label a Document in this Folder: C2_Document Name</p> <p>Example: To submit a document that contains a list of candidates admitted under the 10% exception, label the document:</p> <p>C2_10% Exception</p> <p>Label a Candidate Record in this Folder: C2_First Initial.Last Name.TEA ID #</p> <p>Example: To submit admission documents for Beth Smith (TEA ID#0000000), label the document:</p> <p>C2_B.Smith.0000000</p>
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### Candidate Records

The candidates' records to be reviewed will be pre-determined by the TEA review team. Those candidates designated for review are referred to as "Designated Candidates;" they are selected from EPP records in ECOS such as EPP Finisher lists (Other Enrolled and Finisher), admission lists, and certificate recommendation lists, and from 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 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 Education Specialist using the unique Share File link embedded in the **Designated Candidate List** document. See more information about submitting documents to TEA in the **Continuing Approval Desk Review - Document & Records Submission Instructions** included in this handbook in **Appendix D**. Documents and records submitted to TEA for the **desk review** will not be returned to the EPP. It is important that EPP staff retain the original records as per the record retention policy.

## Example of Designated Candidate List:

Designated Candidate List					
Quality Leadership EPP (123456)					
Documents due at TEA by: <b>Monday, October 4, 2021 by 5:00 PM</b>					
Submit documents securely: Use this link to upload files <a href="https://tea.sharefile.com/r-r06a576e0bd38410ea337b9cf48dd69b6">https://tea.sharefile.com/r-r06a576e0bd38410ea337b9cf48dd69b6</a>					
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	CS EC-6	B. Smith	222222	OE	2018-2019
PB	Principal	J. Leader	111111	F	2019-2020

## The Desk Review Process

For the **desk review**, the review officially opens on the date identified in the **Notification Letter**. **Desk Reviews** take approximately six weeks to complete. During this window, the review team will review documents, record evidence, and populate the rubric. After the first review, the assigned Review Education 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 Review Education 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. A draft report containing **Next Steps** will be sent electronically to EPP staff prior to the final conference call. The assigned Review Education 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 additional curriculum documents are needed 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 reviewed using self-reported information on the Status Report.

## **Continuing Approval Virtual On-Site Review (Information for EPPs reviewed in a virtual on-site review format)**

The virtual on-site review is a hybrid review process between an on-site and a desk review. During a virtual on-site review, EPP's can expect a detailed audit evaluating the nine components of the Continuing Approval Review and thorough communication from TEA staff utilizing synchronous digital platforms (e.g., Microsoft Teams). Though TEA staff will not be visiting the EPP on-site, the EPP can expect your assigned Review Education Specialist to be readily available, to communicate frequently, and to meet with the EPP staff throughout the review process.

### **Document & Records Submission Instructions**

Instructions for [Document & Record Submission](#) for virtual on-site reviews are the same as for a desk review. This information is explained on page 11 under Continuing Approval Desk Review. Documents and records must be received by noon on the Monday of review week to allow TEA staff to process documents for a Tuesday morning start.

### **Candidate Records**

Instructions for [Candidate Records](#) for virtual on-site reviews are the same for a desk review. This information is explained on pages 12-13 under Continuing Approval Desk Review.

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

The TEA assigned Review Education Specialist will consult with the EPP on the specific agenda for the **virtual on-site review** and will prepare and email a final copy of the agenda to the EPP prior to the review start date. The EPP can expect TEA staff to begin the **virtual on-site review** between 8:00-9:00 am on the first day (usually a Tuesday morning) and close by the close of business on the last day (usually a Thursday). The agenda will reflect the 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 for the week and a brief overview of the review process. 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 additional documentation that may be needed for the next review day. All meetings will be conducted using synchronous digital platforms (e.g., Microsoft Teams). EPP staff will need to provide the Review Education Specialist with a list of EPP staff names and emails for those who will participate in meetings with TEA throughout the review week. This will allow TEA staff to virtually invite EPP staff to the scheduled meetings. This contact list is due to the Review Education Specialist prior to the start of the review as part of the finalized agenda.

### **The Review**

For the **virtual on-site review**, the review officially opens on the date identified in the **Notification Letter**. The duration of the review is three days. The time may depend on the organization and availability of records and relevant documents or the type of review. Once the **virtual on-site review** begins, TEA staff reviews documents, records evidence, and populates the standardized rubric. After the review window closes and the closing session is concluded, no additional documentation will be accepted for review.

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

An EPP staff member should be available throughout the review to assist the TEA review team with retrieving documents, accessing records, and reaching out to other EPP staff that the review team may need to interview (i.e., certification officer, teaching faculty, technology staff, or other). Prior to the start of the **virtual on-site review**, TEA will provide an on-call schedule where the EPP will identify staff members to be “**on-call**” during the review. EPP staff “**on-call**” during the review should be readily available during the designated “**on-call**” windows. TEA will initiate contact with “**on-call**” staff during the **virtual on-site review** as needed.

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 and TEC.

## **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 virtual on-site review**, the assigned Review Education Specialist will review the findings in a closing session with the EPP staff. For **desk reviews and virtual on-site reviews**, the closing session is via conference call or a synchronous digital platform. 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 Board 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 and TEC.

Once a plan is in place to address the action items, EPP staff will be expected to follow up with the assigned Review Education Specialist with evidence that all identified action items in the **Compliance Plan** or the **Next Steps** have been resolved by the identified resolution date.

### **Continuing Approval Review Report**

An official report will be prepared and emailed to the EPP within approximately two (2) to four (4) weeks after the close of the review. In some instances, the preparation of the report may take longer. After the EPP Legal Authority receives the report, he or 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 Review Education 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 for **desk reviews** and, for **virtual on-site reviews**, will be itemized in a **Compliance Plan**. Evidence that the identified items have been corrected must be submitted to the assigned Review Education Specialist by the agreed-upon dates. 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 Review Education Specialist at TEA by the identified deadline.

### Sample Section from Compliance Plan Document for Virtual On-Site Reviews:

Compliance Plan 2021–2022				
Program EPP Name:			County/District Code:	
TEA Compliance Discrepancy to be Addressed (Insert TAC and descriptor)	EPP Idea(s) for Improvement	EPP Implementation Date	EPP Contact Person	Evidence of Completion (Submit to TEA)
Governance <a href="#">19 TAC §228.20</a>				
Admission <a href="#">19 TAC §227.10</a>				
Curriculum <a href="#">19 TAC §228.30</a>				

### Sample Section from Next Steps Document for Desk Reviews:

2021-2022 Next Step Plan					
EPP Name:			County District Number:		
The Next Step items listed below are due to TEA by Date. Upload through ShareFile Link *Any folders uploaded in ShareFile must be zipped/compressed prior to upload.					
TEA Compliance Discrepancy to be Addressed (Insert TAC & Descriptor)	Certification Class	Description of Submission	Submitted? (EPP Use) Y/N	Submitted? (TEA Use) Y/N & Date	Approved/ Denied
Component 1: Governance <a href="#">19 TAC §228.20</a>					
Component 2: Admission <a href="#">19 TAC §227.10</a>					
Component 3: Curriculum <a href="#">19 TAC §228.30</a>					

## 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."

# Appendix A



TEXAS EDUCATION AGENCY  
**Division of Educator Preparation, Certification, & Enforcement**  
**Educator Preparation Program Fee Form**  
**For Virtual On-Site Visits**

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
	\$4,500.00 /

Please send this form with a money order or check made payable to **TEA-EPP** prior to services being rendered. **Payment for virtual on-site Continuing Reviews for 2021-2022 is expected at TEA between September 1 - September 30, 2021.**

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

## Guidance for Educator Preparation Programs (EPPs) to Pay Continuing Approval Review Fees to TEA Electronically

This document contains instructions for EPPs and prospective EPPs to make electronic payments to TEA for the fees for continuing approval reviews conducted on-site at the EPP. **This process should NOT be used to pay annual ASEP Technology fees. You will receive separate guidance for how to pay annual ASEP Technology fees when invoiced for that fee.**

Per [19 TAC §229.9](#), the following fees are required for continuing approval reviews:

- (1) **Five-year continuing approval review site visit--\$4,500.**
- (2) **Discretionary continuing approval review site visit--\$4,500.**

### Step 1: Pay the Fee Electronically

**Contact the assigned Review Education Specialist for electronic payment information.**

When making an electronic payment, the following information **MUST** be included in the addendum record.

Identify who the payment is from:

- ✓ Customer or Remitter name

Identify the reason for the payment:

- ✓ EPP Name
- ✓ County District Number
- ✓ Application Type or “Continuing Approval Review” (“CAR”)

There are 80 characters in this field so modify the information as necessary to convey the same meaning with fewer characters.

### Step 2: Notify TEA of the Electronic Payment

EPP staff or Accounting Dept staff **MUST** notify TEA of the payment by submitting a [Help Desk](#) ticket via the Preparation Programs tile verifying:

- ✓ EPP name
- ✓ Application
- ✓ Date of Payment

For questions about this process, please contact the department of Educator Preparation at the Texas Education Agency using the Preparation Programs tile in the [Help Desk](#).

## Appendix C

## Education Specialist Contact List

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

**Vanessa Alba**

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

512-463-6282

Education Specialist

**Lorrie Ayers**

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

512-936-2166

Education Specialist

**Emily Carrizalez**

[Emily.carrizalez@tea.texas.gov](mailto:Emily.carrizalez@tea.texas.gov)

512-463-9820

Education Specialist

**Angela Von Hatten**

[Angela.vonhatten@tea.texas.gov](mailto:Angela.vonhatten@tea.texas.gov)

512-936-8264

Education Specialist

## Appendix D



## Continuing Approval Desk Review Document & Records Submission Instructions 2021-2022

\*\*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 (5) 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) using the following method:

- (1) electronically submitted via TEA’s secure Share File link.

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 the 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 2021-2022 will include all information within the time frame September 1, 2021 - August 31, 2022.
3. For the records review, TEA has pre-selected candidates from the EPP records in ECOS. When information and records are requested for “Designated Candidates,” the EPP shall send information **ONLY** for these pre-selected candidates via secure file transfer. 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

Candidate information and records must be submitted via secure electronic transmission.

### Submit documents via Share File link:

1. Use the unique 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 Review Education Specialist that the files have been uploaded into the shared folder.

Designated Candidate List  
Quality Leadership EPP (123456)

Documents due at TEA by: **Monday, October 4, 2021 by 5:00 PM**

Submit documents securely: Use this link to upload files <https://tea.sharefile.com/r-r06a576e0bd38410ea337b9cf48d69b6> 

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	CSEC-6	B. Smith	222222	OE	2018-2019
PB	Principal	J. Leader	111111	F	2019-2020

**Note:** Folders uploaded via the Share File link must be zipped/compressed prior to upload.

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 Review date identified in the **Notification Letter**.

## 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  
Quality Leadership EPP (123456)

Documents due at TEA by: **Monday, October 4, 2021 by 5:00 PM**

Submit documents securely: Use this link to upload files <https://tea.sharefile.com/r-r06a576e0bd38410ea337b9cf48dd69b6>

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	CS EC-6	B. Smith	222222	OE	2018-2019
PB	Principal	J. Leader	111111	F	2019-2020

### 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 evaluated using the information provided in the Status Report.

#### 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.” It is acceptable to scan all admission documents for a candidate into one document labeled with the candidate identifier.

See [Figure: 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 virtual on-site reviews, it will be evaluated virtually. 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)**

Label a Document in this Folder: C4\_ Document Name

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:

C4\_UndergradDegreePlan

Label a Candidate Record in this Folder: C4\_First Initial.Last Name.TEA ID #

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

C4\_B.Smith.0000000

Documents & Records to Submit for Component 4-Training:

For each “Designated Candidate,” submit the following (it is acceptable to scan all documents into one file for each candidate labeled with the candidate identifier):

- Completed tracking document that provides evidence that candidates completed the required coursework hours
- Completed logs, reflections, and other related documents as evidence that each candidate has completed the 30 hours of FBE (Designated Teacher Candidates ONLY)
- Evidence that each “Designated Candidate” was assigned a mentor/cooperating teacher/site supervisor (provide the name of mentor/cooperating teacher/site supervisor for each candidate).
- 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.

- 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.”
- Evidence that each mentor/cooperating teacher/site supervisor completed the training. If the district provided mentor /cooperating teacher/site supervisor training, submit a certificate of completion for each mentor/cooperating teacher/site supervisor.
- Evidence that each Field Supervisor assigned to the “Designated Candidates” meets the qualification requirements in 19 TAC §228.2(16).
- A copy of the presentation, manual, or other training material used to train field supervisors.
- Evidence that each Field Supervisor completed EPP training.
- Evidence that each field supervisor attended the TEA-approved field supervisor training.
- 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.
- Documentation of preparation, experience, and/or licensure required for certification for each of the “Designated Candidates” that are seeking teacher certification in an area that requires licensure and work experience
- The formal observations completed by the Field Supervisors for each of the “Designated Candidates.” 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.
- Evidence to show informal and ongoing candidate support by Field Supervisors for each of the “Designated Candidates.”
- 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 of the “Designated Candidates.”
- Evidence that TEA approved the placement for each candidate completing clinical teaching, internship, or practicum outside of Texas (identified in Item #25 of the Status Report),
- Evidence to verify the assignment was completed as approved, including observation documents for each candidate completing clinical teaching, internship, or practicum outside of Texas

See [Figure 19 TAC §228.10\(b\)\(1\)](#) for acceptable evidentiary documents.

**Component 5: Assessment & Evaluation of Candidates and Program (Label File: C5\_ Program Benchmarks)**

Label a Document in this Folder: C5\_Document Name

Example: To submit a document that contains feedback collected from cooperating teachers for program improvement, you might label the document:

C5\_CoopTeacherSurvey

Label a Candidate Record in this Folder: C5\_First Initial.Last Name.TEA ID #

Example: To submit the completed benchmarking document for a candidate, you might label the document:

C5\_B.Smith.0000000

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.
- ⇒ Submit a copy of the document used to verify candidates have met benchmarks established by the program (one document for each program).
- ⇒ 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 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\_StaffECO

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 the 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 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 the 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 the 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 a copy of the official transcript for 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:

- ⇒ 2019-2020
- ⇒ 2020-2021
- ⇒ 2021-2022