



2021–2022 Continuing Approval Review Report Region 6 Education Service Center

Purpose

Texas Education Agency (TEA) Education Specialist, Vanessa Alba, conducted a five-year Continuing Approval Review of the educator preparation program (EPP) at the Region 6 Education Service Center (ESC) from January 31, 2022, thru February 25, 2022. Per 19 Texas Administrative Code (TAC) §228.10(b), "...An entity approved by the SBEC under this chapter shall be reviewed at least once every five years...". Mr. Michael Holland, Executive Director, was identified as the program's Legal Authority, and Dr. Jennifer Graves and Ms. Jada Mullins were identified as the primary EPP contacts for the review process. The Region 6 ESC was approved as an EPP on June 1, 1991. At the time of the review, the EPP was rated Not Rated: Declared State of Disaster. The risk level was Stage 2 (medium). The EPP reported 27 finishers for the 2019-2020 reporting year and 23 finishers for 2020-2021.

At the time of the review, the Region 6 ESC was approved to certify candidates in the following classes: Teacher, Principal, and Superintendent. The EPP is approved to offer the alternative certification program (ACP) route to certification.

Per 19 TAC §228.1(c), "all educator preparation programs are subject to the same standards of accountability, as required under Chapter 229 of this title." The TEA administers TAC required by the Texas legislature for the regulation of all EPPs in the state. (See the complete [TAC](#) for details.) The five-year Continuing Approval Review was conducted in a "Desk Review" format where EPP staff submitted requested documents to TEA for review.

The scope of this review included: 1) verifying compliance with Texas Administrative Code and Texas Education Code as applicable to all certification classes in all certification routes offered by the EPP; and 2) developing a plan for improvement based on review data, performance indicators identified in 19 TAC §229.4, and self-reported EPP information provided in the Status Report. Next Steps were developed to address plans for quality improvement. Evidence of compliance was measured using a rubric aligned to TAC.

EPP staff participating in the review at various stages were Dr. Jennifer Graves, Ms. Jada Mullins, Mr. Michael Daniel, and Mr. Steve Pierce.

Data Analysis

Information concerning compliance with TAC governing EPPs was collected by a variety of means. A Status Report and related program documents were submitted to TEA on January 13, 2022. Additional EPP documents, including records for 11 candidates, were submitted on January 27, 2022. Qualitative and quantitative methodologies of content analysis, cross-referencing, and triangulation of the data was used to evaluate the evidence.

Findings, Compliance Issues, and Recommendations

"Findings" indicate evidence collected during the review process. If the program is "not in compliance" with any identified component, the program should consult the TAC and correct the issue immediately.



A “Compliance Plan” or “Next Steps” may be drafted during the review that identifies compliance issues to be addressed and a timeline for completion. “Recommendations” are suggestions for general program improvement and no follow-up is required.

Component I: Governance – 19 TAC Chapter 228

Findings

- TEA relied on self-reported information contained within the Status Report to determine compliance with the Governance requirements in Chapter 228.
- The preparation of educators shall be a collaborative effort among public schools accredited by the Texas Education Agency (TEA) and/or TEA-recognized private schools; regional education service centers; institutions of higher education; and/or business and community interests. The ESC 6 Advisory Committee membership includes five members, including two from institutions of higher education (IHE), one from a school district, and two representing Teacher content areas from ESC 6. Advisory Committee meeting minutes, the agenda, and electronic verification of attendance at a virtual meeting were provided as evidence for the meeting held on December 14, 2021, noting members present. It was noted that retired ESC 12 Executive Director, Tom Morris, will be overseeing the Superintendent Program and Ms. Jada Mullins will oversee the Principal Program as a result of the recent retirement of Mr. Joe Martin, the previous EPP Director. The program met the requirement as prescribed. [19 TAC §228.20(b)]
- An advisory committee shall assist in the design, delivery, evaluation, and major policy decisions of the EPP. The advisory committee meeting minutes reflected that the Advisory Committee membership assisted in the design, delivery, evaluation, and major policy decisions of the EPP. It was noted that the Teacher Program at ESC 6 will be closing effective 8/31/2022 and there was discussion around that topic. The program met the requirement as prescribed. [19 TAC §228.20(b)]
- The approved EPP shall inform each member of the Advisory Committee of the roles and responsibilities of the Advisory Committee. The program submitted a meeting PowerPoint presentation, but that presentation did not include any training on membership responsibilities and there was no evidence that members had been trained. The program did not meet the requirement as prescribed. [19 TAC §228.20(b)]
- The Advisory Committee shall meet a minimum of once per year. The EPP self-reported that the Advisory Committee does not meet as required. The program submitted an Advisory Committee PowerPoint dated December 6, 2021, and minutes dated December 14, 2021. While there was a discrepancy in the dates on the two documents, the evidence only represented one meeting held in the 2021-2022 academic year. The program did not meet the requirement as prescribed. [19 TAC §228.20(b)]
- The governing body has provided sufficient support and resources for the ESC 6 programs. The EPP former Director’s participation during the pre-audit process and the current Director’s participation in all aspects of the review served as evidence of compliance. The program met the requirement as prescribed. [19 TAC §228.20(c)]



- ESC 6 has a published calendar of activities for its Principal and Superintendent programs. Evidence in the form of a calendar was found on the website. The program met the requirement as prescribed. [19 TAC §228.20(g)]
- ESC 6 submitted the Status Report for the EPP Review on January 13, 2022, one day ahead of the due date, and met the requirement as prescribed. [19 TAC §228.10(b)(1)]
- ESC 6 has met the requirements to offer clinical teaching. The application is on file with TEA. The program was approved in 2003, but it is noted that the EPP is closing its Teacher Program effective August 31, 2022. The program met the requirement as prescribed. [19 TAC §228.10(c)]
- ESC 6 has decided to voluntarily close its Teacher Program effective August 31, 2022, in lieu of EPP review. The EPP has notified TEA in writing and has contacted the Teacher candidates. The only candidates left in the EPP Teacher Program are those completing spring clinical teaching and those completing their yearlong internship and all candidates remaining are expected to meet all requirements for standard certification by August 31, 2022. The program met the requirement as prescribed. [19 TAC §228.15(a)]
- All EPPs shall have a published exit policy for dismissal of candidates that is reviewed and signed by candidates upon admission. ESC 6 provided its exit policy but did not provide evidence that each admitted candidate received a copy and signed it upon admission. The program did not meet the requirement as prescribed. [19 TAC §228.20(h)]

Compliance Issues to be Addressed (see Next Steps)

- 19 TAC §228.20(b) Advisory Committee Training & Advisory Committee Meeting Frequency
The approved EPP shall inform each member of the advisory committee of the roles and responsibilities of the advisory committee and shall meet a minimum of once during each academic year.
Action: Train Advisory committee members each year. Require the Advisory Committee to meet once per academic year, from 9/1-8/31. Retain evidence of training for auditing purposes. Retain agendas, minutes, and the attendee roster with signatures of members present for auditing purposes.
- 19 TAC §228.20(h) Exit Policy
All EPPs shall have a published exit policy for dismissal of candidates that is reviewed and signed by candidates upon admission.
Action: Publish the EPP exit policy. Require that candidates review and sign that policy upon admission.

Recommendations

- Utilize the TEA Advisory Committee PowerPoint to ensure that the membership has been trained.

Based on the evidence presented, the Region 6 ESC was not in compliance with 19 TAC Chapter 228 – Governance of Educator Preparation Programs.



Component II: Admission - 19 TAC Chapter 227

Findings

- ESC 6 has informed applicants and candidates about the required information regarding criminal history. The information was found within the applications for the Principal and Superintendent programs for the ten files reviewed. It was also found in the one Teacher file reviewed for admission purposes only. The program met the requirement as prescribed. [19 TAC §227.1(b), (d)]
- EPPs shall inform all applicants, in writing, of the following: (1) the admission requirements; (2) the requirements for program completion; and (3) in accordance with TEC, §21.044(g): (A) the effect of supply and demand forces on the educator workforce in this state; and (B) the performance over time of the EPP for the past five years. ESC 6 provided evidence as follows:
 - Admission requirements, completion requirements, and the effects of supply & demand are all posted on the website for all programs.
 - The EPP posted its Status Report for the 2021-2022 EPP Review and was advised that is not what is meant by the EPP performance over time for the past five years. TEA provided guidance about what should be published regarding the EPP performance over time. Items that meet the requirement are EPP Review Reports, TEA accreditation ratings, and links to the EPP's data dashboard on the TEA website.

The program met all requirements as prescribed, except for the EPP performance over time for the past five years. [19 TAC §227.1(c)(1-3)]

- A total of 11 files were reviewed to verify admission requirements were met. They included five alternative certification program (ACP) Principal files, five (ACP) Superintendent files, and one ACP Teacher file that was reviewed for admission requirements only. All files met the required institution of higher education (IHE) degree requirements. All ten Principal and Superintendent files contained official transcripts noting a master's degree conferred. The Teacher file also contained official transcripts reflecting a master's degree conferred. The program met the requirement as prescribed. [19 TAC §227.10(a)(1-2); 19 TAC §241.5; 19 TAC §242.5]
- Candidates have met the minimum GPA requirement for admission. The Teacher GPA was above 2.5. The non-teacher Principal GPA range was 3.38-3.68 and the Superintendent GPA range was 2.93-3.68. The program met the requirement as prescribed. [19 TAC §227.10(a)(3)(A)]
- Teacher applicants are required to demonstrate content knowledge prior to admission by having 12 hours in the content area for which they are admitted, 15 hours if the content area is math or science at grade 7 or above, or pass a pre-admission content test (TX PACT) prior to admission. The transcript reviewed reflected 24-semester hours. The EPP used a transcript evaluation to identify content hours. The program met the requirement as prescribed. [19 TAC §227.10(a)(4)]
- Non-teacher applicants must meet the minimum certification and degree requirements prior to admission. If an applicant has not met the minimum certification, degree, and/or experience requirement(s) for issuance of a standard certificate prior to admission, the EPP shall inform the applicant in writing of any deficiency prior to admission. Three out of five (60%) of the Principal files reviewed contained evidence that all requirements were met. They had a valid Teacher certificate, a service record with at least two years of creditable years of experience as a classroom teacher as determined by the service records submitted for review, and a master's



degree at the time of admission. There were two Principal files reviewed that had deficiencies regarding certification and experience. The areas of deficiency were a valid Teacher certificate and two years of creditable teaching experience as a classroom teacher. The first file contained a service record with no years of service as a teacher. The 2nd file reviewed contained no evidence of a service record at all. All five Superintendent files reviewed met the certification, degree, and experience requirements. Each had a valid Principal certificate and a master's degree at the time of admission. The program did not meet the requirement as prescribed for the Principal Program but did meet the requirement for the Superintendent Program. [19 TAC §227.10(a)(5)]

- Applicants must demonstrate basic skills prior to admission. All 11 candidates were admitted based on a master's degree conferred. The program met the requirement as prescribed. [19 TAC §227.10(a)(6)]
- All applicants must demonstrate proficiency in English language skills prior to admission. The ten Principal and Superintendent candidates admitted met the requirement with a degree from an accredited IHE in the United States. The one Teacher candidate held a bachelor's degree from Greece and a master's degree from Canada and the transcript evaluation was provided as evidence. The service used was SDR Educational Consultants. A test of English as a Foreign Language (TOEFL) was not required because the master's degree was in English from Canada. The program met the requirement as prescribed. [19 TAC §227.10(a)(7); 19 TAC §227.10(f)]
- An applicant must submit an application. All 11 files reviewed contained evidence of a completed application. The program met the requirement as prescribed. [19 TAC §227.10(a)(8)]
- An applicant must participate in either an interview or other screening instrument to determine if the EPP applicant's knowledge, experience, skills, and aptitude are appropriate for the certification sought. Principal and Superintendent applicants require two or more screens. All candidate files reviewed, except one Principal candidate file, contained evidence of an interview scored on a rubric with a cut score. The second screen required of Principals and Superintendents was a professional recommendation scored on a rubric with a cut score based on attributes of leadership. All ten files contained evidence of that screen. The program met the requirement as prescribed. [19 TAC §227.10(a)(8); 19 TAC §241.5; 19 TAC §242.5]
- An EPP may adopt requirements in addition to and not in conflict with those required in this section. The program requires a FERPA and a Fitness for Duty Disclaimer to be signed by the candidate and EPP. All ten Principal and Superintendent files reviewed contained evidence of a signed FERPA and Fitness for Duty Disclaimer. The Teacher file only contained evidence of the FERPA disclaimer. The program met the requirement as prescribed. [19 TAC §227.10(b)]
- For an applicant to be formally admitted to an EPP, the EPP must notify the applicant of the offer of formal admission in writing by mail, personal delivery, facsimile, email, or an electronic notification and the applicant must accept the offer of formal admission in writing by mail, personal delivery, facsimile, email, or electronic notification. The effective date of formal admission was included in the offer of formal admission. All 11 files reviewed contained a written formal offer of admission with the effective date of admission identified. A separate applicant acceptance document signed by the applicant accepting the offer was also required and found in the 11 files reviewed. The program met the requirement as prescribed. [19 TAC §227.17(d)]



- An EPP must notify the Texas Education Agency (TEA) within seven calendar days of a candidate's formal admission. Of the five Principal files reviewed, the program notified TEA within seven days for three out of five (60%) files reviewed. Of the five Superintendent files reviewed, the program notified TEA within seven days for four out of five (80%) files reviewed. The program notified TEA within seven days for the Teacher file reviewed. The program met the requirement for the Superintendent and Teacher programs, but not for the Principal program. [19 TAC §227.17(e)]
- Prior to formal admission, a program shall not provide coursework, training, or test approval. All 11 candidate files reviewed contained evidence that the candidates did not begin coursework, training, or provided with test approval until after they were formally admitted. The program met the requirement as prescribed. [19 TAC §227.17(f)]
- The overall grade point average (GPA) of each incoming class admitted between September 1 and August 31 of each year by an educator preparation program (EPP), including an alternative certification program, may not be less than 3.00 on a four-point scale or the equivalent. The overall incoming GPA for ESC 6 as last reported on the TEA website on December 2, 2019, was 3.26. The program met the requirement as prescribed. [19 TAC §227.19(a)]

Compliance Issues to be Addressed (see Next Steps)

- 19 TAC §227.10(c)(3)(B) Notifications: EPP and Program Information
EPPs shall inform all applicants, in writing, of the performance over time of the EPP for the past five years.
Action: Inform all applicants and candidates of the EPP performance over time for the past five years. Do not post your EPP Review Status Report on the website. It contains confidential candidate information that is not appropriate for posting. Examples of EPP Performance over time are Accreditation Notices, EPP Review Reports, and links to ESC 6 data on the TEA Data Dashboard.
- 19 TAC §227.17(e) Formal Admission: 7-Day Notice of Admission
An EPP must notify the Texas Education Agency within seven calendar days of a candidate's formal admission.
Action: Notify TEA within seven-calendar days of each Principal candidate's formal admission.
- 19 TAC §227.10(a)(5) Principal Admission Requirements: Deficiency
If an applicant has not met the minimum certification, degree, and/or experience requirement(s) for issuance of a standard certificate prior to admission, the EPP shall inform the applicant in writing of any deficiency prior to admission.
Action: Require the following of all Principal applicants at admission: Service records; Official transcripts; Teaching certificate; and Written deficiency letter (as applicable). Retain the evidence in each candidate file for auditing purposes.

Recommendations

- Consider a stronger 2nd screen for Principal and Superintendent applicants, such as an in-basket that illustrates that an applicant has the knowledge and skills required for the certificate sought.



Based on the evidence presented, Region 6 ESC is not in compliance with 19 TAC Chapter 227 - Admission Criteria.

Component III: Curriculum – 19 TAC §228.30

Findings

- TEA relied on self-reported information contained within the Status Report to determine compliance with curriculum requirements.
- The educator standards adopted by the State Board of Educator Certification (SBEC) shall be the curricular basis for educator preparation. TEA reviewed the Superintendent program curriculum. Because the program opted to close the Teacher Program effective August 31, 2022, in lieu of a review, TEA did not review for TEKS alignment. TEA found that the Superintendent program consists of 20 courses and a test preparation course based on the Superintendent standards alignment chart submitted for review. However, the Scope & Sequence submitted for review identified more than 20 courses and a test preparation course. TEA found that some, but not all Superintendent coursework was standards-based. It mostly consisted of professional development. The program did not meet the requirement as prescribed. [19 TAC §228.30(a)]
- The curriculum for each EPP program shall rely on scientifically-based research to ensure educator effectiveness. Per information contained within the Status Report, the EPP relies on the work of Bambrick & Santoyo for the Principal Program. The EPP cited various books for the Superintendent Program within the Scope & Sequence documents submitted for review, including *Who Moved my Cheese* by Spencer Johnson, MD. Reading various books does not constitute scientifically-based research and did not meet the requirements. The program met the requirement as prescribed for the Principal Program, but did not for the Superintendent Program. [19 TAC §228.30(b)]
- The following subject matter shall be included in the curriculum for candidates seeking initial certification in any certification class:
 - The code of ethics is taught to Principal candidates within an online ethics course for school leaders. Superintendent candidates take a Team of 8 training to meet the ethics training requirement. The program met the requirement as prescribed. [19 TAC §228.30(c)(1)(A-C)]
 - Instruction in the detection and education of students with dyslexia, as indicated in the Texas Education Code (TEC), §21.044(b) is provided to Principal candidates through Region 4 ESC through online modules. The instruction is provided to Superintendent candidates by a district Dyslexia Specialist, which is not an approved provider. The training requirement was also not identified on the Scope & Sequence or the alignment chart submitted for the program. The program met the requirement as prescribed for the Principal Program, but not for the Superintendent Program. [19 TAC §228.30(c)(2)]
 - Instruction regarding mental health, substance abuse, and youth suicide, as indicated in the TEC, §21.044(c-1) is taught to Principal candidates through Mental Health First Aid and Texas Behavior Support Initiative (TBSI) training. Mental Health training was not identified in the Status Report or on the Scope & Sequence provided for the



Superintendent Program. The program met the requirement as prescribed for the Principal Program, but not for the Superintendent Program. [19 TAC §228.30(c)(3)]

- The skills that educators are required to possess, the responsibilities that educators are required to accept, and the high expectations for students in this state is taught to Principal and Superintendent candidates in an Orientation course. The program met the requirement as prescribed. [19 TAC §228.30(c)(4)]
- The importance of building strong classroom management skills is taught to Principal candidates in TBSI training. TBSI training was also identified for Superintendent candidates in the Status Report but was not identified as taught to Superintendent candidates in the Scope & Sequence. The program met the requirement as prescribed for the Principal Program, but not for the Superintendent Program. [19 TAC §228.30(c)(5)]
- The framework in this state for teacher and principal evaluation was identified as taught to Principal and Superintendent candidates through T-TESS and AEL material. However, it was not identified for the Superintendent Program in the alignment chart but was identified as taught within the Scope & Sequence. The program met the requirement as prescribed for the Principal Program, but not for the Superintendent Program. [19 TAC §228.30(c)(6)]
- Appropriate relationships, boundaries, and communications between educators and students is taught to Principal candidates in the online ethics training for school leaders and the Team of 8 training for Superintendent candidates. The program met the requirement as prescribed. [19 TAC §228.30(c)(7)]
- Instruction in digital learning, including a digital literacy evaluation followed by a prescribed digital learning curriculum is not currently taught to candidates as self-reported in the Status Report. The program identified that beginning in 2021-2022, the required instruction will be provided through an Information Literacy online course. The program did not meet the requirement as prescribed. [19 TAC §228.30(c)(8)]
- For candidates seeking certification in the principal certification class, the curriculum shall include the skills and competencies captured in the Texas administrator standards, as indicated in [19 TAC Chapter 149, Subchapter BB](#). The program was recently approved to offer the Principal as Instructional Leader (PIL) certificate and was required to submit standards alignment charts and performance-based assessments & associated rubrics to meet requirements. The program met the requirement as prescribed. [19 TAC §228.30§228.30(e)]

Compliance Issues to be Addressed (see Next Steps)

- 19 TAC §228.30(a) Standards-based curriculum
The educator standards adopted by the State Board for Educator Certification shall be the curricular basis for all educator preparation.
Action: Require the superintendent program to be based on the Superintendent Standards found in [19 TAC §242.15](#).



- 19 TAC §228.30(b) Research-Based Curriculum
The curriculum for each educator preparation program shall rely on scientifically based research to ensure educator effectiveness.
Action: Revise the curriculum used by the Superintendent Program to be based on research.
- 19 TAC §228.30(c)(2) Dyslexia Instruction
Instruction in the detection and education of students with dyslexia, as indicated in the Texas Education Code (TEC), §21.044(b).
Action: Require that Superintendent candidates receive instruction in dyslexia as prescribed in Texas Education Code (TEC) 21.044.
- 19 TAC §228.30(c)(3) Mental Health Instruction
Instruction regarding mental health, substance abuse, and youth suicide, as indicated in the TEC, §21.044(c-1).
Action: Require that Superintendent candidates receive instruction in Mental Health from an approved provider as prescribed.
- 19 TAC §228.30(c)(5) Classroom Management Skills
The importance of building strong classroom management skills.
Action: Require that Superintendent candidates receive instruction in the importance of building strong classroom management skills as prescribed.
- 19 TAC §228.30(c)(6) Teacher & Principal Evaluation Framework
The framework in this state for teacher & principal evaluation.
Action: Require that Superintendent candidates receive instruction in the framework for teacher & principal evaluation.
- 19 TAC §228.30(c)(8) Digital Literacy
Instruction in digital learning, including a digital literacy evaluation followed by a prescribed digital learning curriculum.
Action: Require that Principal and Superintendent candidates receive instruction in digital literacy as prescribed. The instruction required must:
 - (A) be aligned with the latest version of the [International Society for Technology in Education's \(ISTE\) standards](#) as appears on the ISTE website;
 - (B) provide effective, evidence-based strategies to determine a person's degree of digital literacy; and
 - (C) include resources to address any deficiencies identified by the digital literacy evaluation.

Recommendations

- None

Based on the evidence presented, Region 6 ESC is not in compliance with 19 TAC §228.30-Curriculum.



Component IV: Coursework, Training, Program Delivery, and Ongoing Support – 19 TAC §228.35

Findings

- An educator preparation program (EPP) shall provide coursework and/or training to adequately prepare candidates for educator certification and ensure the educator is effective in the classroom. The coursework and/or training shall be sustained, rigorous, intensive, interactive, and performance-based. ESC 6 provided a cohort training calendar and candidate transcripts for the Principal Program identifying 200 clock hours of standards-based coursework as evidence. The program provided a course schedule for each Superintendent candidate, but it included a lot of professional development (PD) that is independently completed online and was not necessarily coursework. While the Status Report identified that the EPP provides Superintendent candidates with adequate preparation and training that is sustained, rigorous, and interactive, the actual documentation provided for the candidates did not support what was stated in the Status Report. The program met the requirement as prescribed for the Principal Program, but not for the Superintendent program. [19 TAC §228.35(a)(1-2)]
- Two Principal and two Superintendent candidates reached the point of standard certification. Program benchmarks, the schedule of courses/modules completed, and transcripts of coursework completed for each candidate served as evidence. The program met the requirement as prescribed. [19 TAC §228.35(a)(3)]
- Each EPP must develop and implement specific criteria and procedures that allow military service members or military veteran candidates to credit verified military service, training, or education toward the training, education, work experience, or related requirements (other than certification examinations) for educator certification requirements, provided that the military service, training, or education is directly related to the certificate being sought. Each EPP must also develop and implement specific criteria and procedures that allow candidates who are not military service members or military veterans to substitute prior or ongoing service, training, or education, provided that the experience, education, or training is not also counted as a part of the internship, clinical teaching, or practicum requirements, was provided by an approved EPP or an accredited institution of higher education within the past five years and is directly related to the certificate being sought. ESC 6 did not provide evidence of a policy that meets requirements. The program did not meet the requirement as prescribed. [19 TAC §228.35(a)(5)(A-B)]
- Coursework and training that is offered online must meet, or the EPP must be making progress toward meeting, criteria set for accreditation, quality assurance, and/or compliance with one or more of the following: Accreditation or Certification by the Distance Education Accrediting Commission (DEAC) or Program Design and Teaching Support Certification by Quality Matters (QM). ESC 6 offers some coursework online in its programs. The program did not provide evidence that it is accredited or in process of seeking accreditation from one of the identified entities. The program did not meet the requirement as prescribed. [19 TAC §228.35(a)(6)(A-B)]
- Candidates in the non-teacher class of certification are required to earn 200 clock hours of coursework and training that is aligned to the standards required for the certificate sought. Principal candidates receive 200 clock-hours of coursework and training. Evidence was found in



the benchmark documentation that tracked candidate coursework completion for the five Principal files reviewed. TEA was unable to verify the total hours Superintendent candidates receive. The EPP provided certificates of completion for various ESC trainings, reflections, and book reviews, but there were no specific hours assigned. The Superintendent Scope & Sequence courses listed did not align to the 20 courses plus one test prep course required as identified on the alignment chart submitted for review. The program met the requirement for the Principal Program as prescribed, but did not meet the requirement for the Superintendent Program. [19 TAC §228.35(c)]

- For certification in a class other than classroom teacher, each EPP shall provide a practicum for a minimum of 160 clock-hours. The program provided insufficient evidence that any of the five Principal or five Superintendent candidates completed a 160-clock-hour practicum that met requirements. For the Principal program, the practicum logs did not identify clock hours completed but did identify the project that was to be completed and reflections. For the Superintendent Program, the practicum logs did not identify hours completed but did include reflections/summaries of practicum activities completed. Both sets of practicums were standards-based. The program did not meet the requirement as prescribed. [19 TAC §228.35(e)(8)]
- A candidate must demonstrate proficiency in each of the educator standards for the certificate class being sought. For the Principal Program, the EPP provided candidate observation documents with overarching standards identified and no levels of proficiency noted for the five candidates that reached the point of practicum and field supervision. For the Superintendent Program, the EPP submitted a Superintendent observation template with no evidence of levels of proficiency noted. Five Superintendent candidates reached the point of practicum and field supervision. The program did not meet the requirement as prescribed. [19 TAC §228.35(e)(8)]
- A practicum experience must take place in an actual school setting rather than a distance learning lab or virtual school setting. The five Principal candidates were placed in public or charter schools per the observation documentation provided for review. The five Superintendent candidates were placed in public school districts per the observation documentation provided for review. The program met the requirement as prescribed. [19 TAC §228.35(e)(8)(A)]
- A practicum shall not take place in a setting where the candidate has an administrative role over the site supervisor or is related to the field supervisor or site supervisor. All five Principal and five Superintendent candidates had no administrative role over the site supervisor or were related to the site supervisor. The site supervisor assigned documentation served as evidence. The program met the requirement as prescribed. [19 TAC §228.35(e)(8)(B)]
- A practicum is successful when the field supervisor and the site supervisor recommend to the EPP that the candidate should be recommended for a standard certificate. If either the field supervisor or site supervisor does not recommend, the person who does not recommend the candidate must provide documentation supporting the lack of recommendation. There was no evidence provided that the field supervisor and site supervisor recommended to the EPP that the candidates should be standard certified for the two Principal or two Superintendent candidates that were standard certified. The program did not meet the requirement as prescribed. [19 TAC §228.35(e)(8)(D)]



- An EPP shall collaborate with the campus or district administrator to assign each candidate a site supervisor during the candidate's practicum. All five Principal and five Superintendent candidates were assigned a site supervisor. Candidate placement information identifying the site supervisor assigned served as evidence for each candidate reviewed. The program met the requirement as prescribed. [19 TAC §228.35(f)]
- The site supervisor for a practicum candidate is an educator who has at least three years of experience in the aspect(s) of the certification class being pursued by the candidate; who is currently certified in the certification class in which the practicum candidate is seeking certification; and who is an accomplished educator as shown by student learning. The only evidence of qualifications provided for site supervisors assigned to four out of five Principal candidates and five Superintendent candidates was a valid Principal or Superintendent certificate, as applicable. One of the site supervisors assigned to a Principal candidate only had a Teacher certificate. TEA was unable to verify if each site supervisor met all requirements for qualifications. The program did not meet the requirement as prescribed. [19 TAC §228.2(33)]
- If an individual who meets the certification category and/or experience criteria for a site supervisor is not available, the EPP and campus or district administrator shall assign an individual who most closely meets the criteria and document the reason for selecting an individual that does not meet the criteria. One Principal candidate was assigned to a site supervisor that only held a valid teacher certificate. The program and campus/district did not provide evidence of documentation for the reason for selecting the site supervisor that did not meet the criteria. The program did not meet the requirement as prescribed. [19 TAC §228.35(f)]
- The EPP is responsible for providing site supervisor training that relies on scientifically-based research, but the program may allow the training to be provided by a school, district, or regional education service center if properly documented. The training must include training in how to coach and mentor candidates and must be completed within three weeks of being assigned to the practicum candidate. There was not any evidence of site supervisor training within three weeks for any of the site supervisors assigned to the five Principal or five Superintendent candidates. The program did not meet the requirement as prescribed. [19 TAC §228.35(f); 19 TAC §228.2(33)]
- Supervision of each candidate shall be conducted with the structured guidance and regular ongoing support of an experienced educator who serves as a field supervisor. All five Principal and five Superintendent candidates were assigned a field supervisor. Candidate placement information noting the field supervisor assigned served as evidence. The program met the requirement as prescribed. [19 TAC §228.35(h)]
- Field supervisors are required to hold credentials appropriate for the candidates supervised. A field supervisor is a currently certified educator, who preferably has advanced credentials, and shall have at least three years of experience and current certification in the class in which supervision is provided. A field supervisor shall be an accomplished educator as shown by student learning. The only qualification provided for the field supervisors assigned to the five Principal and five Superintendent candidates was a valid Principal or Superintendent certificate, as applicable. The program did not meet the requirement as prescribed. [19 TAC §228.2(18)]
- A field supervisor shall not be employed by the same school where the candidate being supervised is completing his or her practicum. A site supervisor assigned as required by 19 TAC



§228.35(f) may not also serve as a candidate's field supervisor. All field supervisors assigned to the Principal and Superintendent candidates were not employed at the same school as the candidate and were not also the candidate's site supervisor. Candidate placement information showing the candidate placement and field supervisor assigned served as evidence for each candidate reviewed. The program met the requirement as prescribed. [19 TAC §228.2(18)]

- All field supervisors must be trained as a field supervisor. Supervision provided on or after September 1, 2017, must be provided by a field supervisor who has completed TEA-approved observation training. All field supervisors assigned to the five Principal and five Superintendent candidates received statewide field supervisor training through ESC 6. Dated training certificates served as evidence for each. There was no evidence provided that field supervisors received local training. The program did not meet the requirement as prescribed. [19 TAC §228.35(h)]
- For certification in a certification class other than classroom teacher, the initial contact, which may be made by telephone, email, or other electronic communication, with the assigned candidate must occur within the first quarter of the assignment. There was no initial contact found as required for any of the five Principal or five Superintendent candidates. The program did not meet the requirement as prescribed. [19 TAC §228.35(h)]
- For each formal observation, the field supervisor shall participate in an individualized pre-observation conference with the candidate and provide written feedback through an individualized, synchronous, and interactive post-observation conference with the candidate. Neither the pre-observation conference nor the post-observation conference needs to be onsite. For the five Principal files reviewed, only a post-observation conference was recorded. For the five Superintendent files reviewed, both pre- and post-observation conferences were recorded. The program met the requirement as prescribed for the Superintendent Program, but did not for the Principal Program. [19 TAC §228.35(h)]
- For each formal observation, the field supervisor shall document educational practices observed. Observation documents provided for the five Principal files reviewed contained written evidence of educational practices observed. For the Superintendent Program, only the observation instrument template was provided for review. It contained eight overarching standards and "look-fors" but did not have defined levels of proficiency noted. TEA was not able to determine if the observation instrument was used for any of the five Superintendent candidates whose files were reviewed. The actual documentation that was provided was a summary of dated meetings held between field supervisors and candidates. The program met the requirement as prescribed for the Principal Program, but did not for the Superintendent Program. [19 TAC §228.35(h)]
- For certification in a certification class other than classroom teacher, for each formal observation, the field supervisor shall provide a copy of the written feedback to the candidate's site supervisor. The documentation provide regarding written feedback was inconsistent for all Principal and Superintendent candidate observation documents. Some candidates had an email document that everyone received the written feedback, but most did not. The program did not meet the requirement as prescribed. [19 TAC §228.35(h)]
- Informal observations and coaching shall be provided by the field supervisor as appropriate. There was no evidence of informal observations and coaching provided by each field supervisor



assigned to the candidate supervised. Five Principal and five Superintendent files were reviewed. The program did not meet the requirement as prescribed. [19 TAC §228.35(h)]

- The field supervisor shall collaborate with the candidate and site supervisor throughout the practicum experience. There was no evidence of collaboration found in the five Principal and five Superintendent candidate files reviewed. The program did not meet the requirement as prescribed. [19 TAC §228.35(h)]
- Formal observations must be at least 135 minutes in duration in total throughout the practicum and must be conducted by the field supervisor. A formal observation that is not conducted on the candidates' site in a face-to-face setting must include a pre- and post-conference. If a formal observation is not conducted on the candidate's site in a face-to-face setting, the formal observation may be provided by the use of electronic transmission or other video or technology-based method. Regardless of the type of certificate held by a candidate during a practicum, an EPP must provide a minimum of one formal observation within the first third of the practicum, one formal observation within the second third of the practicum, and one formal observation within the final third of the practicum. TEA found that the Principal Program was not requiring observations to be 135 minutes in duration. TEA found that one candidate had one observation that was 45 minutes in duration. One candidate had two observations with one being 45 minutes in duration and the other being 50 minutes in duration. This candidate completed the requirement at the beginning of the pandemic and at that time it was acceptable if candidates did not meet the complete observation requirements because schools were closed. Another candidate had three observations, with one being 50 minutes in duration, one being 15 minutes in duration, and one being 45 minutes in duration. The remaining two candidates have not yet started in the field supervision portion of the practicum and had no observations. For the Superintendent Program, TEA found that actual observation documents were not provided. What was provided was documentation of conferences called observations between the field supervisor and the candidate. Three candidates had four observations/conferences that exceeded 135 minutes, one had one observation/conference and was in process of completing requirements, and the final candidate file reviewed was standard certified without having any formal observations by a field supervisor. For the candidates that had documentation, what was provided was summaries of conversations between field supervisors and candidates and that was what was being used as observation documents. The program did not meet the requirement as prescribed. [19 TAC §228.35(h)(1-3)]

Compliance Issues to be Addressed (see Next Steps)

- 19 TAC §228.35(a)(1-2) Coursework & Training: Adequate Preparation and Quality of Coursework
An educator preparation program (EPP) shall provide coursework and/or training to adequately prepare candidates for educator certification and ensure the educator is effective in the classroom. Coursework and/or training shall be sustained, rigorous, intensive, interactive, candidate-focused, and performance-based.
Action: Update coursework provided to all Superintendent candidates so that it is rigorous, intensive, interactive, candidate-focused, and performance-based.



- 19 TAC §228.35(a)(5)(A) Prior Coursework Policy-Military and Non-Military
Each EPP must develop and implement specific criteria and procedures that allow:
 - (A) military service member or military veteran candidates to credit verified military service, training, or education toward the training, education, work experience, or related requirements (other than certification examinations) for educator certification requirements, provided that the military service, training, or education is directly related to the certificate being sought; and
 - (B) candidates who are not military service members or military veterans to substitute prior or ongoing service, training, or education, provided that the experience, education, or training is not also counted as a part of the internship, clinical teaching, or practicum requirements, was provided by an approved EPP or an accredited institution of higher education within the past five years and is directly related to the certificate being sought.Action: Develop and implement a policy for prior coursework for military and non-military candidates.

- 19 TAC §228.35(a)(6) Coursework & Training: Quality of Online Coursework
Coursework and training that is offered online must meet, or the EPP must be making progress toward meeting, criteria set for accreditation, quality assurance, and/or compliance with one or more of the following:
 - (A) Accreditation or Certification by the [Distance Education Accrediting Commission \(DEAC\)](#); or
 - (B) Program Design and Teaching Support Certification by [Quality Matters \(QM\)](#).Action: Become QM or DEAC accredited for online coursework provided by ESC 6. Accreditation takes 3 years. By the time of the next EPP Review, ESC 6 should have full accreditation and be working toward recertification. Retain evidence of accreditation for auditing purposes.

- 19 TAC §228.35(c) Coursework Hours: Required Hours-Non-Teacher
Coursework and/or training for candidates seeking initial certification in a certification class other than classroom teacher. An EPP shall provide coursework and/or training to ensure that the educator is effective in the assignment. An EPP shall provide a candidate with a minimum of 200 clock hours of coursework and/or training that is directly aligned to the educator standards for the applicable certification class.
Action: Update the coursework so that Superintendent candidates complete at least 200 clock-hrs. of standards-based coursework and training as required for certification.

- 19 TAC §228.35(e)(8)(D) Skills Implementation: Non-Teacher Practicum
For certification in a class other than classroom teacher, each EPP shall provide a practicum for a minimum of 160 clock-hours.
Action: Require all candidates to complete a 160 clock-hr. practicum. Consider utilizing a consistent form for candidates to log practicum hours and identify standards in the practicum. Retain evidence of the practicum completed in each candidate file for auditing purposes.



- 19 TAC §228.35(e)(8) Skills Implementation: Candidate Proficiency in Practicum
A candidate must demonstrate proficiency in each of the educator standards for the certificate class being sought.
Action: Require that all candidates demonstrate proficiency in the Principal and Superintendent standards, as applicable.
- 19 TAC §228.35(e)(8)(D) Skills Implementation: Successful Practicum
A practicum is successful when the field supervisor and the site supervisor recommend to the EPP that the candidate should be recommended for a standard certificate. If either the field supervisor or site supervisor does not recommend, the person who does not recommend the candidate must provide documentation supporting the lack of recommendation.
Action: Require each field supervisor and site supervisor assigned to each Principal or Superintendent candidate to recommend to the EPP that the candidate should be recommended for standard certification. For 'do not recommend' (if applicable) require: Written documentation provided to the candidate; and Written documentation provided to the field supervisor; or Written documentation provided to the campus site supervisor.
- 19 TAC §228.2(33) Campus Supervision: Qualifications of Site Supervisors
Site supervisor--For a practicum candidate, an educator who has at least three years of experience in the aspect(s) of the certification class being pursued by the candidate; who is currently certified in the certification class in which the practicum candidate is seeking certification; and who is an accomplished educator as shown by student learning.
Action: Require all site supervisors assigned to candidates to be qualified as prescribed. Retain evidence of qualifications in each candidate file. Consider using a form provided/signed by the district Human Resources (HR) staff that identifies the qualifications of the site supervisor. Retain as evidence in each candidate file.
- 19 TAC §228.35(f) Campus Supervision: Qualified Site Supervisors (Principal Program)
If an individual who meets the certification category and/or experience criteria for a site supervisor is not available, the EPP and campus or district administrator shall assign an individual who most closely meets the criteria and document the reason for selecting an individual that does not meet the criteria.
Action: When assigning site supervisors who are not qualified, provide written documentation of the reason for selecting an individual that does not meet the criteria. Retain the documentation in the candidate file for auditing purposes.
- 19 TAC §228.35(f) & 19 TAC §228.2(33) Campus Supervision: Training Site Supervisors within 3-weeks
The EPP is responsible for providing mentor, cooperating teacher, and/or site supervisor training that relies on scientifically-based research, but the program may allow the training to be provided by a school, district, or regional education service center if properly documented. The site supervisor who has completed training by the EPP, including training in how to coach and



mentor candidates, who has completed training by the EPP, within three weeks of being assigned to a practicum candidate.

Action: Require all site supervisors to be trained within 3 weeks of being assigned to a candidate. Retain evidence of training, such as a dated sign-in sheet signed by the site supervisor that indicates training was received. Retain evidence of training in each candidate file for auditing purposes.

- **19 TAC §228.2(18) Field Supervision: Field Supervisor Qualifications**
Field supervisors held the required credentials appropriate for the candidate(s) supervised. Field supervisor--A currently certified educator, who preferably has advanced credentials, shall have at least three years of experience and current certification in the class in which supervision is provided. A field supervisor shall be an accomplished educator as shown by student learning. If an individual is not currently certified, an individual must hold at least a master's degree in the academic area or field related to the certification class for which supervision is being provided and comply with the same number, content, and type of continuing professional education requirements described in 19 TAC §232.11, §232.13, and §232.15.
Action: Require all FS assigned to candidates to be qualified as prescribed. Retain evidence of qualifications in each candidate file for auditing purposes.
- **19 TAC §228.35 (h) Field Supervision: Field Supervisor Training**
...who has been trained as a field supervisor. Supervision provided on or after September 1, 2017, must be provided by a field supervisor who has completed TEA-approved observation training.
Action: Require Local Training of all field supervisors. The purpose of local training is to norm FS on observation instruments used and to ensure that the FS follow processes for field supervision as outlined in [19 TAC §228.35\(h\)\(1-3\)](#). Include in the local FS training, the requirement of a pre-observation conference and an interactive post-observation conference. Include in the training how the EPP wants field supervisors to document all requirements for field supervision and ongoing support of candidates. Retain evidence of local EPP training in each candidate file for auditing purposes.
- **19 TAC §228.35(h) Field Supervision: Pre- and Post-Conferences (Principal Candidates)**
For each formal observation, the field supervisor shall participate in an individualized pre-observation conference with the candidate; provide written feedback through an individualized, synchronous, and interactive post-observation conference with the candidate; Neither the pre-observation conference nor the post-observation conference needs to be onsite.
Action: Require a pre- and post-observation conference as prescribed. Include in local field supervisor training, the requirements for the pre-observation conference and the interactive post-observation conference with written feedback provided to each candidate at each formal observation.



- **19 TAC §228.35(h) Field Supervision: Educational Practices Observed and Written Feedback**
For each formal observation, the field supervisor shall document educational practices observed; for certification in a certification class other than classroom teacher. For each formal observation, the field supervisor shall provide a copy of the written feedback to the candidate's site supervisor.
Action: Require FS assigned to candidates to document educational practices observed as required. Update the field supervision process to ensure that the site supervisor receives a copy of the observation instrument as required. The purpose of this is so the site supervisor will know how to focus the candidate's practicum work throughout the practicum. Train field supervisors in the requirement of documentation for each formal observation.
- **19 TAC §228.35(h) Field Supervision: Informal Observations & Ongoing Coaching**
Informal observations and coaching shall be provided by the field supervisor as appropriate.
Action: Require each field supervisor to provide informal observations and coaching to each candidate. Consider a specific form for each FS to document informal observations and coaching to each candidate. Provide as a part of local field supervisor training, how the EPP wants field supervisors to conduct and document informal observations and coaching for each candidate.
- **19 TAC §228.35(h) Field Supervision: Field Supervisor Collaboration**
The field supervisor shall collaborate with the candidate and site supervisor throughout the practicum experience.
Action: Require each field supervisor to collaborate with the candidate and site supervisor throughout the practicum experience. Include in the field supervisor training how the EPP expects the field supervisor to collaborate with the candidate and site supervisor throughout the practicum experience. Retain evidence of collaboration in each candidate file for auditing purposes.
- **19 TAC §228.35(h) Field Supervision: Practicum-Formal Observation Duration & Format**
Formal observations must be at least 135 minutes in duration in total throughout the practicum and must be conducted by the field supervisor. If a formal observation is not conducted on the candidate's site in a face-to-face setting, the formal observation may be provided by the use of electronic transmission or other video or technology-based method. A formal observation that is not conducted on the candidates' site in a face-to-face setting must include a pre- and post-conference.
Action: Require the field supervisor to conduct formal observations that are at a minimum of 135 min. across three observations in the first, second, and final 3rd of the practicum. Include in local field supervisor training expectations about conducting formal observations that meet requirements. Retain evidence of formal observations in each candidate file for auditing purposes.
- **19 TAC §228.35(h)(3) Field Supervision: Practicum-Observation Number & Frequency**
Regardless of the type of certificate held by a candidate during a practicum, an EPP must provide a minimum of one formal observation within the first third of the practicum, one formal



observation within the second third of the practicum, and one formal observation within the final third of the practicum.

Action: Require the FS to conduct formal observations that are at a minimum of 135 min. across three observations in the first, second, and third 3rd of the practicum. Include in local field supervisor training the expectations about conducting formal observations that meet requirements. Retain evidence of formal observations in each candidate file for auditing purposes.

Recommendations

- Consider having field supervisors assigned to Principal candidates use a T-PESS type observation instrument so that proficiency in the standards is captured.
- Consider a similar observation instrument for Superintendent candidates so that proficiency in the standards is captured.

Based on the evidence presented, the region 6 ESC is not in Compliance with 19 TAC §228.35 – Coursework, Training, Program Delivery, and On-Going Support.

Component V: Assessment and Evaluation of Candidates and EPP – 19 TAC §228.40

Findings

- To ensure that a candidate for educator certification is prepared to receive a standard certificate, the educator preparation program (EPP) shall establish benchmarks. Region 6 ESC has established benchmarks to measure candidate progress. All Principal and Superintendent files reviewed contained a benchmark document noting where the candidate was in the program. Coursework completed was noted on each benchmark document. A total of ten files were reviewed. The program met the requirement as prescribed. [19 TAC §228.40(a)]
- To ensure that a candidate for educator certification is prepared to receive a standard certificate, the educator preparation program (EPP) shall establish structured assessments of the candidate's progress throughout the EPP. Because TEA reviewed the Superintendent certificate, TEA requested a Superintendent candidate assessment and rubric as evidence. The program provided a Superintendent assessment that was based on tested competencies and not standards. There was not a rubric aligned to the assessment and levels of proficiency were not captured. The program was recently approved to offer the Principal as Instructional Leader (PIL) certificate in May 2019. For that certificate, the EPP was required to submit performance assessments and rubrics for each of the nine pillars. They are on file with TEA and were approved at that time. The program met the requirement as prescribed for the Principal Program but did not meet the requirement for the Superintendent Program. [19 TAC §228.40(a)]
- An EPP is responsible for ensuring that each candidate is adequately prepared to pass the appropriate content pedagogy examination(s) required for certification unless that content pedagogy test is used for admission purposes. An EPP shall determine the readiness of each candidate to take the appropriate certification examination of content, pedagogy, and professional responsibilities, including professional ethics and standards of conduct. An EPP shall



not grant test approval for a certification examination until a candidate has met all of the requirements for admission to the EPP and has been contingently or formally admitted into the EPP. Region 6 ESC provided the benchmark documents for the Principal and Superintendent candidates noting the date that the candidate was approved to test, as applicable. Each candidate was not granted test approval until formally admitted. Of the five Principal candidates reviewed, three have taken both exams, one has taken one exam, and one has not yet tested. Of the five Superintendent candidates reviewed, three have tested and passed on the first attempt, one has had an unsuccessful attempt and is currently eligible to test, and one has not yet tested. The program met the requirement as prescribed. [19 TAC §228.40(b); 19 TAC §228.40(d)]

- For the purposes of EPP improvement, an entity shall continuously evaluate the design and delivery of the EPP components based on performance data, scientifically-based research practices, and the results of internal and external feedback and assessments. In both the Principal and Superintendent Programs, evidence in the form of a blank program evaluation was found in all ten candidate files. There was no evidence that any evaluations were completed, compiled for the EPP, or shared with the Advisory Committee to make decisions about the program. The program also submitted an Advisory Committee PowerPoint (PPT) with evidence that data was shared with the Advisory Committee on 12/14/2021. The PPT included pass rates and complete information, but there was no evidence of an EPP evaluation or data used for the presentation. The program did not meet the requirement as prescribed. [19 TAC §228.40(e)]
- An EPP shall retain documents that evidence a candidate's eligibility for admission to the program and evidence of completion of all program requirements for a period of five years after a candidate completes, withdraws from, or is discharged or released from the program. All candidate records for the review served as evidence that the EPP retains records as required for a period of five years from admission to completion or withdrawal from the program for any reason. The program met the requirement as prescribed. [19 TAC §228.40(f)]

Compliance Issues to be Addressed (see Next Steps)

- 19 TAC §228.40(a) Candidate Assessment (Superintendent Program)
To ensure that a candidate for educator certification is prepared to receive a standard certificate, the educator preparation program (EPP) shall establish structured assessments of the candidate's progress throughout the EPP.
Action: Require the program to provide candidates with performance-based assessments throughout their program. Require the performance-based assessments to be based on the [19 TAC §242.15](#) standards for the certificate.
- 19 TAC §228.40(e) Program Evaluation
For the purposes of EPP improvement, an entity shall continuously evaluate the design and delivery of the EPP components based on performance data, scientifically-based research practices, and the results of internal and external feedback and assessments.
Action: Evaluate the design and delivery of the ESC 6 EPP components based on performance data, scientifically-based research practices, and the results of internal and external feedback and assessments. Utilize the data to make changes in the program as needed.



Recommendations

- None

Based on the evidence presented, the Region 6 ESC is not in compliance with 19 TAC §228.40 – Assessment and Evaluation of Candidates for Certification and Program Improvement.

Component VI: Professional Conduct - 19 TAC §228.50

Findings

19 TAC §228.50 requires that during the period of preparation, the educator preparation program shall ensure that the individuals preparing candidates and the candidates themselves understand and adhere to Chapter 247 of this title (relating to Educators' Code of Ethics).

- Each candidate adheres to the Texas Educator's Code of Ethics. Evidence, in the form of a Fitness for Duty document, signed and dated by each candidate at the time of admission. The document stated that they agreed and understood the Fitness for Duty requirement that referenced 19 TAC §247.2. The Fitness for Duty document only referenced the ECOE, but it was not the primary focus of the document. The program met the requirement as prescribed. [19 TAC §228.50; 19 TAC §247.2]
- All associated staff and field supervisors signed a Texas Educator's Code of Ethics. That document stating that each understood and would abide by the ECOE was provided for each as evidence of compliance. The program met the requirement as prescribed. [19 TAC §228.50; 19 TAC §247.2]

Compliance Issues to be Addressed

- None

Recommendations

- Be more deliberate in requiring a signed Educator Code of Ethics for candidates that specifically states that they know, understand, and will abide by it.

Based on the evidence presented, the Region 6 ESC is in compliance with 19 TAC §228.50 - Professional Conduct.

Component VII: Complaints Process – 19 TAC §228.70

Findings

- Per 19 TAC §228.70(b), the EPP complaints process that requires the EPP to respond in a timely manner is on file at TEA. [19 TAC §228.70(b)(1)]
- The EPP complaint policy is also posted on the website and contains information about how to file a complaint with TEA. The program provides the complaint policy in writing upon request as noted on the website. Individuals can download it as needed. The program met the requirement as prescribed. [19 TAC §228.70(b)(2) & (4)]



- The program did not provide evidence that the compliant policy was posted on-site. The program did not meet the requirement as prescribed. [19 TAC §228.70(b)(3)]

Compliance Issues to be Addressed (see Next Steps)

- 19 TAC §228.70(3) Complaints Process: Posted
The EPP shall post a notification at all of its physical site(s) used by employees and candidates, in a conspicuous location, information regarding filing a complaint with TEA staff in accordance with 19 TAC §228.70(c)(1).
Action: Require that the complaints process be posted at the ESC 6 physical site to anyone who requests to see it as prescribed.

Recommendations

- None

Based on the evidence presented, Region 6 ESC is not in compliance with 19 TAC §228.70 – Complaints Process.

Component VIII: Certification Procedures - 19 TAC Chapters 228 and 230

Findings

- To be eligible to receive the standard certificate, a candidate must hold, at a minimum, a master's degree from an accredited institution of higher education that at the time was accredited or otherwise approved by an accrediting organization recognized by the Texas Higher Education Coordinating Board. Five Principal and five Superintendent candidates all held master's degrees at the time of admission to the ACP that met requirements. Official transcripts served as evidence. The program met the requirement as prescribed. [19 TAC §241.20(2); 19 TAC §242.20(3)]
- To be eligible to receive the standard certificate, a Principal candidate must hold a valid classroom teaching certificate. All five Principal candidates held a valid teacher certificate. The EPP provided each as evidence and it is required at the time of admission. The program met the requirement as prescribed. [19 TAC §241.20(3)]
- To be eligible to receive the standard Superintendent Certificate, a candidate must hold, at a minimum, a principal certificate or the equivalent issued under this title or by another state or country or have at least three creditable years of managerial experience in a public school district. All five Superintendent candidates held a valid Principal certificate. The EPP provided each as evidence and it is required at the time of admission. The program met the requirement as prescribed. [19 TAC §242.20(4-5)]
- To be eligible to receive the standard certificate, a Principal candidate must have two creditable years of teaching experience as a classroom teacher, as defined in 19 TAC Chapter 153, Subchapter CC, (relating to Commissioner's Rules on Creditable Years of Service) and the Texas Education Code, §5.001(2). The program provided service records as evidence. Three candidates had a service record with four years of experience as a classroom teacher. One candidate had a service record with two years of experience, but not as a classroom teacher. The program was



reminded that the standard certificate cannot be issued until the candidate has completed two years of experience as a classroom teacher. For the last candidate, the service record was not provided and the program was reminded that the candidate cannot be standard certified until a service record is provided that shows that the candidate has two years of experience as a classroom teacher. Because the two Principal candidates that were standard certified met the requirement, the program met the requirement as prescribed. [19 TAC §241.20(4)]

- Two Principal and two Superintendent candidates were standard certified. Principal candidates must successfully complete a principal preparation program that meets the requirements of 19 TAC §241.10, §241.15, Chapter 227, and Chapter 228. Superintendent candidates must successfully complete a State Board for Educator Certification-approved superintendent preparation program. All files reviewed contained a benchmark record of EPP completion. The program met the requirements as prescribed. [19 TAC §241.20(5); 19 TAC §242.20(2)]

Compliance Issues to be Addressed

- None

Recommendations

- None

Based on the evidence presented, Region 6 ESC is in compliance with 19 TAC Chapters 228 and 230 – Certification Procedures.

Component IX: Integrity of Data Reported - 19 TAC Chapter 229

Findings

- All required EPP data for an academic year shall be submitted to the TEA staff annually by September 15 following the end of that academic year. Region 6 ESC has submitted ASEP reports within the timeline required by TEA. Any corrections that had to be made by the program were done within the timeline required by TEA for the 18-19 thru 20-21 academic years. The program met the requirement as prescribed. [19 TAC §229.3(f)(1) and Associated Graphic]
- All five Principal and five Superintendent candidate files contained a formal offer of admission date that corresponded to the date reported. The program met the requirement as prescribed. [19 TAC §229.3(f)(1)(3)]
- Three out of five Principal candidate files reviewed were uploaded as admitted within seven calendar days in the Accountability System for Educator Preparation (ASEP). The program was not accurately reporting candidate admissions. The program did not meet the requirement as prescribed. [19 TAC §229.3(f)(1)(3)]
- Three of the five Superintendent candidates were required to be uploaded as admitted within seven calendar days in the Accountability System for Educator Preparation (ASEP). The other two were admitted prior to the effective date of the requirement. Two out of three were reported within seven days as required. The program was not accurately reporting candidate admissions. The program did not meet the requirement as prescribed. [19 TAC §229.3(f)(1)(3)]



- Four out of five Principal and five Superintendent files reviewed contained an admission GPA that corresponded to the admission GPA reported to TEA during annual reporting for the year the candidate was admitted. The program met the requirement as prescribed. [19 TAC §229.3(f)(1)(9)]
- All five Principal and five Superintendent candidate files reviewed were correctly reported as other enrolled and finisher for each year they were in the program. The program met the requirement as prescribed. [19 TAC §229.3(f)(1)(4-5)]
- Two out of five Principal candidates were standard certified and had observations uploaded into the Educator Certification Online System (ECOS). Both sets of observations corresponded in terms of what the program had on file and what was reported. One candidate only had one observation totaling 45 minutes in duration. The other candidate only had two observations, but that candidate was field supervised during the pandemic. The program did not report the third candidate's observations because it was not required at the time the observations were completed. The fourth and fifth candidates have not yet begun the field supervision part of their program. The program did not meet the requirement as prescribed. [19 TAC §229.3(f)(1)(1)]
- Two Superintendent candidates were standard certified. Neither had observations reported in ECOS. One had observation documentation in the candidate records and the other did not. One was field supervised in the 2020-2021 academic year and the other was field supervised in 2016-2017, prior to the date that observations were required to be reported, and that candidate was standard certified in the 2021-2022 academic year. The other three candidates had observations completed, but none were reported. One candidate file contained evidence of a four-hour long conference. The second contained evidence of four observations that exceeded 135 minutes. The third candidate file contained evidence of five observations with no duration identified and that candidate completed field supervision prior to the time that observations were required to be reported. The program did not accurately report observations. The program did not meet the requirement as prescribed. [19 TAC §229.3(f)(1)(1)]

Compliance Issues to be Addressed (see Next Steps)

- 19 TAC §229.3(f)(1) and **Graphic Data Reported: Accurately**
EPPs shall provide data for all candidates as specified in the [Figure: 19 TAC §229.3\(f\)\(1\)](#)
Action: Report candidates as admitted within 7-days.
Require all observations to be 135 minutes across the practicum. As provided for the principal candidate, two observations were 45 min. and one was less, therefore total was not 135 min.
Upload all observations into the system. Implement a process that the EPP will upload observations at the end of each semester to ensure that all observations are uploaded.
Report all data accurately in ASEP and related candidate documentation.
Begin entering non-teacher observation data into ASEP beginning with the current academic year.

Recommendations

- None



Based on the evidence presented, Region 6 ESC is not in compliance with 19 TAC Chapter 229 – Integrity of Data Reported.

Recommendations and Advisement

- For Teacher preparation programs, the TExES exam #291 (Core Subjects EC-6) and #117 (ELAR 4-8) will no longer be available for testing effective January 1, 2022. Ensure that all Core Subjects EC-6 and ELAR 4-8 candidates at ESC 6 have completed all requirements and are recommended for standard certification by your 8/31/2022 teacher program closure date. Communicate these important deadlines to applicable current candidates and past finishers who are pending certification.
- Application A has changed – plan to review requirements to prepare for adding new certificate areas.
- Develop and implement more performance assessments in all programs. Evidence of performance assessments is a requirement for adding new certificates using the new Application A.
- Review all certificate areas that the EPP no longer plans to support and request, in writing, for TEA to remove them from inventory.
- Intern and Probationary certificate deactivation timelines and requirements have been updated in TAC. Changes include new timelines for requesting deactivations and information that must be provided to stakeholders in advance of internship start dates. Field supervisors will need to verify candidate placement information at the beginning of the assignment.

PROGRAM RECOMMENDATIONS FOR ALL EPPS

- To ensure continuity in record keeping and other related processes, consider creating a procedure manual documenting EPP processes.
- Align the verbiage of the program to the verbiage of the Texas Administrative Code (TAC) (ex. Field supervisor, cooperating teacher, mentor, candidate, etc.);
- Continue to follow the State Board for Educator Certification (SBEC) and the State Board of Education (SBOE) meetings and/or review the minutes to ensure that the program staff is knowledgeable about the current Texas Administrative Code;
- Continue to participate in training and webinars provided by the Division of Educator Preparation to ensure that the program staff is knowledgeable about current requirements and changes in the Texas Administrative Code;
- Continue to maintain communication with the program specialist assigned to the program.



- Ensure that TEA staff has the most current contact information by sending updates to the assigned program specialist.

SUMMARY

Next Steps were created collaboratively with the Region 6 EPP staff.

I, the legal authority for the Region 6 ESC, have reviewed the Report and agree that all required corrections will be made on or before June 26, 2022 by 5 PM CST.

Signature of Legal Authority

Date

Printed Name of Legal Authority

Date