



## **IIA Stage II: Submission Requirements for Proposed Educator Preparation Programs**

## IIA Stage II: Submission Requirements

The following 12 Eligibility Requirements apply only when an institution is in Stage II of the Initial Institutional Approval (IIA) process. Commission staff review all 12 criteria responses and make recommendations on Criteria 1-9 to the Commission. Staff reviews and summarizes Criteria 10-12 for the Commission but does not make recommendations. *The Commission will make a determination on all criteria and grant an institution one of the following: 1) Eligibility or 2) Deny eligibility.* Granting Eligibility authorizes the institution to move forward to Stage III of the IIA process. These Eligibility Requirements must include the submission requirements indicated in the charts that follow. The Eligibility Requirements responses must be submitted on a website.

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## Criteria 1-9

*In accordance with the Commission adopted process for determining eligibility for Initial Institutional Approval, Eligibility Criteria 1-9 includes a staff review and recommendation.*

### Criterion 1: Responsibility and Authority

Criterion 1	Submission Requirements
<p>The institution clearly identifies the lines of authority and responsibility for any and all educator preparation programs within the institution and provides assurance that only those person(s) employed by the program sponsor will recommend individuals to the Commission for a credential or authorization.</p>	<p>(a) Provide an <b>organizational chart(s) AND a corresponding narrative description</b>. The narrative description must include the following:</p> <ol style="list-style-type: none"> <li>1. <b>Identify the division(s)</b> within the institution that will be <b>responsible for the oversight of educator preparation programs</b>. (Include any parent organization, outside organization(s), or partner(s) that will be involved in the oversight of the educator preparation unit and/or responsible for program delivery). <i>Ensure that the organizational chart(s) depict lines of authority.</i></li> <li>2. <b>Identify the position</b> within the organizational structure that will be <b>responsible for ongoing oversight of all educator preparation programs offered</b> by the entity, including educator preparation programs offered by extension divisions, if applicable.</li> <li>3. <b>Identify the individual and position</b> within the organizational structure that will <b>coordinate each educator preparation program sponsored</b> by the entity. <i>Include a description of the reporting relationship between #1-3 above. If a reporting relationship will be indirect, describe the levels of authority and responsibility for each educator preparation program.</i></li> </ol> <p>(b) A statement of assurance <b>signed by the Unit Head</b> stating the following:</p> <ol style="list-style-type: none"> <li>1. Duties regarding credential recommendations will not be delegated to persons other than employees of the Commission-approved institution, and</li> <li>2. Those individuals identified as responsible for credential recommendations will participate in Commission training related to the recommendation process</li> </ol>

**Criterion 2: Lawful Practices**

<b>Criterion 2</b>	<b>Submission Requirements</b>
<p>A program of professional preparation must be proposed and operated by an entity that makes all personnel decisions regarding the employment, retention or promotion of employees without unlawful discrimination. The entity must make all decisions regarding the admission, retention, and graduation of students without unlawful discrimination.</p>	<p>(a) Provide a draft or copy of the institution’s <b>policies governing personnel decisions</b> including employment, retention, and promotion (e.g., employee handbook, recruiting materials, or other published personnel materials) that <b>include reference to an unlawful discrimination policy.</b></p> <p align="center"><b>AND</b></p> <p>(b) Provide a draft or copy of the institution’s <b>policies related to candidate admissions, retention, and graduation</b> (e.g., candidate handbook, website, or other materials) that <b>include reference to an unlawful discrimination policy.</b></p>

### Criterion 3: Commission Assurances and Compliance

Criterion 3	Submission Requirements
<p>The institution assures all of the following:</p> <p>a) That there will be compliance with all preconditions required for the initial program(s) the institution would like to propose (Institutions must respond to Initial Program Preconditions in Stage II of the IIA process and Program-Specific Preconditions in Stage IV).</p> <p>b) That all required reports to the Commission including but not limited to data reports and accreditation documents, will be submitted by the Commission approved entity for all educator preparation programs offered including extension divisions.</p> <p>c) That it will cooperate in an evaluation of the program by an external team or a monitoring of the program by a Commission staff member.</p> <p>d) That the sponsor will participate fully in the Commission’s accreditation system and adhere to submission timelines.</p> <p>e) That once a candidate is accepted and enrolled in the educator preparation program, the sponsor will offer the approved program, meeting the adopted standards, until the candidate:</p> <ol style="list-style-type: none"> <li>i. Completes the program;</li> <li>ii. Withdraws from the program;</li> <li>iii. Is dropped from the program;</li> <li>iv. Is admitted to another approved program to complete the requirements, with minimal disruption, for the authorization in the event the program closes. In this event, an individual transition plan would need to be developed with each candidate.</li> </ol>	<p>Provide a statement of assurance <b>signed by the Unit Head</b> stating that:</p> <p>(a) The institution will be in compliance at all times with all relevant preconditions for the initial program(s) being proposed <b>AND</b></p> <p>(b) The institution will provide all required data reports, including but not limited to data reports and accreditation documents, for all proposed educator preparation program(s) <b>AND</b></p> <p>(c) The institution will cooperate in an evaluation of the program by an external team or monitoring of the program by Commission staff <b>AND</b></p> <p>(d) The institution will participate fully in the accreditation system and adhere to submission timelines <b>AND</b></p> <p>(e) The institutional leadership understands that once a candidate is accepted and enrolled in the educator preparation program, the sponsor will offer the approved program, meeting the adopted standards, until the candidate:</p> <ol style="list-style-type: none"> <li>i. Completes the program;</li> <li>ii. Withdraws from the program;</li> <li>iii. Is dropped from the program;</li> <li>iv. Is admitted to another approved program to complete the requirements, with minimal disruption, for the authorization in the event the program closes. In this event, an individual transition plan would need to be developed with each candidate</li> </ol>

**Criterion 4: Requests for Data**

Criterion 4	Submission Requirements
<p>The institution must identify a qualified officer responsible for reporting and responding to all requests from the Commission within the specified timeframes for data including, but not limited to:</p> <ul style="list-style-type: none"> <li>• program enrollments</li> <li>• program completers</li> <li>• examination results</li> <li>• state and federal reporting</li> <li>• candidate competence</li> <li>• organizational effectiveness data</li> <li>• other data as indicated by the Commission</li> </ul>	<p>(a) Provide the name and title of the person responsible for reporting and responding to all requests from the Commission within the specified timeframes for data, including, but not limited to:</p> <ul style="list-style-type: none"> <li>• program enrollments</li> <li>• program completers</li> <li>• examination results</li> <li>• state and federal reporting</li> <li>• candidate competence</li> <li>• organizational effectiveness data</li> <li>• other data as indicated by the Commission</li> </ul> <p align="center"><b>AND</b></p> <p>(b) Provide an assurance statement <b>signed by the Unit Head</b> stating that the institution understands that it will be responsible for checking the contact information listed on the Commission’s approved programs page and that any necessary updates will be made on, at least, an annual basis</p>

**Criterion 5: Grievance Process**

Criterion 5	Submission Requirements
<p>The institution has a clearly identified grievance process for handling all candidate grievances in a fair and timely manner. The grievance process is readily accessible for all applicants and candidates and is shared with candidates early in their enrollment in the program.</p>	<p>(a) Provide a draft, copy, or link to the institution’s <b>grievance process</b> for candidates and applicants that is or will be easily accessible (e.g., link to where the grievance process is housed on the institution’s website)</p> <p align="center"><b>AND</b></p> <p>(b) Provide evidence that demonstrates how candidates will be informed of the existence of the grievance process early in their enrollment in the program (e.g., orientation materials or candidate handbook where it is clear that the grievance process will be discussed)</p>

**Criterion 6: Communication and Information**

Criterion 6	Submission Requirements
<p>The institution must provide a plan for communicating and informing the public about the institution and the educator preparation programs. The plan must demonstrate that:</p> <p>a) The institution will create and maintain a website that includes information about the institution and all approved educator preparation programs. The website must be easily accessible to the public and must not require login information (access codes/password) in order to obtain basic information about the institution’s programs and requirements as listed in (b).</p> <p>b) The institution will make public information about its mission, governance and administration, admission procedures, and information about all Commission approved educator preparation programs. Information will be made available through various means of communication including but not limited to website, institutional catalog, and admission material.</p>	<p>(a) Provide a draft website demonstrating how the institution plans to communicate and inform the public about the institution and the educator preparation program(s) it plans to offer. The draft website will provide:</p> <ul style="list-style-type: none"> <li>• Information about the institution and all approved educator preparation program(s) and</li> <li>• Information about the institution’s mission, governance and administration, admission procedures and requirements, course and fieldwork requirements, and completion requirements.</li> </ul> <p>(b) Provide an assurance <b>signed by the Unit Head</b> noting that:</p> <ul style="list-style-type: none"> <li>• Once approved, the institution will make the website accessible to the public so the public may obtain basic information about the institution’s programs and requirements</li> <li>• The website will not require login information such as access codes/password, etc.</li> <li>• The institution will make public information about its mission, governance and administration, admission procedures, and information about all Commission-approved educator preparation programs.</li> </ul> <p>(c) Provide drafts, copies, or other means of communication outside of the website that will inform the public of the institution’s mission, governance and administration, admission procedures, and information about all Commission-approved educator preparation programs (e.g., institutional catalog, admission materials, etc.).</p>

**Criterion 7: Student Records Management, Access, and Security**

<b>Criterion 7</b>	<b>Submission Requirements</b>
<p>The institution must demonstrate that it will maintain and retain student records. Institutions seeking Initial Institutional Approval will provide verification that:</p> <p>(a) Candidates will have access to and be provided with transcripts and/or other documents for the purpose of verifying academic units and program completion.</p> <p>(b) All candidate records will be maintained at the main institutional site or central location (paper or digital copies).</p> <p>(c) Records will be kept securely in locked cabinets or on a secure server located in a room not accessible by the public.</p>	<p>Provide a plan – and corresponding evidence if available – that verifies the following:</p> <p>(a) Candidates will have access to their transcripts and/or other documents for the purpose of verifying academic units and program completion</p> <p align="center"><b>AND</b></p> <p>(b) All candidate records will be maintained at the main institutional site or central location (paper or digital copies)</p> <p align="center"><b>AND</b></p> <p>(c) Records will be kept securely in locked cabinets or on a secure server located in a room not accessible by the public</p>

**Criterion 8: Disclosure**

<b>Criterion 8</b>	<b>Submission Requirements</b>
<p>Institutions must disclose information regarding:</p> <p>(a) The proposed delivery model (online, in person, hybrid, etc.)</p> <p>(b) All locations of the proposed educator preparation programs including satellite campuses.</p> <p>(c) Any outside organizations (those individuals not formally employed by the institution seeking IIA) that will be providing any direct educational services, and what those services will be, as all or part of the proposed programs.</p>	<p>(a) Identify <u>all</u> relevant proposed delivery model(s)</p> <p align="center"><b>AND</b></p> <p>(b) Provide a list of all locations of the proposed educator preparation program(s) including satellite campuses</p> <p align="center"><b>AND</b></p> <p>(c) Provide, <i>if applicable</i>, a list of any outside organization(s) that will be providing any direct educational services and what those services will be in relation to the proposed programs. <i>Outside organization(s) are not formally employed by the institution seeking IIA.</i></p>

**Criterion 9: Veracity in all Claims and Documentation Submitted**

<b>Criterion 9</b>	<b>Submission Requirements</b>
<p>The institution and its personnel demonstrate veracity in all statements and documentation submitted to the Commission. Evidence of a lack of veracity is cause for denial of Initial Institutional Approval.</p>	<p>Provide a statement of assurance <b>signed by the Unit Head</b> that includes the following language:</p> <ul style="list-style-type: none"> <li>• The institution affirms that all information provided to the Commission is truthful and accurate</li> <li>• The institution understands that evidence of a lack of veracity is cause for denial of Initial Institutional Approval</li> </ul>

## Criteria 10-12

*In accordance with the Commission approved process for determining eligibility for Initial Institutional Approval, Eligibility Criteria 10-12 include a staff summary of the institution’s submission, but do not include a staff recommendation.*

### Criterion 10: Mission and Vision

Criterion 10	Submission Requirements
<p>An institution’s mission and vision for educator preparation is consistent with California’s approach to educator preparation.</p> <p><i>*Note: A complete program design with significant detail included is not what is intended here as that will be submitted to ensure alignment with the Commission’s adopted program standards in Stage IV. Rather, the intent is to provide the Commission with sufficient information to ensure that the institution’s philosophy and approach about educator preparation is consistent with California’s.</i></p>	<p><b>Submission Requirements for <u>all</u> institutions seeking IIA:</b></p> <ul style="list-style-type: none"> <li>(a) Identify the specific educator preparation program(s) the institution will seek to offer</li> <li>(b) Provide the institution’s mission and vision for educator preparation that is consistent with California’s approach to educator preparation and confirms that the mission and vision will be published on the website and in institutional documentation provided to candidates</li> <li>(c) Provide information about how the mission and vision for educator preparation reflects the institution’s commitment to California’s adopted state standards and frameworks for TK-12 students</li> <li>(d) Provide information about the institution’s philosophical and/or theoretical framework or approach underlying the design of educator preparation. <i>This is not a description of the program design, which will be submitted when your institution responds to program standards in Stage IV. *Note</i></li> <li>(e) Provide information that demonstrates the institution’s commitment to preparing candidates who will work effectively with the full range of California TK-12 students</li> <li>(f) Provide any other relevant information the institution believes will allow the Commission to better understand the institution and its programs</li> </ul> <hr style="width: 20%; margin: 10px auto;"/> <p><b>Required Information for institutions <u>who already offer educator preparation programs</u> outside of the state of California:</b></p> <ul style="list-style-type: none"> <li>(g) Provide, if applicable, a description of the ways in which the proposed program for California would be similar or different from programs operated in another state(s)</li> </ul>

**Criterion 11: History of Prior Experience and Effectiveness in Educator Preparation**

Criterion 11	Submission Requirements
<p>Institutions seeking IIA must have sponsored an educator preparation program leading to licensure, or participated as a partner in any educator preparation programs, and/or programs focused on K-12 public education and provide history related to that experience.</p> <p>CTC staff will research available information about the institution relevant to the application for Initial Institutional Approval.</p> <p>Also, institutions must submit proof of third-party notification enlisting comments to be sent to: <a href="mailto:Input@ctc.ca.gov">Input@ctc.ca.gov</a></p>	<p><b><i>Submission Requirements for <u>all</u> institutions seeking IIA:</i></b></p> <p>(a) Provide history related to its prior experience preparing, training, and supporting educators within California or in other states</p> <p>(b) Provide evidence that the third-party notification enlisting comments to be sent to <a href="mailto:input@ctc.ca.gov">input@ctc.ca.gov</a> has been posted on institution’s website</p> <hr/> <p><b><i>Submission Requirements for institutions <u>who already offer educator preparation programs</u> outside of California:</i></b></p> <p>(c) Provide a list of all states and/or countries in which the institution is currently operating an educator preparation program and the status of the institution’s approval in each of those locations</p> <p>(d) Provide the most recent copy or report of the following:</p> <ul style="list-style-type: none"> <li>• Regional accreditation status</li> <li>• State-level educator preparation accreditation status for all states in which the institution is approved</li> </ul> <p>(e) Provide data from the most recent five years for the following:</p> <ul style="list-style-type: none"> <li>• Number of candidates enrolled in the institution’s program(s)</li> <li>• Number of educators who have completed program(s)</li> </ul> <p>(f) Provide any information available on employment rates for educators who have completed the institution’s program(s)</p> <p>(g) Provide evidence that the institution has fostered positive working relationships with educational partners in California in order to meet local educational needs. Provide the following:</p> <ul style="list-style-type: none"> <li>• History of collaboration with local education partners, <b>AND/OR</b></li> <li>• Information regarding how institution will work collaboratively with local education partners</li> </ul> <p>(h) Provide evidence that candidates have been satisfied with the following:</p> <ul style="list-style-type: none"> <li>• The institution’s educator preparation programs</li> <li>• The services provided by the institution</li> </ul>

**Criterion 12: Capacity and Resources**

Criterion 12	Submission Requirements
<p>An institution must submit a Capacity and Resources plan providing information about how it will sustain the educator preparation program(s) through a 2 – 4 year provisional approval (if granted) at a minimum. The institution must submit a plan to teach out candidates if, for some reason, the institution is unable to continue providing educator preparation program(s).</p>	<p><b><i>Submission Requirements for <u>all</u> institutions seeking IIA:</i></b></p> <ul style="list-style-type: none"> <li>(a) Provide a copy of the most recent audited budget for the <b>institution</b></li> <li>(b) Provide a proposed operational budget for the <b>educational unit</b></li> <li>(c) Provide information about instructional and support personnel for the educational unit who will be employed or will provide services to candidates in the first 2-3 years of the program’s operation. This information shall include, but not be limited to the following: <ul style="list-style-type: none"> <li>• Instructional personnel (e.g., director(s), program coordinator(s), etc.)</li> <li>• Number and type of faculty (e.g., full-time, part-time, adjunct, etc.)</li> <li>• Support providers and/or coaches</li> </ul> </li> <li>(d) Provide the criteria and/or minimum qualifications for each of the positions noted in element (c) above.</li> <li>(e) Provide evidence of TK-12 partnerships for the purposes of providing fieldwork</li> <li>(f) Provide information demonstrating sufficient facilities and/or digital learning platforms for candidates</li> <li>(g) Provide a plan to teach out candidates if, for some reason, the institution is unable to continue providing the proposed educator preparation program(s), including program closure</li> </ul> <hr/> <p><b><i>Submission Requirements for institutions <u>who already offer educator preparation programs</u> outside of California:</i></b></p> <ul style="list-style-type: none"> <li>(h) Provide all relevant information about how the instructional services will be delivered to candidates <ul style="list-style-type: none"> <li>• For instance, will faculty and instructional personnel be located in the institution’s home state (or any other state outside of California) and provide services via technology to California candidates?</li> </ul> </li> <li>(i) Provide all relevant information as to which educational services will be located outside of California <ul style="list-style-type: none"> <li>• For instance, if candidates receive financial aid services through the institution’s out-of-state offices, the institution must provide that information to the Commission.</li> </ul> </li> </ul>