

**(Enclosure to DepEd Order No. 83, s. 2012)**

**IMPLEMENTING GUIDELINES ON THE REVISED SBM FRAMEWORK,  
ASSESSMENT PROCESS, AND TOOL**

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## **IMPLEMENTING GUIDELINES ON THE REVISED SBM FRAMEWORK, ASSESSMENT PROCESS, AND TOOL**

### **A. BACKGROUND AND RATIONALE**

The implementation of the Governance of Basic Education Act of 2001 (RA 9155)<sup>1</sup> provided the mandate for decentralizing the system of school management and recognized the role of the Local Government Units and other stakeholders as partners in education service delivery. Consequently, the Department launched the Schools First Initiative<sup>2</sup> (SFI) in 2005 to empower the school and its community stakeholders to effectively address access and quality issues in basic education.

In 2006, a more comprehensive package of policy reforms dubbed as Basic Education Sector Reform Agenda<sup>3</sup> (BESRA) was launched to sustain and expand the gains of SFI through School-Based Management (SBM). Along with teacher education development, national learning strategies, quality assurance, monitoring and evaluation, and organizational development, SBM was identified as one of the key reform thrusts (KRTs) envisioned to effect improvements at the school level.

Hence, several enabling policies on SBM were formulated, including the establishment of School Governing Council (SGC); conduct of Assessment of Level of Practice; School Improvement Planning (SIP); and reporting of accomplishments through School Report Cards (SRCs)<sup>4</sup>. These policies were supported by a budget line item in the General Appropriations Act (GAA) for the installation of SBM in all public elementary and secondary schools.

These things helped lay the foundations for SBM models, emerging at the field level with varying degrees of stakeholder involvement.

Growing appreciation for SBM as the vehicle to institute reforms at the ground level is evidenced by the increase in number of schools with SIP; those receiving grants and MOOE on time; and those that conducted SBM assessment; systemic issues were noted in the operationalization of policies and guidelines at the field level and their understanding on how to make SBM work in terms of improving governance practice and achieving organizational effectiveness. Thus, for most of the implementers, SBM practice have not changed; they do things and it was seen as just another requirement by the Central Office which they need to comply with. The review mission reports<sup>5</sup> of development partners cite that in the schools visited, there is a very high level of community involvement and ownership of stakeholders in the schools implementing SBM as evidenced by their awareness of school concerns and in their contributions towards addressing them.

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<sup>1</sup> RA 9155, Governance of Basic Education, 2001.

<sup>2</sup> Schools First Initiative Primer, 2005.

<sup>3</sup> Program Implementation Plan, Basic Education Sector Reform Agenda, 2006.

<sup>4</sup> DepEd Memorandum No. 386, s. 2009 re: *Utilization of Manuals Relevant to School-Based Management*.

<sup>5</sup> Aide Memoire, 6<sup>th</sup> Review Mission, Annex 1a & 1b, SBM.

However, it was also noted that there were difficulties in the operationalization of policies and guidelines at the school level and in understanding on how to make SBM work in terms of improving governance practice and achieving organizational effectiveness of the schools.

Various reports showed specific evidences on the need to revisit policies relevant to SBM implementation.

**On School Improvement Planning.** The development of the SIP Manual<sup>6</sup> in 2009 helped accelerate the SBM implementation. Series of capability-building programs on SIP formulation<sup>7</sup> were conducted accordingly, to equip school heads with knowledge and skills in the preparation of data-driven SIPs. Subsequently, trainings on Appraisal and Monitoring & Evaluation (M&E) were conducted to strengthen capability of the Division Quality Management Team (DQMT), who will be tasked to appraise the quality and viability of SIPs<sup>8</sup>.

However, for certain schools, unrealistic targets and inappropriate strategies were seen in the SIPs. Too much focus was given on SIP templates, which is usually construed as a one-size-fits-all form overlooking the unique condition of their schools, the pupils/students they are providing with good learning environments, and the peculiar issues they are confronting.

Further field visits findings reveal that though most schools have SIPs, these were generally done for compliance rather than used as an aid for planning. For instance, plans and activities for INSET, health and nutrition, SBM grants projects were not reflected in most SIPs or in the Annual Improvement Plans (AIPs). Moreover, based on the consolidated reports, there are more schools with School Report Cards than School Improvement Plans, reflecting a disjointed implementation of these two SBM processes.

There were schools, however, which have successfully integrated and implemented such programs, projects, and activities effectively in addressing specific issues at the school level. These differing practices impel a strong need to revisit the implementing policies of SBM to ensure that these are effectively interpreted and utilized at the school level.

**On SBM Assessment.** The issuance of the SBM Assessment Manual<sup>9</sup> created more awareness on the part of stakeholders on what should be the practice of SBM. Though most of the schools who conducted the assessment are in Level 1, the effort to increase the intensity of the SBM practice is evident in the documents maintained per SBM dimension.

During school visits, field implementers lamented that the assessment has been reduced to “bean counting” that over-emphasizes the collection of prescribed

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<sup>6</sup> DepEd Memorandum No. 386, s. 2009 re: *Utilization of Manuals Relevant to School-Based Management*.

<sup>7</sup> DepEd Memorandum No. 259, s. 2010 re: *Seminar-Workshop on School Improvement Planning and Concomitant Financial Management Operations*.

<sup>8</sup> DepED Memorandum No. 424, s. 2010 re *Capability –Building Program on School Improvement Plan (SIP) Appraisal and Monitoring & Evaluation*.

<sup>9</sup> DepEd Memorandum No. 386, s. 2009 re: *Utilization of Manuals Relevant to School-Based Management*.

documentation, the compliance to some of which may not be within the control of the schools and are not reflective of a functional system of good practices. The focus was narrowed to complying with the documents in the SBM checklist leading to the accounting of quantitative scores only. Thus, practices that may be qualitatively different like behavior and attitude towards SBM implementation are precluded from the assessment, if not supported by documents.<sup>10</sup>

All these insights, drawn from the emerging models of SBM, point to the need for a new discourse on decentralizing school system from the perspective of 'differentiated practice'. Given the existing context of local participation and the need to engage deeper the stakeholders of education, practices on SBM may vary from one community to another as moderated by variables of leadership, resources, quality of relationships between DepEd officials and local community and the effectiveness of existing systems or platforms of engagements i.e. planning, human resource management and even project-based partnerships.

Moreover, the review also indicated the need to check the close-match between the guiding principles and the assessment system and tools. The resulting behaviors manifested after several years of implementation point to the need to revisit both the framework (that elaborates on the guiding principles) and the appraisal system of SBM. The systematic review further revealed that the strongest weakness in the SBM practice was seen in terms of how the school understands and uses the assessment process and how the assessment tool (indicators) were translated into "tangibles" largely because of its prescriptive form.

Finally, the demand for inclusive education has evolved the alternative concept of a "school", in which we managed learning without alienating diversity of learning practices and emphasizing the centrality of the learners in the total school operation. Hence, the needed paradigm shift in education governance, from being school-centered to becoming ACCESs (A Child- and Community-centered Education System) towards enhancing the principle of shared governance to support the stewardship of children's learning outcomes was conceptualized.

It is also imperative in the review and refinement of SBM to account for evidences of successful practices. Conclusive findings suggest that the reforms in education governance or any management systems must be linked tightly with the changes in curriculum and instruction. Thus, the inception of K to 12 must be integrated in the structure and processes of organizational change.

In a nutshell, it is along these views that SBM as a reform thrust has been revised and broadened:

- to better highlight the children/learner as the center of SBM practice;
- to encompass the diverse realities of learning contexts defined and uniquely occurring within specific geographic, social, cultural, economic, political, and environmental make-up of the contemporary society;

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<sup>10</sup> Aide Memoire, 8th Review Mission, September 2011

- to enhance commitment of education stakeholders at all levels to their responsibilities and accountabilities in realizing the education outcomes for children;
- to further promote shared governance between the school community,
- to integrate accreditation into SBM for a seamless assessment of a school system; and
- to improve the school system's capacity to be on track in achieving the EFA/Millennium Development Goals and sustain good performance.

In light of these developments and the need to respond to the clamor of field implementers, the Department through the SBM-TWG conducted series of consultation and validation activities to revise the SBM framework, assessment process, and assessment tool.

## **B. METHODOLOGY**

The SBM-TWG underwent series of planning and consultation activities to determine the procedure and approaches to be employed in revisiting the assessment tool. Foremost to the systematic review of the tool, is the revisiting of SBM framework and standards, taking into consideration all perennial issues confronting the entire implementation of SBM. Below are the activities undertaken to achieve this desired outcome:

**Step 1: Review of Issues in SBM implementation.** This is the review of all policy issuances to operationalize SBM and the Aide Memoire from the Review Mission Reports of World Bank containing findings on how these policies were implemented at the field level.

**Step 2: Focus-Group Discussion/Two-level Consultations on the SBM Framework, Standards and Assessment Tool.** This was conducted in two levels, *i.e.* *Level 1* has five regions with five (5) divisions each and *Level 2* has five divisions with eight (8) schools of different typologies, involving at least five stakeholders per school.

**Step 3: Content Validation of the SBM Framework, Standards and Assessment Tool (March 2012, Iloilo City).** The content validation engaged the SBM-TWG /Secretariat and selected field practitioners in the review and reformulation of framework (based on agreed principles) and the review of the assessment tool and processes based on feedback from FGDs.

Based on the consolidated findings and analysis of feedback, the group agreed that the key concepts, philosophies, and principles underlying SBM are as follows:

- a) it is progressive and developmental - from a state of immaturity to maturity, from a state of being nurtured to a state of being capable of nurturing, and from a state of uniformity to recognizing differentiated practices of governance and effectiveness ;
- b) it is decentralized - the school head or school authorities, in general, gradually share the power and control to other stakeholders; and
- c) it is self-empowered - there is increasing capacity for internal focus of control.

To operationalize these principles, the following should be in place: a) participatory management; b) empowered stakeholders; and c) schools managed by/for/of the school and the community.

**Step 4: Field Validation of the 1<sup>st</sup> Draft of the Revised SBM Assessment Tool conducted in eight (8) regions covering 16 divisions in approximately 120 schools of different typologies.** To ensure validity of results, the tool was tested in diverse school typologies. A psychometrician was hired to determine the instrument validity (content validation) and reliability through measurement validity (internal consistency using Cronbach's alpha), Split-haft reliability, and Inter-rater validity (Pearson's).

**Step 5: Joint SBM-IP Education and PASBE Writeshop in General Santos City, May 28-June 1, 2012.** This workshop was attended by the SBM-TWG, IP Education, and PASBE Core Groups, Regional and Assistant Regional Directors, Regional SBM Task Force Members, Regional PASBE and Quality Assurance and Accountability (QAA) Focal persons and selected Division SBM Task Force members from the field validation areas.

The writing workshop served as venue to launch the ACCESSs – **A Child- and Community – centered Education System.**

**Step 6: Operational Try-out of the Revised SBM Assessment Tool and the Implementing Guideline** conducted nationwide in geographical clusters in August 2012 attended by approximately 850 field practitioners.

### **C. ACCESSs and SBM: The Framework**

#### **Our Vision of Change:**

#### **A Child and Community-Centered Education Systems (ACCESSs):**

ACCESSs represents the vision of the Department of Education. It epitomizes the character and value of the institution that is successful in implementing the reform agenda in BESRA and realizing the desired future of education and education service delivery as conceptualized in RA9155.

The school system being the smallest unit of the Department serves as the focal target of the reform agenda and a venue for education stakeholders to rally together and forward the cause of Education for All.

ACCESSs is both a product and a process. As a product, it is the ultimate outcome of the communities/barangays working together to protect the right of every child for quality education and better life. As a process, it is an approach to effectively decentralize and bring to reality the mainstreaming of education as tool for human development and total community transformation.

In view of the SBM review and revision, ACCESSs served to clarify the guiding principles derived from the concepts of “rights-based” education and community as

“stewards or rights-bearer” in education. From these philosophical underpinnings, ACCESs espoused FOUR PRINCIPLES of a school system that guides the SBM processes. These are:

1. **Principle of Collective Leadership and Governance:** A network of leadership and governance guides the education system to achieve its shared vision, mission and goals making them responsive and relevant to the context of diverse environments.
2. **Principle of Community-Based Learning:** The curriculum and the learning systems anchored on the community and learners’ contexts and aspirations are collaboratively developed and continuously improved.
3. **Principle of Accountability for Performance and Results:** A clear, transparent, inclusive, and responsive accountability system is in place, collaboratively developed by the school community, which monitors performance and acts appropriately on gaps and gains.
4. **Principle of Convergence to Harness Resources for Education:** Resources are collectively organized, judiciously mobilized and managed with transparency, effectiveness, and efficiency to support targeted education outcome.

Along these four principles of an ACCESs school system, the SBM practice will evolve within the context of “differentiated practice” as created and affected by the variations in typology of schools, leadership quality and characteristics, resources of the community, diversity of learners and extent and depth of community involvement.

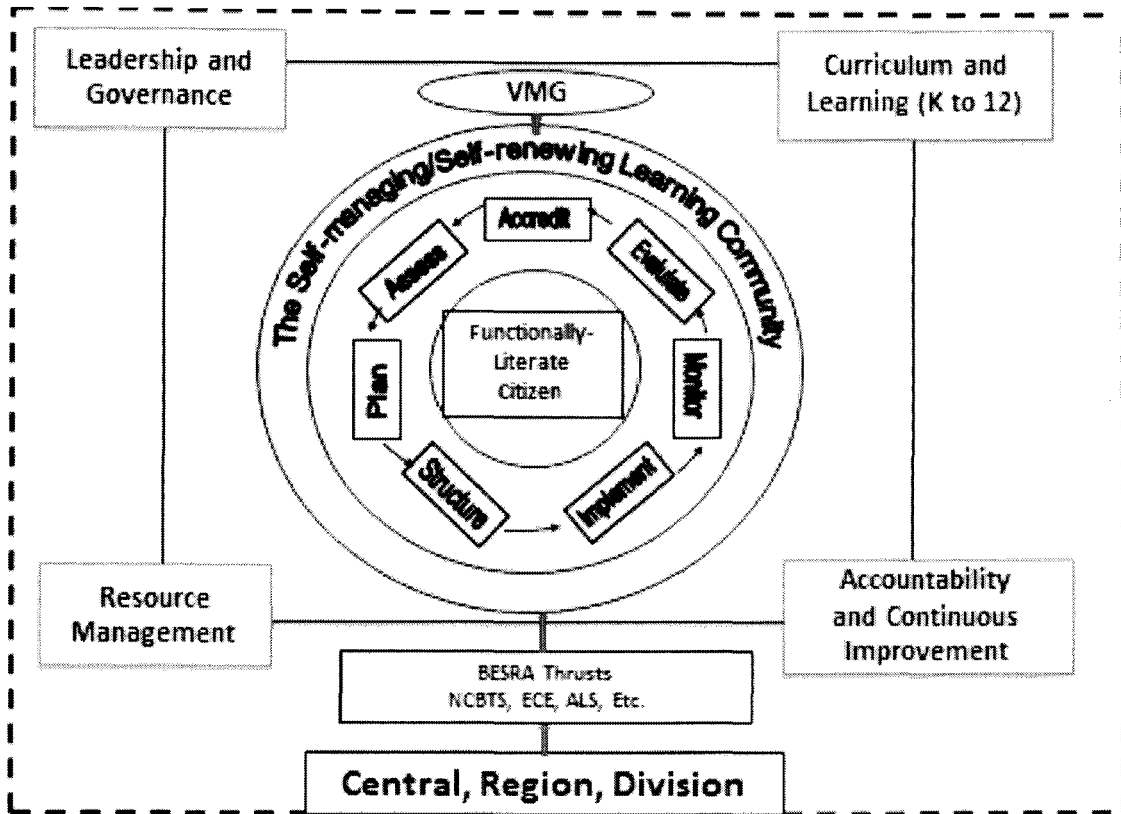
Hence, ACCESs is the “core value” and the broad framework toward making education more relevant and child-centered. It came from the realization that the only way to institute reforms effectively is through involvement of community stakeholders and centering all efforts on the learners.

To emphasize further, a child or learner-centered education is: learning-focused, developmental-stage appropriate, gender sensitive, culture responsive and sensitive, environmentally safe and accessible. These are features consistent with the K to 12 reform program.

Meanwhile, for an education system to be community-centered, it must transition from a state of isolation from the community and expand its view of a school system to include the community where the school exists. A shared-vision is evident when the school and the community are inspired by common goals and outcomes for its people. A shared mission on the other hand would reflect the dynamic sharing of responsibilities between the school and the community so that people will see concretely how their symbiotic roles in education service delivery would lead to better access and improve quality of basic education.

## The Conceptual Framework

The framework (Figure 1) is systems-oriented. It shows the major components of SBM, their organizational structure, interrelationships and interdependence, as well as their characteristics and underlying principles. At the center is the intended output: a functionally-literate citizen who is self-reliant, patriotic, productive, and service-oriented.



**SBM Conceptual Framework**

The *output* is a result of an interactive and collective problem-solving process that continuously raises the level of SBM practice until it culminates in the accreditation of the school. The *process* is enhanced and facilitated by a self-managing, self-renewing learning-community that assumes responsibility for basic education of all types of learners.

The *context* of SBM is the school learning community itself to which the learner belongs. An intensive situational analysis of factors that impact learning is done to develop an educational plan that is responsive to contextual issues, problems, challenges, threats, and opportunities. The *system is guided by four ACCESs principles* on leadership and governance, curriculum and learning, resource management, and accountability for higher learning outcomes. The boundary of the system indicated by a broken line denotes openness to inputs from the external environment, as well as a resistance to change that may injure its systemic integrity and stability.

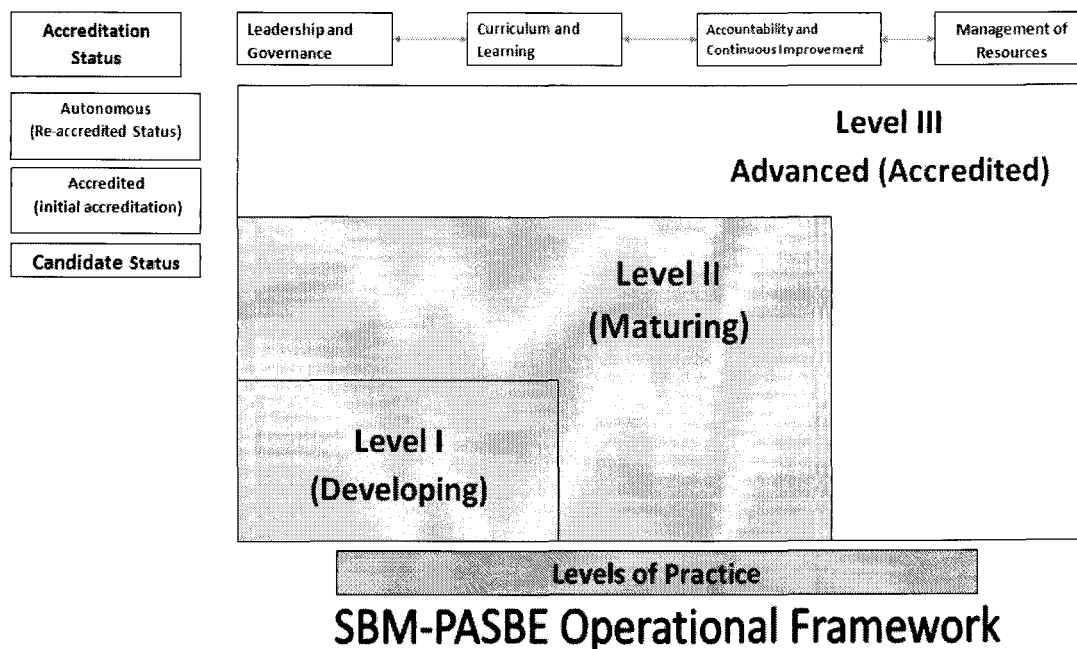


Schools must allow the framework to continuously morph and develop on the basis of its experience to meet the emerging needs of the learning community. The Central, Regional, and Division Offices provide technical, professional, and administrative support and oversee that policies are being observed, standards are being met, and programs are being implemented.

The Framework reflects the vision of SBM: to make the community responsible for the education of their children and make the children responsible for building the community.

### The SBM- PASBE Operational Framework

The Operational Framework (Figure 2) presents the key components of the assessment system and how they are organized and interrelated to enhance continuous improvement of learning outcomes and products of learning.



The three key components are presented: (1) guiding principles of the assessment system, (2) indicators of SBM practices, and (3) school accreditation. The Four ACCESS principles guide the assessment of the indicators of practice and the accreditation process.

Each ACCESS principle has its corresponding indicators measured in a scale of 1-3 in terms of child and community centeredness forming a rubric. The SBM practice is ascertained by the existence of structured mechanisms, processes, and practices in all indicators. The unit of analysis is the school system, the resulting level may be classified as **developing, maturing, or advanced (accredited level)**. A team of practitioners and experts from the district, division, region, and central office validates the self-assessment before a level of SBM practice is established. The

highest level- “advanced” is a candidacy for accreditation after a team of external validators confirmed the evidence of practices and procedures that satisfies quality standards.

### **The Philippine Accreditation System for Basic Education (PASBE)<sup>11</sup>**

PASBE accreditation is a certification process that looks into the essential areas of school operations and they conform with quality standards. The standards have been established through a consensus of stakeholders of basic education.

To be accredited, a school must show sufficient and compelling evidence that it is achieving its avowed purposes, conforming with PASBE standards, and implementing the recommendations of the National Accreditation Board (NAB).

PASBE aims to:

- Provide opportunity to schools with potential to improve the quality of their organizational practices and learning outcomes through containing self-assessment and peer review.
- Encourage nationwide implementation of PASBE standards for quality basic education.
- Strengthen partnership of DepEd with national organization of private and public elementary and secondary school heads to facilitate accreditation of deserving schools.
- Consolidate the best practices of accredited schools and utilize them for the continuous upgrading of the PASBE standards.

The assumptions considered were:

- That all schools shall provide quality education is a constitutional mandate. School accreditation is accepted worldwide as a method of ensuring quality education. It is, therefore, important that all school heads, get their school accredited.
- The goal of every school is successful learning for all learners. The integrity of a school rests on how well it is achieving its goal; it is a primary consideration in accrediting a school.
- Goal achievement is enhanced if basic school operations and practices are regulated by quality standards.
- A critical mass is needed to effect changes. School divisions share work for the accreditation, not only of some, but all of its schools.
- Success for school accreditation is sustained collective effort of DepEd Central, Regional, Division and District offices.

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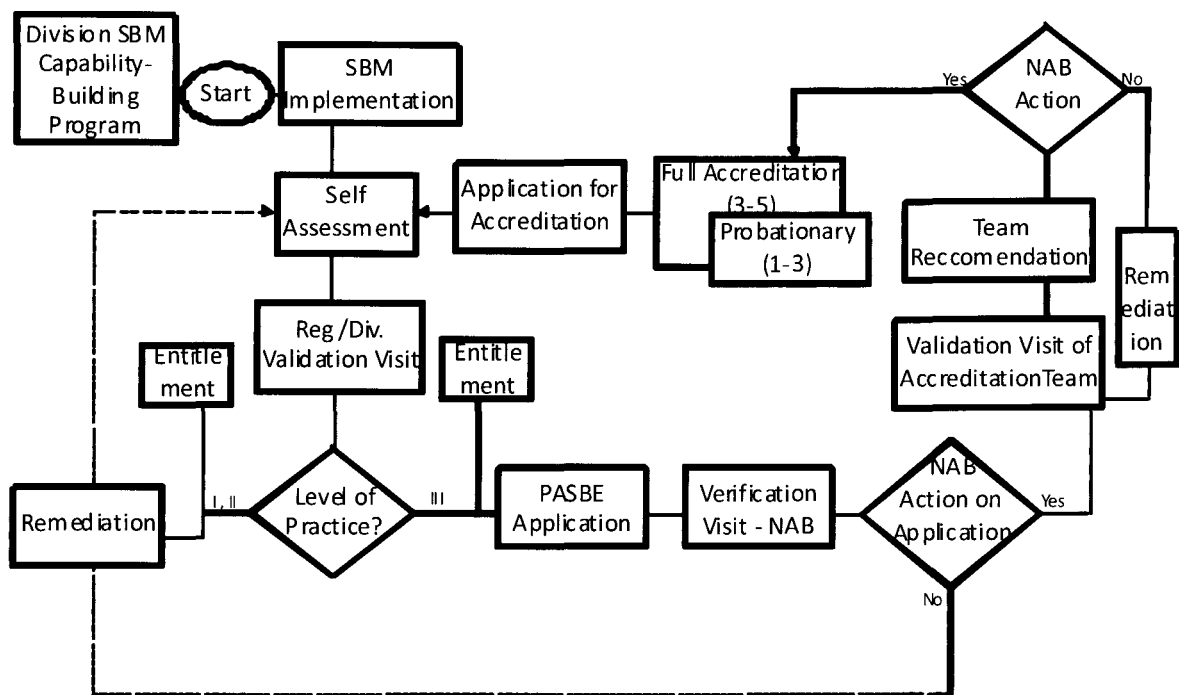
<sup>11</sup> DepEd Order No. 64, s. 2012, Guidelines on the Utilization of Support Funds for the Accreditation of Public Schools

### The PASBE Accreditation Model

PASBE uses the Fitness-for-Purpose model of accreditation in which the terms of accreditation granted depends in the goodness-of-fit between what the school says it will be doing (purpose) and what is actually doing (practice).

PASBE standards are comprehensive, qualitative statements of school practices and processes. School practices and processes have quality if they meet the expectation of the internal and external stakeholders of the school community.

**Figure 3.** Shows how school-based management and school accreditation are integrated into a quality assurance system to enhance achievement of basic education goals.



**The SBM-PASBE Quality Assurance Flow Chart**

The components below describe each major element in the SBM-PASBE Quality Assurance Flowchart.

1. **Division Capability Building Program.** This program is provided by the school division superintendent to ensure that SBM is successfully implemented in all schools in the division
2. **SBM Implementation.** Through shared leadership and community partnership, the SBM level of practice progresses from developing structures

and mechanism to introducing continuous improvement processes and finally culminates in getting accreditation.

3. **Self-Assessment.** Its purpose is to determine the schools' level of SBM practice. An SBM assessment tool is used to gather data, which are analyzed for evidence using the DOD (Documentary analysis, Observation, Discussion) process.

The output of the self-assessment is a report on what the school claims to be its SBM level of practice.

4. **The visit of an External Validation Team.** If the school's report claims attainment of level III SBM level of practice, then, a regional validation team shall visit the school to verify the claims. If the claim is on achievement of either level I or level II SBM practice, then a division and regional team shall conduct the validation. The validation process involves rigorous analysis of evidence supporting the claims.
5. **Application for Accreditation.** Schools on Level III of SBM practice are endorsed by the Regional office for PASBE accreditation. Upon receipt of its application, the NAB (National Accreditation Board) sends one or two of its representatives to the applicant school to verify the information in its information sheet. On the basis of the report on the preliminary visit, the NAB acts on the application.
6. **The School Visit of the Accreditation Team.** The team may consist of trained PASBE accreditors and accreditors from private sectors, depending on the type of school seeking accreditation. On the basis of the teams' recommendation, NAB decides on the term of accreditation guided as candidate school.
7. A separate DeEd Order will be issued to detail Guidelines on PASBE.

#### **D. THE REVISED SBM ASSESSMENT PROCESS**

**Purpose of the Assessment.** SBM Assessment is conducted by the school to determine the depth of its SBM practice alongside the principles of ACCESS. It is conducted by the Division to determine the profile of its schools; which needs assistance and which needs recognition for good practices for benchmarking by other schools.

##### **Basic Steps in the Assessment Process**

**Step 1:** Organize a team of at least ten members composed of faculty members, students and other external stakeholders. One shall be elected as team leader, and the other as team secretary and the rest shall obtain and validate evidence

**Step 2:** Let team members select the area (Principle) they want to assess. There should be at least two in each team.

**Step 3:** In the pre-assessment meeting, decide whether to use the Whole or Part method. In the former (whole method), all team members shall work as a group, to validate one principle after another. In the latter (part method), at least two (2) members shall be assigned to every Principle. The team leader acts as coordinator and facilitator while the secretary acts as documenter. The team should study the Assessment Manual, especially the D-O-D (document analysis, observation, and discussion) process.

**Step 4:** Assessment Proper (school visit if assessment is done by an external team). Proper courtesies must be accorded to the School Head in planning the assessment process.

**During the assessment proper.** Have a schedule of activities for document analysis (1 day), observation analysis (1 day), and discussion of data (1/2 day). Classify documents by Principle. Note that one document like the SIP, can be a source of evidence for several indicators across principles. Gather evidence using the D-O-D process and select samples of documents using emergent saturation sampling and snowballing. Summarize the evidences, and arrive at a consensus, what rating to give on each indicator based on documented evidences.

**Step 5:** Conduct process validation, the purpose is to gather process evidence to validate documented evidences using observation of classes and activities. Follow D-O-D process.

**Step 6:** Discussion of Documents and Process Evidence. Summarize data for each Principle/indicator. Clarify Issues, problems, opportunities, etc. Team scores the indicators.

**Step 7:** Closure or Exit Conference/Meeting.

**Step 8:** Report Writing by team.

### **The Validation Procedure: DOD**

The SBM Assessment Tool uses evidence to determine a school's level of practice. DOD is a means of evaluating the validity or truthfulness of the evidence. DOD is an acronym for Document Analysis, Observation, and Discussion- three essential steps in evaluating the validity of an evidence of an SBM practice. Below are the steps:

**1. Conduct Document Analysis.** Obtain and assemble all existing artifacts related to the indicator being assessed. Artifacts are the things used by the school community to achieve educational goals, e.g. lesson plans, annual reports, assessment tools, test results, community learning centers, computers, organization charts, development plans, things made by the learners, and the like. Evaluate the validity or truthfulness of each artifact against the four RACS criteria namely:

- **Relevance.** The evidence must be appropriate to the indicator being assessed. It is appropriate if the artifact or document is a tool or a product of a practice expressed in the indicator.

- **Accuracy.** The evidence must be correct. If it is a lesson plan, then both content and procedure must be correct.
- **Currency.** The evidence must be present, existing, or actual.
- **Consistency.** The evidence must be verifiable and generates the same results from most of the sources.
- **Sufficiency.** The evidence must be adequate or enough. If a student learning portfolio is presented as evidence of self-directed learning, its presence in only two or three classes is not an adequate evidence of school-wide implementation.

Collect and analyze evidence horizontally (by subject) and vertically (by year and grade level) to ensure content validity, and then synthesize the results of the document analysis.

- 2. Conduct observations to obtain process evidence.** Documentary evidence may show the school's focus on learner-centered learning like cooperative, interactive, problem solving, and decision making. There is a need to obtain process evidence to know if these are being practiced.

Process evidence is obtained by scrutinizing instructional, leadership, and management styles, methods, techniques, approaches, and activities used by the school community to achieve the SBM goal. Evidence is identified through participant or nonparticipant observations which may be conducted formally or informally. Individual or group interviews are held to verify or clarify the evidence. Evidence is scrutinized for validity using the RACS criteria.

Determining the number of observations, interviews, and documents to be scrutinized is a sampling problem in conducting DOD. The problem is commonly addressed by *using saturation sampling*. The technique is described in the Attachment of the SBM Assessment Tool.

Use the process evidence to cross-validate documentary evidence. Synthesize the process evidence for group discussion.

- 3. Discuss the synthesized documentary and process evidence.** Conduct the discussion as a friendly non-confrontational conversation to explain, verify, clarify, and augment the evidence. Invite members of the school community who were engaged in the collection and presentation of evidence to participate in the discussion.

As the team arrives at a consensus on the level of practice of the indicator being assessed, indicate in the scale with a check mark (✓) in the appropriate box. Continue the process until all four dimensions are assessed.

Practices vary in establishing the level of practice of an indicator. The most common is the *integrative* approach in which the entire body of evidence for all

indicators of a standard is assembled first, scrutinized for internal consistency, and finally used as guide in making a consensual decision to which level of practice an indicator belongs.

The other practice is *non-integrative*. Indicators of a standard are scrutinized one by one for evidence and also classified one by one for level of practice. Relationships among indicators are given less attention.

**Who conducts the DOD?** A school assessment committee conducts the DOD if assessment is school-initiated. A Division assessment committee conducts the DOD if the assessment is Division-initiated, or if the assessment is requested by a school.

**Who constitute the assessment committee?** A leader assisted by a secretary, heads the assessment committee. Four subcommittees are organized and each one is assigned to assess an SBM standard. Four to five members may compose one subcommittee.

#### **What operational principles guide the DOD process?**

- **Collaboration.** The assessors work as a team. Leadership is shared. Decisions are made by consensus and every member is accountable for the performance of the team.
- **Transparency.** The validation of evidence is open to stakeholders' view and review.
- **Confidentiality.** Information obtained from the DOD process that may prejudice individuals, groups or the school is handled judiciously.
- **Validity.** Documentary analyses and observations are rigorous in procedure and demanding in quality of results.
- **Reform-oriented.** DOD comes up with informed recommendations and action programs that continuously move the school to higher levels of practice.
- **Principle-oriented.** DOD is guided by the ACCESs principles.

**Stakeholders' satisfaction.** DOD is an exciting growth experience. Analysis of documents, artifacts, and processes unfold the progress made, objectives achieved, new techniques developed, best practices mainstreamed, prices won--despite limited resources and physical, social and political constraints.

## **E. THE REVISED SBM ASSESSMENT TOOL**

The Revised School-Based Management (SBM) Assessment tool is guided by the four principles of ACCESSs (A Child (Learner) - and Community- Centered Education System). The indicators of SBM practice were contextualized from the ideals of an ACCESSs school system. The unit of analysis is the school system, which may be classified as ***developing, maturing, or advanced (accredited level)***.

The SBM practice is ascertained by the existence of structured mechanisms, processes, and practices in all indicators. A team of practitioners and experts from the district, division, region, and central office validates the self-study/assessment before a level of SBM practice is established. The highest level, “advanced”, is a candidacy for accreditation after a team of external validators confirmed the evidence of practices and procedures that satisfies quality standards.

**Characteristics and Features.** The revised tool is systems oriented, principle-guided, evidence- based, learner-centered, process-focused, non-prescriptive, user-friendly, collaborative in approach, and results/outcomes focused.

**Parts of the Tool.** The tool shall contain the following parts: a) basic school/learning center information; b) principle-guided indicators; c) description of SBM practice scaled in terms of extent of community involvement; d) learner-centeredness, and e) scoring instructions.

**Users.** The users of the tool are the teachers, school heads, learners, parents, LGU, Private Sector and NGO/PO and the different administrative levels of DepEd.

### **Scoring Instructions**

1. The four (4) principles were assigned percentage weights on the basis of their relative importance to the aim of school (improved learning outcomes and school operations);
  - Leadership and Governance – 30%
  - Curriculum and Learning – 30%
  - Accountability and Continuous Improvement – 25%
  - Management of Resources – 15%
2. Each principle has several indicators. Based on the results of the D-O-D (Document Analysis, Observation, Discussion), summarize the evidences, and arrive at a consensus on the rating that will be given to each indicator;
3. Rate the items by checking the appropriate boxes. These are the points earned by the school for the specific indicator. The rating scale is:
  - 0- No evidence
  - 1- Evidence indicates early or preliminary stages of implementation
  - 2- Evidence indicates planned practices and procedures are fully implemented
  - 3- Evidence indicates practices and procedure satisfy quality standards



4. Assemble the Rubrics rated by the respondents; edit them for errors like double entries or incomplete responses;
5. Count the number of check marks in each indicator and record in the appropriate box in the summary table for the area / standard rated;
6. Multiply the number of check marks in each column by the points (1-3);
7. Get the average rating for each principle by dividing the total score by the number of indicators of the principle;
8. Record the average ratings for the principle in the Summary Table for the computation of the General Average;
9. Multiply the rating for each principle by its percentage weight to get the weighted average rating;
10. To get the total rating for the four principles, get the sum of all the weighted ratings. The value derived is the school rating based on DOD;
11. The level of practice will be computed based on the criteria below:
  - 60% based on improvement of learning outcomes;
  - 40% according to the validated practices using DOD
12. The final scoring criteria as described in item No. 11 will be issued after the operational try out.

**Description of SBM Levels of Practice.** The resulting levels are described as follows:

**Level I: DEVELOPING-**Developing structures and mechanisms with acceptable level and extent of community participation and impact on learning outcomes.

**Level II: MATURING-** Introducing and sustaining continuous improvement process that integrates wider community participation and improve significantly performance and learning outcomes.

**Level III: ADVANCED (ACCREDITED LEVEL) -** Ensuring the production of intended outputs/outcomes and meeting all standards of a system fully integrated in the local community and is self-renewing and self-sustaining.

## **F. RECOGNITION AND INCENTIVES**

To accelerate implementation and reward best practices, the revised SBM practice approaches assessment using systematic recognition and incentives program in

terms of higher school grant, capital outlay allocation, and performance-based bonus (PBB)<sup>12</sup>.

Effective immediately in FY 2012 is the use of performance as basis for awarding the incentive bonus. Assessment will be based on set targets and approved plans. The specific indicators to be used per administrative level are currently being finalized through a multi-level consultation results of which shall be issued in a separate memorandum.

In FY 2014, as the integrated SBM-PASBE is fully implemented, the school grants initially designed under the subsidy principle will shift to its original intention as leverage and innovation fund. This means that the more resources generated by the school from its community stakeholders, the higher the reward it will receive. This may be in form of autonomy in most of its operations and higher grant in the form of capital outlay. The highest recognition after two consecutive re-accreditation status may be awarded to a school as Center of Excellence in specific field i.e. Technical-Vocational, Special Education, Multigrade School, etc.

#### **G. EFFECTIVITY**

These implementing guidelines shall be effective immediately.

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<sup>12</sup> Performance-Based Bonus, Executive Order No.80, July 20, 2012



REVISED SCHOOL-BASED MANAGEMENT ASSESSMENT TOOL  
(November 27, 2012)

<p><b>Part I: Introduction</b> The Revised School-Based Management (SBM) Assessment tool is guided by the four principles of ACCESS (A Child- and Community-Centered Education System). The indicators of SBM practice are contextualized on the ideals of an ACCESS school system. The unit of analysis is the school system which are classified as <i>developing</i>, <i>maturing</i> and <i>advanced (accredited level)</i>. The SBM practice is ascertained by the existence of structured mechanisms, processes and practices in all indicators. A team of practitioners and experts from the district, division, region and central office validates the self-study/assessment before a level of SBM practice is established. A school on the advanced level may apply for accreditation. The highest level, the “advanced,” is a candidacy for accreditation</p>
<p><b>Part II: Basic School/Learning Center (LC) Information:</b> School/Learning Center: Region/Division: Name of School Head/LC Head: Address:</p>
<p><b>Part III: Instruction to the Users:</b> Please indicate using a check mark the extent of SBM practice for each indicator listed below (numbered) based on the validation team’s consensual agreements after systematic D-O-D (Document Analysis-Observation-Discussion). On the other hand, for indicators with no evidence just indicate zero.</p>
<p><b>Part IV: Rating Scale:</b> 0- No evidence 1- Evidence indicates developing structures and mechanisms are in place to demonstrate ACCESS 2- Evidence indicates planned practices and procedures are fully implemented and aligned to ACCESS 3- Evidence indicates practices and procedure satisfy quality standards</p>

**I. Leadership and Governance**  
**A network of leadership and governance guides the education system to achieve its shared vision, mission and goals making them responsive and relevant to the context of diverse environments.**

**A. Indicators**

<p>1. In place is a Development Plan (e.g. SIP) developed collaboratively by the stakeholders of the school and community.</p>	<p><input type="checkbox"/> The development plan guided by the school's vision, mission and goal (VMG) is developed through the leadership of the school and the participation of some invited community stakeholders.</p>	<p><input type="checkbox"/> The development plan is evolved through the shared leadership of the school and the community stakeholders.</p>	<p><input type="checkbox"/> The development plan is enhanced with the community performing the leadership roles, and the school providing technical support.</p>
<p>2. The development plan (e.g. SIP) is regularly reviewed by the school community to keep it responsive and relevant to emerging needs, challenges and opportunities.</p>	<p><input type="checkbox"/> The school leads the regular review and improvement of the development plan.</p>	<p><input type="checkbox"/> The school and community stakeholders working as full partners, lead the continual review and improvement of the development plan.</p>	<p><input type="checkbox"/> The community stakeholders lead the regular review and improvement process; the school stakeholders facilitate the process.</p>
<p>3. The school is organized by a clear structure and work arrangements that promote shared leadership and governance and define the roles and responsibilities of the stakeholders.</p>	<p><input type="checkbox"/> The school defines the organizational structure, and the roles and responsibilities of stakeholders.</p>	<p><input type="checkbox"/> The school and community collaboratively define the structure and the roles and responsibilities of stakeholders.</p>	<p><input type="checkbox"/> Guided by an agreed organizational structure, the community stakeholders lead in defining the organizational structure and the roles and responsibilities; school provides technical and administrative support.</p>

<p>4. A leadership network facilitates communication between and among school and community leaders for informed decision-making and solving of school-community wide-learning problems.</p>	<p><input type="checkbox"/> A network has been collaboratively established and is continuously improved by the school community.</p>	<p><input type="checkbox"/> The network actively provides stakeholders information for making decisions and solving learning and administrative problems.</p>	<p><input type="checkbox"/> The network allows easy exchange and access to information sources beyond the school community.</p>
<p>5. A long term program is in operation that addresses the training and development needs of school and community leaders.</p>	<p><input type="checkbox"/> Developing structures are in place and analysis of the competency and development needs of leaders is conducted; result is used to develop a long-term training and development program.</p>	<p><input type="checkbox"/> Leaders undertake training modes that are convenient to them (on-line, off-line, modular, group, or home-based) and which do not disrupt their regular functions. Leaders monitor and evaluate their own learning progress.</p>	<p><input type="checkbox"/> Leaders assume responsibility for their own training and development. School community leaders working individually or in groups, coach and mentor one another to achieve their VMG.</p>

**B. Curriculum and Instruction**

**The curriculum learning systems anchored on the community and learners' contexts and aspirations are collaboratively developed and continuously improved.**

<p>1. The curriculum provides for the development needs of all types of learners in the school community</p>	<p><input type="checkbox"/> All types of learners of the school community are identified, their learning curves assessed; appropriate programs with its support materials for each type of learner is developed.</p>	<p><input type="checkbox"/> Programs are fully monitored to address performance discrepancies, benchmark best practices, coach low performers, mentor potential leaders, reward high achievement, and maintain environment that makes learning, meaningful and enjoyable.</p>	<p><input type="checkbox"/> The educational needs of all types of learners are being met as shown by continuous improvement on learning outcomes and products of learning. Teachers' as well as students' performance is motivated by intrinsic rather than extrinsic rewards. The Schools' differentiated programs is frequently benchmarked by other schools.</p>
<p>2. The implemented curriculum is localized to make it more meaningful to the learners and applicable to life in the community.</p>	<p><input type="checkbox"/> Local beliefs, norms, values, traditions, folklores, current events, and existing technologies are documented and used to develop a lasting curriculum. Localization guidelines are agreed to by school community and teachers are properly oriented.</p>	<p><input type="checkbox"/> The localized curriculum is implemented and monitored closely to ensure that it makes learning more meaningful and pleasurable, produces desired learning outcomes, and directly improves community life. Ineffective approaches are replaced and innovative ones are developed.</p>	<p><input type="checkbox"/> Best practices in localizing the curriculum are mainstreamed and benchmarked by other schools. There is marked increase in number of projects that uses the community as learning laboratory, and the school as an agent of change for improvement of the community.</p>
<p>3. A representative group of school and community</p>	<p><input type="checkbox"/> A representative team of school and community stakeholders assess content and methods used in teaching</p>	<p><input type="checkbox"/> Learning materials and approaches to reinforce strengths and address deficiencies are developed and tested for</p>	<p><input type="checkbox"/> Materials and approaches are being used in school, in the family and in community to develop</p>

<p>stakeholders develop the methods and materials for developing creative thinking and problem solving.</p>	<p>creative, critical thinking and problem solving. Assessment results are used as guide to develop materials.</p>	<p>applicability on school, family and community.</p>	<p>critical, creative thinking and problem solving community of learners and are producing desired results.</p>
<p>4. The learning systems are regularly and collaboratively monitored by the community using appropriate tools to ensure the holistic growth and development of the learners and the community.</p>	<p><input type="checkbox"/> A school-based monitoring and learning system is conducted regularly and cooperatively; and feedback is shared with stakeholders. <input type="checkbox"/> The system uses a tool that monitors the holistic development of learners.</p>	<p><input type="checkbox"/> The school-based monitoring and learning systems generate feedback that is used for making decisions that enhance the total development of learners. <input type="checkbox"/> A committee take care of the continuous improvement of the tool.</p>	<p><input type="checkbox"/> The monitoring system is accepted and regularly used for collective decision making. <input type="checkbox"/> The monitoring tool has been improved to provide both quantitative and qualitative data.</p>
<p>5. Appropriate assessment tools for teaching and learning are continuously reviewed and improved, and assessment results are contextualized to the learner and local situation and the attainment of relevant life skills.</p>	<p><input type="checkbox"/> The assessment tools are reviewed by the school and assessment results are shared with school's stakeholders.</p>	<p><input type="checkbox"/> The assessment tools are reviewed by the school community and results are shared with community stakeholders.</p>	<p><input type="checkbox"/> School assessment results are used to develop learning programs that are suited to community, and customized to each learners' context, results of which are used for collaborative decision-making.</p>

<p>6. Learning managers and facilitators (teachers, administrators and community members) nurture values and environments that are protective of all children and demonstrate behaviors consistent to the organization's vision, mission and goals.</p>	<p><input type="checkbox"/> Stakeholders are aware of child/learner-centered, rights-based, and inclusive principles of education.</p> <p><input type="checkbox"/> Learning managers and facilitators conduct activities aimed to increase stakeholders awareness and commitment to fundamental rights of children and the basic principle of educating them.</p>	<p><input type="checkbox"/> Stakeholders begin to practice child/learner-centered principles of education in the design of support to education.</p> <p><input type="checkbox"/> Learning managers and facilitators apply the principles in designing learning materials.</p>	<p><input type="checkbox"/> Learning environments, methods and resources are community driven, inclusive and adherent to child's rights and protection requirements.</p> <p><input type="checkbox"/> Learning managers and facilitators observe learners' rights from designing the curriculum to structuring the whole learning environment.</p>
<p>7. Methods and resources are learner and community-friendly, enjoyable, safe, inclusive, accessible and aimed at developing self-directed learners. Learners are equipped with essential knowledge, skills, and values to assume responsibility and accountability for their own learning.</p>	<p><input type="checkbox"/> Practices, tools and materials for developing self-directed learners are highly observable in school, but not in the home or in the community.</p> <p><input type="checkbox"/> Learning programs are designed and developed to produce learners who are responsible and accountable for their learning</p>	<p><input type="checkbox"/> Practices, tools, and materials for developing self-directed learners are beginning to emerge in the homes and in the community.</p> <p><input type="checkbox"/> The program is collaboratively implemented and monitored by teachers and parents to ensure that it produces desired learners.</p>	<p><input type="checkbox"/> There is continuous exchange of expertise and materials among the schools, home and community for the development of self-directed learners.</p> <p><input type="checkbox"/> The program is mainstreamed but continuously improved to make relevant to emergent demands.</p>



<b>C. Accountability and Continuous Improvement</b>			
<b>A clear, transparent, inclusive, and responsive accountability system is in place, collaboratively developed by the school community, which monitors performance and acts appropriately on gaps and gains.</b>			
<p>1. Roles and responsibilities of accountable person/s and collective body/ies are clearly defined and agreed upon by community stakeholders.</p>	<p><input type="checkbox"/> There is an active party that initiates clarification of the roles and responsibilities in education delivery.</p>	<p><input type="checkbox"/> The stakeholders are engaged in clarifying and defining their specific roles and responsibilities.</p>	<p><input type="checkbox"/> Shared and participatory processes are used in determining roles, responsibilities, and accountabilities of stakeholders in managing and supporting education</p>
<p>2. Achievement of goals is recognized based on a collaboratively developed performance accountability system; gaps are addressed through appropriate action.</p>	<p><input type="checkbox"/> Performance accountability is practiced at the school level.</p>	<p><input type="checkbox"/> A community-level accountability system is evolving from school-led initiatives.</p>	<p><input type="checkbox"/> A community-accepted performance accountability, recognition and incentive system is being practiced.</p>

<p>3. The accountability system is owned by the community and is continuously enhanced to ensure that management structures and mechanisms are responsive to the emerging learning needs and demands of the community.</p>	<p><input type="checkbox"/> The school articulates the accountability assessment framework with basic components, including implementation guidelines to the stakeholders.</p>	<p><input type="checkbox"/> Stakeholders are engaged in the development and operation of an appropriate accountability assessment system.</p>	<p><input type="checkbox"/> School community stakeholders continuously and collaboratively review and enhance accountability systems' processes, mechanisms and tools.</p>
<p>4. Accountability assessment criteria and tools, feedback mechanisms, and information collection and validation techniques and processes are inclusive and collaboratively developed and agreed upon.</p>	<p><input type="checkbox"/> The school, with the participation of stakeholders, articulates an accountability assessment framework with basic components, including implementation guidelines</p>	<p><input type="checkbox"/> Stakeholders are engaged in the development and operation of an appropriate accountability assessment system.</p>	<p><input type="checkbox"/> Stakeholders continuously and collaboratively review and enhance accountability systems; processes, mechanisms and tools.</p>

<p>5. Participatory assessment of performance is done regularly with the community. Assessment results and lessons learned serve as basis for feedback, technical assistance, recognition and plan adjustment.</p>	<p><input type="checkbox"/> School initiates periodic performance assessments with the participation of stakeholders.</p>	<p><input type="checkbox"/> Collaborative conduct of performance assessment informs planning, plan adjustments and requirements for technical assistance.</p>	<p><input type="checkbox"/> School-community-developed performance assessment is practiced and is the basis for improving monitoring and evaluation systems, providing technical assistance, and recognizing and refining plans.</p>
<p><b>D. Management of Resources</b></p>			
<p><b>Resources are collectively and judiciously mobilized and managed with transparency, effectiveness, and efficiency.</b></p>			
<p>1. Regular resource inventory is collaboratively undertaken by learning managers, learning facilitators, and community stakeholders as basis for resource allocation and mobilization.</p>	<p><input type="checkbox"/> Stakeholders are aware that a regular resource inventory is available and is used as the basis for resource allocation and mobilization.</p>	<p><input type="checkbox"/> Resource inventory is characterized by regularity, increased participation of stakeholders, and communicated to the community as the basis for resource allocation and mobilization.</p>	<p><input type="checkbox"/> Resource inventories are systematically developed and stakeholders are engaged in a collaborative process to make decisions on resource allocation and mobilization.</p>

<p>2. A regular dialogue for planning and resource programming, that is accessible and inclusive, continuously engage stakeholders and support implementation of community education plans.</p>	<p><input type="checkbox"/> Stakeholders are invited to participate in the development of an educational plan in resource programming, and in the implementation of the educational plan</p>	<p><input type="checkbox"/> Stakeholders are regularly engaged in the planning and resource programming, and in the implementation of the education plan.</p>	<p><input type="checkbox"/> Stakeholders collaborate to ensure timely and need-based planning and support continuous implementation of the education plan.</p>
<p>3. In place is a community-developed resource management system that drives appropriate behaviors of the stakeholders to ensure judicious, appropriate, and effective use of resources.</p>	<p><input type="checkbox"/> Stakeholders support judicious, appropriate, and effective use of resources.</p>	<p><input type="checkbox"/> Stakeholders are engaged and share expertise in the collaborative development of resource management system.</p>	<p><input type="checkbox"/> Stakeholders sustain the implementation and improvement of a collaboratively developed, periodically adjusted, and constituent-focused resource management system.</p>
<p>4. Regular monitoring, evaluation, and reporting processes of resource management are collaboratively developed and implemented by the learning managers, facilitators, and community stakeholders.</p>	<p><input type="checkbox"/> Stakeholders are invited to participate in the development and implementation of monitoring, evaluation, and reporting processes on resource management.</p>	<p><input type="checkbox"/> Stakeholders collaboratively participate in the development and implementation of monitoring, evaluation, and reporting processes on resource management.</p>	<p><input type="checkbox"/> Stakeholders are engaged, held accountable and implement a collaboratively developed system of monitoring, evaluation and reporting for resource management..</p>

<p>5. There is a system that manages the network and linkages which strengthen and sustain partnerships for improving resource management.</p>	<p><input type="checkbox"/> An engagement procedure to identify and utilize partnerships with stakeholders for improving resource management is evident.</p>	<p><input type="checkbox"/> Stakeholders support a system of partnerships for improving resource management.</p>	<p><input type="checkbox"/> An established system of partnership is managed and sustained by the stakeholders for continuous improvement of resource management.</p>
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**PART V. SCORING INSTRUCTIONS**

1. The four (4) principles were assigned percentage weights on the basis of their relative importance to the aim of school (improved learning outcomes and school operations);
  - Leadership and Governance - 30%
  - Curriculum and Learning - 30%
  - Accountability and Continuous Improvement - 25%
  - Management of Resources - 15%
2. Each principle has several indicators. Based on the results of the D-O-D (Document Analysis, Observation, Discussion), the evidence is summarized, and a consensual rating is arrived at. . What rating would one give to each indicator;
3. Rate the items by checking the appropriate boxes. These are the points earned by the school for the specific indicator. The rating scale is:
  - 0- No evidence
  - 1- Evidence indicates early or preliminary stages of implementation
  - 2- Evidence indicates planned practices and procedures are fully implemented
  - 3- Evidence indicates practices and procedure satisfy quality standards
4. Assemble the Rubrics rated by the respondents; edit them for errors like double entries or incomplete responses;
5. Count the number of check marks in each indicator and record in the appropriate box inside the summary table for the area / standard rated;

6. Multiply the number of check marks in each column by the points (1-3);
7. Get the average rating for each principle by dividing the total score by the number of indicators of the principle;
8. Record the average ratings for the principle in the Summary Table for the computation of the General Average;
9. Multiply the rating for each principle by its percentage weight to get the weighted average rating;
10. To get the total rating for the four principles, get the sum of all the weighted ratings. The value derived is the school rating based on DOD;
11. The level of practice will be computed based on the criteria below:
  - 60% based on improvement of learning outcomes;
  - 40% according to the validated practices using DOD
12. The resulting score will be interpreted as:

**PART VI. DESCRIPTION OF SBM LEVEL OF PRACTICE**

The resulting levels are described as follows:

- .5 - 1.4 -Developing
- 1.5 - 2.4 - Maturing
- 2.5 - 3.5 Advanced

**Level I: DEVELOPING** - developing structures and mechanisms with acceptable level and extent of community participation and impact on learning outcomes.  
**Level II: MATURING** -Introducing and sustaining continuous improvement process that integrates wider community participation and significantly improve performance and learning outcomes.  
**Level III: ADVANCED (ACCREDITED)** - Ensuring the production of intended outputs/outcomes and meeting all standards of a system fully integrated in the local community and is self-renewing and self-sustaining.