A Manual on the

Assessment of School-Based Management Practices

Republic of the Philippines
Department of Education
School-Based Management, Technical Working Group
Basic Education Sector Reform Agenda (BESRA)
DepED Complex, Meralco Avenue, Pasig City 1600

2009

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Foreword

The Department of Education has stepped up its efforts to decentralize education management – a strategy that is expected to improve the Department's operating efficiency and upgrade education quality.

We are now accelerating the implementation of School-Based Management (SBM), a key component of Basic Education Sector Reform Agenda or BESRA. With SBM, the school as key provider of education, will be equipped to empower its key officials to make informed and localized decisions based on their unique needs toward improving our educational system.

This Manual on Assessment of School-Based Management Practices has been produced as a tool to help educators manage and run our schools efficiently and effectively. It highlights the strategic importance of educating our children and other stakeholders in participating in educational activities. This emphasis will make the task of our school heads and teachers easier, as the community will be one with them in their efforts to improve the school.

The content of this Manual has been developed and prepared with the participation of education specialists who have practical and diverse experiences in their field. The concepts have been pilot-tested in several projects such as the Third Elementary Education Project (TEEP), the Secondary Education Development and Improvement Project (SEDIP), Basic Education Assistance for Mindanao (BEAM) and Strengthening the Implementation of Basic Education in the Visayas (STRIVE). The projects have created tremendous positive

changes and improvement in the schools. After being tried out in project sites, the concepts were further validated by school heads in remote schools. I can say with full confidence that these concepts have been tried, tested and passed strict scrutiny.

In implementing SBM, the Department is doing all it can to create an environment where all the people involved commit to make change happen under a decentralized setup. This change is ultimately geared towards the school children's enjoyment of their right to quality education and other equally important rights such as the right to be safe and healthy, to be protected from harm and abuse, to play and to have leisure, to express their views freely, and to participate in decision-making according to their evolving capacities.

For this new setup to succeed, our principals and teachers need to develop their people skills and managerial capabilities. They have to be empowered to be catalysts for change in our schools.

Let me encourage you to understand well the Manual and own its concepts and principles. Be empowered to strengthen partnerships, engage education stakeholders and produce graduates who are fully equipped for the 21st century.

JESLI A. LAPUS
Secretary
Department of Education

Republic of the Philippines
Department of Education
DepED Complex, Meralco Avenue, Pasig City

September 11 2009

DepED MEMORANDUM
No. 386, s. 2009

UTILIZATION OF MANUALS RELEVANT TO SCHOOL-BASED MANAGEMENT

To: Undersecretaries
Assistant Secretaries
Bureau Directors
Regional Directors
Schools Division/City Superintendents
Head, Public Elementary and Secondary Schools

In addition to the four (4) Primers on School-Based Management cited in DepED Order No. 37, s. 2009, the Technical Working Group (TWG) on School-Based Management (SBM) developed the following three (3) Manuals in support of its institutionalization:

Manual on Assessment of SBM Practice. Presents the SBM Framework, the six (6) Dimensions of the SBM Assessment Instrument and the next-steps after the conduct of assessment. It enables the school to determine its level of SBM practice and the technical assistance it needs from support offices;

Manual on School Governing Council. Provides schools with the basic information on the organization and operationalization of School Governing Councils; and

Manual on School Improvement Planning. Discusses in detail the "why", the "what", the "who", the "when", and the "how" of school improvement planning. It is intended to help schools craft and implement, monitor and evaluate the same (SIPs) and (AIPs).

These Manuals are being printed and will be distributed to schools, DepED Offices and stakeholders when these are ready.

Schools are urged to utilize these materials for their guidance in their practice of SBM.

Immediate and wide dissemination of this Memorandum is desired.

Reference:
DepED Order: No.37, s. 2009
Allotment: 1- (D.O. 50-97)
To be indicated in the Perpetual Index
under the following subjects:

CHANGE
MANUALS
PROJECTS
PROGRAMS
SCHOOLS

JESLI A. LAPUS
Secretary

I. Introduction

To achieve the Education for All (EFA) objectives by 2015, the Department of Education is pursuing policy reforms under the Basic Education Sector Reform Agenda (BESRA). Key Reform Thrust 1 (KRT1) of BESRA is **School-Based Management (SBM)**. SBM underscores the empowerment of key stakeholders in school communities to enable them to actively participate in the continuous improvement of schools towards the attainment of higher pupil/student learning outcomes.

A decision as to where and into what aspect of school management and processes a school and its stakeholders may start to build upon, as prescribed in the **SBM Scale of Practice**, makes assessment imperative. Assessment is also important to determine the directions of improvements to attain the mature level of SBM practice. For this reason, the Assessment Tool for SBM Practices was developed.

The tool is based on the **"Framework and Standards for Effective School-Based Management Practice Towards Improved Learning Outcomes"** carried out by the Department of Education**.** Specifically, the tool is evidence-based and provides a baseline for those who are just starting a culture of SBM or for those schools progressing toward the next level of SBM practice. Awareness of the current status of the school serves as a sound basis for the establishment of a plan of action to address certain gaps or challenges.

The basic concepts on the assessment tool as well as its administration are contained in this Manual. This Manual serves as a guide to the key players in the school in assessing their SBM

practices as well as in identifying their needs for technical support that ought to be given by the Department of Education in various administrative levels.

It should be noted that this instrument is **NOT** an evaluation of the performance of the school head but an assessment of SBM practices.

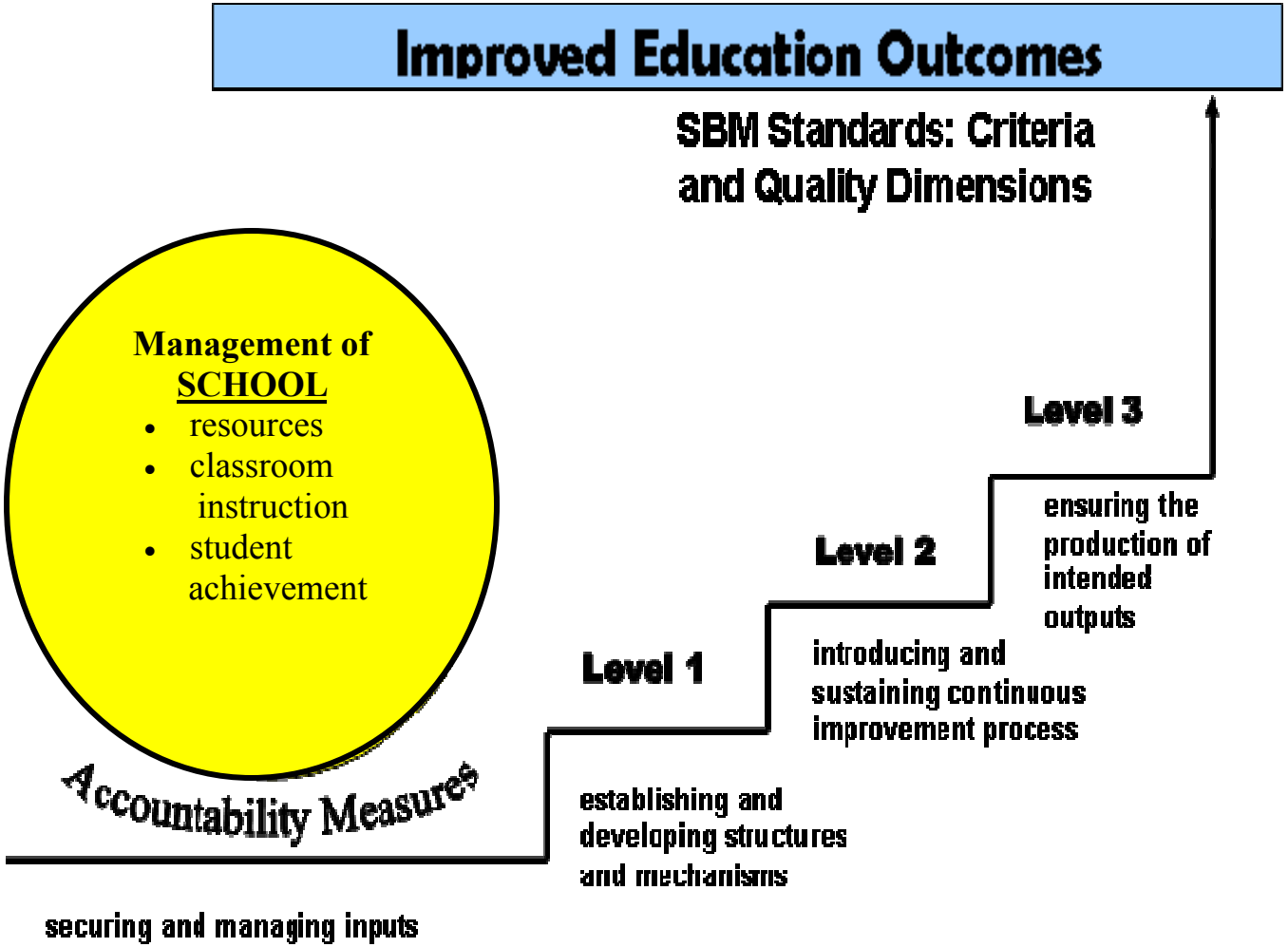
II. Purposes of SBM Practices Assessment

SBM assessment aims to:

- determine the level of the SBM practices of the school;
- provide the school a sound basis on which to establish its plan of action;
- improve the SBM support systems through interventions that the school and other administrative levels of the Department may introduce; and
- determine the effectiveness of SBM practices in the delivery of basic education services.

III. Assessment Framework of SBM Practices

The Framework identifies and explains the elements, logical structure and interrelationship of units that comprise a system. Geared towards the improvement of education outcomes, the SBM framework describes the system for: a) securing adequate inputs and managing them efficiently and effectively; b) establishing and developing structures and mechanisms that are helpful in achieving desired goals and objectives; c) introducing and sustaining a continuous improvement process; and d) ensuring that every school produces the intended outputs that lead to the attainment of better education outcomes**.**



School- Based Management SYSTEM

IV. Matrix of SBM Dimensions by Scale of Practice

To ensure that SBM works toward improved learning outcomes, which is the ultimate goal of school-based management, a three-Scale of Practice has been devised.

Level I (Standard)	-	refers to compliance of a school with the minimum requirements for securing and managing inputs, establishing appropriate structures and mechanisms, and improving processes that affect instruction and student achievement in order to produce the desired levels of outputs that lead to improved learning outcomes.
Level II (Progressive)	-	intensifies mobilization of resources and maximizes efforts of the school to achieve desired learning outcomes.
Level III (Mature)	-	goes further by maximizing efforts of the school and the community/stakeholders to achieve higher learning outcomes.

Specifics of the scale of practice by dimension are shown in the next pages.

Table 1. Matrix of SBM Dimensions by Scale of Practice

SBM Dimension	Level I (Standard)	Level II (Progressive)	Level III (Mature)
1. School Leadership	• SH is designated.	SH performs greater responsibility and accountability in school management.	SH is fully accountable to stakeholders for school performance.
	• SH is trained on basic competencies on instructional leadership (e.g., National Educators Academy of the Philippines (NEAP) -SMILE).	• SH exercises instructional leadership and management functions. • SH pursues continuing professional development.	• SH significantly influences student learning outcomes and student holistic development.
	• SH is trained on SBM and Local School Board (LSB) responsibilities.	• SH as a resource on SBM (e.g., acts as mentor/coach).	• SH promotes/shares SBM experiences and leading practices to other schools. • SH creates critical mass of SBM champions.
	• SH initiates: organizing stakeholders. installing appropriate SBM systems (e.g., school improvement planning, budgeting and resource management, staffing, performance monitoring and	• SH co-operates with organized stakeholders. • SH manages SBM systems.	• SH has effective working relationship with LSB & School Governing Council (SGC). • SH innovates and institutionalizes continuous school improvement process.
	• SH performs fund management duties (e.g. accounting / bookkeeping functions.	• SH is relieved of accounting / bookkeeping functions and devotes more attention to instructional leadership and supervision.	• SH acts as fund manager and devotes more attention to instructional leadership and supervision.

Matrix of SBM Dimensions by Scale of Practice

SBM Dimension	Level I (Standard)	Level II (Progressive)	Level III (Mature)
2. Internal Stakeholders' Participation (teachers, parents, students)	• Students are made aware of their rights and responsibilities as primary stakeholders.	• Students exercise their rights and fulfills their responsibilities as primary stakeholders.	• Students share in school leadership and management. • Students are held accountable for their performance.
	• Teachers are trained on curriculum, content, and pedagogy.	• Teachers improve teaching effectiveness. • Teachers mentor peers. • Teachers pursue continuing professional development.	• Teachers are co-leaders / co-managers of schools. • Teachers hold themselves accountable for student performance.
	• Parents assume responsibilities as partners in the learning process.	• Parents co-manage and co-monitor learning process.	• Parents are also held accountable for the performance, achievement and well-being of their children.
	• Students, teachers, and parents are adequately oriented on SBM.	• Students, teachers, and parents support SBM.	• Students, teachers, and parents champion SBM.
	• Students, teachers, and parents understand their respective roles and responsibilities on SBM; and are organized for participation in SBM processes.	• Organized stakeholders introduce and co-implement programs supporting school-wide improvement process.	• Organized stakeholders pro-actively engage themselves in school governance and continuous school-wide improvement process.

Matrix of SBM Dimensions by Scale of Practice

SBM Dimension	Level I (Standard)	Level II (Progressive)	Level III (Mature)
3. External Stakeholders' Participation (alumni, parents of alumni, local leaders, retired teachers, youth leaders/ Sangguniang Kabataan)	• External stakeholders are organized and made aware of their rights and responsibilities as education stakeholders.	• Organized external stakeholders exercise their rights and responsibilities as education stakeholders.	• Organized stakeholders engage themselves in school governance and school-wide improvement process.
	• Local government stakeholders are oriented into a functional LSB (e.g., school building and facilities, extension classes, and sports development).	• Local government stakeholders are enabled (thru capacity development interventions on resource planning and management) for an expanded LSB functions (e.g., support educational subsidies, Instructional Materials and Textbooks (IMTEX), teachers, school personnel, students' welfare and development).	• Local government stakeholders are fully enabled to institutionalize expanded LSB functions thru multi-year supplemental lump-sum budget allocation for SBM (e.g., PS, MOEE, CO).
	• Community leaders / People's Organizations (Pos) / Non-Government Organizations (NGOs) are oriented, organized, and mobilized to support SBM (e.g. school community partnerships at least within the classroom or selected interventions like Adopt-a-School program).	• Community leaders / POs / NGOs are enabled (through capacity development interventions resource and programming planning and management) for expanded and school-wide support (e.g. Every Child A Reader Program, institutionalized remedial class support, health and nutrition).	• Community leaders / POs / NGOs are fully enabled to provide institutionalized support community-wide programs to continuously improve learning outcomes (including ALS) and to promote children's welfare.

	• External stakeholders understand their respective roles and responsibilities on SBM; and are organized for participation in SBM processes.	• Organized external stakeholders support implementation of school-wide improvement process which focuses on children's learning and development.	• Organized stakeholders introduce and co-implement programs supporting the school-wide improvement process which focuses on children's learning and development. • Organized stakeholders champion SBM. • Organized stakeholders help create a community environment that supports children's enjoyment of their right to quality education and other rights (right to express themselves freely).

Matrix of SBM Dimensions by Scale of Practice

SBM Dimension	Level I (Standard)	Level II (Progressive)	Level III (Mature)
4. School Improvement Process	• School conducts assessment of SBM practice using assessment tool .	• School conducts periodic assessment of SBM practice using assessment tool.	• School institutionalized assessment of SBM practice using assessment tool.
	• SGC is organized.	• SGC supports continuous school improvement process.	• SGC demands and champions continuous school improvement process.
	• SGC members are oriented and trained on SBM and school governance. They are made aware of their duties and responsibilities.	• SGC members are performing their respective duties and responsibilities.	• SGC members are held accountable for school performance.
	• SIP/AIP needs and priorities are systematically identified (through situation analysis within the context of existing conditions, circumstances and available resources).	• School does participatory and knowledge-based SIP/AIP development and implementation that are responsive to community needs and performance feedback.	• SIP/AIP formulation and implementation involve full and sustained engagement of stakeholders.
	• SIP/AIP emphasizes improvement of educational outcomes that include holistic development of children.	• SIP/AIP meets Divisional/ Regional / National performance standards on learning outcomes.	• SIP/AIP surpasses National / Regional / Divisional performance standards; Division/ Region / National plans and programs are based on SIPs/AIPs.

	• Stakeholders are informed, consulted, and engaged in SIP/ AIP formulation, implementation, and monitoring and evaluation.	• Stakeholders are informed, consulted, and engaged in SIP/ AIP formulation, implementation, and monitoring and evaluation and are satisfied with school performance.	• Stakeholders are informed, consulted, and engaged in SIP/AIP formulation, implementation, and monitoring and evaluation and are jointly accountable for school performance.
	• SIP/AIP implementation is regularly tracked and reported with necessary corrective measures undertaken.	• SIP/AIP implementation is benchmarked (with leading practices) and undertakes innovations and improvements.	• SIP/AIP implementation is geared towards achieving exemplary performance and institutionalized benchmarking and continuous improvement processes.
	• Best practices are identified, documented and shared among peers.	• Best practices are replicated.	• Best practices are institutionalized.

Matrix of SBM Dimensions by Scale of Practice

SBM Dimension	Level I (Standard)	Level II (Progressive)	Level III (Mature)
4. School Improvement Process ***(continued)***	• Resources and funds (MOOE) are linked to SIP/AIP targets and allocated to meet minimum educational cost requirements (e.g., per capita per student).	• Resources and funds are augmented with LSB and community contributions and allocated to meet desired educational outcomes.	• Resources and funds are sustained by LGU and community partners through supplemental budget and community equity.
	• A system of incentives and rewards (and positive discipline for underperformance) based on performance contract (between SGC and DepED) is piloted to promote school improvement process and children's well-being..	• A system of incentives and rewards (and positive discipline for underperformance) based on performance contract (between SGC and DepEd) is established with DepEd and stakeholder support to sustain school improvement process and children's well-being.	• A system of incentives and rewards (and positive discipline for underperformance) based on performance contract (between SGC and DepEd) is institutionalized with DepEd and stakeholder support to sustain school improvement process and children's well-being.
	• A system of technical assistance (policy support, institutional strengthening, and training) is installed for continuous school improvement process and children's well-being.	• A system of technical assistance (policy support, institutional strengthening, and training) is strengthened for continuous school improvement process and children's well-being.	• A system of technical assistance (policy support, institutional strengthening, and training) is optimized for continuous school improvement process and children's well-being.

Matrix of SBM Dimensions by Scale of Practice

SBM Dimension	Level I (Standard)	Level II (Progressive)	Level III (Mature)
5. School-Based Resources	• Annual School Budget (ASB) (e.g., DepED MOOE) is aligned with SIP/AIP.	• Annual School Budget (DepED MOOE + SEF+ community contributions) is aligned with SIP/AIP.	• Annual School Budget (DepED MOOE + SEF + community contribution and LGU supplemental budget + grants/ loans) is aligned with SIP/AIP.
	• School manages and controls funds/ resources with Division Office assistance (review and ap-	• School manages and controls funds/ resources with Division Office technical guidance.	• School fully manages and controls funds/ resources.
	• ASB is executed in accordance with guidelines.	• ASB is executed with efficiency and cost effectiveness.	• ASB is executed with best practices and innovations resulting in improved school performance.
	• ASB results in attainment of targets and desired outcomes.	• ASB results surpassed targets and desired outcomes.	• ASB results in sustained excellent performance.
	• School is properly informed of MOOE allocation / MOOE is published and drilled down to schools in cash.	• School MOOE allocation is augmented with LSB and community contributions to meet desired educational outcomes.	• School budget is sustained and institutionalized by LGU and community partners through supplemental budget and community equity.
	• School undertakes school-based procurement with Division Office assistance.	• School undertakes school-based procurement with Division Office guidance.	• School undertakes own school-based procurement including IMTEX, furniture, and equipment, School Building Program (SBP) subject to DepED-wide guidelines.

SBM Dimension	Level I (Standard)	Level II (Progressive)	Level III (Mature)
	• DepED representative to the LSB is knowledgeable of SIP priorities.	• DepED representatives to the LSB ensure that SEF budget priorities support SIP/AIP and reflect increased number of educational resources (e.g. classrooms, textbooks, teacher items, equipment, teachers/school personnel welfare).	• DepED representatives to the LSB monitor and influence SEF for sustained support to SIP/AIP.
	• MOOE funds made available to the school are recorded, optimally utilized, reported & accounted for.	• All resources and funds made available to the school are recorded, optimally utilized, reported and accounted for.	• All resources and funds made available to the school are recorded, optimally utilized, reported and accounted for.

Matrix of SBM Dimensions by Scale of Practice

SBM Dimension	Level I (Standard)	Level II (Progressive)	Level III (Mature)
6. School Performance Accountability (performance is monitored, validated, evaluated and reported)	• School introduces transparency and accountability mechanisms.	• School exercises transparency and accountability in carrying out its functions.	• School is fully transparent and accountable.
	• Monitoring and Evaluation (M/E) system is installed and operational (e.g. data and reports are used in continuing improvement).	• Performance and results-based M/E system is fully operational and utilized in planning.	• Stakeholders and school jointly develop and implement multi-sectoral and multi-dimensional M/E system with innovations.
	• Major stakeholders (SGC, PTCAs, Schools Division Superintendent, Regional Office, LSB) are informed and participate in M/ E and reporting.	• All stakeholders fully participate in M/ E and reporting activities.	• Stakeholders hold themselves accountable for school performance.
	• Quarterly school performance (student and teacher performance) is monitored and evaluated by SGC.	• Quarterly and annual school performance (e.g. SRC) are monitored and evaluated by community stakeholders.	• School performance is presented, published and validated through community satisfaction surveys.
	• Improvements in learning outcomes by Grade/Year level are monitored and evaluated by homeroom and tracked per student/subject.	• Improvements in learning outcomes by Grade/Year level are monitored and evaluated on school-wide basis.	• Improvements in learning outcomes are tracked for benchmarking with other SBM schools.

Administration of the SBM Practices Assessment

The tool on pages 39-70 contains indicators regarding the six (6) dimensions of SBM Practices shown in Table 2. Each indicator has required pieces of evidence of the level of SBM practices. Each SBM dimension is to be responded to by a different group of school stakeholders who arrive at a group answer through a consensus.

The Table on page 20 provides the list of SBM dimensions and the intended respondents for each dimension.

The administration of the ***"SBM Assessment Instrument"*** is divided into 3 stages:

Stage1: The Orientation of School Head/s;
Stage 2: Responding to the Instrument by the School Stakeholders; and
Stage 3: Focused Group Discussion.

Instructions are provided in three parts, one for each stage. Topics are presented following the flow of the administration of the assessment instrument. The processes the school head must undergo in the conduct of the assessment are found in the succeeding pages.

Table 2: Dimensions of SBM

SBM Dimension	Respondents
SBM 1. School Leadership	**School head** **Assistant to the school head / head teacher/s / Grade chair / Department head**
SBM 2. Internal Stakeholders	**Parent association representative** **Teacher association chair** **Head of student council / organization**
SBM 3. External Stakeholders	**Parent association representative** **LGU/Barangay chair / representative** **SGC chair/representative** **Chair of any other active groups involved in the school (e.g. NGOs, alumni association**
SBM 4. School Improvement Process	**School head** **Parent association representative** **Teacher association chair** **Head of student council**
BM 5. School-Based Resources	**School head** **Person in charge of school funds** **(e.g. school budget officer/supply officer)** **SGC chair/representative** **PTA chair/representative** **LGU/Barangay chair/representative**
SBM 6. School Performance Accountability	**School head** **Parent association representative** **Teacher association chair** **Head of student council** **SGC chair/representative** **LGU/Barangay chair/representative**

STAGE 1: School Head's Orientation

This stage is initiated and managed at the division level to equip the school head with the skill on how to administer the assessment.

Objectives: This stage aims to ensure that school heads:

1. understand SBM, particularly the dimensions, levels and practices;
2. appreciate the intent of the SBM assessment;
3. understand all the terms used in the instrument;
4. learn the process of administering the instrument;
5. know the scoring process as well as determine the level of SBM practice of the school; and
6. know the manner of reporting the results to the division office.

STAGE 2: Responding to the Instrument by the School Stakeholders

PHASE 1: Orientation of School Stakeholders as Respondents

The orientation focuses on the SBM Assessment, its context, objectives and procedure. The school head takes the lead role in orienting the stakeholders who shall serve as respondents to the assessment. Respondents must be thoroughly oriented on the concepts of SBM, the purpose of the assessment as well as the process that they will undergo in the assessment. It should also be an opportunity to advocate the objectives of SBM to the school stakeholders to help them become aware of their roles in the governance of the school.

PHASE 2: Actual Inventory

This phase is the time for the various respondent groups to collect pieces of evidence and respond to the instrument for each indicator. This process of evidence collection and inventory may take more than one day. It must be clear to the respondents what evidence are being asked for. It is highly recommended that the respondents be allowed sufficient time to perform the inventory. Emphasize the need to collect the concrete proof required for each indicator.

In this phase, the respondents are on their own in performing an inventory of the required evidence and accomplishing the instrument. It is quite important for the school head to allow them to access specific school documents that are reflected in the instrument. In some instances, the respondents may opt to do some interviews to validate their results.

Policies on Evidence

1. Evidence must be presented to the stakeholders before a check mark is placed on the appropriate box.
2. Evidence/s must be the one being asked for.
3. No evidence, no check mark even if the school has been doing it.

PHASE 3: Summarizing the Stakeholders' Responses

This is a session on summarizing the results of the inventory with the stakeholders for each dimension. A Focused Group Discussion (FGD) is suggested to discuss experiences in the process of the assessment: the search for the pieces of evidence, the identification and verification of the pieces of evidence and how the instruments were used and responded to. The FGD also aims to reach a consensus on the different responses made by the respondents on the different dimensions and to determine the specific help/assistance the school needs to be fully prepared to move to the next level of SBM Practice.

Responsibilities of the School Head in the Assessment

1. Read, review and understand the instrument.
2. Invite stakeholders listed on page 20 to serve as respondents to the assessment tool found on pages 37 to 70.
3. Orient school stakeholders on the assessment.
4. Lead in the inventory of evidence and prepare all the evidence required for the assessment.
5. Set a date with school stakeholders for the assessment that includes inventory of evidences.
6. Conduct focused group discussion.

Sample Script of the Orientation to the Stakeholders for the School Head

a. The Department of Education is requesting schools to conduct an assessment on School-Based Management (SBM) practices in all schools nationwide. This is through the auspices of the Basic Education Sector Reform Agenda (BESRA).

b. An instrument has been prepared for the assessment. (Refer to pp. 39-70) Respondents are school stakeholders, representatives of the students, teachers, LGU, PTCA and other active individuals in the school.
c. The instrument has indicators found on the top of the Table of each page. Below the indicators are pieces of evidence that are required. The box provided for on the left side of the evidence statement can only be checked if there is an evidence to support it. Put a check mark on the box provided for only when the correct evidence is provided, presented and scrutinized.
d. I (the School Head) shall be requesting specific stakeholders to be the main respondent to a specific dimension. (School head now distributes instrument to the different groups of stakeholders).
e. As you (the Stakeholders) gather, select a facilitator from among yourselves. The facilitator leads the group and reads out the indicator followed by the evidence asked for.
f. Any of the group member may show the evidence to the group. Every member will scrutinize the evidence and determine if the evidence shown is the one asked for. If so, the facilitator will put a check mark on the box provided for.
g. The facilitator will go through all the statements for evidence in one particular column from top to bottom in a particular level before moving to the next column or level.
h. Once the tool has been completely answered, the check mark will be counted downwards. Review to determine whether a check mark is in the box corresponding to the evidence that is present / currently seen in the school. Leave a box unmarked if the evidence is not currently present, i.e. no document supports the claim.

i. All the checked boxes shall be counted per column one after the other.
j. Scores of the number of check mark will be placed for each dimension.

STAGE 3: The Focused Group Discussion (FGD)

Once the instrument is fully accomplished and scores have been computed, the school head calls on all respondents to a focused group discussion.

Points for discussion in the FGD

1. The school head presents the total score to the stakeholders.
2. He/She points out to stakeholders at what level the school is in, in terms of SBM Practices as a result of the assessment.
3. He/She highlights area/s where the school has much evidence to show and congratulates the school stakeholders.
4. He/She then focuses on the weak points of the school as a result of the assessment and leads a discussion with stakeholders in finding out why the school is weak in such a particular area.
5. He/She leads the discussion in finding out what facilitating factors led to achieving successes in certain areas of SBM practices and what hindering factors caused such weaknesses.
6. He/She proceeds in the FGD and leads the discussion asking the stakeholders in what areas the school must focus on to strengthen SBM practices in the school.
7. He/She writes down the responses on the board. Should the respondents have difficulties in answering questions on SBM practices, the instrument will be used as jump off point and guide in the FGD. Looking at indicators and evidence statements, the school head asks probing questions to stakeholders.
8. The following focus questions may be used to generate ideas:

- What needs to be done to obtain a check mark on the indicator?
- What concrete steps and actions do we have to take?
- What support or help is needed to get a check mark?
- Where do you think will you be able to obtain the support or help required?
- What support can you give the school and me, as your school head, in order to effectively practice SBM?
- What actions can be taken by us to promote SBM practices in our school?

Template 2 on SBM Practices Assessment Result found on page 32 is used to help the stakeholders put together and organize their responses as a result of the FGD.

Table 3. The Number of Items per Dimension

Dimension School Leadership	Level 1	Level 2	Level 3
Dimension 1 School Leadership	28	35	49
Dimension 2 Internal Stakeholders	23	28	38
Dimension 3 External Stakeholders	27	15	18
Dimension 4 School Improvement Process	31	27	25
Dimension 5 School-Based Resources	17	18	21
Dimension 6 School Performance Accountability	23	14	19
TOTAL	**149**	**137**	**170**

Template 1

The Scoring Template :

DIMENSION	LEVEL 1		LEVEL 2		LEVEL 3	
	ITEMS	SCORE	ITEMS	SCORE	ITEMS	SCORE
Dimension 1 **School Leadership**	29		35		49	
Dimension 2 **Internal Stakeholders**	23		28		38	
Dimension 3 **External Stakeholders**	27		15		18	
Dimension 4 **School Improvement Process**	31		27		25	
Dimension 5 **School Resources**	17		18		21	
Dimension 6 **School Performance Accountability**	23		14		19	
	150		**137**		**170**	
	Total Score Divided by total no of items Multiplied by 100		**Total Score** Divided by total no of items Multiplied by 100		**Total Score** Divided by total no of items Multiplied by 100	

Scoring Formula:

$$\textbf{Level of SBM Practice} = \frac{\text{Total score}}{\text{Divided by total number of items}} \times 100$$

Level of School in SBM Practices

To determine at what level the school is in, the instrument will be collected by the school head and arranged in correct order from dimensions 1 to 6. In the presence of the stakeholders, the school head will count all check marks by level.

The scoring template will then be used. Put the score of each indicator beside the total number of items in each dimension. Add all the scores of each dimension in each level. Get the total of the scores from dimensions 1 to 6. Divide it by the total number of items of that level then multiply it by 100. That is the rating of the school for that level.

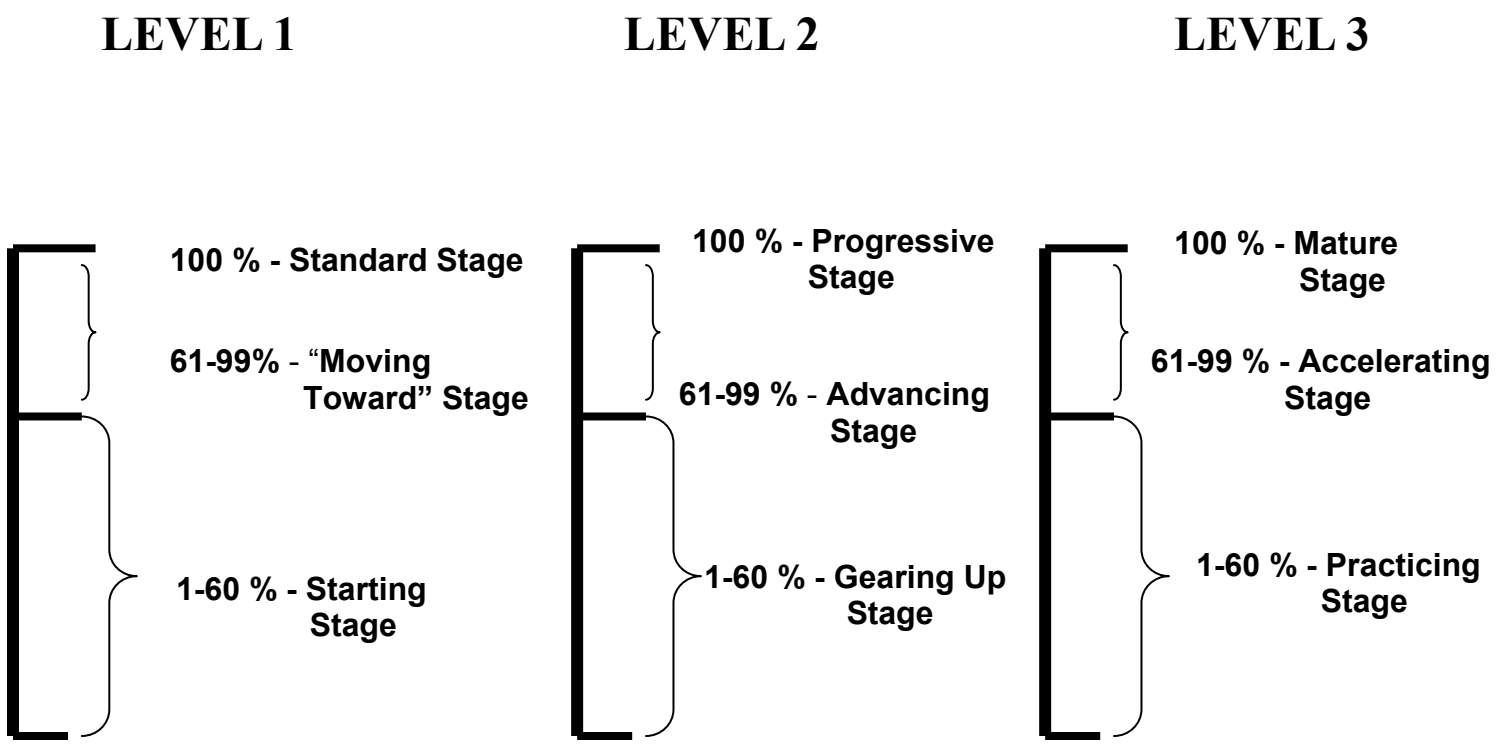
When the school gets 100% in Level 1, the school has achieved the "**Standard"** level. This means that all necessary steps, inputs and activities have been achieved by the school. Should the number of check marks be between 61-99 %, then the school is in the **"Moving Towards"** stage. If the rating of the school is between 1–60%, the school is in the **"Starting"** stage.

The school is encouraged to complete Level 1 first before trying to respond to and comply with pieces of evidence for Levels 2 and 3. THE SCHOOL, HOWEVER, IS NOT PREVENTED FROM ASSESSING ITS LEVEL OF SBM PRACTICE IN ALL THREE (3) LEVELS AT ONE TIME IF IT PERCEIVES ITSELF TO BE IN POSSESSION OF PIECES OF EVIDENCE IN THE THREE LEVELS OF SBM PRACTICE. HOWEVER, NO SCHOOL CAN QUALIFY FOR LEVEL 3 OF SBM PRACTICE IF, IN THE FIRST PLACE, IT HAS NOT OBTAINED A RATING OF 100% IN LEVELS 1 AND 2 .

Once the school has completed and satisfied Level 1, "**Standard"** level, the school can now proceed to Levels 2 and 3 assessment. If the school gets a rating of 100% in Level 1, it is in the "**Standard**" level of SBM practice. If it obtains a rating of 100% in Level 2, it is considered to be in the **"Progressive"** stage**.** A rating of 61 to 99% places the school in the **"Advancing"** stage while a rating of 1 to 60% puts the school in the **"Gearing Up"** stage.

For Level 3, the school is in the "**Mature Stage"** when it has a rating of 100%. It is in the "**Accelerating Stage"** when the school has a rating of 61 to 99% and in the "**Practicing Stage"** when it has the rating of 1 to 60%.

Below is a an illustration of the stages of the different levels.



Utilization of the Results

The assessment results will be utilized by the different offices of the Department in providing the appropriate technical assistance needed by schools to move to the next level.

For the School Level

Assessment results will primarily be the basis for the school's plan of action. Looking into the specific dimensions/indicators where the school was marked "**X**", the stakeholders can plan for appropriate strategies or measures to improve the identified area (s) .

The Template on SBM Practices Assessment Result (Template 2) shows the activities, the assistance needed and the courses of action to be undertaken by the schools after the SBM Assessment. The school then provides a consolidated listing of these courses of action/activities to the division for the technical assistance needed.

School Heads must make sure that the activities identified and the SBM Practices Assessment Result Template are reflected in the SIP then translated into concrete actions in the Annual Improvement Plan (AIP). For SBM areas that can not be addressed within a year, this will also be plotted in the three-year Work and Financial Plan of the SIP.

Having a clear grasp of the technical requirements necessary to implement the SIP/AIP provisions, the School Head should exhaust all means to avail of the technical assistance from the Division Office.

Template 2
SBM Practices Assessment Result
School: _____

Level of SBM Practices: _____

Address: _____ **Division: _____**

Date Submitted to the Division SBM Coordinator: _____

Name of Division SBM Coordinator: _____

SBM Dimension	Indicator	Actions to be Taken	Time Frame	By Whom	Resources Needed (Human and/or material)

For the Division Level:

The SBM Assessment result provides the statistical picture as to how many schools are in different levels of SBM practices. Below are the steps to be undertaken by the Division:

- The Division SBM Coordinator takes the lead in the consolidation of the summary of answers from all schools in the division.
- The Division identifies the trend as to which dimension/s needs strategic plan of action.
- It looks into the list of activities submitted by each school that requires technical assistance from the division.
- It develops a Work Plan (Template 3) to address the identified dimension that needs immediate action. To be included in the Work Plan are the following:
    - Dimensions that need to be Addressed
    - Objectives and Outputs
    - Strategic Courses of Action/s
    - Persons/Units Responsible for Desired Outputs

Below is a sample Work Plan:

SAMPLE TREND: 80 % of the schools in the division scored lowest in SBM Dimension 4: Write the Indicator(s)

- The Division incorporates the Work Plan shown in Template 3 into the DEDP and furnish the Region a copy of this.
- The Division prioritizes the school(s) for project implementation with corresponding budget allocation and provide technical assistance in areas needed.

*(*The Template below is an example)

Template 3: **Division Work Plan for the Provision of Technical Assistance to Schools**

Dimension	Objective	Output	Strategic Response	Time Frame	Unit/Person Responsible	Resources Needed (Human and/or Material)
• School Improvement Process	• Develop and disseminate guidelines on establishing SGC	• Guidelines and procedures in establishing SGC	• Obtain standards from RO/CO • Conduct consultation with various stakeholders group • Task Force to develop, disseminate/orient and monitor establishment of SGC.		• SDS Office • SGC Task Force (e.g. District Supervisors)	
	• Support schools in developing quality SIPs	• Mechanism to appraise quality of SIP • SHs trained on SIP development	• Develop SIP Review Mechanism • Establish Division Appraisal Committee (DAC) • Organize Training of Trainers • Organize SIP Training Mgt. Team • Obtain funding support		• Planning Officer • SIP Training Task Force	

For the Regional Level

The SBM Assessment Results may be used as basis for making policy recommendations/proposals to support the courses of action in the division and school levels.

For DepED Central Office Level

The Central Office will study proposed recommendations from the Regions and formulate the necessary policies to support the courses of action implemented in the field for sustainability.

The Assessment Instrument

SBM 1.1 The school head:
Has an appointment

☐ Designation by the SDS

Attested appointment (CSC)

Plantilla (DBM)

Is aware of his/her basic roles and responsibilities in school improvement	**Assumes responsibility on school performance and is accountable for it**	**Is being accountable to school stakeholders**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Documents showing attendance in induction and/or orientation on basic leadership and management roles of the school head ☐ School Annual Improvement Plan document	☐ Accomplishments based on the school Annual Improvement Plan (AIP) ☐ Report on the Evaluation of Teacher Performance ☐ Records on the dissemination and analysis of NAT/RAT/DAT results and other school performance indicators	☐ Records on the dissemination / reporting of AIP review results ☐ Publication of the accomplishment of the Annual Improvement Plan review ☐ Records of actions taken based on analysis of NAT/RAT/DAT results and other school performance indicators to improve school performance ☐ Minutes of meetings with school stakeholders on school targets reflecting performance evaluation results

SBM Dimension 1: SCHOOL LEADERSHIP

SBM 1.2 The school head: Has attended SBM-related trainings	**Practices and pursues shared instructional leadership and management functions**	**Expands shared leadership practices that positively influence learning outcomes**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
Has attended: ☐ Basic SBM Training ☐ SIP/AIP Training ☐ Annual School Budget (ASB) Training ☐ Fiscal Management training ☐ ICT related training	☐ Staff development program based on National Competency-Based Teacher Standards (NCBTS) and the results of Teacher's Strengths and Needs Assessment (TSNA) incorporated in the Individual Plan for Professional Development (IPPD) /SIP/AIP ☐ Records of coaching and mentoring by school head to teachers e.g. Individual Plan for Professional Development (IPPD) of each personnel, mentoring and coaching journal ☐ Minutes of meetings or documents of school-based workshops e.g. development of IPPD of each school personnel	☐ Records of mentoring and consultations with co-administrators ☐ Report on the results of *Innovative* supervisory programs applied ☐ Records on the institutionalized professional development for staff and other stakeholders ☐ Records on conflict management (from attending to minor school conflicts to its full resolution) ☐ Records of consultations with internal and external stakeholders on improving learning outcomes

	☐ Records of the conduct of INSET on curriculum enhancement and others(e.g. indigenization of the curriculum, development of worksheets, workbooks and others) ☐ Reports on the conduct of school or cluster-based trainings that respond directly to the Staff Development Program reflected in the SIP ☐ Supervisory plans reflecting "clinical supervision" methods ☐ Records of teachers/class observations with technical assistance ☐ Supervisory reports as a result of the application of "collegial supervision" methods ☐ Records of simple management tasks delegated to a committee (e.g. minutes of meeting)	☐ Records on delegation of critical functions like mentoring, coaching, monitoring and evaluation to teachers and stakeholders ☐ Result of NAT performance reflecting an increase or meeting national targets

SBM 1.3 The school head: Initiates organization of stakeholders	• **Acts as a resource on SBM (e.g. mentor/coach)** • **Co-operates with organized stakeholders**	• **Establishes effective work relationship with organized stakeholders to champion SBM for continuous school improvement**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Documents showing roles and responsibilities of each organized internal/external stakeholder group List of officers of Internal Stakeholders: ☐ Student organization ☐ Parent organization ☐ Teacher organization List of officials of External Stakeholder group: ☐ LGU ☐ Local organizations ☐ Records of meetings/orientation on roles & responsibilities of each internal / external stakeholder group	Records of training and orientation on SBM provided by School Head to: ☐ Internal stakeholders ☐ External stakeholders Records of regular meetings on SBM with: ☐ Student Organization ☐ Parent Organization ☐ Teacher Organization ☐ LGU ☐ Local Organizations	Records of training/learning opportunities for school improvement provided by the school head to: ☐ Student Organization ☐ Parent Organization ☐ Teacher Organization ☐ LGU ☐ Local Organizations ☐ Certificates of recognition/appreciation of SH as resource person on SBM to various fora ☐ Records/ Documents of the institutionalization of best practices on SBM ☐ Records of SBM advocacy activities conducted by the school ☐ Records of SBM benchmarking done by the school head / management ☐ Records of activities on awarding or recognizing SBM champions/advocates

SBM Dimension 1: SCHOOL LEADERSHIP

SBM 1.4 The school head: Initiates the installation of the required SBM mechanisms/systems	**Manages SBM mechanisms/ systems and engages stakeholders' participation in the required mechanisms/systems**	**Institutionalizes SBM system through shared leadership**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
Organized teams and list of membership per team: ☐ Management Information System (MIS) ☐ SIP-School Planning Team ☐ INSET Mechanism ☐ M&E Mechanism ☐ Financial Management System ☐ School Staffing System ☐ Records of orientation on SBM systems and organizational set up of school teams	**Records on the implementation of the following:** ☐ Management Information System (MIS) ☐ School Improvement Planning (SIP) system ☐ Budget and Resource Management (BRM) system ☐ School Staffing system ☐ School Performance M&E system ☐ Teachers welfare system ☐ INSET mechanism	**Records of innovations done to improve the:** ☐ Management Information System (MIS) ☐ SIP system ☐ Budget Resource Management system ☐ School Staffing system ☐ Performance M&E system ☐ Others, (Pls. specify)_____

	☐ Minutes of meetings reflecting the participation of stakeholders to school target setting activities ☐ Minutes of meetings reflecting participation of school stakeholders in evaluation or review activities of the school ☐ List of completed SIP/AIP-related projects and programs led by the school head and co-implemented with stakeholders ☐ Minutes of meetings regarding planning of projects initiated by stakeholders ☐ Records of positive feedback on level of satisfaction from stakeholders regarding efficiency of school systems	☐ Documentation of best practices on school management ☐ Record on agreements with stakeholders on implementation of long-term school projects/programs ☐ Updated list of completed projects and programs led, implemented and reviewed by School Head with stakeholders ☐ Progress reports of projects led and implemented by stakeholders ☐ Minutes of regular consultation meetings with the School Governing Council (SGC) ☐ Copies of resolutions passed by the Local School Board (LSB) that directly support the SIP/AIP ☐ Copies of resolutions passed by the School Governing Council (SGC) that directly support the SIP/AIP ☐ Reports on stakeholders perception on school leadership ☐ Records on community stakeholders volunteers in school programs/ projects/ activities ☐ Records of improvement in school performance indicators ☐ Records on SBM benchmarking done by the School Head

SBM Dimension 1: SCHOOL LEADERSHIP

SBM 1.5 The school head: Performs fund management duties	**Delegates financial tasks and devotes more attention to instructional leadership and supervision**	**Acts as fund manager and devotes more attention to instructional leadership and supervision**
STANDARD Level 1:	**PROGRESSIVE Level 2:**	**MATURE Level 3:**
Records of resource generation from the different sources: ☐ MOOE ☐ LSB /SEF ☐ Adopt-a-School ☐ Donations ☐ Income generating projects ☐ PTA support ☐ Others, (Pls. specify) _____	☐ Memo designating a school personnel to perform financial-related tasks ☐ Record of cash flow aligned to AIP ☐ Required financial report prepared by the school head or financial staff ☐ Record showing school head devoting more time on instructional leadership e.g. classroom observation, instructional consultancy, mentoring, coaching, etc.	☐ Documents showing alignment of funds utilization to SIP/AIP ☐ Documents showing budget is demand-driven and/or responding to urgent needs of the school ☐ Positive financial performance reports prepared by duly authorized personnel under the supervision of the school head ☐ Financial reports prepared adhering to budgeting, accounting and auditing guidelines ☐ Published financial statement and distributed to school community stakeholders ☐ COA's Audit Report ☐ Revised staff development program of the school reflecting the TSNA results, school performance results and consolidated IPPDs ☐ Records on teachers' application of knowledge and skills learned from training e.g. demonstration lessons, lesson plans, and others ☐ Records on the conduct of school or cluster-based training programs on improving classroom instruction/management ☐ Records of trainings / learning opportunities provided to / attended by school personnel align to their IPPD ☐ Records of SBM benchmarking done by the school head or management

SBM Dimension 2: **INTERNAL STAKEHOLDERS:**

SBM 2.1 **Pupils/Students; Teachers; Parents: are aware of their rights and responsibilities as primary stakeholders**	• **Exercise their rights and fulfill their responsibilities as primary stakeholders** • **Support SBM**	▪ **Are active co-leaders of the school and assume shared accountability for their performance** ▪ **Are champions of SBM**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
Report on the conduct of orientation regarding their rights, roles and responsibilities as stakeholders: ☐ Pupils/Students ☐ Teachers ☐ Parents Copies of the following: ☐ Pupils/Students Handbook ☐ Magna Carta of Teachers/DepEd Service Manual ☐ Provisions on Parents roles and responsibilities found in DepEd Service Manual/Education Act of 1982	Records showing participation in the development and implementation of the SIP/AIP: ☐ Pupils/Students ☐ Teachers ☐ Parents Minutes of the meetings showing feedback and suggestions for school improvement: ☐ Pupils/Students ☐ Teachers ☐ Parents	Records of participation in the adjustments / modification of the SIP/AIP by: ☐ Pupils/Students ☐ Teachers ☐ Parents Records of activities implemented, monitored and reported to all stakeholders by: ☐ Pupils/Students Organization ☐ Teachers Association ☐ Parents Association ☐

Existence of School Organizations(name of organization and list of officers)

- ☐ Pupils/Students
- ☐ Teachers
- ☐ Parents
- ☐

Constitution and by-laws:

- ☐ Pupils/Students
- ☐ Teachers
- ☐ Parents

Minutes of the meetings on school improvement:

- ☐ Pupils'/Students' Organization
- ☐ Teachers' Association
- ☐ Parents' Association

Records of consultations concerning student performance (learning and behavior):

- ☐ between students and teachers
- ☐ between parents and teachers

Records showing feedback about teacher performance from:

- ☐ Pupils/Students
- ☐ Parents

Progress report on school activities co-implemented with:

- ☐ Pupils/Students Organization
- ☐ Teachers Association
- ☐ Parents Association
- ☐

Records of assemblies / committee meetings on school improvement projects undertaken by:

- ☐ Pupils/Students Organization
- ☐ Teachers Association
- ☐ Parents Association

Status reports on projects/programs and their contributions to the improvement of learning outcomes led and managed by:

- ☐ Pupils/Students Organization
- ☐ Teachers Association
- ☐ Parents Association

Records of outstanding performance/ achievement/award of excellence, model of good behavior of:

- ☐ Pupils/Students
- ☐ Teachers
- ☐ Parents

Results of school-initiated survey showing level of satisfaction on school performance by:

- ☐ Pupils/Students
- ☐ Teachers
- ☐ Parents
- ☐

Regular issues of school publications led by:

- ☐ Pupils/Students Organization
- ☐ Teachers Association
- ☐ Parents Association
- ☐

SBM Dimension 2: **INTERNAL STAKEHOLDERS: TEACHERS**

SBM 2.2 Teachers are trained on curriculum, content and pedagogy.	**Pursue continuing professional development**	**Hold themselves accountable for student performance and positively influence learning and school outcomes**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Report on training needs analysis ☐ Report on trainings attended	☐ Record on the utilization of NCBTS based TSNA results in developing IPPD ☐ Copy of IPPD based on NCBTS ☐ Report on the number of INSET programs attended aligned with the SIP/AIP ☐ Report on Self Improvement Training based on school head observation checklist/guide	☐ Report on the implementation of IPPD as contained in SIP/AIP ☐ Report on self-initiated professional development based on IPDP ☐ Record of attendance to Masters /Doctorate /Diploma programs ☐ Certificate of membership to local or international professional organizations (e.g. MTAP, PASATAF, TOP, RAP, ASCED, WCCI) ☐ Records of teaching learning observation checklist or guides showing learning gains in instruction among students ☐ Records of remediation/enrichment activities or other programs provided to students based on their needs

SBM 2.3 Teachers apply knowledge, process skills and instructional innovations acquired from participation in trainings.	Transfer/share learnings to peers	Hold themselves accountable for student performance as co-leaders and co-managers in school
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Lesson plan showing the application of methodologies learned ☐ Documents on utilization of Instructional materials, reference books, workbooks, lesson exemplars, etc. ☐ Records of teacher observation results showing improvement in teaching/learning process ☐ Records of evaluation results showing increased student performance	☐ Report showing increased mentoring/coaching activities ☐ Certificates received as resource person/demo teacher/trainer ☐ Documents of best practices showcasing mentoring/coaching ☐ Record on the level of satisfaction by peers ☐ Records of collaborative/integrative planning, team-teaching, etc.	☐ Records on managing the conduct of INSET ☐ Publication / journals / papers/ research work of good practices on mentoring and teaching focused on results ☐ Records of innovations introduced in the class ☐ Record of increased achievement test results and other performance tests (e.g. school, division, regional, national levels) Record of class performance: ☐ Drop-out ☐ Achievement rate ☐ Record on improved performance rating by immediate supervisor ☐ Records of institutionalized effective teaching-learning practices for improved pupil/student performance ☐ Trophy/ other award/ citations such as "Model/Outstanding Teacher "(division, region, national)

SBM 2.4 **Parents *a*ssume responsibilities as partners in the learning process.**	**Co-manage and co-monitor learning process**	**Are held accountable for the performance of their children**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Records/journals of parents' visit/participation in interventions e.g. reading program, feeding program and others ☐ Records of parent-volunteers as teacher aides, para teachers, tutors, remedial teachers, etc.	☐ Records of interventions/projects co-managed by parents ☐ Committee membership in monitoring school performance ☐ Records on donations that enhance pupil/student achievements	☐ Records of activities initiated by parents and reported to stakeholders ☐ Self-assessment of parents on the assistance provided to their children ☐ Evaluation report on the positive impact of parent-led programs / projects to learning outcomes ☐ Records of institutionalized practices on parental involvement for the improvement of pupil/student performance ☐ Awards/citations given to outstanding parents

SBM Dimension 3: EXTERNAL STAKEHOLDERS

***SBM 3.1* External stakeholders: Have a clear and common understanding of their rights, responsibilities and functions in school improvement**	**Exercise their rights and fulfill responsibilities as education stakeholders**	**Share in the responsibility and accountability towards students learning outcomes**
STANDARD Level 1:	**PROGRESSIVE Level 2:**	**MATURE Level 3:**
Records of attendance to SBM orientations by the following stakeholders : ☐ Local School Board (LSB) / LGU/ Barangay Council ☐ Alumni/Youth Group ☐ Retirees/Elders ☐ Professionals /Barangay Health Workers/ Traditional Birth Assistants ☐ Religious Groups/ Church leaders or ministers ☐ Non-government Organizations / Cooperatives/ Church Organizations ☐ School Governing Council ☐ Others, (Pls. specify. e.g. Farmers' Group, Fisherfolk's Group) _____	Records of : ☐ Consultation session/s with other stakeholders regarding feedback on performance (learning and behavior) ☐ Participation of external stakeholders in SIP implementation	Reports on: ☐ Status of programs/ projects assisted/initiated by external stakeholders (i.e. contributions towards attainment of SIP/AIP objectives) ☐ Involvement of external stakeholders in the monitoring and evaluation of SIP implementation ☐ Involvement in the development of school improvement policies and procedures which are consistent with the School Vision, Mission, Goals and Objectives

SBM Dimension 3: **EXTERNAL STAKEHOLDERS**

SBM 3.2 **External stakeholders: School Community are organized to support/implement SBM**	**Expand school-wide support for implementation of SIP priority programs and projects**	**Support for continuous school improvement institutionalized**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
Existence of organizations (name of organization and list of officers) ☐ Alumni/Youth Group ☐ Retirees/Elders ☐ Professionals / Barangay Health Workers/ Traditional Birth Assistants ☐ Religious Groups / Church leaders or ministers ☐ Non-government Organizations / Cooperatives/ Church Organizations	☐ Records of participation in setting of learning targets ☐ Records of commitment to support school programs ☐ Records of participation in improving performance indicators ☐ Records of participation in school facilities development plan and policies on student behavior	☐ MOA/MOU for long term support for school improvement ☐ Evaluation report on the impact of external stakeholder-led programs / projects to learning outcomes ☐ Records of stakeholder groups' multiyear implementation of a long term plan/programs ☐ Minutes of consultative assemblies or other participatory decision making activities **led** by external stakeholders

☐ School Governing Council ☐ Others, (Pls. specify . e.g. Farmers' Group, Fisherfolk's Group))_____ Minutes of the meeting/s on school improvement: ☐ Alumni//Youth Group ☐ Retirees/Elders ☐ Professionals /Traditional Birth Attendants/ Barangay Health Workers ☐ Religious Groups / Church leaders or ministers ☐ Non-government Organizations / Cooperatives/ Church Organizations ☐ School Governing Council ☐ Others, (Pls. specify. e.g. Farmers Group, Fisherfolk's Group)_____		

SBM Dimension 3: EXTERNAL STAKEHOLDERS

SBM 3.3 **External stakeholders: Are mobilized to support SBM and the implementation of the SIP**	**Are organized to participate in the implementation of the SIP/AIP**	**Organize themselves to create a community environment to support SBM in particular and Basic Education in general**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Reports/records of meetings/orientation of external stakeholders on SIP/AIP and its implementation ☐ Work plans of external stakeholders aligned to the SIP/AIP ☐ Reports/records of meetings/orientation on other possible school community partnerships	Documents to validate participation of stakeholders in local initiatives to support SBM and SIP implementation: ☐ Classroom-based initiatives ☐ Grade/year level initiatives ☐ School-based initiatives ☐ Alternative learning program initiatives ☐ Progress report on programs and projects participated in by external stakeholders	☐ Existence of an intra-organizational MOU/MOA to continuously support school improvement programs ☐ Existence of an M&E system to improve intra-organizational linkages ☐ Records showing impact of intra-organizational linkages on school improvements ☐ Organized stakeholders champion on Basic Education Records of stakeholder involvement in: ☐ Initiated school improvement projects ☐ Strong SBM advocacy programs ☐ Stakeholder involvement in the school ☐ Monitoring and Evaluation system

SBM Dimension 3: EXTERNAL STAKEHOLDERS

SBM 3.4 **External stakeholders: Local Government stakeholders are fully aware of their roles and responsibilities**	**Local government stakeholders expand support for educational subsidies through LSB and other sources**	**Local government stakeholders institutionalize LSB support for SBM practices**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Report/records of meetings/orientation/training/briefing of Local Government stakeholders on their duly recognized roles and responsibilities related to SBM ☐ Report on/records of participation of local government unit in the development of the SIP/AIP	☐ Records of consultations/meetings with other stakeholders regarding resource planning ☐ Certificates of attendance in LSB meetings ☐ Records of SIP priorities linked with the SEF allocation ☐ Report on voluntary support of LGUs to schools	☐ Progress reports on long-term school improvement program/s funded by the SEF ☐ Record of alignment of the SEF multi-year allocation to the SIP/AIP ☐ An evidence of commitment of LGU/LSB long term support: e.g. Resolution, MOA, Memorandum of Understanding (MOU), etc.

SBM Dimension 4: **SCHOOL IMPROVEMENT PROCESS**

SBM 4.1 School conducts assessment of SBM practices using assessment tool.	**Conducts Periodic assessment of SBM practices using assessment tool**	**Institutionalizes assessment of SBM practices using assessment tool**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Accomplished self-assessment guide on SBM practices ☐ Analysis of SBM assessment results ☐ Data on school performance indicators gathered ☐ Analysis of school data against National Standard ☐ Records on the trend analysis of results on the assessment of SBM Practices submitted to the Division for provision of technical assistance	☐ Reports / results of periodic assessment of SBM practices ☐ Adjusted SIP/AIP based on results of assessment of SBM Practices ☐ Records of improvement in levels of SBM practices as a result of technical assistance received ☐ Records of actions taken by school head in improving SBM practices in the school	☐ Report on conducted assessment of SBM practices using assessment tools recognized by the region/division management ☐ Records of utilization of SBM assessment results in benchmarking with regional/national standards ☐ Assessment results showing progress in SBM practices

SBM 4.2 School Governing Council Is organized.	**Supports continuous school improvement process**	**Demands and champions continuous school improvement process**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ List of officers with roles and responsibilities ☐ Constitution and by-laws ☐ Code of Conduct ☐ Operating procedures ☐ List of committees with roles and responsibilities	☐ List of projects and activities identified by SGC for support Records of SGC participation in: ☐ SIP/AIP preparation ☐ Implementation ☐ Monitoring ☐ Evaluation Policies developed by SGC on: ☐ SIP/AIP preparation ☐ Implementation ☐ Monitoring ☐ Evaluation ☐ Copy of the SGC resolution accepting and supporting the SIP	☐ Minutes of Meetings on the involvement of SGC on school governance matters (policy making) ☐ Minutes of annual meetings / assemblies led by the SGC to report progress vis-à-vis the SIP/AIP ☐ SGC Annual Report with inclusion of SIP/AIP progress report ☐ Copy of the proposed adjustments for the AIP ☐ List of "School Governance" policies adopted by the school ☐ Records of the membership of the SGC in various SIP committees ☐ Documents on the involvement of the SGC in the revision of SIP and adjustments of AIP

SBM 4.3 The school has: Knowledge-based and participatory SIP/AIP formulation	**SIP/AIP regularly tracked, reported and updated/revised for continuous school improvement**	**SIP/AIP implementation geared towards achieving exemplary performance, institutionalized benchmarking and continuous improvement process**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Documents/Records showing School Planning Team (SPT) leading the development of the SIP/AIP The SIP has the following basic contents: ☐ School and community profile ☐ Situational analysis that is data driven (based on School MIS) ☐ School vision, mission, goals and objectives ☐ Priority Improvement Areas ☐ Work and Financial Plan	☐ M&E reports ☐ Existing SIP/AIP revised/updated by the SPT in consultation with stakeholders ☐ Records of school performance continuously improving ☐ Action Research/Project Proposal for school continuous improvement ☐ Action Research/Project Proposal implemented	☐ Advocacy plan of stakeholders geared towards achieving exemplary performance ☐ Documents showing school performance analyzed, disseminated and recommendations acted upon ☐ SIP/AIP includes research-based programs/projects for continuous improvement of school performance ☐ School performance benchmarked with other schools in the division ☐ Analysis report of the action research and/or project proposal ☐ Report on implemented action research and/or project proposal that improved school outcomes

☐ Records of involvement of stakeholders in SIP formulation ☐ Document on implementation structure The AIP has the following contents: ☐ Priority Improvement Areas for the current year ☐ Objectives ☐ Programs, projects or activities ☐ Resource requirement ☐ Time Frame ☐ Amount and sources of funds		

SBM Dimension 4: **SCHOOL IMPROVEMENT PROCESS**

SBM 4.4 Stakeholders are informed, consulted and engaged in SIP/AIP formulation and implementation.	**Stakeholders' increased involvement in the implementation and monitoring of the SIP/AIP**	**SIP/AIP formulation and implementation sustained with engagement of stakeholders**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Records of involvement of stakeholders representatives in the SIP/AIP formulation ☐ Records of involvement of stakeholders representations in the SIP/AIP implementation	☐ Records of stakeholders involvement in the SIP/AIP implementation review ☐ M & E report on SIP/AIP implementation	☐ Stakeholders (PTA and others, etc.) work plan aligned to SIP ☐ Records of institutionalized involvement of the stakeholders in the school improvement process through pledges of commitment, MOA, MOU, Resolutions, etc. ☐ Record of advocacy efforts to promote the SIP either through tri-media e.g. print, radio, TV, internet; linkaging with possible donors to fund priority programs/projects of the SIP

SBM Dimension 4: SCHOOL IMPROVEMENT PROCESS

SBM 4.5 Performance-based Incentives and Rewards System for pupils/students and teachers installed in school and supported by the SGC	**Performance-based Incentives and Rewards System support school improvement process**	**Institutionalized Incentives and Rewards System**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
Guidelines on Incentives and Rewards System for: ☐ Pupils/students ☐ Teachers ☐ Results of pilot implementation on the guidelines on Incentives and Rewards System ☐ Revised guidelines on incentives and rewards system implemented	☐ Performance contract between SGC and School in accordance with the guidelines on Incentives and Rewards System ☐ Records of incentives/rewards granted ☐ Report on monitoring and evaluation on Year 1 implementation linking incentives and reward system to school improvement process	☐ Policy document adopting Performance-based Incentives and Rewards System ☐ Records on the continuous implementation of the Performance-based Incentives and Rewards System ☐ Documents showing Performance-based Incentives and Rewards System adopted by other schools

***SBM 4.6 The school* emphasizes improvement of school outcomes**	**School meets Division/Region/National performance standards on learning outcomes**	**School surpasses Division/Region/National performance standards**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ SIP/AIP implementation attained the goals and objectives relevant to school performance indicators	Report on school performance indicators meeting standards of the: ☐ Division ☐ Region ☐ National	Report on school performance indicators surpassing the standards set by the: ☐ Division ☐ Region ☐ National

SBM Dimension 5: **SCHOOL–BASED RESOURCES**

SBM 5.1 The school: **Has an Annual School Budget (ASB) aligned with the Annual Improvement Plan (AIP)**	• Has an ASB augmented by the Local School Board (LSB) funds and other sources from the community and other agencies ▪ Has additional funding from the community and other agencies	▪ Has an ASB with regular funding from LSB ▪ Has an ASB with additional funds from grants and other income generating projects
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ ASB submitted and reviewed by the Division Office ☐ ASB reflecting Maintenance and Other Operating Expenses (MOOE) and other sources of funding for AIP programs/projects ☐ Procurement plan aligned with ASB ☐ ASB submitted to DepEd Division representative (SDS or District Supervisor) to the LSB ☐ Records of representation/advocacy for LSB support to SIP/AIP made by DepEd representative	☐ DepEd LSB representative submitted and strongly advocated support for SIP/AIP ☐ LSB/SEF Budget reflecting fund support for AIP projects ☐ Records of resources/ funds received from LGU and other sources	☐ LSB resolution creating a SIP support fund and making such fund a regular item in LSB/SEF Budget ☐ LGU Ordinance (city/municipal/barangay) augmenting funds for SIP/AIP implementation ☐ MOA/MOU on regular grants from other sources ☐ Grants received by schools as a result of the proposal for school improvement activities ☐ Investments for school improvement from income-generating projects

SBM Dimension 5: **SCHOOL–BASED RESOURCES**

SBM 5.2 The Annual School Budget (ASB) resulted in the attainment of school targets and desired learning outcomes	**ASB resulted to learning outcomes surpassing school targets**	**ASB resulted in sustained excellent performance**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
ASB supported interventions/ programs/projects attained school targets on: ☐ Enrollment ☐ Drop Out Rate ☐ Retention Rate ☐ Completion Rate ☐ Achievement Level	ASB supported Interventions of programs/projects surpassed school targets: ☐ Enrollment ☐ Drop Out Rate ☐ Retention Rate ☐ Completion Rate ☐ Achievement Level ☐ Monitoring data showing judicious execution of ASB	ASB supported interventions or programs/projects met national targets: ☐ Enrollment ☐ Drop Out Rate ☐ Retention Rate ☐ Completion Rate ☐ Achievement Level ☐ ASB is executed with best practices and innovations ☐ Documentation of best practices on fund management ☐ Records of satisfaction of internal and external stakeholders on fund management

SBM 5.3 The school manages and controls funds with minimal fiscal authority/autonomy.	**Has substantial fiscal authority/autonomy**	**Has full fiscal authority/autonomy**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Records on utilization of downloaded school MOOE with assistance from Division Office ☐ Division Memo granting School Head minimal signing authority on financial transactions ☐ School Memo designating fiscal staff ☐ Designated fiscal staff trained on bookkeeping and disbursement processes	☐ Plantilla item for at least one fiscal staff ☐ Records on utilization of downloaded school MOOE with guidance from Division Office ☐ Division Memo granting School Head increased signing authority on financial transactions	☐ Direct release of Personnel Services (PS) and MOOE to school covered by DEPED/DBM orders or circular ☐ Documents granting School Head full signing authority ☐ Plantilla item for complete fiscal staff (accountant/bookkeeper and cashier/disbursing officer)

SBM 5.4 **The allocation is:** **Optimally utilized and disbursement of funds is aligned to SIP/AIP/ASB and recorded, reported and accounted for.**	**Optimally utilized and disbursement of funds is systematically recorded, audited and reported/published**	**Optimally utilized and disbursement of funds is systematically recorded, audited and reported/published**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Records of needs analysis (SIP identified programs and projects) undertaken ☐ Records of simple accounting (O.R.,RER, expenses receipts, other supporting documents to vouch transactions) of MOOE and other sources of funds submitted ☐ Annual Procurement Plan prepared and submitted	☐ Financial statements showing that MOOE and other sources of funds fully utilized according to ASB ☐ Basic required books of accounts prepared and maintained by a fiscal staff School Financial Reports ☐ • accounted for ☐ • submitted/reported to authorities on time ☐ • published ☐ Procurement plan implemented	☐ Financial statements showing that MOOE and other sources of funds fully utilized according to ASB ☐ Complete required books of accounts prepared and maintained by duly appointed fiscal staff ☐ Books of Accounts and all financial transactions properly audited ☐ Analysis of financial statement ☐ Implementation of procurement plan sustained

SBM Dimension 6: **SCHOOL PERFORMANCE ACCOUNTABILITY**

SBM 6.1 The school: ▪ **Has mechanisms for transparency and accountability** ▪ **Has installed and operationalized Monitoring and Evaluation System**	▪ **Exercises transparency and accountability for school performance** ▪ **Fully operationalizes a performance and results-based M & E system**	**Has a fully functional M&E system participated in by stakeholders**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
Documents showing monitoring and evaluation tools on: ☐ Implementation of SIP/AIP ☐ Tracking of student performance ☐ Tracking of teacher performance ☐ SGC operations ☐ Fund management	Records of School M&E tools utilized in the: ☐ Implementation of SIP/AIP ☐ Tracking of student performance ☐ Tracking of teacher performance ☐ SGC operations ☐ Fund management	☐ Revised and improved M&E tools and mechanisms ☐ Records of participation by stakeholders in the revision and improvement of M&E tools ☐ Records of participation by stakeholders in the conduct and utilization of the improved M&E system and its tools ☐ Documents of M&E findings used as basis for adjustments of the SIP/AIP ☐ Institutionalized use of the student performance tracking system

Guidelines on: ☐ Monitoring and Evaluation ☐ Transparency and Accountability ☐ M&E reporting system ☐ Committees organized involving internal and external stakeholders in M&E ☐ Reports on briefing/orientation on transparency and accountability conducted	☐ Records of implementation of School M&E activity as planned and scheduled ☐ Records of stakeholders participation in the conduct of M&E ☐ Records of student performance generated through the student tracking system ☐ M&E results jointly analyzed and reported by school personnel and stakeholders	☐ Institutionalized use of the teacher performance tracking system ☐ Records on the institutionalization of the M&E system

SBM Dimension 6: **SCHOOL PERFORMANCE ACCOUNTABILITY**

SBM 6.2 **The school informs and involves major stakeholder in the monitoring and evaluation.**	**Allows stakeholders to fully participate in monitoring and evaluation and reporting activities**	**Publishes validated school performance**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
Records of reports and information provided to the: ☐ Superintendent ☐ LSB ☐ PTA ☐ SGC ☐ Others, (Pls. specify) _____ Records of involvement of the: ☐ Division officials ☐ LSB ☐ PTA ☐ SGC ☐ Others, (Pls. specify) _____	Records of school led meetings/ assemblies with the school stakeholders regarding reporting of school monitoring and evaluation results which includes: ☐ School Report Card ☐ SIP/AIP implementation	Records of validation of school performance reports (including validation proceedings) ☐ M&E validation instrument ☐ Client Satisfaction Surveys ☐ Records of SGC doing quarterly tracking and evaluation of student performance ☐ Records of SGC doing quarterly tracking and evaluation of teacher performance ☐ Records of SGC doing annual tracking and evaluation of school performance

SBM 6.3 The school: **Monitors and evaluates improvements in student performance indicators per class, per student, per subject**	**Monitors and evaluates improvements in student learning outcomes and other performance indicators on a school-wide basis**	**Benchmarks school performance with National and International standards**
STANDARD **Level 1:**	**PROGRESSIVE** **Level 2:**	**MATURE** **Level 3:**
☐ Documents of targets on school performance indicators (enrolment, retention rate, cohort survival rate, completion rate and student achievement) are disseminated to internal and external stakeholders ☐ Classroom level tracking of student learning outcomes ☐ Organized documents on tracking of school performance indicators	☐ Records of periodic assessment of students achievement (tests) ☐ Accomplished school BEIS reports ☐ Compilation of assessment tools used and results	☐ Records of analysis of school performance vis-à-vis DepEd standards ☐ Records of continuous improvement of student learning outcomes and other performance indicators ☐ Records showing readiness for accreditation at the local and international levels ☐ Documentation of Best Practices ☐ Reports on benchmarking/replication of best practices ☐ Records of participation of school in various seminars/meetings/school visits to share best practices ☐ Records of endorsement by the Division on replication of best practices by other schools

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