

Implementing Guidelines of the Revised SBM Framework, Assessment Process and Tool (Draft as of August 6, 2012)

A. Background

The implementation of the Governance of Basic Education Act of 2001 (RA 9155) 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. In recognition of this, the department launched the School-Based Management, then the Schools First Initiative (SFI), to empower the school and its community stakeholders to effectively address access and quality issues in basic education. Subsequently, a more comprehensive package of policy reforms known as Basic Education Sector Reform Agenda (BESRA) was launched in 2005, to sustain and expand the gains of SFI through School-Based Management (SBM).

Along with teacher education development, national learning strategies, quality assurance and monitoring and evaluation, and organizational development, SBM was identified as one of the key reform thrusts (KRTs) under BESRA which is envisioned to effect improvements at the school level.

Since then, several enabling policies on SBM were formulated under the different KRTs which includes establishment of School Governing Councils (SGCs), Conduct of Assessment of the Level of Practice, School Improvement Planning (SIP) and reporting of accomplishments through School Report Cards (SRCs). These policies were supported by a budget line item in the General Appropriations Act (GAA) for installation of SBM in all the public elementary and secondary schools.

All these helped lay the foundations for SBM models to emerge at the field level with varying degrees of stakeholder involvement.

B. Rationale

The review mission reports of DepEd's development partners cite that while most of the schools implemented SBM as reflected in the increase in number of schools with SIP, those receiving grants and MOOE on time, and those who conducted SBM assessment, systemic issues were noted in the operationalization of policies and guidelines at the field level. Among these are:

- Unrealistic targets and inappropriate strategies in the SIPs of many of the schools visited; too much focus on the 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 learning environments for, and the peculiar issues they are confronting;
- Across the four project Missions, it was observed that there are more schools with School Report Cards than School Improvement Plans which reflects a disconnect of these two SBM processes.
- There is a possibility that the SBM Assessment process may be reduced to "bean counting" that over-emphasizes the collection of prescribed 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.
- While DepED reports that 100% of school heads in many divisions had been oriented on SBM, their practical understanding of the concept is not as palpable.

These findings indicate that the system is beset with problems particularly in terms of stakeholders' appreciation and understanding of SBM. In the assessment process for example, the focus was narrowed to complying with the documents in the SBM Checklist leading to accounting for quantitative scores only to assess the level of practice. Thus practices which may be qualitatively different such as behavior and attitude towards SBM implementation which are not evidenced by a document are

precluded from the assessment. This created the mentality of forging participation that do not extend beyond tokenism and established a façade of ideal practices that is only evident during appraisal visits.

Further, the field visits showed that although most schools have SIPs, these were generally done for compliance rather than used internally to aid planning and to identify priorities. For instance, plans and activities for INSET, health and nutrition, Brigade Eskwela, SBM grants projects were not reflected in the SIP or in the Annual Improvement Plan (AIP). Although there were schools found to have successfully integrated all these and used it effectively in the development of interventions/programs for specific issues at the school level, these differing practices imply that there is a strong need to revisit the implementing policies of SBM to ensure that these are effectively interpreted and utilized at the school level.

All these insights drawn from the emerging models of SBM supported by the department and its development partners point also to the need for a new discourse on “school” as a concept where we managed learning without alienating other situations or practices where learning is taking place. Hence, the needed paradigm shift in education governance, from being school-centered to community- and child- (learner) centered and towards enhancing the principle of shared governance to support the stewardship of children’s learning outcomes.

It is also imperative in the review and refinement of SBM to account for the evidence 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 woven into or integrated in the structure and processes of organizational change.

It is along these views that SBM as a reform thrust has been revised and broadened for the following reasons:

- 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;
- 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;
- 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 the field implementers, the department through the SBM-TWG conducted a series of consultation and validation activities to revise the SBM framework, assessment process and the assessment tool.

C. 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. In that series of meetings, the SBM-TWG with Technical Consultants agreed that in order to have a systematic review of the tool, the SBM framework and standards should be revisited first taking into consideration all the perennial issues confronting the entire implementation of SBM such as those mentioned above. The group then proceeded to lay down the detailed plan for the review and revision.

Step 1: Review of Issues in SBM implementation. This involved review of existing policies already issued to operationalize SBM and the review of the Aide Memoire from the Review Mission Reports of World Bank containing the findings on how these policies were implemented at the field level.

Based on the review, the SBM-TWG deemed it necessary to gather more data from different regions, divisions and schools of different typologies to beef up the findings of the Mission and have a more comprehensive basis for the review.

Step 2: Focus-Group Discussion/Two-level Consultations on the SBM Framework, Standards and Assessment Tool.

Level 1: Five regions at five divisions each

Level 2: Five divisions at eight (8) schools of different typologies per division involving at least five stakeholders per school

The findings validated the issues reflected in the Mission Reports such as data gathering-focused rather than utilization, over prescription of documents, too many indicators some of which are beyond the control of the school and the tool not reflective of the typology of school. In addition, the FGD raised critical issues in the process: the absence of standards by which to measure true implementation of SBM, the capacities of the division to validate the level of SBM practice, lack of understanding on the roles of SGC and Parents-Teachers Association (PTAs).

Step 3: Content Validation of the SBM Framework, Standards and Assessment Tool. Based on the feedback from the FGD, the SBM-TWG and selected field practitioners conducted the content validation in Iloilo in March 2012, through the a) review and reformulation of framework based on agreed principles and subsequently, b) review of the assessment tool and corresponding processes and procedures.

Based on the consolidation of the 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 change which means from a state of immaturity to maturity, a state of being nurtured to a state of being capable to nurture and from a state of uniformity to recognizing differentiated practice of governance and effectiveness ;
- b) it is decentralized which means the school head or the school authorities in general gradually share the power & control to other stakeholders; and
- c) it is self-empowered which means there is increasing capacity for internal locus of control.

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

Based on this, the group developed the following set of SBM standards:

- Collective or A network of leadership that rallies/engages the stakeholders with shared vision to improve learners' outcome;
- Empower stakeholders in collaborative decision-making for continuous improvement of learning outcome;
- Design and contextualize curriculum responsive to the needs of the learner and relevant to local and societal demands. Utilize appropriate teaching-learning strategies to impact learning;
- Collaborative processes that utilize data to make informed decisions directed to improve learning feoutcomes;
- Mobilizes/generates and manages resources collaboratively, judiciously, and with transparency.
- There is in place a transparent accountability system collectively developed by stakeholders, that monitors expected and actual performance, and helps address the gaps.
- Incentives and rewards are granted for meeting accountability requirements and appropriate sanctions for not meeting

Step 4: Meeting of SBM-TWG Members, Indigenous Peoples' (IP) Education and PASBE Core Groups to refine the outputs of the Content Validation. The SBM-TWG, IP education and PASBE Core Groups with the technical consultant further discussed the outputs of the content validation and revised the standards and indicators for pilot testing.

Step 5: Field Validation of the 1st Draft of the SBM Assessment Tool conducted in approximately 120 schools of different typologies in 16 divisions in eight (8) regions. To ensure validity of results, the tool was tested in different types of schools.

Qualitative Findings

- The SBM Assessment Tool is better than the old one as this does not require specific document to support as evidence for all indicators;
- The SBM Assessment Tool is comprehensive, applicable in all the localities, and a user-friendly tool. Hence, it is commended that this tool will be used to assess the SBM implementation of the school;
- The SBM Assessment Tool is substantial and very informative tool. It provides complete information in gathering the data of the school, hence this tool is recommended for implementation to the field;
- Include indicators that will measure the impact of School Governing Council.

Quantitative Findings

A psychometrician was hired to do the ff: 1. determine instrument validity (content validation); 2. determine instrument reliability through measurement validity (internal consistency using Cronbach's alpha), Split-haft reliability and Inter-rater validity (Pearson's).

Step 6: 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 the venue to:

- launch the *ACCESSs – A Child- and Community – centered Education System* which is the “core value” in making education more relevant and child-centered, increasing access and quality, and strengthening partnerships with community stakeholders; and
- design a seamless framework for SBM-IP Ed-PASBE complementation and harmonize standards, implementation strategies, performance indicators, and measures as well as target outcomes;

In the said writeshop, the agreements made were:

- The workshop outputs will be turned over to the DepED Technical Working Group for finalization, after which a Memorandum will be issued to regional offices for the roll out.
- Existing planning tool e.g. SIP, may still be used in the regions but must consider the community and child-centered principles. Even if a Memorandum on the moratorium of trainings will be issued, necessary planning processes may be continued.
- The adoption of Community Education Implementation Plan/Community Education Development Plan strategies will be continued in pilot region, while revisions are under way to integrate culture sensitivity concepts and to align the strategies with the ACCESSs' principles.
- Discussions on specific guidelines based on the revised indicators have been started by the SBM and PASBE groups. The indicators for non-school learning communities are still being refined for turn over to the TWG for final review and consolidation with the revised SBM indicators. The revised indicators will be studied further by PDED to synchronize these with the Unified Planning and M&E System.

- Emphasis is placed on the need to be practical in setting indicators for rural areas, as communities may not be equipped to meet set standards, or have different standards set by the community. Workshop outputs intend to encompass various settings but indicators may vary.
- Workshop participants are cautioned to let SBM model evolved and developed from the learning experience of communities that respond to their changing needs and to the changing demands of their environment.
- It is proposed that a continuum of typologies of non-school learning communities be determined and advocated for recognition; while the revised SBM indicators will serve as basis for the accreditation of schools.
- It is proposed that “SBM” be changed to “LCBM” (Learning Community-Based Management).
- A memo on ACCESSs roll out is expected to be issued within the ensuing weeks, but the regions are encouraged to conceptualize and start their own advocacy plans upon their return to their stations.

Step 7: Series of SBM-TWG Meetings to review and finalize the SBM Assessment Tool (02, 25, & 26 July 2012). In the July 2 meeting, the participants formulated descriptors for each scale of practice (0-3) for all indicators identified under the four ACCESSs principles on Leadership and Governance, Curriculum and Learning, Accountability and Continuous Improvement and Management of Resources.

The outputs were then routed to all Regional Offices and development partners for review and comments. All comments were consolidated and evaluated during the July 25 SBM-TWG meeting whether to adopt and incorporate the said descriptors to the revised SBM Assessment Tool.

Step 8: Operational Try-out of the Revised SBM Assessment Tool and the Implementing Guideline. During the operational try-out, the practitioners are enjoined to review basic principles, protocol in administration of the tool and reflect as a team to examine whether the school system (unit of analysis) in their context is ready in terms of basic requirements implied in ACCESSs. The practitioners are advised not to rush the assessment process and use the tool to guide through the improvement process. When all basic requirements or expectations are in place, start the self-assessment process and subsequently submit for the validation exercise.

The series of skills-building workshop conducted August 2012 is one of the many venues created for dialogue, sharing and consultation to finalize the assessment process and tool. Appropriate monitoring and evaluation mechanism will be installed to generate forward-feedback useful for further improvement of the tool.

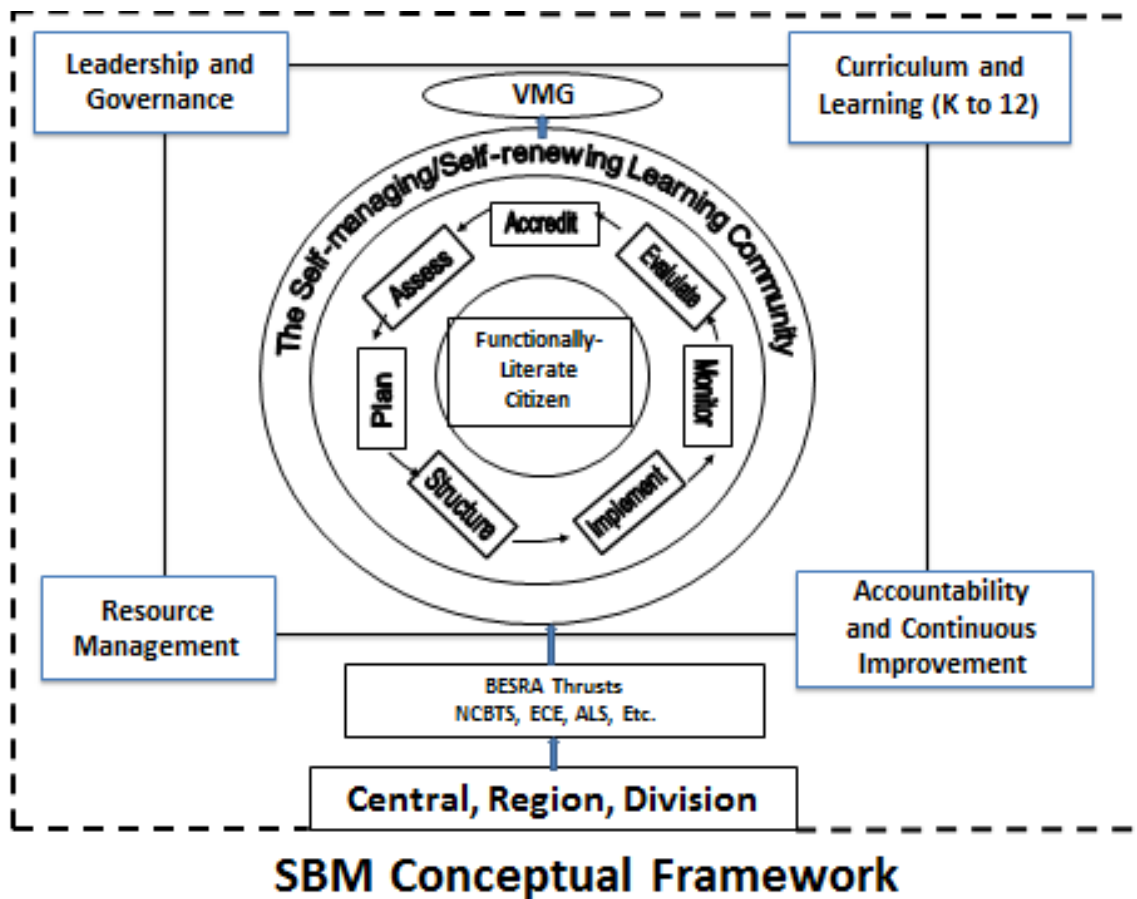
Regional Task Forces are expected to provide technical assistance to all divisions to capacitate the Division Task Force who will serve as validators. Meanwhile, there will be a training program for the Principals to re-tool them on basic competency requirements in implementing the revised SBM in the context of ACCESSs.

D. The Revised SBM Framework

The Conceptual Framework

The framework 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.



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 ACCEs principles on leadership and governance, curriculum and learning, resource management and accountability for higher learning outcomes.

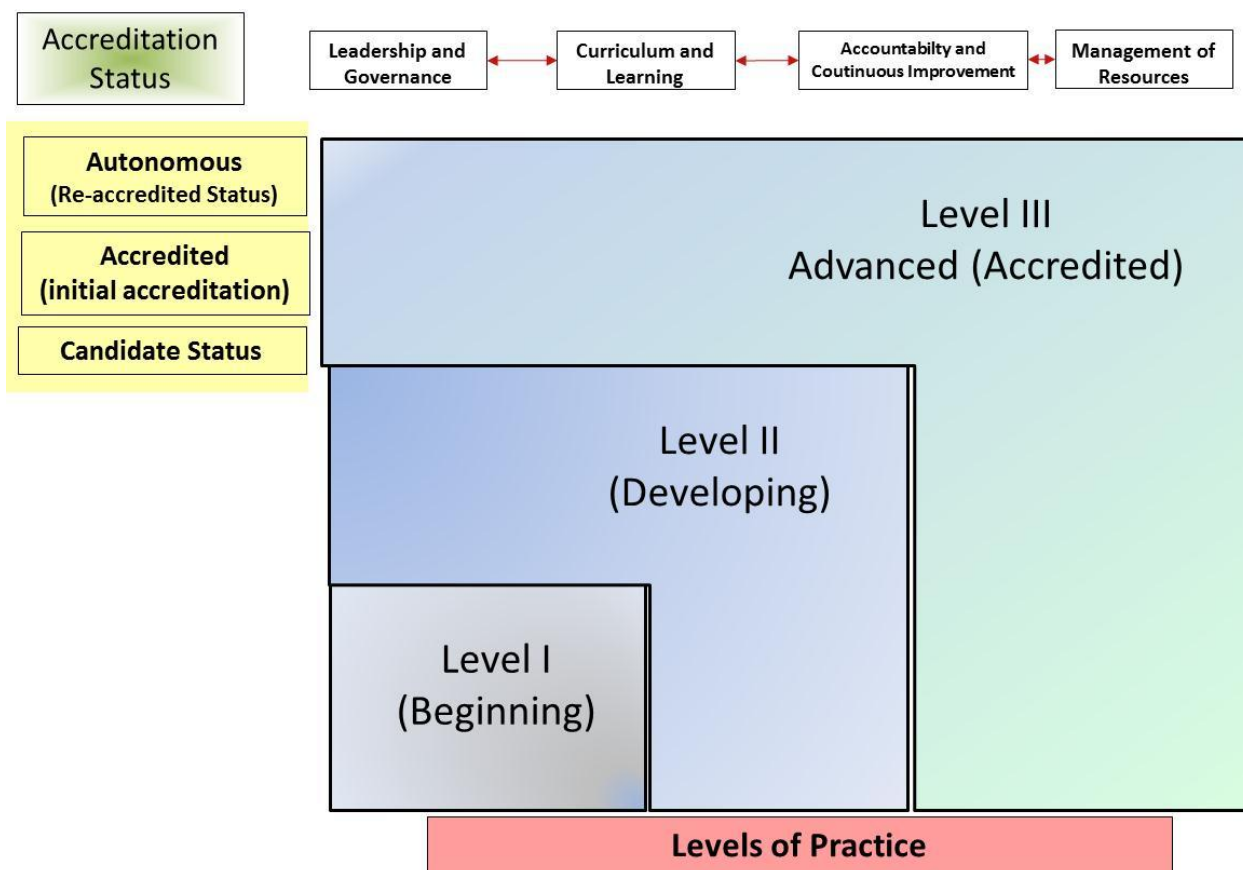
The Central Regional and Division Offices provide technical, professional and administrative support and also oversee that policies are being observed, standards are being met and programs are being implemented.

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 SBM- PASBE Operational Framework

The Operational Framework 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.



SBM-PASBE Operational Framework

Three key components are presented: (1) guiding principles of the assessment system, (2) indicators of SBM practices, and (3) school accreditation.

The Four ACCESSs principles guide the assessment of the indicators of practice and the accreditation process.

Each 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 **beginning, developing or advanced (accredited level)**. 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.

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.

E. The Revised SBM Assessment Process

Purpose of the assessment. SBM Assessment may be conducted by the school to determine its level of practice and identify its best practices. It may be conducted by the Division to:

- a. to get a division profile of SBM implementation;

- b. to identify schools that need assistance and those with best practices for benchmarking by other schools; and
- c. to validate assessment results of a requesting school.

Basic Steps in the Assessment Process

Step 1: Organize a team of at least ten members, five (5) teachers and five (5) community. The eight shall compose the group who shall obtain and validate evidence. One shall be elected as team leader, and the other as team secretary.

Step 2: Let team members select the 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 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 documenting 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, analyze 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 to 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.

Validation Procedure: Using DOD to Validate Evidence of SBM Practice.

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.

What is DOD? It is an acronym for Documentary Analysis Observation, and Discussion- three essential steps in evaluating the validity of an evidence of an SBM practice. Below are the steps:

1. Conduct Documentary 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.

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.

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.

Synthesize the results of the documentary 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. But are these being practiced? There is a need to obtain process evidence to answer the question.

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 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 a team arrive at a consensus on the level of practice of the indicator being assessed, and indicate it in the scale with a check mark (✓) in the appropriate box. Continue the process until all the 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. 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 ACCEs 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.

F. The Revised SBM Assessment Tool

The Revised School-Based Management (SBM) Assessment tool is guided by the four principles of ACCEs (A Child- and Community- Centered Education System). The indicators of SBM practice were contextualized from the ideals of an ACCEs school system. The unit of analysis is the school system, which may be classified as **beginning, developing 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; and d) learner-centeredness and the scoring instructions.

Users. The users of the following tools are: a) internal stakeholders – teachers and school heads; and b) external stakeholders – learners, parents, LGU, Private Sector and NGO/PO.

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, what rating to 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 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;
 - 10% increment: 25 points
 - 20% increment: 50 points
 - 50% increment: 100 points
 - 40% according to the validated practices using DOD
 - 0.00 - 0.50: 25 points
 - 0.51 – 1.50: 50 points
 - 1.51 – 2.50: 75 points
 - 2.51 – 3.00: 100 points
12. The resulting score will be interpreted as:
 - Level III: 150-200 points
 - Level II: 149-100 points
 - Level I: 99 and below

Description of SBM Level of Practice

The resulting levels are described as follows:

Level I: BEGINNING - Establishing and developing structures and mechanisms with acceptable level and extent of community participation and impact on learning outcomes.

Level II: DEVELOPING - 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.

Recognition and Incentives

To accelerate the implementation and reward best practices, the revised SBM practice approaches assessment using systematic recognition and incentives program in terms of higher grant, capital outlay and performance-based bonus.

G. Effectivity

The provisions in this guideline shall be effective immediately and continue to be unless amended.