Enhanced 2015

THE SCHOOL IMPROVEMENT PLAN (SIP) GUIDEBOOK



KAGAWARAN NG EDUKASYON
REPUBLIKA NG PILIPINAS

Acknowledgement

The Department of Education wishes to thank all DepEd Officials and personnel who gave their valuable feedback on this enhanced SIP Guidebook. Their comments made the enhanced SIP more responsive to schools and aligned to the thrusts of the Department. Also worth recognizing are the efforts of the previous SBM Technical Working Group under the Basic Education Sector Reform Agenda (BESRA) who led the development of the 2009 SIP Manual and the Office of Planning Service (OPS) who worked on its initial enhancements in 2013, including all the schools that participated in field testing. Truly, the enhancements were made possible because of the hard work and dedication of these groups and individuals.

This Department would also like to thank the United Nations Children's Fund (UNICEF) in the Philippines for extending its expertise and resources during the development of this Guidebook and its initial roll out. Schools that implemented the Continuous Improvement (CI) Program also deserve special mention because their experiences of success provided the tools necessary to improve the school planning process.

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DepEd Child Protection Policy	DO. No. 40 s. 2012
SBM Assessment	DO. No. 83 s. 2012
Early Registration	DO. No. 1 s. 2015
Results-Based Performance Management System	DO. No. 2 s. 2015
Student-Led School Watching and Hazard Mapping	DO. No. 23 s. 2015

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Definition of Terms

The following are the key concepts/terms found in this SIP Guide. In applying these concepts/terms, the user should bear in mind the following corresponding definitions:

Child labor	Employment of children in any work that (a) is mentally, physically, socially or morally dangerous and harmful to children, and (b) interferes with their schooling by depriving them of the opportunity to attend school, obliging them to leave school prematurely, or requiring them to attempt to combine school attendance with excessively long and heavy work.[1]
Children	Persons below 18 years old. In line with DO No. 40, s. 2012, the term also refers to those over 18 years old but unable to fully take care of themselves from abuse, neglect, cruelty, exploitation, or discrimination because of a physical or mental disability or condition.
Continuous Improvement (CI) Process	A methodology to continually assess, analyze, and act on the performance improvement of key processes and service delivery, focusing on both stakeholder needs and the desired performance.[2]
Continuous Improvement (CI) Projects	Projects that revolve around the continuous improvement of an identified school process and service delivery related to access, quality or governance, with the end view of improving learning outcomes.
Community	Barangay where the school is located. However, it may also be expanded to refer to the following: • Adjacent barangays where a significant number of children enrolled in the school come from • Municipality • City • Ancestral domain
Disaster Risk Reduction and Management (DRRM)	The concept and practice of reducing disaster risks through systematic efforts to analyze and reduce the causal factors of disasters. Reducing exposure to hazards, lessening vulnerability of people and property, wise management of land and the environment, and improving preparedness and early warning for adverse events are all examples of disaster risk reduction and management.[3]
Hazard map	A map illustrating the areas at risk of natural disasters such as sediment-related disasters, floods, tsunamis, storm surges, and volcanic eruptions. Hazard maps produced by municipal governments usually contain the following information in addition to the areas at risk of disasters: sketches of evacuation routes and shelters, evaluation of disaster possibility and frequency, a warning and evacuation system, and disaster-related basic information.[4]
Learner	An individual who attends classes in any level of the basic education system, under the supervision and tutelage of a teacher or facilitator.
Priority Improvement Areas (PIA)	Selected areas in school management, operations, and service delivery that need to be changed to improve the three key result areas in basic education: access, quality, and governance. A PIA is prioritized based on disparity with Division goals, strategic importance, urgency, magnitude, and feasibility.

[1] International Labour Organization. Note: For indigenous people, child-related activities that are part of their cultural and historical education-cum-learning are not considered as "child labor". For example, supporting/joining on-farm agricultural activities and related activities within their ancestral domain are considered as life-long education and learning. For the indigenous peoples and their children, their "real classroom" is their ancestral domain, since they considered an education continuum not just confined to the formal four-wall corners of a classroom.

[2] School Improvement Project Learning Guide

[3] United Nations International Strategy for Disaster Reduction (UNISDR)

[4] International Sabo Network

Process Owner/s	The concerned stakeholder/s – a person or group of people responsible for ensuring the efficiency of the process, who has the ability to make changes in the process and is/are highly involved in the project.[5]
Project Team	A school team that implements improvement projects, reports on project status, outputs and outcomes, and prepares and maintains project documentation and records.[6] The members of the Project Team are drawn from the community, teachers, and learners with at least one member coming from the SPT.
School-Community Planning Team (SPT)	A team composed of internal and external stakeholders organized for the purpose of identifying school concerns and issues, and strategically coming up with appropriate interventions through a collaborative process.
School Report Card (SRC)	A report that provides stakeholders a snapshot of the school's current condition and performance. It is a tool for advocating and communicating the school situation, context, and performance to internal and external stakeholders to involve them in making the school a better learning place for the learners.

[5] Basic Continuous Improvement Trainer's Guide
[6] Continuous Improvement Policies and Procedures Guide

Glossary of Acronyms

ADM	Alternative Delivery Mode
AIP	Annual Implementation Plan
ALIVE	Arabic Language and Islamic Values Education
ALS	Alternative Learning System
BC	Barangay Council
BDP	Barangay Development Plan
BDRRMC	Barangay Disaster Risk Reduction and Management Council
CBMS	Community-Based Monitoring System
CCA	Climate Change Adaptation
CFSS	Child-Friendly School Survey
CI	Continuous Improvement
DEDP	Division Educational Development Plan
DepEd	Department of Education
DRRM	Disaster Risk Reduction and Management
EBEIS	Enhanced Basic Education Information System
FGD	Focus Group Discussion
IP	Indigenous People
LGU	Local Government Unit
MOOE	Maintenance and Other Operating Expenses
NAT	National Achievement Test
NCBTS	National Competency-Based Teacher Standards
NGO	Non-Government Organization
OSC	Out-of-School Children
PAP	Programs, Activities, Projects
PHIL-IRI	Philippine Informal Reading Inventory
PI	Performance Indicator
PIA	Priority Improvement Area
PTA	Parents-Teachers Association
RPMS	Results-based Performance Management System
SBM	School-Based Management
SGC	School Governing Council
SIP	School Improvement Plan
SPT	School-Community Planning Team
SRA	Student-Led Risk Assessment
SRC	School Report Card
SWM	Solid Waste Management
SY	School Year
WASH	Water, Sanitation, and Hygiene

About this Guide

This guide is made with you – our school heads, teachers, school staff, and other school stakeholders – in mind. In crafting this guide, we consulted with planning experts and experts from the field – principals, supervisors, and teachers – to ensure that school improvement planning becomes easier and effective for you.

We hope that by improving our planning and implementation processes, our schools will also improve. In this guide we encourage you to first, listen to your learners and stakeholders and second, to base your plans on evidence – on quantitative data you have collected and qualitative data from interviews with your learners and stakeholders. We encourage you not to rush to the solutions. As they say, the planning is just as important as the plan. We believe that you know the context of your schools and learners better. Therefore, we trust that the best solutions will come from your efforts in determining the root causes of your own problems and from planning your activities well.

In following this guide, you will find that the SIP cannot be done without working in teams. We imagine that by building these teams, relationships within your school will be nourished and community spirit will be strengthened.

For those practicing the Continuous Improvement (CI) program, you will find that the tools used in the CI process are incorporated in this guide.

We created some features to help you follow the steps and activities:

- A process flowchart is made for your easy reference. It is found at the beginning of this guide (p.7)
- Group icons have been placed under each step or activity for you to know who is the team in-charge:







- All templates, worksheets, and other guides are written in bold and italics
- All notes are highlighted by placing it in boxes
- An output check is placed at the end of each activity for the team to take note of their deliverables

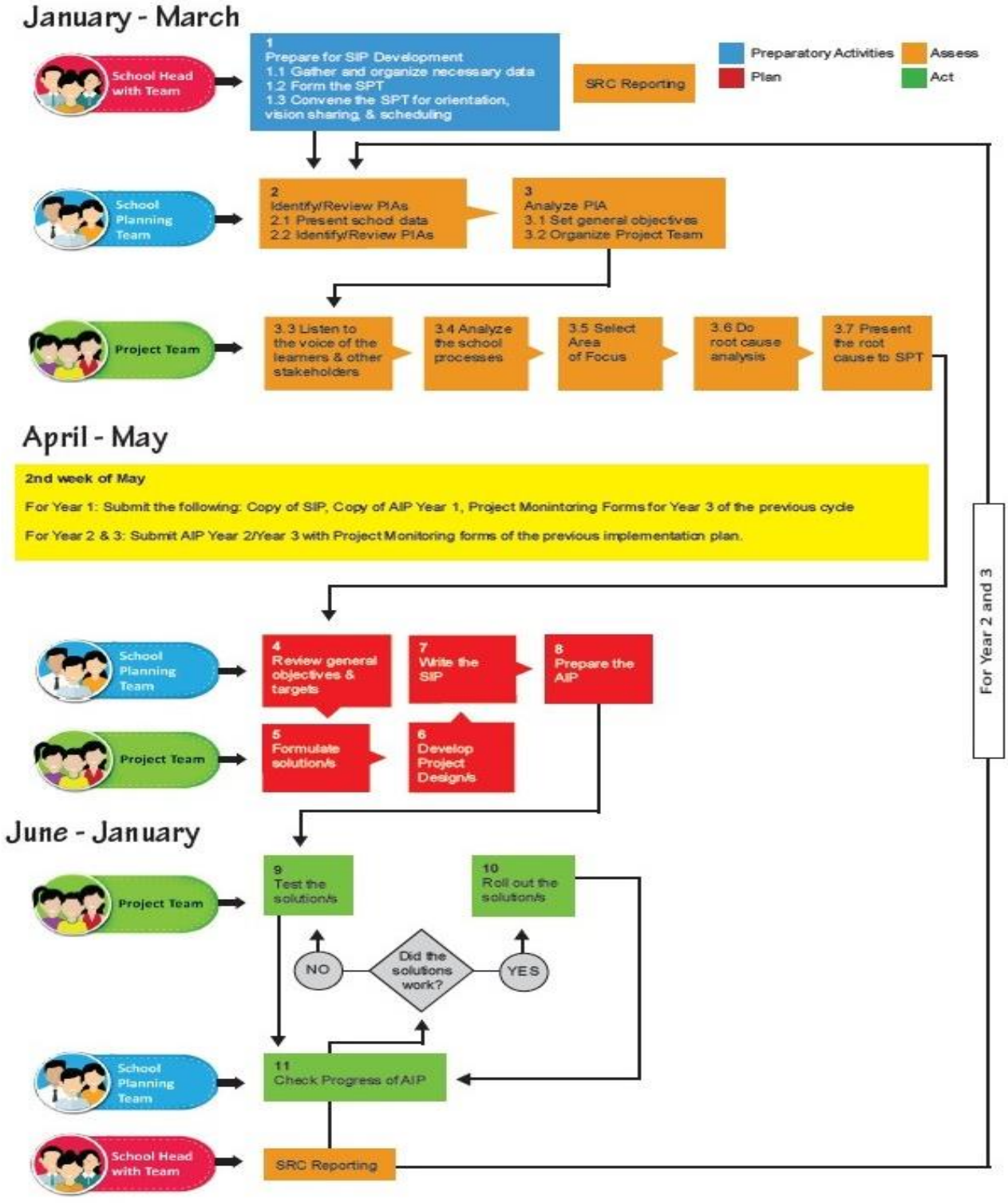
Our greatest desire is that your schools will improve so that learning outcomes will also improve. If there is one thing that a school is made for, it is for learning. And we shall do our best to provide you with tools to make this happen for our learners.

Please do not hesitate to let us know how we can make this guidebook better.

All the best in your efforts toward continuously improving your school!

The SIP Team

The SIP Process Flowchart



Note:
It must be noted, however, that the duration of the implementation of school projects may vary depending on the timelines set for each identified PIA.
Thus, the implementation may be as short as three months or may last until two or three years, if necessary.
Data gathering for year 2 and 3 shall be done from January to March.

Introduction

What is a School Improvement Plan (SIP)?

A **School Improvement Plan (SIP)** is a roadmap that lays down specific interventions that a school, with the help of the community and other stakeholders, undertakes within a period of three (3) consecutive school years. It aims to improve the three key result areas in basic education: access, quality, and governance. It is evidence-based, results-based, and child or learner-centered. The SIP is central in School-Based Management (SBM) and is prepared by the School-Community Planning Team (SPT). It is the basis for the school's Annual Implementation Plan.

> The year-by-year plan for the Priority Improvement Areas (PIAs) is the **Annual Implementation Plan (AIP).** It contains the specific activities, outputs, required resources, schedule, and individual/s who will be accountable for the said PIA. You will find the timeline for the preparation of the SIP and AIP in the attached flowchart (p.7).

The SIP Development and Implementation Process

MANDATE

In accordance to the Governance of Basic Education Act of 2001 (Republic Act 9155)[7], the Department of Education (DepEd) promotes shared governance through SBM. Under this mandate, school heads are tasked to develop the SIP.

GUIDING PRINCIPLES

The development and implementation of the SIP shall be guided by the following principles:

1. The SIP shall be anchored on the DepEd vision, mission, core values, strategies, and on Central, Regional, Division, and school goals.
2. The SIP shall be evidence and results-based, child and learner-centered.
3. The development of SIP requires innovative and systems thinking, and a mindset of continuous improvement
4. The formulation and implementation of the SIP shall involve the active participation of all education stakeholders in the school and community such as the school heads, teachers, parents, community leaders, and the learners themselves, among others.

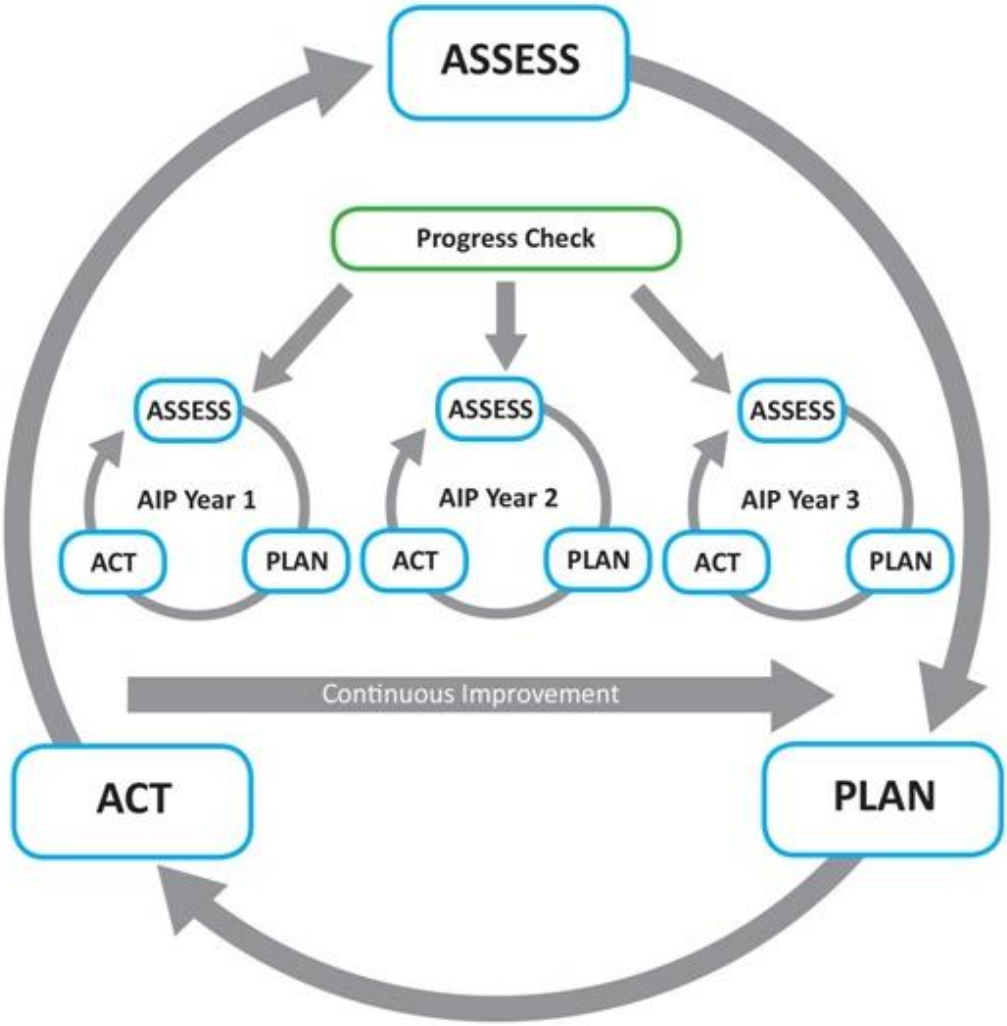
OVERVIEW OF THE SIP CYCLE

SIP development and implementation cover a period of three years and follow three phases: Assess, Plan, and Act. The AIP, which is the year-by-year plan, likewise undergoes these three phases with each year's implementation being checked for its progress to ensure continuous improvement.

The SPT, with the help of school stakeholders, shall ensure that the improvements done during implementation will be further developed and enhanced. Thus, it is a "continuous improvement cycle".

The figure below shows the summary of the SIP-AIP cycle. Specific details for the activities in each phase will be further explained in the subsequent sections of this guidebook.

[7] RA 9155, Chapter 1, Section 7.D.4, Governance of Basic Education, 2001



The SIP Cycle

The cycle begins with the Assess phase where the identification of the PIAs is done and the general objectives of the school for the SIP are set. This phase includes listening to the voice of the learners and other stakeholders and analyzing the school data and processes to determine the root cause of each PIA.

The Plan phase involves the preparation and writing of the SIP and AIP. It is when the formulation of solutions and development of project designs are done.

The Act phase involves small-scale testing then implementation of the solutions. Constant checking of the progress of implementation is done in this phase as well.

As your school proceeds to plan their AIP for year 2 or 3, the process goes back to Assess where the SPT analyzes the impact of solutions that were implemented to check for progress. The SPT then reviews their AIP – re-analyzing data and revisiting the root cause to ensure that projects continue to address existing needs and will contribute to the general objectives stated in the SIP. The AIP for the next year of implementation should contain the adjustments and lessons learned from the previous implementation.

Reporting the progress of implementation to stakeholders is important and is done using the School Report Card (SRC) and other reporting forms.

Preparatory Activities

Objectives:

1. To gather information on the situation of children and learners in terms of their access to quality basic education and the situation of the school in terms of governance
2. To begin the SIP process by mobilizing the School-Community Planning Team (SPT)

Step 1. Prepare for SIP Development

Activity 1.1: Gather and organize the necessary data



Before the start of the planning session, the school head and a selected team are responsible for the conduct of preparatory activities like gathering and consolidating data and information, and the preparation of the profile of the school and its environment. The estimated duration for this is two weeks.

The school head shall lead in profiling, data gathering and, depending on data needs, shall conduct meetings with other stakeholders when necessary.

As a quick guide, your school team should gather data on access, quality, and governance. The ***School-Community Data Template*** found in **Annex 1A** should be able to help you organize all the existing data you have. This template will also give you an idea of what data are important to have.

In preparation for your meeting with the SPT, create the SRC according to the minimum information found in the ***SRC Summary of Information*** in **Annex 11.** Most of the information needed to create the SRC are already found in the ***School-Community Data Template.*** You just have to turn them into graphs or charts (see ***SRC Templates*** in **Annex 12A** and **12B**). You can add more information in the SRC according to what else you think are necessary to report to your SPT. More detailed instructions in making the SRC can be found in the chapter on **Communicating to Stakeholders** found in page 29 of this guidebook.

Some Tips on Data Gathering:

- Orient your team on what data should be gathered. Refer to the ***School Community Data Template*** in **Annex 1A** for this.
- Group the data that will come from similar sources and assign teams for each data source.
- To save time, check what you already have in the Enhanced Basic Education Information System (EBEIS), and in other forms and documents.
- School and community-based meetings should be maximized in gathering primary and secondary data for school planning.
- For specific concerns, the school may also engage experts to provide sufficient data, e.g. consulting the Barangay Disaster Risk Reduction and Management Council (BDRRMC) for information on disasters, risks, and hazards in the community.
- To be able to have a solution that is evidence-based, always ensure the accuracy of the data you have gathered.
- The data you will gather and organize will be immense and varied. Devise a system to consolidate all the gathered data into the ***School Community Data Template*** in **Annex 1A**. This template is created so you can have a single 'container' to put all your data, but feel free to use whatever tool or system is available to help you better organize your data (if you already have an efficient system of organizing data, you can use that instead).

The number of 4-17 year old children enrolled and the number of out of school are some of the most important basic information used in planning. These are used to anticipate enrollment for the coming School Years, to develop mechanisms for actively seeking children not in school, and to give them

access to education. You are usually exposed to these data when your school campaigns for early registration, which also happens in January.

Since you are already going around your communities with volunteers from the barangay and civic organizations to promote early registration, you can already harness the data that is available in your community using the ***Child Mapping Tool*** found in **Annex 1B**. The tool provides you with a template that will help you gather essential data during your early registration campaign that you can also use for planning.

You should do child mapping together with early registration activities at least every 3 years (preferably at the start of the SIP cycle), assuming that there are no major changes in the population of your community. After events causing major population changes (e.g. disasters or demolitions), child mapping should be conducted to account for the children in your community.

Other tools provided for you in this Guidebook are the ***Child-Friendly School Survey*** in **Annex 2A** to help you check how child-friendly your school is (this is required information in the SRC) and the ***Child Protection Policy Implementation Checklist*** in **Annex 2B**. These are important tools to help your school reflect on and improve your status as a learner-centered institution.

In relation to school governance, you should also gather data on your school's vulnerability to risks and disasters, following the policy on ***Student-led School Watching and Hazard Mapping*** as stated in ***DepEd Order No. 23 series of 2015***. We have attached the procedure for this and its accompanying checklist as **Annex 2C**.

Data gathering may seem like a lot of work but it is a fundamental step in school planning. Be patient. If your data is not accurate, it can result to objectives and solutions that are not responsive to the real needs of your learners and your school.

Note:
If you are planning to do child mapping during your early registration activities and there are other schools in your barangay, it is best to coordinate with your District or Division so you can cover more ground by working with other schools. Just make sure to set clear expectations and delegate tasks fairly. If you do this, it will also be easier to consolidate and share the information between schools and between communities (if you found children who go or plan to go to schools in another barangay).

If you have questions on early registration you can refer to ***DepEd Order No. 1 series of 2015***.

Activity 1.2: Form the SPT



Invite at least 7 stakeholders to become members of the SPT. The SPT should have good gender balance and should be composed of the following:



Output check
Your team should be able to accomplish the following:

- ☐ School-Community Data Template [Annex 1A]
- ☐ Child Mapping Tool [Annex 1B]
- ☐ School Report Card
- ☐ Child-Friendly School Survey [Annex 2A]
- ☐ Child Protection Policy Implementation Checklist [Annex 2B]
- ☐ School Watching Checklist and Hazard Map [Annex 2C]

School head as the Team leader
Student representative
Teacher representative
Parent representative
Barangay/LGU representative
Member of BDRRMC
Member of School Child Protection Committee

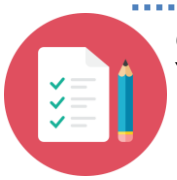
Please note that at least one of your members should be a member of the School Governing Council (SGC). The school head may opt to add more members to its SPT as deemed necessary such as, but not limited to, the following: Non-Government Organization (NGO) representatives, Alim/Ulama, Indigenous People (IP) representatives, Arabic Language and Islamic Values Education (ALIVE) teachers, and school alumni.

In multi-cultural settings, IP and Muslim representation should be considered. In this regard, any of the abovementioned members, e.g. a parent who is an IP or Muslim may also serve as the IP or Muslim representative.

Representatives from communities adjacent to the one where your school is located may be included as members, especially if there is a significant number of existing/potential enrollees coming from these communities.

If more members are added, make sure that the total number is still an odd number to prevent voting deadlocks. More than 50% of existing SPT members must be present to reach quorum and conduct official business. When a member needs to be absent from a meeting, s/he may send a substitute who can speak for him/her as long as the substitute has the same representation as the member.

Note:
In cases where the teacher representative is also the School Head (such as in small schools), additional seat may be given to parent representatives.



Output check
Your team should be able to accomplish the following:
- ☐ List of members for the SPT with their representations

Activity 1.3: Convene the SPT for orientation, vision sharing, and scheduling



Here is the suggested agenda for a one-day activity when you convene the SPT:

Morning Session
1. Orientation of the SIP Process
2. Vision sharing

Afternoon Session
3. Scheduling

Note:
Before the meeting, make sure that you have a copy of the DepEd Vision-Mission, Core Values, and the Division goals. You may also use your school's strategic goals if it is available but please ensure that this is still aligned with the Division goals.

Activities can engage your SPT more and can help foster camaraderie. We encourage you to think of activities for this step aside from what is listed in this guidebook. We are sure that the SPT will appreciate that you have planned for activities rather than just having a discussion with them. Feel free to include some teambuilding activities on top of vision sharing activities if that will help strengthen your working relationship with your SPT.

Orientation

1. SPT members should be informed about the following:
    - Mandate of DepEd on the SIP
    - SIP key features and principles
    - SIP development and implementation cycle and phases

    With these, discuss why the SIP and AIP are important for the school and the learners.

2. Discuss and agree on the roles and responsibilities of the SPT chair and members
    - During this part of the orientation, ask a member of the SPT to facilitate the brainstorming of roles and responsibilities of each member.
    - Give everyone a chance to share their ideas.
    - Have the facilitator synthesize the ideas and let the SPT comment on or approve what has been discussed.

Vision sharing

Help the SPT internalize the DepEd Vision-Mission and Core Values. They should also be informed of the Division goals and, if available, the school's strategic goals. You can turn this into a reflective activity for your SPT if it will help you draw out their insights more.

- Lift the first paragraph of the DepEd Vision and ask,
  "What does this mean for us? What are our own dreams for the children of our school? How do our dreams relate to DepEd's Vision?"

- Read the second paragraph of the DepEd Vision and ask,
  "What does being 'learner-centered' and 'continuously improving' mean for us?"

- Do the same for the DepEd Mission. At the end of the discussion ask,
  "How can we contribute to this? What is the role of each one?"

- For the DepEd Core Values ask,
  "What values do we possess that support the core values? How should we be (what should our thoughts and actions be) so we can demonstrate these core values? How will these values help us fulfill the vision and mission?"

Vision

We dream of Filipinos who passionately love their country and whose values and competencies enable them to realize their full potential and contribute meaningfully to building the nation.

As a learner-centered public institution, the Department of Education continuously improves itself to better serve its stakeholders.

Mission

To protect and promote the right of every Filipino to quality, equitable, culture-based, and complete basic education where:

- Students learn in a child-friendly, gender-sensitive, safe, and motivating environment.
- Teachers facilitate learning and constantly nurture every learner.
- Administrators and staff, as stewards of the institution, ensure an enabling and supportive environment for effective learning to happen.
- Family, community, and other stakeholders are actively engaged and share responsibility for developing life-long learners.

Core Values

Maka-Diyos, Maka-tao, Makakalikasan, Makabansa

Scheduling

Based on the SIP Process Flowchart found at the beginning of this guide, discuss and create a simple timetable that the SPT will follow in preparing the SIP as well as the AIP. See suggested format below (examples are not exhaustive and are used for illustration purposes only):

SPT TIMETABLE

ACTIVITIES	SCHEDULE
PREPARATORY ACTIVITIES	Suggested time frame for this phase is 1 month. Pls. specify the dates.
Examples: Secure the CBMS from the LGU Organize data using the School-Community Data Template	 January 12 January 28-30
PHASE 1: ASSESS	Suggested time frame for this phase is 2 months. Pls. specify the dates.
Examples: Conduct Dyad, Triad, FGD, or survey Discuss the root cause	 February 9 March 11-13
PHASE 2: PLAN	Suggested time frame for this phase is 1 month.
Examples: Write the SIP	 April 4-8

Brainstorm solutions	May 4
PHASE 3: ACT	Time frame for this phase will depend on the projects to be implemented and is spread out within the SY
Examples: Start pilot test Discuss preparations for roll out	 June-August (1st quarter) September 3



Output check

Your team should be able to accomplish the following:

- ☐ Documentation of vision sharing
- ☐ List of SPT Roles and Responsibilities
- ☐ SPT Timetable

PHASE 1: ASSESS

Objectives

1. To identify and analyze the Priority Improvement Areas
2. To set general objectives
3. To listen to the voice of the learners and other stakeholders
4. To analyze school processes
5. To determine the root cause/s of the PIAs

Step 2. Identify/Review Priority Improvement Areas

Activity 2.1: Present and discuss the information gathered during the preparatory activities



As a summary of the data you have gathered in the ***School-Community Data Template***, present the SRC to your SPT to initiate a discussion about the status of your school. Aside from this, you should also look into how the school contributes to the overall performance of your Division (by now, you should have a copy of the Division targets which will help you do this). You can assess the gap between your school data and the Division targets for the next 3 years by using the ***Gap Analysis Template*** found in **Annex 3** of this guidebook. Areas where there are gaps between the school status and Division targets should be included in your initial list of improvement areas.

After presenting the school data and status, you may ask the following questions to the SPT:

What surfaced as the most pressing need/problem?
For indicators with three-year data, what trends surfaced from your data for the last three years?
Did your school improve? Stagnate? Worsen?
What is alarming from the data?
What needs most improvement?

Gather and write down the results of the discussion and add to your initial list. Areas with no accompanying Division targets but are pressing, alarming, stagnating, or worsening should also be included in your list of improvement areas. From your list, group the problems which are related to each other.

After your first year of AIP implementation, begin with this step in planning for year 2 or year 3. Present to the SPT the data you have collected from monitoring the progress of your prior implementation. You can show them the most recent SRC and other relevant information to help the SPT assess remaining gaps and needs. For this, you may again use the ***Gap Analysis Template*** found in **Annex 3** and the guide questions provided above. From the discussions, review the list of improvement areas in the SIP.

Note:
It is important for you to document all the meetings and activities through minutes of meetings, pictures, log books, etc. This is to make reporting easier and to also have a record of the processes you have done during planning which will inform your succeeding projects and activities.



Output check
Your team should be able to accomplish the following:
- ☐ Documentation of the discussion and initial list of improvement areas
- ☐ Gap Analysis Template [Annex 3]

Activity 2.2: Identify/Review the Priority Improvement Areas (PIAs)



Based on the results of the discussions done in the previous activity, prioritize the improvement areas: these will be your PIAs.

The PIAs are selected areas in school management, operations, and service delivery that need to be changed to improve the three key result areas in basic education: access, quality, and governance. However, PIAs are not just limited to issues within the school. It can also be a community situation affecting the school and learners which needs to be addressed and brought to the attention of stakeholders such as flooding and unsafe school water source.

To help you determine which among the improvement areas you should prioritize, you can refer to the rubrics below. A template that you can use with these rubrics can be found in **Annex 4: *Identifying Priority Improvement Areas***. For an illustration of how this is used, a sample matrix is also shown below.

Rubrics

Criteria	Description	Scale
Strategic Importance	The number of other areas that will benefit when the improvement area is addressed	5 – Very High 4 – High 3 – Moderate 2 – Low 1 – Very Low
Urgency	The urgency or need to improve the area as soon as possible	
Magnitude	The number of learners that will benefit when the improvement area is addressed	
Feasibility	The degree to which the improvement area is within the school's mandate and control	

Sample Matrix

Improvement Areas	Strategic Importance	Urgency	Magnitude	Feasibility	Average	Interpretation
High absenteeism	5	5	3	5	4.5	Very High Priority
Lack of Professional Development	2	3	3	5	3.25	Moderate Priority
High dropout	2	5	4	4	3.75	High Priority
Low intake of 5 year old children in Kindergarten	3	3	4	4	3.5	High Priority
Flooding	3	5	5	5	4.5	Very High Priority

Interpretation:

4.5 – 5.0	Very High Priority
3.5 – 4.49	High Priority
2.5 – 3.49	Moderate Priority
1.5 – 2.49	Low Priority
1.0 – 1.49	Very Low Priority

Indicate these PIAs in the first column of the ***Planning Worksheet*** in **Annex 5**.

Please note that PIAs have varying difficulties – some can be addressed within a year and some can span for three years. If a school, for example, determined flooding as one of their PIAs, it is possible that this could be addressed in a year's time. High dropout, on the other hand, may take a longer time to resolve.

In planning for your year 2 or year 3 AIP, review the PIAs listed in the Planning Worksheet. In cases where the PIA has already been addressed, choose another PIA to take on from the ones you have

already identified. In the process of selecting another PIA, you may find that the context of your school has changed. You can again use the template in ***Identifying PIAs*** found in **Annex 4** to check if these are the same areas you will prioritize for the 2nd or 3rd year of implementation.



Output check

Your team should be able to accomplish the following:

- ☐ PIA Template [Annex 4]
- ☐ First column of the Planning Worksheet [Annex 5]

Step 3. Analyze the Priority Improvement Areas

Activity 3.1: Set General Objectives



From your identified PIAs, formulate general objectives for your 3-year plan. General objective statements are what you want to achieve. If, for example, your school has a problem in student tardiness, the general objective can be 'to reduce student tardiness.' The second column of the ***Planning Worksheet*** in **Annex 5** is where you write your general objectives and where you check the appropriate box to note when they should be done.

Revisit the objectives set in the ***Planning Worksheet*** if you are in your year 2 or year 3 AIP. Check if objectives have been met and if there are objectives that need to be revised.



Output check

Your team should be able to accomplish the following:

- ☐ Objectives and Year columns in the Planning Worksheet [Annex 5]

Activity 3.2: Organize the Project Teams





Organize a Project Team for each PIA that you will address for the current year. Depending on the size of the school and number of PIAs identified, a Project Team may be formed to work on more than one PIA. The members of the Project Team may be drawn from the community, teachers, and learners, with at least one member coming from the SPT.

For priority improvement areas related to the teaching-learning process, it is best to organize the Project Team from members of the Learning Action Cells (LACs) so that their tasks will not be different from the activities they do in the LACs.

The SPT shall turn over relevant data, which were gathered and discussed during the preparatory activities, to the assigned Project Teams for each PIA.

The Project Team shall agree on the role of its members (e.g. Project Team Leader, Asst. Team Leader, Scribe, etc.). For documentation purposes, you may use the following template:

Project Member	Role	Responsibilities

Each Project Team should discuss their assigned PIA and list down the possible factors that affect their PIA. Factors are different from solutions. They will then validate these factors through the succeeding activities.

For year 2 or year 3 AIP, the Project Teams assigned to PIAs that span for more than a year will have to continue managing the projects they have started in the first year. Project Teams from year 1 can be tapped to work on other PIAs for year 2 or 3 if they have already addressed their PIA in the first year of the SIP. In these cases, the SPT can also form new Project Teams.

Note:
The Project Team can gather more data related to their PIAs if necessary.



Output check

Your team should be able to accomplish the following:

- ☐ Project Team member list with roles and responsibilities or Team Charter
- ☐ List of possible factors affecting your assigned PIA

Activity 3.3: Listen to the voice of the learners and other stakeholders



While we may have the school data, it is still important to validate these and get more information by talking to the faces behind the numbers. Thus, your Project Team should talk to the learners and stakeholders who are relevant to your assigned PIAs. By doing this, the real needs and problems of the learners and stakeholders can be identified.

Aside from digging deeper into your learners' or stakeholders' problems, this step is also a good opportunity to ask the learners or stakeholders on how they were helped by your school. If your school has existing interventions, you can also check how they feel about and how they view these interventions. With this, you will get an insight on what current school process you need to analyze in the succeeding activity.

We want to emphasize that listening to the voice of the learners and stakeholders is crucial in the SIP and should not be skipped.

'Listening' can be done through one-on-one or dyads/triads interviews, surveys, or Focus Group Discussions (FGD) with learners, parents, and other stakeholders. These are necessary to gather their views/concerns on the identified PIA. It might be good to read the ***Guidelines in Listening to the Voice of the Learners and Other Stakeholders*** in **Annex 6**.

This step should still be done when analyzing the PIAs for year 2 or 3 because the context, needs, and views of learners and stakeholders might have changed over time.

Note:
In some instances when the learners or other stakeholders who are important to your assigned PIA cannot come to school (e.g. students who are habitually absent), home visits are necessary.

Output check

Your team should be able to accomplish the following:

- ☐ Documentation from FGDs, interviews, or home visits

Activity 3.4: Analyze the school processes



From the concerns, needs, and problems that were raised by your learners and stakeholders, look into what specific critical school processes are related to these to understand further why and where the needs and problems exist.

A school process is a set of activities arranged together in order to deliver a service (e.g. Mathematics Periodical Test Process or Enrollment Process). We need to understand processes in order to know how a stakeholder's needs or wants are being met. A process must also be simple enough to be repeatable and replicable. This means that how a certain process is done should be known by everyone and should not rely on just one person to work. This is why it is important for us to map the process.

The use of a process map can be a tool to help communicate how the process works in order to have a consistent and reliable performance. Process mapping is the technique of using flowcharts to illustrate the detailed flow of inputs, activities, and outputs to identify opportunities for improvement.

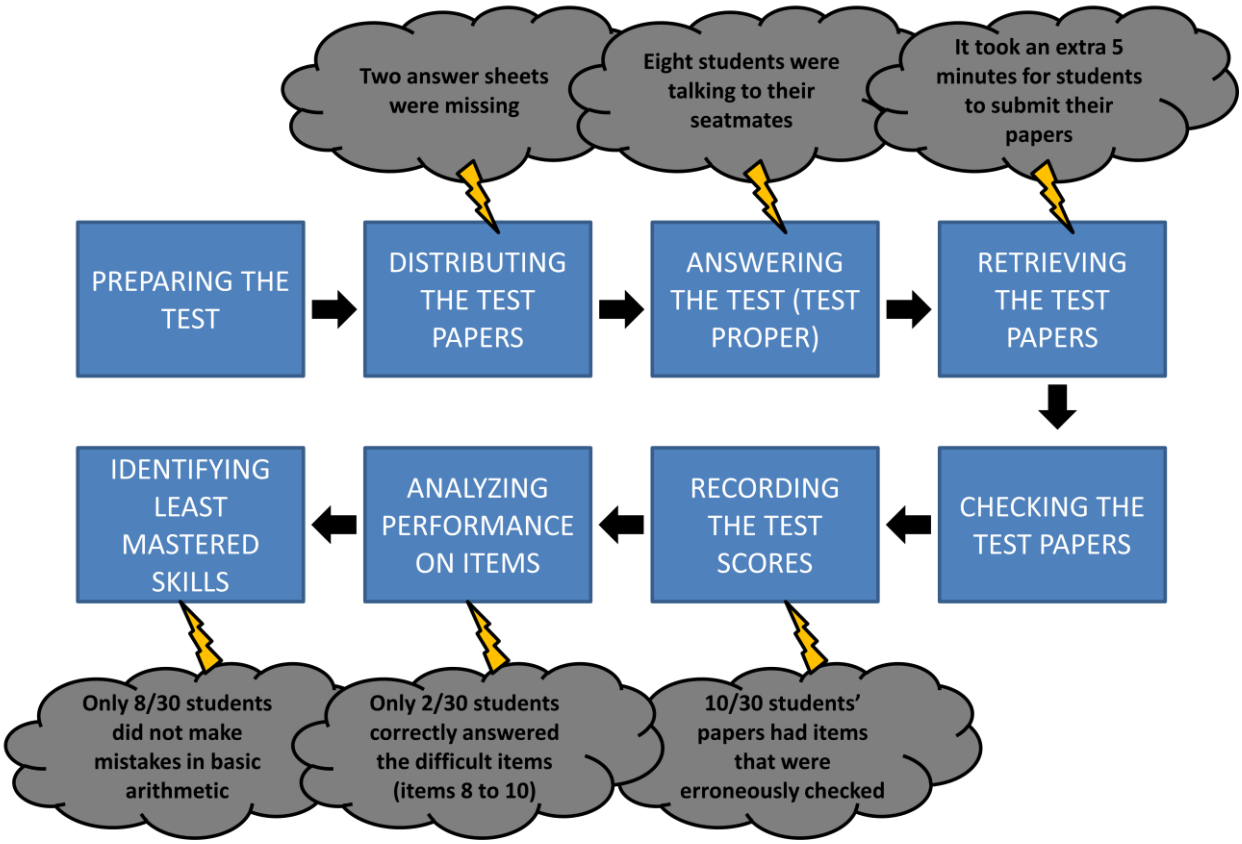
Your Project Team should map out the processes involved in your assigned PIA by creating a flowchart of what is currently happening in each step of the process and NOT what the process should be. The common mistake is combining the present state with the desired outcome. You "walk through" the process by brainstorming with the people who are involved in the process or by doing interviews or direct observations to understand what is currently happening in each step.

We suggest that you read the ***Walk the Process Guidelines*** found in **Annex 7** which will provide you with more detailed instructions in walking the process with your team. It is important to know that brainstorming and interviews alone are not enough to map out a process. Direct observations are a must if you want to validate how the process works.

When you do direct observations, you will notice problems arising in specific activities in the current process. These are what we call 'storm clouds' – it helps you locate where the issues reside. Storm clouds are specific, measurable, and observable.

As an example, when you walked through the Mathematics Periodical Test Process, you might find that 10 out of 30 students' test papers had items that were erroneously checked. This is a storm cloud which you will write on the activity where you discovered it – in this case, during the recording of the test scores. Note that more than one storm cloud may be observed in an activity (e.g. there can be three storm clouds during the test proper).

SAMPLE MATHEMATICAL PERIODICAL TEST PROCESS FOR GR.7 STUDENTS



The careful identification of critical storm clouds in the process enables you to look at a smaller, more targeted, and more focused problem that contributes to the broader school issue. Selecting an area of focus for your root cause analysis will be discussed in the next activities.

The same thing should be done for the PIAs of year 2 or year 3. For projects that will continue for the next years, you can keep doing this activity to review the process that you have improved.



Output check

Your team should be able to accomplish the following:

- ☐ Flowchart of the school processes relevant to each PIA with storm clouds
- ☐ Documentation of interviews or observations

Activity 3.5: Select Area of Focus



You have to select a specific storm cloud, called an area of focus, from among your storm clouds so you can aim your improvement efforts on a particular problem rather than attempting to solve all the problems at once. Focusing on a problem allows you to deal with fewer issues which you can deeply analyze. This, in turn, makes it easier to think of solutions or improvements. Improvements in your area of focus may contribute in addressing the bigger issues in school and consequently will improve school performance in time. In selecting your area of focus, **choose the one which, when addressed, will clearly affect the PIA**.

Having identified your area of focus from the storm clouds, formulate it into a problem statement. This statement includes information on the following questions:

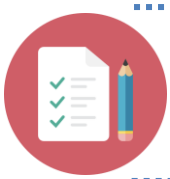
What is the magnitude of the problem?
How often is it happening?
Where is it happening?
When does it happen?

Going back to our example on the Mathematics Periodical Test Process, your focused problem statement can be:

During the first quarter, ten out of thirty Mathematics Periodical Test papers of Grade 7 students had items that were erroneously checked.

From your focused problem statement, you should now determine the root cause of this problem.

Repeat this activity when analyzing a new PIA for year 2 or 3. For PIAs that span for more than a year, you can review the storm clouds you have identified and look at what other areas were not addressed. This can be your area of focus for the next years.



Output check

Your team should be able to accomplish the following:

- ☐ Problem statement based on your area of focus

Activity 3.6: Do Root Cause Analysis



The root cause is the deepest underlying cause of the problems within any process. Thus, it is necessary that your Project Team conducts root cause analysis to uncover the real source of your focused problem. This root cause should be observable and measurable. Analyze your area of focus by using problem analysis tools like the Fishbone diagram/Ishikawa, Why-why diagram, and Problem Tree.

The root cause is not the solution – but only after the identification of the real root cause can appropriate, relevant, and workable solutions be developed to help address the focused problem. Otherwise, creating solutions may only address the symptoms and the problems will resurface eventually.

A focused problem can have several root causes. In cases like this, you have to prioritize which root cause or root causes to address. See the ***Root Cause Analysis Overview***[8] found in **Annex 8** for a guide on prioritizing root causes and for conducting root cause analysis.

For year 2 or year 3 AIP, the Project Team should revisit and review the root cause they had already determined in the ***Planning Worksheet*** [**Annex 5**]. Conduct root cause analysis again if your team is addressing a new PIA or if you have selected a new area of focus.

[8] Based from Continuous Improvement Guide



Output check

Your team should be able to accomplish the following:

- ☐ Diagrams showing the root cause

Activity 3.7: Present Root Cause to SPT



After you have determined the root cause, your Project Team should present it to the SPT. You should not just show the diagram of your root cause analysis but you should also present the following:

- Results of your FGDs and interviews with the learners and stakeholders (and other relevant quantitative data)
- The flowchart of the particular school process you observed, including the storm clouds
- Area of focus (focused problem statement)



Output check

Your team should be able to accomplish the following:

- ☐ Presentation (in PowerPoint or hard copy) of the root cause, with the supporting data, process flowchart, and area of focus

PHASE 2: PLAN

Objectives

1. To review the general objectives and targets
2. To formulate solutions
3. To develop and write the project designs, SIP, and AIP

Step 4. Review General Objectives and Targets



Now that you know the root cause for each area of focus, review the initial general objectives you have set at the beginning. Encode the root cause and the changes in your general objectives (if there are any) in the ***Planning Worksheet*** found in **Annex 5**. Aside from making sure that the general objectives are aligned with your root cause, this step highlights the importance of always going back to your general objectives so you will never lose sight of your targets.

If you are planning for your year 2 or year 3 AIP, revisit the objectives in the ***Planning Worksheet*** taking note of the root cause that was reviewed by the Project Team.



Output check

Your team should be able to accomplish the following:

- ☐ Root Cause column in the Planning Worksheet [Annex 5]

Step 5. Formulate Solutions



The assigned Project Team/s for the identified PIAs will then brainstorm solutions based on the root cause. Several solutions can be formulated for a single root cause. If the Project Team prioritized more than one root cause, several solutions can be formulated for each one of these as well.

Keep in mind five considerations in formulating solutions:

- Should address the root cause/s
- Should be within the control of the school
- Should be economical
- Should be sustainable
- Should have the support of the concerned stakeholders/process owners



Output check

Your team should be able to accomplish the following:

- ☐ List of possible solutions

Step 6. Develop project designs



Your Project Team will now develop project designs for your solutions, using the format in **Annex 9: *Project Work Plan and Budget Matrix***. One project design should contain only one solution.

To help you in filling up this template, remember the following definitions:

- **Problem Statement:** The selected area of focus phrased as a problem (the output of **Activity 3.5: Select Area of Focus**)
  (e.g. During the first quarter, 10 out of 30 Mathematical Periodical Test papers of Grade 7 students had items that were erroneously checked)

- **Project Objective Statement:** What you want to achieve and by how much*
  (e.g. To reduce the incidence of erroneously checked Mathematical Periodical Test papers of Grade 7 students by 100%)
  *Reminder: Objective statements should be SMART – specific, measurable, attainable, realistic, time-bound. Targets to be set should be discussed and agreed upon by the SPT based on the school context.

- **Activities:** The activities you need to do to implement your solution
  (e.g. meet with teachers to discuss the new process of checking Periodical Test papers)

- **Output:** The concrete, tangible products that results from undertaking an activity
  (e.g. teacher attendance during discussion of the new process on checking Periodical Test papers)

For PIAs that span for more than a year, set incremental targets for each year. If, for example, your PIA is on literacy, your project objective statement on your first year can be 'to increase the number of independent readers by 5%' then you can increase your targets for year 2 and year 3.

How long a project will take can vary depending on the timelines set for each identified PIA. But it is important to make the projects manageable to provide the team with immediate results which they can celebrate (if these are successful) or improve (if these do not meet the target). In cases where there are major projects that would need a long time to implement, the Project Team should subdivide this into smaller, more manageable projects.

Each project will have to be monitored at least twice by the SPT – during the middle and during the end of the implementation period (longer projects will be monitored more than twice). You will have to set the dates when the SPT will monitor your project. Include these dates in the ***Project Work Plan and Budget Matrix***.

After preparing the ***Project Work Plan and Budget Matrix***, submit this to the SPT so they can use it to write the SIP and AIP.

Note for School Heads, teachers, and staff:

Your contribution in planning and implementing the SIP and AIP should be included in the Results-based Performance Management System (RPMS). You can write these as Performance Objectives under the corresponding Key Result Areas in your Individual Performance Commitment and Review Form (IPCRF). Make sure it is aligned with the objectives and targets of the projects in the SIP and AIP.



Output check

Your team should be able to accomplish the following:

- ☐ Project Work Plan and Budget Matrix

Step 7: Write the School Improvement Plan



Write the SIP document using the structure below:

SCHOOL IMPROVEMENT PLAN
(Name of School)
SY_____ to SY _____

I. DepEd Vision, Mission, and Core Values Statement

II. School's Current Situation
(a narrative based on the *School-Community Data Template* [Annex 1A] and the *School Report Card* [p. 23-24])

III. Planning Worksheet

IV. Monitoring and Evaluation
(include a brief description of the Monitoring and Evaluation arrangements in the implementation of the SIP. Refer to the Check Progress part of this SIP guide)

Prepared by the School-Community Planning Team composed of the following:

SPT Member Name	Signature
_____	_____
_____	_____
_____	_____

All the SPT members shall sign the SIP then the school shall submit it to the Schools Division Office (SDO). You only need to submit this at the beginning of the three-year SIP cycle.



Output check

Your team should be able to accomplish the following:

☐ SIP with signatures of SPT members

Step 8. Prepare the Annual Implementation Plan



From the general objectives set in the SIP, the SPT shall prepare the AIP. If this is your first year of implementation, you just have to make the AIP for year 1. The ***Annual Implementation Plan Template*** found in **Annex 10** should be able to help you craft your AIP.

Please attach a copy of the project designs to the AIP so you can easily go back to it when you review the implementation of your AIP for years 2 and 3.

Note:
Notice that your AIP for years 1 to 3 are based on the general objectives and targets set in the SIP, while the SIP is aligned to the objectives and targets of the Division goals, which in turn tries to actualize the DepEd Vision-Mission. Check this alignment before you proceed to the next steps.



Output check
Your team should be able to accomplish the following:

- ☐ AIP Template

PHASE 3: ACT

Objectives

1. To test and review the proposed solutions
2. To roll out the solutions

Step 9. Test the Solutions



Before you implement the solutions (written as projects) in your AIP, test it first on a small population to reduce the risk of failure and so you can make necessary adjustments in the implementation (you can choose, for example, a section out of an entire grade level). Your Project Team may opt to test all the identified solutions and then choose the most effective one to roll out.

Compare your data before and after testing the solution. If the solution is not effective, revisit the implementation process to see where improvements should be done.

If successful, communicate the initial implementation results to the concerned stakeholders (process owners). For example, if the project team made improvements to the Grade 6 attendance checking process, the concerned stakeholders or process owners would be the Grade 6 class advisers because they are the ones who check the attendance of students. It is important to get the feedback, acceptance, and support of the concerned stakeholders so they can become fully engaged in implementing the solution. This ensures that solutions will continue to be carried out even after the project period is done.

For solutions that address problems or issues in the teaching and learning process, the project team may communicate the improved process through the school's Learning Action Cells (LACs). Make sure that your LAC action plans are aligned to your implementation plans as well.

Note:
Because each school will have different needs and problems, it follows that solutions will vary. There are some solutions which you cannot test especially if your project deals with facilities and infrastructure. If this is the case, you may skip this step.



Output check

Your team should be able to accomplish the following:

- ☐ Data from testing the solutions
- ☐ Communication plan to concerned stakeholders (process owners)

Step 10. Roll out the Solutions



After successful testing, the project can now be implemented and rolled out to the rest of the school, not by the Project Team, but by the concerned stakeholders (process owners). This is because the concerned stakeholders are the ones who will actually use the solution.

In our previous example of improving the attendance checking process, the Grade 6 class advisers who went through the pilot test are the concerned stakeholders. Experiencing the improved process, they are the best people to share the process to class advisers in other grade levels. You as the Project Team, however, will continue to guide the concerned stakeholders as they implement the solution. You may provide training and other interventions to aid the process owners in the implementation of the solution.

Do not forget to create a venue for the concerned stakeholders (process owners) to constantly give you feedback and to work with them so the process will continuously improve.

Note:
For small schools, the Project Team may also be the process owner.



Output check

Your team should be able to accomplish the following:

- ☐ Training plan and other interventions to roll out your solutions
- ☐ Plan to gather feedback from concerned stakeholders

Back to **ASSESS**

At the end of ACT for both SIP and AIP, the cycle goes back to ASSESS where data collected in the checking of progress will be used as input in succeeding planning. The school's monitoring and evaluation system takes note of the performance indicators set for each PIA to ensure that implementation is properly reviewed for continuous improvement.

Step 11. Check Progress of AIP



Depending on the timelines set by the Project Team in their project designs, the SPT will monitor progress at the middle and end of the implementation period. For longer projects, the SPT will have to monitor more than twice. Indicate the scheduled dates on the **Project Monitoring Form**. Aside from this, the SPT should guide and help the Project Teams in resolving problems especially during the early stage of the project implementation.

To help inform the SPT of the status of their projects, the Project Team will submit a progress report using the suggested template below. Both the SPT and the Project Team will discuss the Recommendations/Action Points based on the results of the monitoring done by the SPT.

Project Monitoring Report Form

Scheduled Dates of Monitoring
Mid-year: _____ Year-end: _____

(1) Name of Project	(2) Project Objectives and Targets	(3) Date of Monitoring	(4) Accomplishments/ Status to Date	(5) Issues/Problems/ Challenges	(6) Recommendations/ Action Points	(7) Signature of SPT and Project Team Leader
----------	----------	To be filled by	Project Team	----------	To be discussed by SPT and Project Team	

The progress reports shall be consolidated to serve as inputs to the **SRC,** which shall be presented to the stakeholders during midyear and yearend. Update the previously reported SRC using the data from project and annual progress reports and other relevant data sources. As indicated in the ***SRC Summary of Information*** found in **Annex 11**, the period of reporting of some information is done only once.

The ***Project Monitoring Report*** is submitted to the SDO to help them in monitoring the progress of your projects in school. Based on the recommendations/action points, the Project Team and SPT can now adjust, modify, and write the AIP for the following year. In starting the next AIP, the Project Team assigned may begin by collecting, organizing, and analyzing the required school data for the PIAs to be tackled in the next AIP.

The cycle for the next AIP begins with **Step 2: Identify/Review PIAs**.

After year 3, the SPT can now prepare the SIP for the next cycle. During this time, your SDO will conduct a visit to your school to do a summative evaluation of your SIP.



Output check

Your team should be able to accomplish the following:

- ☐ Project Monitoring Report Form
- ☐ Updated SRC based on results and reports

Communicating to Stakeholders



Stakeholder participation is one of the important features of SBM. Studies confirm that involvement and participation of multiple stakeholders contribute to better management of schools (Bruns, Filmer, & Patrinos, 2011[9]). Hence, it is important to advocate and communicate to them the situation, context, and performance of our schools.

One of the tools to do this is the School Report Card (SRC). The SRC is not for planning – we have the ***School-Community Data Template*** [**Annex 1A**] to help you plan; it is also not for accountability (it is not used for the Performance-Based Bonus) – we have the RPMS for this. The SRC is for communication and advocacy.

The objective of the SRC is to increase community participation and involvement in school operations and activities by providing your stakeholders a snapshot of the status of the school and advocating for areas that need their involvement. It is recommended that the reporting of the SRC to stakeholders should be done at least twice in a school year: during midyear and yearend.

What are the data included in the SRC?

The SRC has three parts: 1) school profile; 2) performance indicators measuring aspects of access, quality, and governance; and 3) status of school projects. A mix of quantitative and qualitative data is reported to provide the stakeholders a snapshot of the school situation, context, and performance. To help you in making your SRC, you should note that majority of the SRC data are already contained in the ***School-Community Data Template*** [**Annex 1A**]. We have included codes (ex. [SRC.1.]) in the template so you will know which data sets you can use for the SRC. In the code, the number corresponds to the item found in the ***SRC Summary of Information*** in **Annex 11**.

Other data and information can be gathered from the EBEIS, forms, and project monitoring reports from your Project Teams and other stakeholders like the LACs, Parents-Teachers Association (PTA), Teacher's Club, and Student Government.

The list of information covered by the SRC is shown below. For a complete description and template for these information, please refer to **Annexes 11**, **12A**, and **12B**. Other information aside from those indicated in these guidelines may be included according to what your school thinks is necessary to share to your stakeholders.

SCHOOL PROFILE
1. Enrollment 2. Health and nutritional status 3. Learners materials 4. Teachers' professional development 5. Funding sources 6. School awards and recognitions
PERFORMANCE INDICATORS
ACCESS 7. Number and rate of dropouts by cause QUALITY 8. Percentage of learners who completed the School Year (Promotion Rate) 9. National Achievement Test (NAT) – by Mean Percentage Score (MPS) 10. Literacy level GOVERNANCE 11. School-Based Management Assessment Level

[9] Bruns, B., Filmer, D., & Patrinos, H.A. (2011). *Making Schools Work: New Evidence on Accountability Reforms*. World Bank Publications.

12. Child-Friendly School Survey result 13. Stakeholders' participation 14. Learner-Teacher ratio 15. Learner-Classroom ratio 16. Learner-Toilet ratio 17. Learner-Seat ratio
STATUS OF SCHOOL PROJECTS
18. Status of Annual Improvement Plan (AIP)/Continuous Improvement (CI) projects 19. Other stakeholders' accomplishments

To check how child-friendly your school is, we have included a copy of the ***Child-Friendly School Survey*** in **Annex 2A**. This is included in the SRC under 'Performance Indicators: Governance' and should be accomplished during the preparatory phase of the SIP process.

What are the steps in preparing the SRC?

The development of the SRC has three steps:

1. Using the ***SRC Summary of Information*** as reference, the SPT extracts the data from the ***School Community Planning Template***, ***Child-Friendly School Survey***, EBEIS, and reports from the Project Teams and other stakeholders.
2. The SPT analyzes the data and writes the interpretation below the graph or chart using the language most easily understood by stakeholders. The mother-tongue may be used.
3. Lay out the graphs, charts, and interpretation using the suggested ***SRC Template***. You have the option to create an SRC with a basic layout ***(Annex 12A)*** or a more advanced one ***(Annex 12B)*** depending on your resources and skills. Once the SRC is finalized, the School Head, PTA President, Student Body President, and Teacher Representative will sign the SRC to certify its accuracy.

It is important that the SRC be disseminated to stakeholders. The dissemination of SRC could be done through the following:

- Presentation to stakeholders during School Meetings and Assemblies (October and March).
- Posting of SRC in school or Division websites, bulletin boards, and in other public areas.
- Allocating space in the School Journal or Newsletter for SRC Updates.
- Reproduction of enough copies for distribution to the general public.

Note:

If you want to include other information which you think are necessary, please make sure that it falls on the appropriate SRC section:

- ***Profiles*** – information that describes your school (e.g. enrollment – just describes how many learners you have)
- ***Performance Indicators*** – reports your school performance in terms of access, quality, and governance (e.g. promotion rate – tells you the percentage of learners who successfully completed the school year, which is a good indicator of school quality)
- ***Status of School Projects*** – captures the progress of implementation of various school projects (e.g. AIP project on raising the literacy rate of the learners)



Output check

Your team should be able to accomplish the following:

☐ SRC

NASH Reviewer

About this copy

The School Improvement Plan (SIP) Guidebook. Issued by Department of Education, DO 44, s. 2015.

Every page before this one is unchanged. NASH Reviewer added this page when it shared the file.

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