



Republic of the Philippines  
 Department of Education  
 Region V (Bicol)  
**DIVISION OF CATANDUANES**  
 Virac, Catanduanes



DIVISION MEMORANDUM  
 No. 113s. 2015

**RELEASED**  
 DepEd Division Office - Catanduanes  
 RECORDS SECTION  
 OCT 28 2015  
 11:50 AM  
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**ORIENTATION- WORKSHOP ON THE GUIDELINES FOR FISCAL YEAR (FY) 2014 SCHOOL-BASED MANAGEMENT (SBM) GRANTS**

TO: SDO Chiefs and Staff  
 Public Schools District Supervisors  
 Elementary and Secondary School Heads

FROM: *[Signature]*  
 NYMPHA D. GUEMO  
 Assistant Schools Division Superintendent  
 Officer-In-Charge

DATE: October 28, 2015

1. Pursuant to DepEd Order No. 45, s. 2015, an Orientation-Workshop on the Guidelines for Fiscal Year 2014 School-Based Management (SBM) Grants will be conducted at SDO Conference Hall C on the following dates:

Batch 1	November 10, 2015	Municipalities/ Districts of: Bato East/West, Baras North/South, San Miguel North/South, Caramoran North/South, Pandan East/West
Batch 2	November 11, 2015	Municipalities/Districts of: Bagamanoc North/South, Gigmoto, Panganiban, Viga East/West, San Andres East/West, Virac North

2. This orientation- workshop aims to orient the school heads of the recipient schools on the proper handling and utilization of the SBM grants, submit a workable Work and Financial Plan (WFP).
3. Participants to this orientation-workshop are the school heads of the recipient schools in the elementary and secondary level. Attached is the list of participants.
4. Participants are advised to bring laptop for the preparation of Work and Financial Plan.
5. Transportation expenses and a registration fee of Php 200 to cover 2 snacks and 1 lunch shall be charged to school MOOE funds subject to the usual accounting and auditing rules and regulations.
6. For immediate dissemination.

BATCH 1

No.	School ID	School	District/Municipality
1	113181	Batalay ES	Bato East
2	113183	Bote IS	Bato East
3	113184	Buenavista ES	Bato East
4	113185	Cagraray ES	Bato East
5	113186	Carorian ES	Bato East
6	113187	Libjo ES	Bato East
7	113188	Mintay ES	Bato East
8	113189	San Pedro ES	Bato East
9	113190	San Roque ES	Bato East
10	113192	Guinobatan ES	Bato West
11	113193	Oguis ES	Bato West
12	113194	Sibacungan ES	Bato West
13	113195	Sipi ES	Bato West
14	174003	BagumbayanES	Bato East
15	174004	Marinawa ES	BatoWest
16	174016	Panaogan Elementary School	Bato East
17	302075	Bote IS	Bato
18	113167	Benticayan ES	Baras North
19	113168	Genitligan ES	Baras North
20	113169	Guinsaanan ES	Baras North
21	113170	Puraran ES	Baras North
22	113171	San Miguel ES	Baras North
23	113172	Abihao ES	BarasSouth
24	113174	Caragumihan ES	BarasSouth
25	113175	Macutal ES	BarasSouth
26	113176	Moning ES	BarasSouth
27	113177	Paniquihan ES	BarasSouth
28	113178	Putsan-Danao ES	BarasSouth
29	113179	Salvacion ES	BarasSouth
30	113180	Tilod ES	BarasSouth
31	174002	Sta. Maria ES	Baras South
32	302070	Agban NHS	Baras
33	113285	Alma ES	San Miguel North
34	113286	Balatohan ES	San Miguel North
35	113287	Caglatawan PS	San Miguel North
36	113289	Kilikilihan ES	San Miguel North
37	113290	Mabato CES	San Miguel North
38	113291	Pacogon ES	San Miguel North
39	113292	Pagsangahan ES	San Miguel North
40	113293	Paraiso A ES	San Miguel North
41	113294	Paraiso B ES	San Miguel North
42	113295	San Marcos ES	San Miguel North
43	113296	Siay ES	San Miguel North
44	113297	Tobrehon ES	San Miguel North
45	113298	JMA Tucao ES	San Miguel North
46	113299	Buhi ES	San Miguel South
47	113300	Dayawa ES	San Miguel South
48	113301	Katipunan ES	San Miguel South
49	113302	Obo ES	San Miguel South
50	113303	Patagan ES	San Miguel South
51	113304	San Juan ES	San Miguel South
52	113306	Solong PS	San Miguel South

53	174001	San Rafael PS	San Miguel
54	174007	Pangilao ES	San Miguel South
55	174009	Caruyo PS	San Miguel South
56	174015	Boton PS	San Miguel South
57	113196	Buenvista ES	Caramoran North
58	113197	Camburo ES	Caramoran North
59	113201	Palumbanes Integrated S	Caramoran North
60	113202	Panique ES	Caramoran North
61	113203	San Jose ES	Caramoran North
62	113206	BoconES	Caramoran South
63	113207	Guiamlong ES	Caramoran South
64	113208	Hitoma-Bulalacao ES	Caramoran South
65	113209	Inalmasinan ES	Caramoran South
66	113210	Iyao ES	Caramoran South
67	113211	Maui ES	Caramoran South
68	113212	Obi ES	Caramoran South
69	113213	Sabloyon ES	Caramoran South
70	113214	Salvacion ES	Caramoran South
71	113215	Supang ES	Caramoran South
72	113216	Biong ES	Caramoran South
73	302086	Dariao NHS	Caramoran
74	309803	Milaviga IS	Caramoran
75	113224	Baldoc ES	Pandan East
76	113225	Canlubi ES	Pandan East
77	113226	Hiyop ES	Pandan East
78	113227	Jose O. Vera ES (Interior Comm.Sch	Pandan East
79	113229	Marambong ES	Pandan East
80	113230	Porot ES	Pandan East
81	113231	San Isidro ES	Pandan East
82	113232	Tabugoc CES	Pandan East
83	113233	Bagawang ES	Pandan West
84	113234	Balogfan ES	Pandan West
85	113235	Catamban ES	Pandan West
86	113236	Cobo ES	Pandan West
87	113237	Lumabao ES	Pandan West
88	113238	Oga ES	Pandan West
89	113240	Panuto ES	Pandan West
90	113241	San Andres ES	Pandan West
91	113242	Sta. Cruz ES	Pandan West
92	113243	Tariwara ES	Pandan West
93	174014	San Rafael PS	Pandan West
94	309802	Cobo IS	Pandan

**BATCH 2**

No.	School ID	School	District/Municipality
1	113154	Bugao CES	Bagamanoc North
2	113155	Cahan Bo. Sch	Bagamanoc North
3	113156	Hinipaan ES	Bagamanoc North
4	113157	Mavil ES	Bagamanoc North
5	113158	Sagrada ES	Bagamanoc North
6	113159	San Vicente ES	Bagamanoc North
7	113160	Bacak ES	Bagamanoc South
8	113162	Pangcayanan ES	Bagamanoc South
9	113163	Quigaray ES	Bagamanoc South
10	113164	Salvacion ES	Bagamanoc South
11	113165	Suchan ES	Bagamanoc South
12	302076	Bugao NHS	Bagamanoc
13	174010	Dominador C. Guevarra ES	Gigmoto
14	113218	Dororian ES	Gigmoto
15	113219	San Pedro ES	Gigmoto
16	113222	Sicmil Integrated School	Gigmoto
17	113223	Siron ES	Gigmoto
18	113244	Aliwanan ES	Panganiban
19	113245	Babaguan ES	Panganiban
20	113246	Bayhan PS	Panganiban
21	113247	Burabod Comm. School	Panganiban
22	113248	Cabuyoan ES	Panganiban
23	113249	Cagdarao ES	Panganiban
24	113250	Mabini ES	Panganiban
25	113251	Maculiw Comm. School	Panganiban
26	113252	Panay Comm. School	Panganiban
27	113254	San Miguel ES	Panganiban
28	113255	Tibo Comm. School	Panganiban
29	113307	Balatohan ES	Viga East
30	113308	Begonia ES	Viga East
31	113309	Botinagan ES	Viga East
32	113310	Buenavista ES	Viga East
33	113311	Magsaysay ES	Viga East
34	113312	Quirino ES	Viga East
35	113313	Soboc ES	Viga East
36	113314	Tambongon CES	Viga East
37	113315	Tinago ES	Viga East
38	113316	Villa Aurora ES	Viga East
39	113317	Almojuela ES	Viga West
40	113318	Ananong ES	Viga West
41	113319	Burgos ES	Viga West
42	113320	Del Pilar PS	Viga West
43	113321	Mabini ES	Viga West
44	113322	Ogbong ES	Viga West
45	113323	Osmena ES	Viga West
46	113324	P. Vera ES	Viga West
47	113325	Quezon ES	Viga West
48	113327	Roxas ES	Viga West
49	113328	Sagrada ES	Viga West
50	113329	San Jose ES	Viga West
51	113330	San Roque ES	Viga West
52	113331	Sta. Rosa ES	Viga West

53	113332	Summit ES	Viga West
54	302087	Dororian NHS	Gigmoto
55	302095	Panganiban NHS	Panganiban
56	302100	San Vicente NHS	Bagamanoc
57	302101	Sicmil IS	Gigmoto
58	302105	Tinago NHS	Viga
59	113256	Alibuag ES	San Andres East
60	113257	Batong Paloway ES	San Andres East
61	113258	Bon-ot ES	San Andres East
62	113259	Carañgag ES	San Andres East
63	113260	Comagaycay ES	San Andres East
64	113261	Jose Rizal ES	San Andres East
65	113263	Palawig ES	San Andres East
66	113265	San Jose ES	San Andres East
67	113266	Timbaan ES	San Andres East
68	113267	Yocti ES	San Andres East
69	113268	Agojo ES	San Andres West
70	113269	Bagong Sirang ES	San Andres West
71	113270	Barihay ES	San Andres West
72	113271	Bislig ES	San Andres West
73	113273	Cabungahan ES	San Andres West
74	113274	Catagbacan ES	San Andres West
75	113276	Datag ES	San Andres West
76	113277	Juan M Alberto ES (Asgad ES)	San Andres West
77	113280	Putting Baybay ES	San Andres West
78	113281	San Isidro ES	San Andres West
79	113282	San Vicente ES	San Andres West
80	113283	Tibag ES	San Andres West
81	113284	Tominawog ES	San Andres West
82	174005	Hilawan ES	San Andres West
83	302085	Codon NHS	San Andres
84	309804	Lictin IS	San Andres
85	174011	San Vicente ES	Virac North

60



2167

Republic of the Philippines  
**Department of Education**

DepEd ORDER  
No. **45**, s. 2015

29 SEP 2015

**GUIDELINES ON SCHOOL-BASED MANAGEMENT (SBM) GRANTS  
FOR FISCAL YEAR (FY) 2014**

To: Undersecretaries  
Assistant Secretaries  
Bureau Directors  
Directors of Services, Centers and Heads of Units  
Regional Directors  
Schools Division Superintendents  
Heads, Public Elementary and Secondary Schools  
All Others Concerned

1. To further strengthen decentralization efforts at the school level and in line with Republic Act No. 9155 also known as *Governance of Basic Education Act of 2001*, the Department of Education (DepEd) shall continue providing School-Based Management (SBM) Grants as additional funds to public elementary and secondary schools, which shall be used to augment the school fund on *Maintenance and Other Operating Expenses*. Funds for this purpose come from the Fiscal Year 2014 General Appropriations Act.
2. Eligible disadvantaged elementary and secondary schools shall be entitled to receive this Grant, subject to the enclosed guidelines on the availment, release, utilization, and liquidation of the SBM grants.
3. All DepEd Orders and other related rules and regulations, and provisions which are inconsistent with these guidelines are hereby repealed, rescinded, or modified accordingly.
4. For more information, all concerned may contact the **School Effectiveness Division (SED)**, Bureau of Human Resource and Organizational Development (BHROD), 2nd Floor, Alonzo Building, DepEd Central Office, DepEd Complex, Meralco Avenue, Pasig City at telephone no.: (02) 635-3976 or through email address: bhrod.sed@deped.gov.ph.
5. Immediate dissemination of and strict compliance with this Order is directed.

  
**BR. ARMIN A. DUISTRO FSC**  
Secretary

Encls.: As stated  
Reference: DepEd Order No. 69, s. 2012  
To be indicated in the Perpetual Index under the following subjects:

FUNDS                      PROGRAMS                      PROJECTS                      SCHOOLS

Model: SBM Grants for SY 2014  
0592-September 9, 2015/9-10/9-11

## **GUIDELINES FOR FY 2014 SCHOOL-BASED MANAGEMENT (SBM) GRANTS**

### **Table of Contents**

1. Objectives and Statement of Policy
2. Coverage
3. Definition of Terms
4. Selection and Allocation
5. Eligible Activities and Expenses
6. Risk Mitigation Strategies
7. Availing the Funds
8. Releasing of Funds
9. Liquidation and Reporting of Accomplishments
10. Procurement Process
11. Roles and Responsibilities
12. Effectivity

### **Annexes**

- Annex 1 - List of FY 2014 SBM Grants Eligible Schools and Allocation
- Annex 2A - No. of Eligible Schools, Total School Grant, and PSF - by Region
- Annex 2B - No. of Eligible Schools, Total School Grant, and PSF - by Division
- Annex 3 - List of Replacement Schools
- Annex 4 - Maintenance and Other Operating Expenses
- Annex 5 - Work and Financial Plan Template for Regions, Divisions, and Schools
- Annex 6 - School Grant Award Agreement
- Annex 7 - List of Recipient Schools
- Annex 8 - Report on FY SBM Grant Utilization and Liquidation
- Annex 9 - Accomplishment Report Template for Regions, Divisions, and Schools

## **GUIDELINES FOR FY 2014 SCHOOL-BASED MANAGEMENT (SBM) GRANTS**

### **1.0 Objectives and Statement of Policy**

1.1 In line with Republic Act (RA) 9155, the Department of Education (DepEd) has formulated enabling policies and mechanisms to ensure that the school and its community are equipped and empowered to make decisions on what is best for their learners. Studies have shown that effective School-Based Management (SBM) can be established by developing the capability of schools to manage their own affairs. One of the support mechanisms provided to schools is the provision of additional resources through the SBM Grant. The SBM Grant shall be used to augment the school fund on Maintenance and Other Operating Expenses (MOOE).

1.2 The SBM Grant 2014 is a continuing fund valid until December 31, 2015 that can be accessed by eligible disadvantaged schools. The SBM Grant aims to improve the performance of schools in terms of student participation and school attendance, completion rates, and student learning outcomes. To attain these goals, the SBM Grant should support activities directed towards a) enhancing the teaching and learning experience in school; b) improving school management and administrative processes; and c) strengthening resiliency of disadvantaged schools.

1.3 Furthermore, given the thrust of DepEd to distribute leadership roles among school stakeholders and to encourage them to be at the forefront of school reforms, School Improvement Plan (SIP) Project Teams and teachers can avail the said SBM Grant as provided in Section 8.5.

1.4 For purposes of monitoring and evaluation, the following are the key performance indicators of this policy:

<b>Criteria</b>	<b>Performance Standards</b>
Efficiency of Liquidation	90% of SBM Grants are fully liquidated by December 31, 2015
Quality of SBM Projects	80% of randomly monitored SBM Grant projects meet the standards of quality set by DepEd Central Office (CO) on SBM projects

### **2.0 Coverage**

2.1 These guidelines cover the utilization of SBM Grant 2014 as stated in Special Provision No. 17 under Section VII-A of the General Appropriations Act (GAA) 2014. Aside from the grant, a Program Support Fund (PSF) shall also be given to Divisions and Regions with eligible schools, and to the CO for creating the support mechanisms needed to help make the SBM initiatives at the school level effective.



2.2 This Order shall detail the guidelines on the selection, allocation, availment, release, utilization, liquidation, monitoring, and reporting of school grants and projects.

### **3.0 Definition of Terms**

For purposes of these guidelines, the following terms shall be taken to mean as follows:

- 3.1 Annual Implementation Plan (AIP) – a year-by-year plan that contains the specific activities, outputs, required resources, schedule, and individual/s who will be accountable for the school's Priority Improvement Areas (PIAs).
- 3.2 Disadvantaged schools – small schools belonging to 3rd, 4th, 5th, and 6th income class municipalities.
- 3.3 Enhanced School Improvement Plan (SIP) – an improved planning process released in 2015 which uses tools of the Continuous Improvement (CI) Methodology, emphasizing a more participatory and learner-centered approach and encouraging a deeper analysis of the school context through evidence-based problem analysis.
- 3.4 Eligible Schools – schools that meet the eligibility criteria of this policy (see Section 4.1).
- 3.5 Grant – the funding facility authorized to be used by the schools for innovative and/or improvement projects, also known as the SBM Installation and Support Fund or the SBM Grant.
- 3.6 Implementing Units (IUs) – refer to secondary schools that maintain separate books of accounts.
- 3.7 Learning Action Cells (LAC) – a group of people who organize themselves to learn together and carry out staff development through self learning; local-based staff development system institutionalized by DepEd, primarily to enable teachers to help each other improve their professional competencies during the course of their day-to-day work. Sessions can be held at the School, District, or Division level with focus on improving teachers' instructional management skills and providing immediate on-the-job applications of these skills.<sup>1</sup>
- 3.8 Non-Implementing Units (Non-IUs) – refer to public elementary and secondary schools, without separate books of accounts, which are under the direct supervision of the Schools Division Office (SDO).

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<sup>1</sup> Mutual Cooperation for School Development, United Nations Educational, Scientific and Cultural Organization (UNESCO), 1985

- 3.9 Program Support Fund (PSF) – a sum of money used to support the operations of Divisions, Regions, and the Central Office as they perform their mandate of ensuring the smooth implementation of the SBM Grants.
- 3.10 Project Team – A school team that implements improvement projects, reports on project status, outputs and outcomes, and prepares and maintains project documentation and records.<sup>2</sup>
- 3.11 Public Areas – open, accessible, and conspicuous areas in schools (e.g. bulletin boards and transparency boards not only located at the Office of the School Head).
- 3.12 Recipient Schools – eligible schools that are not exempted under Section 4.3.
- 3.13 School-Based Management (SBM) – the decentralization of decision-making authority from Central, Regional, and Division levels to the individual schools, with the intent of bringing together the School Heads, teachers, students as well as parents, the local government units, and the community at large in producing improved learning outcomes through effective schools.<sup>3</sup>
- 3.14 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 SBM and is prepared by the School-Community Planning Team (SPT). It is the basis for the school's AIP.
- 3.15 School Head - the person responsible for the administrative and instructional supervision of the school. In the absence of a Principal, this concept shall refer to the Teacher-in-Charge, Officer-in-Charge, Master Teacher, or other persons officially designated as School Head by the Schools Division Superintendent (SDS).
- 3.16 Work and Financial Plan (WFP) – Overall physical (targeted outputs) and financial (estimated obligations/expenditures) plan of the agency or unit consistent with their approved budget level for the year, broken down by quarter.<sup>4</sup>

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<sup>2</sup> CI Policies and Procedures Guide

<sup>3</sup> A Primer on School-Based Management, DepEd, January 2009.

<sup>4</sup> Budget Execution Document (BED) Form, Department of Budget and Management (DBM), September 2012

## 4.0 Selection and Allocation

### 4.1 Eligibility Criteria

The following criteria are used to determine eligibility:

#### 4.1.1 The school's enrollment

- This is used as an indicator of school size. Using School Year (SY) 2014-2015 enrollment data from the Enhanced Basic Education Information System (EBEIS), a school must have an enrollment of 300 or less to be eligible for SBM Grant 2014.

#### 4.1.2 The income class of the municipality where the school is located

- This follows the municipality income classification used by the National Statistical Coordination Board (NSCB), updated as of 2015.<sup>5</sup> A school must come from a 3rd, 4th, 5th, or 6th income class municipality to be eligible for SBM Grant 2014.

### 4.2 Allocation of School Grants and PSF

4.2.1 Considering differences in disadvantage, eligible schools can receive the following grant amounts corresponding to their municipality's income class:

CRITERIA	GRANT
Schools from <u>3rd Income Class</u> municipalities with an enrollment of 300 or less	PHP 50,000
Schools from <u>4th Income Class</u> municipalities with an enrollment of 300 or less	PHP 75,000
Schools from <u>5th Income Class</u> municipalities with an enrollment of 300 or less	PHP 100,000
Schools from <u>6th Income Class</u> municipalities with an enrollment of 300 or less	PHP 125,000

The grant allocated for each eligible school is shown in **Annex 1**. A regional summary of the number of eligible schools and the total grant eligible schools can receive is shown in **Annex 2A**, while a summary by Division is shown in **Annex 2B**.

#### 4.2.2 PSF Allocation

The PSF shall be spent for monitoring and evaluation, coaching, mentoring, and other related technical assistance and support to recipient schools. The amount of Php 74,410,000.00 shall be used as PSF.

<sup>5</sup> <http://www.nscb.gov.ph/activestats/psgc/listmun.asp>

The CO shall be allotted a PSF of Php 4,000,000.00 to cover expenses on policy research, monitoring and evaluation, capacity building, and technical assistance.

The amount of Php 59,528,000.00 (80% of the Total PSF) shall be distributed among the Regions and Divisions with eligible schools, proportional to the number of eligible schools in the Division. The SDO will receive half of the PSF and the corresponding Regional Office (RO) will receive the other half. In addition, the amount of Php 10,882,000.00 shall be distributed among the Regions as PSF for the SIP and CI rollout, proportional to the number of *all* schools in the Region.

The PSF each Region will receive is shown in the last two columns of **Annex 2A**, while the PSF each Division will receive is shown in last column of **Annex 2B**.

The PSF fund managers for each administrative level shall be the following: School Effectiveness Division (SED) for the CO, Field Technical Assistance Division (FTAD) for the RO, and School Governance Operations Division (SGOD) for the SDO.

#### 4.2.3 SBM Grant and PSF Allocation for ARMM

A block grant in the amount of Php 25,000,000.00 is hereby allocated to the Autonomous Region in Muslim Mindanao (ARMM) to improve the learning outcomes of its disadvantaged schools. This excludes the PSF of ARMM, which shall be in the amount of Php 1,097,833.87, half of which (Php 548,916.93) will be given to the RO while the other half (Php 548,916.93) will be distributed to SDOs proportional to the number of eligible schools in their Divisions. This PSF shall be used by DepEd ARMM to support the implementation of the SBM Grant.

DepEd ARMM may develop its own SBM guidelines or adopt this policy completely or with modifications provided that the said guidelines adopted by ARMM shall be consistent with the purpose of the SBM Grant as stated in the Special Provisions of GAA 2014.

### 4.3 Exemption Rule

#### 4.3.1 Unliquidated Funds

A school that has not yet liquidated 100% of its previous SBM Grants (as of December 2014) is disqualified from receiving the SBM Grant. However, in these cases, the Division shall provide the schools a grace period of not more than five (5) calendar days after the issuance of this policy to accomplish the liquidation.

#### 4.3.2 Right of Refusal or Grant Reduction Request

Schools may refuse to accept the SBM Grant within five (5) calendar days after the effectivity of this policy through communication in writing addressed to the SDS. The communication shall indicate the subject as **SBM Grant** and shall state the reason or justification for refusal. The SDS will inform the SED of the refusal through email address [bhrod.sed@deped.gov.ph](mailto:bhrod.sed@deped.gov.ph). The request for grant reduction shall follow the same procedure contained in this paragraph, with the reduction amount specified.

#### 4.3.3 Replacement Schools

Schools that refuse the SBM Grant and those that are disqualified due to unliquidated funds shall be replaced. Replacements will be selected from the same Division. The SGOD shall select replacements from a list of replacement schools provided by the SED (**Annex 3**). These are schools from 3rd, 4th, 5th, and 6th income class municipalities with enrollment ranging from 301 to 400. These schools are ranked according to their enrollment and municipal income class, and the SGOD shall follow this ranking in selecting replacements (i.e. schools on top of the list shall be selected first).

A replacement school shall be given a Php 50,000.00 grant. If the school to be replaced belongs to a 5th or 6th income class municipality, the Division will select two replacements. If the school to be replaced belongs to a 3rd or 4th income class municipality, the Division will select one replacement.

#### 4.3.4 Excess SBM Grants

The excess SBM Grants from the replacement of schools and grant reductions shall be pooled together as agency savings.

### 5.0 Eligible Activities and Expenses

#### 5.1 School Grant Eligible Activities and Expenses

5.1.1 The activities must be aligned to the three (3) objectives of this DepEd Order: a) enhancing the teaching and learning experience in school, b) improving school management and administrative processes, and c) strengthening resiliency of disadvantaged schools. The activities should also be based on the SIP.

For illustrative purposes, the following are sample activities for each objective. **These eligible activities are just examples and are in no way complete and exhaustive. Therefore, these activities should not be taken as the only means of achieving the said objectives. Based on its needs, the school should prioritize which activities to implement.**

#### **A. Enhancing the Teaching and Learning Experience**

- Contextualization of learning materials and teaching guides;
- Creation of teacher-made learning materials for use in differentiated and innovative instruction;
- Capacity-building for teachers on content, pedagogy, and classroom management;
- Classroom activities including the supplies and materials necessary to conduct them;
- CI projects; and
- Organization, mobilization, and other supporting activities of LAC and CI Project Teams.

#### **B. Improving School Management and Administrative Processes**

- Conduct of school planning activities particularly the organization and mobilization of the SPT;
- Review and enhancement of SIP using the CI Methodology;
- Preparation and dissemination of the School Report Card (SRC);
- Solid waste management;
- Advocacy and education campaign for internal and external stakeholders;
- Enrollment and attendance management;
- Child mapping or tracking of learners who are at risk of dropping out especially boys;
- School-level orientation and training on SBM, the CI methodology, and LAC; and
- Participation in SDO, RO, or CO meetings, orientations, trainings, and workshops on SBM, CI, and LAC.

#### **C. Strengthening Resiliency of Disadvantaged Schools**

- Provision for services and supplies to ensure learners' health and safety;
- Food incentives for extremely poor learners to attend school (e.g. meals and snacks);
- Conduct of school-community emergency preparedness drills;
- Provision for personal hygiene, first aid, deworming medicine, and disaster supplies and kits;
- Minor repairs and refurbishment of classrooms (e.g. repair of roofs, doors, walls, windows, and floors); and
- School Attendance Incentives for extremely poor learners who are at risk of dropping out (e.g. transportation, school supplies, learners' basic clothing, slippers, materials for school projects).

5.1.2 All expenses incurred in support of Section 5.1.1 are eligible as long as the expenses are classifiable as MOOE under Commission on Audit (COA)

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5.3.2 For ROs, the funds shall be used for the following:

- A. Ensuring that the school grants are awarded in accordance to these guidelines;
- B. Ensuring that the Divisions are capacitated to assist schools in implementing their WFPs effectively;
- C. Facilitating the conduct of Region-wide trainings for SDOs and School Heads on the enhanced SIP, CI, and SBM Grant;
- D. Reviewing and evaluating Region-wide program implementation;
- E. Random field inspections and monitoring of schools; and
- F. Mobilizing CSO partners in the monitoring of the SBM Grant. This includes the provision of transportation and meals to enable CSO partners to participate in monitoring activities.

5.3.3 For the CO, the funds shall be used for the following:

- A. Formulating and reviewing policies on school effectiveness;
- B. Undertaking policy research;
- C. Field testing of policies and systems;
- D. Organizing the conduct of nationwide trainings for National and Regional facilitators on the enhanced SIP, CI, and SBM Grant;
- E. Providing technical assistance to field offices and schools;
- F. Monitoring and evaluation;
- G. Documenting and disseminating good practices;
- H. Conducting advocacy activities; and
- I. Mobilizing CSO partners in the monitoring of the SBM Grant. This includes the provision of transportation and meals to enable CSO partners to participate in monitoring activities.

5.3.4 Following the format in **Annex 5**, the PSF Fund Managers of the Division and Region shall also prepare their own WFP which shall be approved by their SDSs and Regional Directors, respectively.

## **6.0 Risk Mitigation Strategies**

To ensure that risks are managed properly, the following strategies shall be undertaken:

### **6.1 On managing inadequate financial management capacity of recipient schools**

The RO and SDO are required to prioritize schools from 3rd, 4th, 5th, and 6th income class municipalities by providing the necessary coaching, mentoring, and other technical assistance or support to these schools at least twice during the school year.

The Regional Technical Assistance and Monitoring Team shall be led by the Regional SBM Coordinator and FTAD, supported by other specialists in the Region.



This team may involve representatives from CSOs during the monitoring of SBM Grants.

The Division Technical Assistance and Monitoring Team shall be led by the SGOD supported by other specialists in school leadership, pedagogy, and finance. Likewise, this team may involve representatives from Local School Boards and CSOs (e.g. District Committee of the Girls Scouts of the Philippines, Boys Scouts of the Philippines, local chapters of the Affiliated Network for Social Accountability in East Asia and the Pacific's (ANSA-EAP) Check My School Philippines, Ateneo School of Government's G-Watch or Government Watch) in the monitoring of SBM Grants.

For the purpose of engaging non-DepEd offices or organizations in monitoring SBM Grants, the Planning and Policy Research Division (PPRD) of the Region shall formulate a corresponding Regional policy within fifteen (15) calendar days upon issuance of this policy. If the Region is unable to issue such a policy, the provisions under this Section shall be sufficient for purposes of involving CSOs in monitoring. The absence of these Regional policies shall not prevent the release of SBM grants to schools.

Transportation and meal expenses of CSO representatives during orientation and monitoring visits shall be charged against the PSF of the concerned office.

## 6.2 On ensuring transparency and accountability in the use of SBM grant

### 6.2.1 Measures at the Region and Division

The RO shall post in public areas the utilization of the PSF and summary of the SBM Grant liquidation report. These reports shall also be submitted to the SED by December 31, 2015.

The SDO shall enter into contracts with the recipient schools in its Division and post their names, the grant amount, and a copy of this policy online and in public areas. **Annex 6** shows the Sample School Grant Award Agreement.

### 6.2.2 Measures at the School

The School Head shall apply for a fidelity bond based on Treasury Circular No. 02-2009. It shall be the responsibility of the SDS to ensure that prior to the release of the entire grant, a School Head has been properly designated for each school and that these School Heads have an existing fidelity bond.

Upon awarding of the grant, the School Head shall post in the school bulletin board, transparency board, or in any public and open area, the total grant amount, date of receipt, and a copy of the WFP submitted to the SDO.

In documenting and reporting the purchase of consumable items (e.g. meals, snacks, kits, school supplies, basic clothing), the report of the School Head shall include photographs with the end-users using or receiving such materials and an acknowledgement receipt or attendance sheet of the end-users.

For the provision of school attendance incentives for extremely poor learners at risk of dropping out, the School Head shall enter into an agreement with the parents or guardians of the learner specifying the school attendance rate that the learner and his parents or guardians have to observe. The said agreement shall be signed by the School Head, and the parents or guardians, and witnessed by the class adviser of the learner. The SGOD shall develop, in consultation with the School Heads of recipient schools, a template of the said agreement, written in a language easily understood by parents and guardians.

Eligible items that cannot be distributed to learners for their own personal consumption and use (e.g. first aid and emergency kits, learning materials) are for the benefit of all and shall remain a property of the school. Hence, the School Head or other school personnel cannot bring these home or to other schools when they transfer. Violation of this Section shall make the school personnel administratively and criminally liable.

## **7.0 Availing the Funds**

### **7.1 School Grants Availment**

7.1.1 The SGOD shall filter the list of eligible schools in **Annex 1** by removing the schools exempted under Section 4.3. This filtered list of recipient schools shall be sent to the SED within ten (10) calendar days after the issuance of this policy following the format in **Annex 7** and shall be the basis for the downloading of funds. These lists shall be published in the DepEd website to inform the concerned ROs and SDOs. The concerned SGODs shall then issue the call for the recipient schools to submit the WFP within five (5) calendar days corresponding to the grant amount stated in **Annex 1** and following the format in **Annex 5**. The SGOD shall appraise the WFP within five (5) calendar days and ensure that the activities are eligible.

7.1.2 If a recipient school submits a WFP with the eligible activities set in these guidelines, the WFP shall be approved. If a recipient school does not submit a WFP or if the WFP does not include eligible activities, the SGOD shall provide technical assistance to the school within five (5) calendar days. After receiving technical assistance and producing a WFP, the WFP shall be deemed approved.

The SGOD shall summarize the WFPs submitted by schools and submit through e-mail a list of schools with approved WFP to the SED on or before November 30, 2015. The SGOD shall also retain copies of the WFP for monitoring purposes.

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8.2 The SDO shall request the concerned DBM ROs for the release of the Notice of Cash Allocations (NCAs), supported by copies of Sub-AROs corresponding to the allotment released by the CO and the Revised Monthly Disbursement Program (if applicable).

8.3 The SDO shall put into effect the transfer of the amount of SBM Grant to the School Heads of IUs and Non-IUs in the form of cash advances. The cash advance shall specify the name of the school to which the SBM Grant is allocated and the title of the activity for which the SBM Grant is to be applied. School Heads from clusters of schools shall receive the grant of their respective schools and shall be the one responsible for managing and utilizing the SBM Grant.

8.4 The SDO shall release the SBM Grant to IUs and Non-IUs in two tranches: for the first tranche, 70% of the total SBM and for the second tranche, the remaining balance (30%) upon submission of a liquidation report of at least 75% of the previous cash advances.

8.5 Once School Heads receive the SBM Grant, the Project Teams or individual teachers can request in writing from the School Head a portion of the SBM Grant to support the implementation of their classroom or school improvement activities provided that these are eligible activities following Section 5 and are included in the WFP of the school submitted to the SDO.

If the request is denied, the School Head shall explain the reason for denial in writing to the concerned parties and shall explore other sources of funding to support the activities of the Project Teams or individual teachers.

8.6 All SBM Grants must be fully obligated and liquidated immediately or not later than **December 31, 2015** as stated in the Manual of Simplified Accounting Procedures.

## 9.0 Liquidation and Reporting of Accomplishments

### 9.1 Liquidation/Utilization Report

9.1.1 The School Head of the recipient schools shall submit the liquidation report of **the utilized fund** to the SDO, on or before the 10th day of the following month **after the conduct of an activity**. For example, if the grant was spent on several activities in the month of August, the liquidation of all these activities shall be made on or before September 10. If there are no activities or expenses in a given month, there is nothing to liquidate on the 10th day of the following month. The Non-IUs shall submit their utilization and/or liquidation reports to their respective SDOs using the disbursement report form for proper reporting, monitoring, and consolidation.

9.1.2 According to COA Circular 2004-006 dated September 9, 2004, evidence of receipt of payment may take several forms, provided such a document contains the following minimum data required:

- A. Name of Disbursing Officer making the payment
- B. Date of Payment
- C. Name of Recipient
- D. Address of the Recipient
- E. Purpose of the Payment
- F. Amount of Payment

Based on this COA Circular, the following supporting documents may be used as evidence of receipt of payment:

- A. Official Receipts (ORs)
- B. Reimbursement Expense Receipts (RERs)
- C. Acknowledgement Receipts (ARs)
- D. Voucher Receipt (VRs)
- E. Credit Card Payment Receipts

9.1.3 Supporting documents of IUs regarding the utilization of the funds and/or liquidation reports shall be retained in their respective schools, while all supporting documents of Non-IUs shall be retained in their respective SDOs. For IUs, a copy must be submitted to the SDO for reference.

## 9.2 Accomplishment Report

9.2.1 Using **Annex 9**, all recipient schools shall report to their respective SDOs their physical and financial accomplishments after the conduct of the activity on or before the 10th day of the following month. Note that financial accomplishments shall be based on their actual liquidation report.

9.2.2 The SDOs shall review and validate reported accomplishments of recipient schools on or before the 12th day of the following quarter (October 12 and January 12 of the ensuing year).

9.2.3 The SDOs are not prevented from developing other tools for monitoring the progress of projects with specific requirements, as long as these tools will be for the purpose of providing better technical assistance to the schools. However, the SDOs shall make sure that said tool/s do not duplicate any tool included in these guidelines.

9.2.4 Using **Annex 9**, the SDOs shall prepare accomplishment reports which shall be validated by ROs on or before the 15th day of the following quarter (October 15 and January 15 of the ensuing year).

9.2.5 Using **Annex 9**, the ROs shall likewise prepare accomplishment reports which shall be validated by the SED on or before the 20<sup>th</sup> day of the following quarter (October 20 and January 20 of the ensuing year). Furthermore, the RO shall submit consolidated completion reports to the SED on or before January 20, 2016.

## 10.0 Procurement Process

10.1 The existing Bids and Awards Committee (BAC) of the school shall be responsible for the procurement of supplies and materials. In the absence of a committee, the School Head shall create one through a memorandum. The school's BAC shall be composed of five members consisting of school personnel and representative/s from the Parents-Teachers Association (PTA) and/or School Governing Council (SGC). In the interest of checks and balances, the School Head is prevented from becoming the chairperson or a member of the school's BAC. The BAC's recommendations on the supplies and materials, however, shall be subject to the School Head's approval. The purchase orders shall be signed by the School Head or his/her authorized representative.

10.2 For schools with less than five (5) permanent employees, schools may avail the services of a BAC that is accessible to their schools (e.g. cluster schools' BAC, District or Division BAC).<sup>6</sup>

10.3 For procurement of goods and services amounting to P50,000.00 and below, the following guidelines from Government Procurement Policy Board (GPPB) Resolution No. 09-2009 must be observed:

10.3.1 The decision to resort to Shopping or Small Value Procurement shall be reflected in the Annual Procurement Plan and must take into consideration the annual procurement requirements of the item to be procured and other market factors, such as fluctuations in prices;

10.3.2 Splitting of contracts is strictly prohibited and is punishable by law. Splitting of contracts means the breaking up of contracts into smaller quantities and amounts, or dividing contract implementation into artificial phases or subcontracts, for the purpose of making it fall below the threshold for Shopping or Small Value Procurement, or evading or circumventing the requirement of public bidding; and

10.3.3 After the decision to resort to Shopping or Small Value Procurement has been made, the conduct thereof may be delegated to the appropriate bureau, committee, or support unit duly authorized by the BAC.

## 11.0 Roles and Responsibilities

11.1 School Level: The **School Head** or head of the recipient school shall be accountable for the implementation of the SBM Grant and is responsible for the following:

- A. Preparing and submitting the WFP to the SDO, including the physical & financial accomplishment reports and liquidation reports of the previous SBM Grants received;

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<sup>6</sup> DepEd Order 69, s. 2012, Section 8.5.c

- B. Receiving and allocating the grant and implementing the activities indicated in the approved WFP, following the costing parameters and timelines; and
- C. Submitting the liquidation report and the physical & financial report to the SDO, every 10th day of the following month after the conduct of an activity.

11.2 Division Level: The **School Governance Operations Division (SGOD)** shall oversee the overall implementation of SBM Grants at the Division level and is responsible for the following:

- A. Reviewing and confirming the WFPs vis-a-vis the SIPs submitted by the schools;
- B. Advocating the relevance of the program towards achieving efficient and effective learning delivery, and disseminating the lessons learned;
- C. Conducting progress monitoring of SBM Grant implementation to ensure efficient fund utilization and timely submission of liquidation reports of all school recipients;
- D. Consolidating reports submitted by the school recipients such as liquidation reports and accomplishment reports for onward submission to the RO; and
- E. Conducting orientation and training, and providing coaching and technical assistance to the schools pertaining to project planning, resource generation, financial management, and submission of required reports.

The **Schools Division Superintendent (SDS)** shall be the accountable SBM implementer at the Division level.

11.3 Regional Level: The **Regional Field Technical Assistance Division (FTAD)** shall oversee the overall implementation of SBM and is responsible for the following:

- A. Conducting orientation/training for the SDOs;
- B. Conducting evaluation of the SBM Grant;
- C. Consolidating reports submitted by the SDOs such as the liquidation report and accomplishment report for onward submission to the CO;
- D. Participating/initiating research relative to the SBM Grant; and
- E. Providing coaching and technical assistance to the SDOs, when necessary.

The **Regional Director**, as head of the Task Force, shall identify the specialist in the Region who will support the FTAD. Furthermore, the Regional Director shall be the accountable SBM implementer at the Regional level.

11.4 National Level: The **School Effectiveness Division (SED)** of the Bureau of Human Resource and Organizational Development shall take charge of the overall implementation of the SBM Grant in close coordination with the Finance Service. The functions of the SED are:

- A. Formulating the guidelines on SBM Grant implementation;
- B. Identifying eligible schools based on the criteria set in these guidelines;
- C. Allocating SBM Grants for eligible schools and PSFs for Divisions and Regions;
- D. Monitoring and evaluating SBM Grant utilization;
- E. Initiating the conduct of research relative to the SBM Grant;
- F. Providing coaching and technical assistance to Regions, when necessary; and
- G. Conducting capacity building for the ROs.

#### **12.0 Effectivity**

All DepEd Orders and other related issuances, rules and regulations and provisions which are inconsistent with these guidelines are hereby repealed, rescinded, or modified accordingly. Moreover, this policy shall take effect fifteen (15) days after its publication in the Office of the National Administrative Register (ONAR) at the University of the Philippines (UP) Law Center, UP Diliman, Quezon City.