ED 073 520   EA 004 827

TITLE   Planning/Budgeting/Evaluation Manual. An Operation
                Manual for Staff Members Concerning the
                Implementation of the Planning/Budgeting/Evaluation
                Cycle Within the Missouri State Department of
                Education.
INSTITUTION   Missouri State Dept. of Education, Jefferson City.
PUB DATE   Aug 72
NOTE   78p.

EDRS PRICE   MF-$0.65 HC-$3.29
DESCRIPTORS   *Budgeting; *Budgets; *Evaluation; Evaluation
                Methods; Guidelines; Management Systems; *Planning;
                Programing; State Boards of Education; *State
                Departments of Education
IDENTIFIERS   *Missouri; Planning Programing Budgeting Evaluation
                System; PPBES

ABSTRACT
        This manual identifies and systematizes the sequence
of events necessary for the State Department of Education to
effectively plan, implement, and evaluate its varied programs. The
report (1) describes the cycle, (2) outlines the flow of events, (3)
delineates offices responsible for each event, and (4) discusses
overlapping phases of event cycles with interactions. Appendixes
contain (1) budget/planning forms, (2) an operations planning and
reporting document, (3) an activity listing, and (4) a sample
operations planning and reporting document. (JF)

P L A N N I N G / B U D G E T I N G / E V A L U A T I O N   M A N U A L

AN OPERATION MANUAL FOR

STAFF MEMBERS CONCERNING

THE IMPLEMENTATION OF THE

PLANNING/BUDGETING/EVALUATION CYCLE

WITHIN

THE MISSOURI STATE DEPARTMENT OF EDUCATION

JEFFERSON CITY, MISSOURI 65101

AUGUST, 1972

State of Missouri

DEPARTMENT OF EDUCATION

Jefferson City, Missouri 65101

STATE BOARD OF EDUCATION

Sidney R. Redmond . . . . President

W. C. Banta . . . . Vice-President

F. Burton Sawyer . . . . Member

Mrs. Eleanor B. Griffith . . . . Member

John M. Morris, Jr. . . . . Member

Dale M. Thompson . . . . Member

Jack Webster . . . . Member

Harvey B. Young, Jr. . . . . Member

Arthur L. Mallory . . . . Commissioner of Education
and Administrative Officer

EllaMae Flippen . . . . Secretary

ADMINISTRATION

Arthur L. Mallory . . . . Commissioner of Education

EllaMae Flippen . . . . Administrative Assistant to Commissioner

William J. Wasson . . . . Deputy Commissioner

Steven Sandler . . . . Associate Commissioner

H. Kenneth Kirchner . . . . Assistant Commissioner

P. J. Newell, Jr. . . . . Assistant Commissioner

B. W. Robinson . . . . Assistant Commissioner

Warren M. Black . . . . Assistant Commissioner

FOREWORD

Department Staff Members:

As part of the Missouri State Department of Education, planning
efforts and analyses have been made of the necessary activities related
to planning, budgeting, and program evaluation.

This procedure manual identifies each activity which must be
accomplished in the cycle of planning, budgeting, and evaluation,
assigns responsibility for accomplishment, and designates an estimated
completion time.

By following this cycle of events, the Missouri State Department
of Education will be better able to control and coordinate its activities
as related to our goals and objectives and thus provide better services
to the citizens of the state.

Associate Commissioner

ACKNOWLEDGMENTS

TABLE OF CONTENTS

STATEMENT OF PURPOSE

The purpose of this manual is to identify and systematize the sequence

of events necessary for the Department of Education to effectively plan,

implement, and evaluate its varied programs. It is believed that the operating

procedure defined by this sequence of events will effectively increase the

capability of the department in comprehensive planning and program evaluation.

The procedure has been developed in consideration of the following principles,

which are considered essential as the department attempts to fulfill its

responsibility to the people of Missouri:

    (a)   The procedure should provide a mechanism for the department
           to identify and respond effectively to educational needs of
           the state of Missouri, and

    (b)   The procedure should be consistent with the principle of
           accountability at all levels of the educational enterprise.

Applications of these principles are illustrated in subsequent sections of

this manual.

THE PLANNING/BUDGETING/EVALUATION CYCLE

1. <u>What is the Planning/Budgeting/Evaluation Cycle?</u>

The cycle delineates an organized operating procedure which defines each event to be achieved, the scheduled date for achievement of each event, and the responsibility for each event. The procedure may be explained by focusing upon each word in its title:

<u>Planning</u>. The procedure has been designed to build an explicit planning component into the work of the department at both the general administration and program development levels. Provision is made annually for the Commissioner and the Board of Education to define priorities both for immediate program implementation and for planning of budget requests and programs a year in advance of actual program implementation. Program planning will be an integral part of the work of each section, and will be documented by Operations Plans prepared at the beginning of each program year.

<u>Budgeting</u>. The development of the budget is based upon anticipated costs of programs developed within each section. The Proposed Departmental Budget is prepared through a process f developing proposed sectional budgets, making adjustments on the basis of existing resources and constraints, and compiling them into a unified departmental budget. The P/B/E Cycle delineates the major events involved in this process. The budgeting process is integrally related to the planning and evaluation processes.

<u>Evaluation</u>. It is assumed that decisions made in the department should be based upon as much relevant information as possible. The P/B/E Cycle provides for systematic collection of data for program evaluation. Progress of each program is monitored systematically throughout the program year, and the Program Evaluation Report for the total year is made available as support for the departmental budget request.

<u>Cycle</u>. The events which constitute this operating procedure systematically recur in a continuing cycle. The complete sequence from the Commissioner's review of data for the setting of priorities for a program year to the completion

of evaluation reports for that year requires a period of
two and one-half years. However, each event recurs each
year, with the result that at least two overlapping
phases of the cycle are in progress at any given time.
Several important interactions occur between events at
different phases of the cycle (Figure II).

2. What is the rationale for the Planning/Budgeting/Evaluation Cycle?

The essential concern of the State Department of Education is its basic

responsibility to promote excellence in education for the state of Missouri.

One of the constraints to achievement of this goal is the fact that efficient

operation of such a complex organization requires a systematic procedure for

allocation of resources and dissemination of relevant information. The use

of the P/B/E Cycle within the department is intended to facilitate achievement

of this goal.

One of the principles underlying development of the operating procedure

defined by the P/B/E Cycle was that it should provide for effective identifi-

cation of and response to educational needs of the people of Missouri. Several

features of the cycle are consistent with this principle:

(a) Input from a variety of sources contributes to the Commissioner's
     setting of priorities;

(b) The State Board of Education, representing a broad range of
     interests and expertise, is also annually involved in the setting
     of priorities;

(c) The priorities provide direction for preliminary program planning
     and budget requests;

(d) The priorities provide direction for program development and
     operation based on actual budget appropriations; and

(e) Provision is made for systematic development and coordination of
     program plans.

Another important principle concerns the responsibility of the department
o demonstrate efficient use of public funds in carrying out its functions.
he P/B/E Cycle provides for this responsibility in several ways:

   (a) Designs for the evaluation of programs are prepared by each
        section annually;

   (b) Reports of program progress are submitted regularly by sections
        to coordinators and assistant commissioners; and,

   (c) Evaluation reports are submitted regularly to the Associate
        Commissioner and Commissioner for use in planning, defining
        priorities, and in support of budget requests.

TABLE OF EVENTS

An event is considered to be the completion of an activity or a set of activities. The following table lists the twenty-eight major events which describe the complete P/B/E Cycle. Each event is numbered according to its position in the sequence. The office responsible for each event is identified, and the date by which each event should occur is stated.
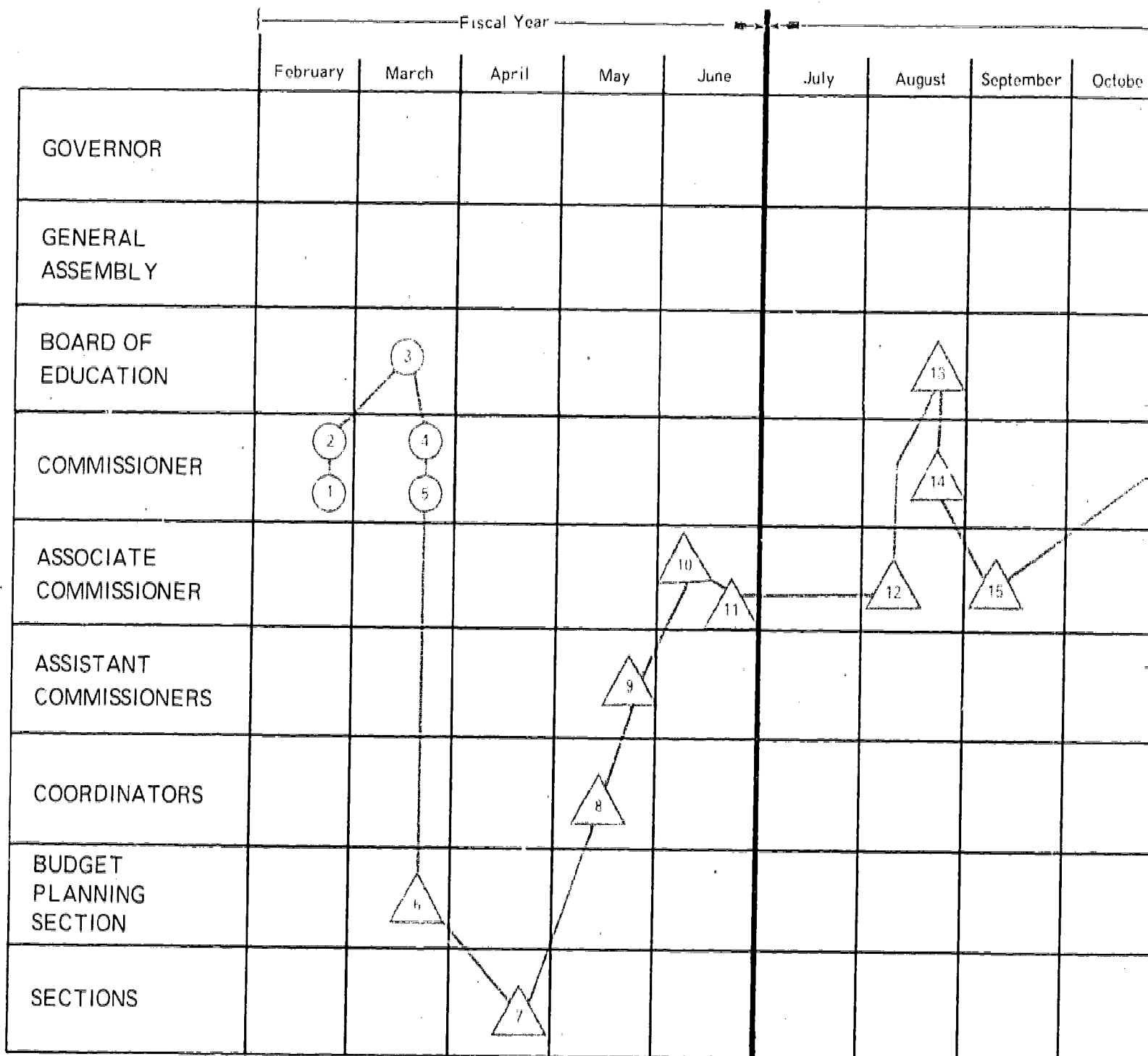
1.	Review of Relevant Data Completed by Commissioner	March 1
2.	Priorities Stated by Commissioner	March 1
3.	Priorities Approved by State Board of Education	March 15
4.	Planning Priorities Disseminated by Commissioner	April 1
5.	Operational Priorities Disseminated by Commissioner	April 1
6.	Budget/Planning Forms Distributed by Budget Planning Section	April 1
7.	Budget/Planning Forms Completed by Sections	May 1
8.	Budget/Planning Forms Reviewed and Approved by Coordinators	May 15
9.	Budget/Planning Forms Reviewed and Approved by Assistant Commissioners	June 1
10.	Review of Budget/Planning Forms and Program Evaluation Reports Completed by Associate Commissioner	June 7
11.	Hearings on Section Budgets Completed by Associate Commissioner	July 1
12.	Proposed Departmental Budget Compiled by Associate Commissioner	August 15
13.	Proposed Departmental Budget Approved by State Board	September 1
14.	Proposed Departmental Budget Submitted to Comptroller by Commissioner	September 1

TABLE OF EVENTS (Cont.)

15.	Sections Notified of Approval of Proposed Budgets/Plans by Associate Commissioner	September 15
16.	Hearings on Proposed Departmental Budget Completed by General Assembly	February 1
17.	Proposed Departmental Budget Approved by General Assembly	May 1
18.	Proposed Departmental Budget Approved by Governor	June 1
19.	Sections Notified of Budget Appropriations by Associate Commissioner	July 1
20.	Operations Planning Form Completed by Sections	July 15
21.	Evaluation Designs Completed by Sections	August 1
22.	Operations Planning Form with Evaluation Design Approved by Coordinators	August 15
23.	Operations Planning Form with Evaluation Design Approved by Assistant Commissioners	August 15
24.	Monitoring Report #1 Submitted to Coordinators and Assistant Commissioners by Sections	October 1
25.	Monitoring Report #2 Submitted to Coordinators and Assistant Commissioners by Sections	January 1
26.	Progress Report Submitted to Associate Commissioner and Commissioner by Assistant Commissioners	January 15
27.	Monitoring Report #3 Submitted to Coordinators and Assistant Commissioners by Sections	April 1
28.	Program Evaluation Report Submitted to Coordinators, Assistant Commissioners, and Associate Commissioner by Sections	June 1

FIGURE I: SIMPLE FLOW OF EVENTS

This chart presents graphically the sequence of events in one complete revolution of the cycle. Events are coded by geometric form to represent discrete phases of the cycle. The office responsible for completion of each event is indicated. The numbers refer to events as explained in the subsequent section.

	February	March	April	May	June	July	August	September	Octobe
GOVERNOR									
GENERAL ASSEMBLY									
BOARD OF EDUCATION		3					13		
COMMISSIONER	2 / 1	4 / 5							
ASSOCIATE COMMISSIONER				10 / 11			12 / 14	15	
ASSISTANT COMMISSIONERS				9					
COORDINATORS				8					
BUDGET PLANNING SECTION		6							
SECTIONS			7						

◯ — Events Related to Commissioner's Statements of Planning Priori-
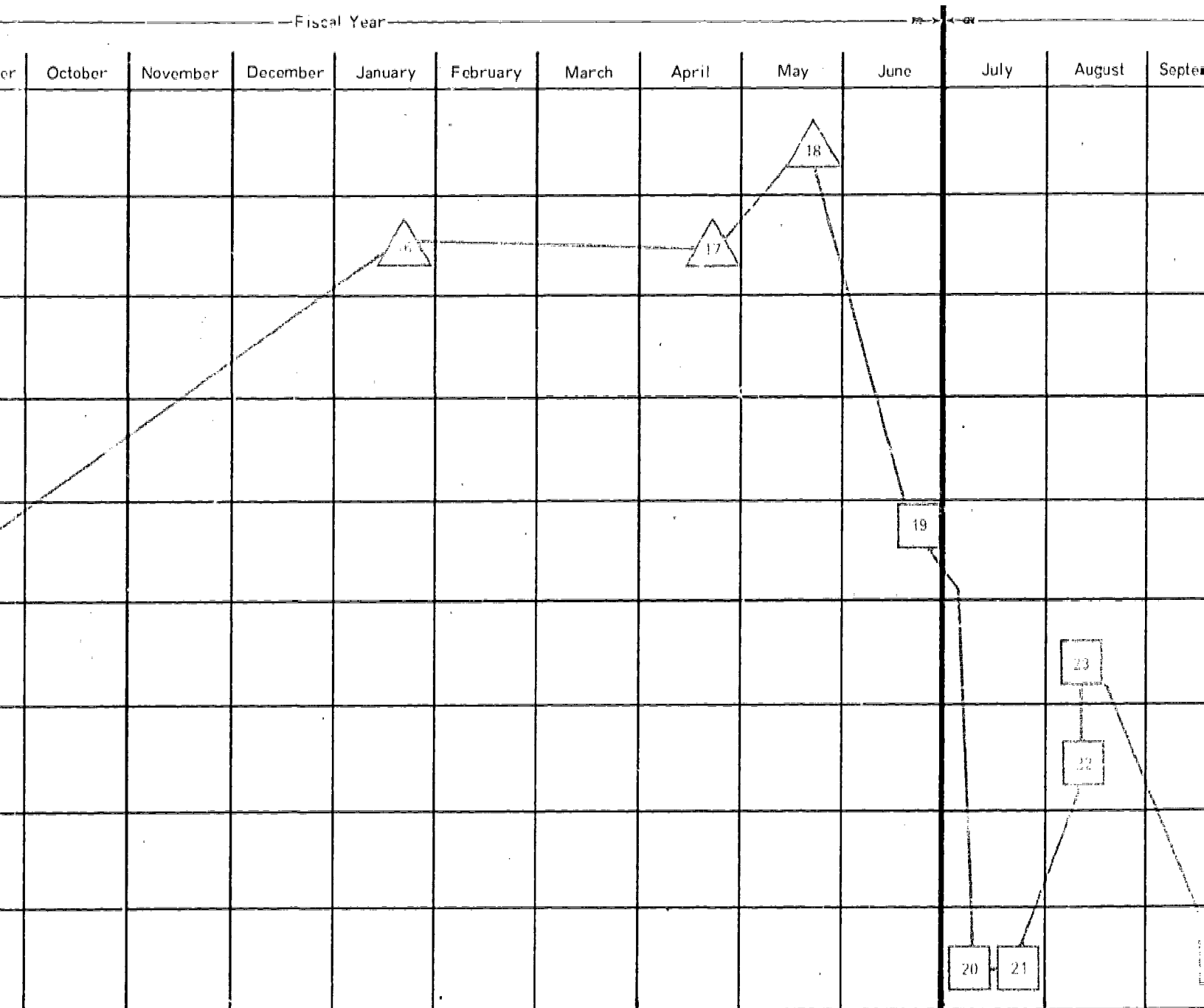ties and Operational Priorities

△ — Events Related to Development of Proposed Departmental Budget

▢ — Events Related to Operations Planning and Reporting

MISSOURI STATE DEPARTMENT OF EDUCATION

PLANNING/BUDGETING/EVALUATION CYCLE

Figure I: Simple Flow of Events

	October	November	December	January	February	March	April	May	June	July	August	Septe

	July	August	September	October	November	December	January	February	March	April	May
19											
		23					26				
		22									
	20 21		24			25				27	

EXPLANATION OF EVENTS

This section presents a brief description of each event. The events are numbered in sequence and represent one complete revolution of the P/B/E Cycle from setting priorities to submitting the Program Evaluation Report for the year. Refer to the Simple Flow of Events (Figure I) for the schedule of completion dates and the office responsible for completion of each activity.

1. Review of Relevant Data Completed by Commissioner

The Commissioner will review information available to him which will assist in determining areas of particular need or concern in educational programs of the state. Sources of information available to the Commissioner for this purpose include, among others, the following:

(a) Regional conferences

(b) Program evaluation reports

(c) Needs assessment studies

(d) National and state educational priorities

(e) Proposed federal and state legislation

(f) Department priorities from previous year

(g) Coordinator's Council

(h) Executive Committee

(i) Staff meetings

(j) Advisory committees

(k) State Board of Education

EXPLANATION OF EVENTS (Cont.)

2. Priorities Stated by Commissioner

The Commissioner will use the information available for focusing on educational needs of Missouri and for stating priorities based on those needs. The priorities will be used to provide direction to program planning in the Department of Education. Two separate products will result from the priority-setting activity:

(a) Planning Priorities will be stated to provide direction in preparing plans and budget requests for programs projected a year into the future. These priorities represent educational needs identified by the Commissioner a year in advance of actual programming so that budget requests can be prepared to meet the need, and

(b) Operational Priorities for the fiscal year immediately ahead will be stated. This may be a revision of priorities for the year stated earlier by the Commissioner. If revision is necessary, it will be made on the basis of relevant information not available when the priorities were stated the previous March. This updated set of priorities will provide direction for program planning based on actual budget appropriations.

3. Priorities Approved by State Board of Education

Copies of the Planning Priorities will be provided to individual members of the State Board of Education prior to their scheduled meeting. This will allow opportunity for individual and unhurried consideration of the statement. The Board will review the Commissioner's statement and approve a Statement of Planning Priorities for the program year which begins fifteen months in the future.

The Operational Priorities for the upcoming year will be similarly reviewed and approved by the State Board.

EXPLANATION OF EVENTS (Cont.)

4. Planning Priorities Disseminated by Commissioner

The Commissioner will disseminate copies of the Statement of Planning Priorities to all members of the Executive Council, coordinators, and section directors. In addition, the Commissioner may further disseminate the statements as he feels appropriate.

5. Operational Priorities Disseminated by Commissioner

Operational Priorities will be disseminated for use by sections in completing operations planning for the program year ahead. Members of the Executive Council, coordinators, directors, and others will receive copies of the priorities as appropriate.

6. Budget/Planning Forms* Distributed by Budget Planning Section

The Budget Planning Section will distribute forms for the use of each section in communicating preliminary plans and budgetary requests for the program year. Distribution of the forms will coincide with dissemination of the Statement of Planning Priorities. The priorities may then be used as basis for development of preliminary plans and budget requests.

---

*A copy of the forms is presented in Appendix A.

EXPLANATION OF EVENTS (Cont.)

Budget/Planning Forms Completed by Sections

The Budget/Planning Form will communicate preliminary plans and budget requests of each section. When completed, the form will specify long-term goals, program objectives, and intended accomplishments of the section for the program year. The purposes of the form include the following:

(a) Stimulate preliminary planning of programs by section personnel,

(b) Communicate program plans within the department, and

(c) Provide basic information for section budget hearings and determination of proposed departmental budget.

Budget/Planning Forms Reviewed and Approved by Coordinators

Each coordinator will review the forms submitted to him by sections under control. He may suggest modifications thought to be necessary for better lination among sections and will approve the forms.

Budget/Planning Forms Reviewed and Approved by Assistant Commissioners

Each assistant commissioner will review the forms submitted to him by dinators within his division. He may suggest modifications thought to necessary and will approve the forms.

EXPLANATION OF EVENTS (Cont.)

Review of Budget/Planning Forms and Program Evaluation Reports Completed
by Associate Commissioner

The Associate Commissioner will review and approve the Budget/Planning
ms submitted by sections. The forms will be compiled at this time to
ovide basic data for section budget hearings.

The Program Evaluation Reports for the program year being completed will
available at this time. They will be reviewed by the Associate Commissioner
used as a source of information in the section budget hearings.

Hearings on Section Budgets Completed by Associate Commissioner

Budget hearings are conducted to consider and coordinate budget requests
ng made by each section. This is done on the basis of the Commissioner's
orities, evaluation reports, and other available information.

Proposed Departmental Budget Compiled by Associate Commissioner

After budget requests of each section have been approved by the department
inistration, they will be compiled into a Proposed Departmental Budget.

Proposed Departmental Budget Approved by State Board

The State Board of Education will review and approve the proposed budget
compiled by the Associate Commissioner.

EXPLANATION OF EVENTS (Cont.)

14. <u>Proposed Departmental Budget Submitted to Comptroller by Commissioner</u>

This proposed budget is the department's appropriation request. After providing opportunity for agency hearings, the Governor will make his recommendations and submit the proposed budget for consideration by the legislature.

15. <u>Sections Notified Of Approval of Proposed Budgets/Plans by Associate Commissioner</u>

The budget requests submitted by sections may have been modified in the process of section budget hearings and compilation of the Proposed Departmental Budget. This activity communicates to each section the budget request for that section as finally submitted to the Comptroller.

16. <u>Hearings on Proposed Departmental Budget Completed by General Assembly</u>

The legislature will consider the budget request. In doing this, they will ask the department to justify the request, will consider the fiscal resources of the state, and will balance the request against competing demands upon those resources.

17. <u>Proposed Departmental Budget Approved by General Assembly</u>

After consideration of the request, the legislature will approve an appropriation for the department.

EXPLANATION OF EVENTS (Cont.)

18. Proposed Departmental Budget Approved by Governor

The Governor will review and approve the appropriation for the department.

19. Sections Notified of Budget Appropriations by Associate Commissioner

The Associate Commissioner will inform department personnel of appropriations for operation of each of the sections.

20. Operations Planning Form* Completed by Sections

On the basis of actual appropriations for the year, each section will plan budget operations for the current fiscal year. The plan will detail goals and objectives, anticipated costs, and program activities.

21. Evaluation Designs Completed by Sections

Each section will prepare a design for evaluation of the program of that section. The design will specify the data to be used for evaluation, source of data to be collected, and evaluation criteria. The information will be included in the Operations Planning and Reporting Document.

22. Operations Planning Form with Evaluation Design Approved by Coordinators

Each coordinator will review and approve the forms submitted by sections under his control.

*This form is a part of the Operations Planning and Reporting Document, presented in Appendix B.

EXPLANATION OF EVENTS (Cont.)

Operations Planning Form with Evaluation Design Approved by Assistant
Commissioners

Each assistant commissioner will review and approve the forms submitted
by sections within his division.

Monitoring Report #1 Submitted to Coordinators and Assistant Commissioners
by Sections

At the end of the first three months of operation in the fiscal year
each section will prepare and submit a report of progress and problems related
achievement of program objectives for the year.

Monitoring Report #2 Submitted to Coordinators and Assistant Commissioners
by Sections

At the end of the first six months of operation in the fiscal year, each
section will prepare and submit a report of progress and problems related to
achievement of program objectives for the year.

Progress Report Submitted to Associate Commissioner and Commissioner by
Assistant Commissioners

After receiving Monitoring Report #2 from sections, each assistant
commissioner will prepare and submit a summary report of program progress
within his division.

EXPLANATION OF EVENTS (Cont.)

Monitoring Report #3 Submitted to Coordinators and Assistant Commissioners
by Sections

At the end of the first nine months of operation in the fiscal year,
each section will prepare and submit a report of progress and problems related
to achievement of program objectives for the year.

Program Evaluation Report Submitted to Coordinators, Assistant Commissioners,
and Associate Commissioner by Sections

Near the end of the fiscal year, each section will prepare and submit an
evaluation report of its program for the year. The report will be prepared
in conformity with the Evaluation Design completed earlier, using data compiled
throughout the program period.

TABLE OF EVENTS BY OFFICE RESPONSIBLE

This table presents the events of the P/B/E Cycle organized according to office responsible for completion of each event. This format facilitates referral to determine events for which each office is responsible.
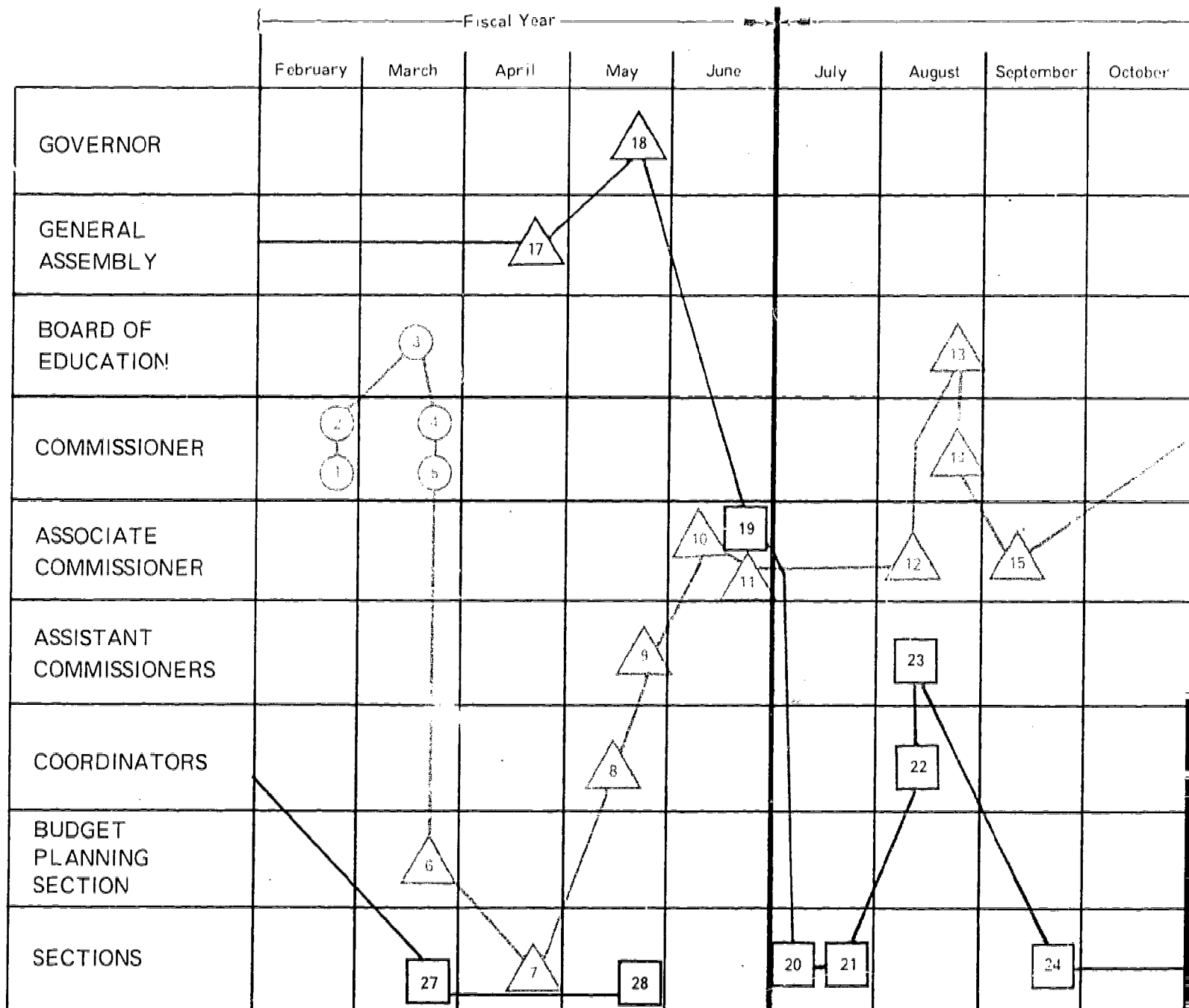
Office Responsible	Event No.	Event Name	Completion Month
Governor	18	Proposed Departmental Budget Approved	May
General Assembly	16	Hearings on Proposed Departmental Budget Completed	January
"	17	Proposed Departmental Budget Approved	April
Board of Education	3	Priorities Approved	March
"	13	Proposed Departmental Budget Approved	August
Commissioner	1	Review of Relevant Data Completed	February
"	2	Priorities Stated	March
"	4	Planning Priorities Disseminated	March
"	5	Operational Priorities Disseminated	March
"	14	Proposed Departmental Budget Submitted to Comptroller	August
Assoc. Commissioner	10	Review of Budget/Planning Forms and Evaluation Reports	June
"	11	Hearings on Section Budgets Completed	July

TABLE OF EVENTS BY OFFICE RESPONSIBLE (Cont.)

Office Responsible	Event No.	Event Name	Completion Month
Assoc. Commissioner	12	Proposed Departmental Budget Compiled	August
"	15	Sections Notified of Approval of Proposed Budgets/Plans	September
"	19	Sections Notified of Budget Appropriations	June
Asst. Commissioners	9	Budget/Planning Forms Reviewed and Approved	May
"	23	Operations Planning Form with Evaluation Design Approved	August
"	26	Progress Report Submitted to Associate Commissioner and Commissioner	January
Coordinators	8	Budget/Planning Forms Reviewed and Approved	May
"	22	Operations Planning Form with Evaluation Design Approved	August
Budget Planning Section	6	Budget/Planning Forms Distributed	March
Each Section	7	Budget/Planning Forms Completed	April
"	20	Operations Planning Forms Completed	July
"	21	Evaluation Designs Completed	July
"	24	Monitoring Report #1 Submitted	September
"	25	Monitoring Report #2 Submitted	December
"	27	Monitoring Report #3 Submitted	March
"	28	Program Evaluation Report Submitted	June

FIGURE II: OVERLAPPING PHASES OF EVENT CYCLES WITH INTERACTIONS

This chart presents graphically the overlapping of the P/B/E Cycles.
Each cycle is represented by a different color. Events are also coded by
geometric form to represent three distinct phases of the cycle. Events from
separate cycles which occur in the same month can be easily identified.
The broken lines represent interactions in which an event in one cycle provides
input for an event in a different cycle.

	February	March	April	May	June	July	August	September	October
GOVERNOR				18					
GENERAL ASSEMBLY			17						
BOARD OF EDUCATION		3					13		
COMMISSIONER	2 / 1	4 / 5					14		
ASSOCIATE COMMISSIONER					10 / 19 / 11		12	15	
ASSISTANT COMMISSIONERS				9			23		
COORDINATORS				8			22		
BUDGET PLANNING SECTION		6							
SECTIONS		27	7	28		20 21		24	

○— Events Related to Commissioner's Statements of Planning Priori-
ties and Operational Priorities

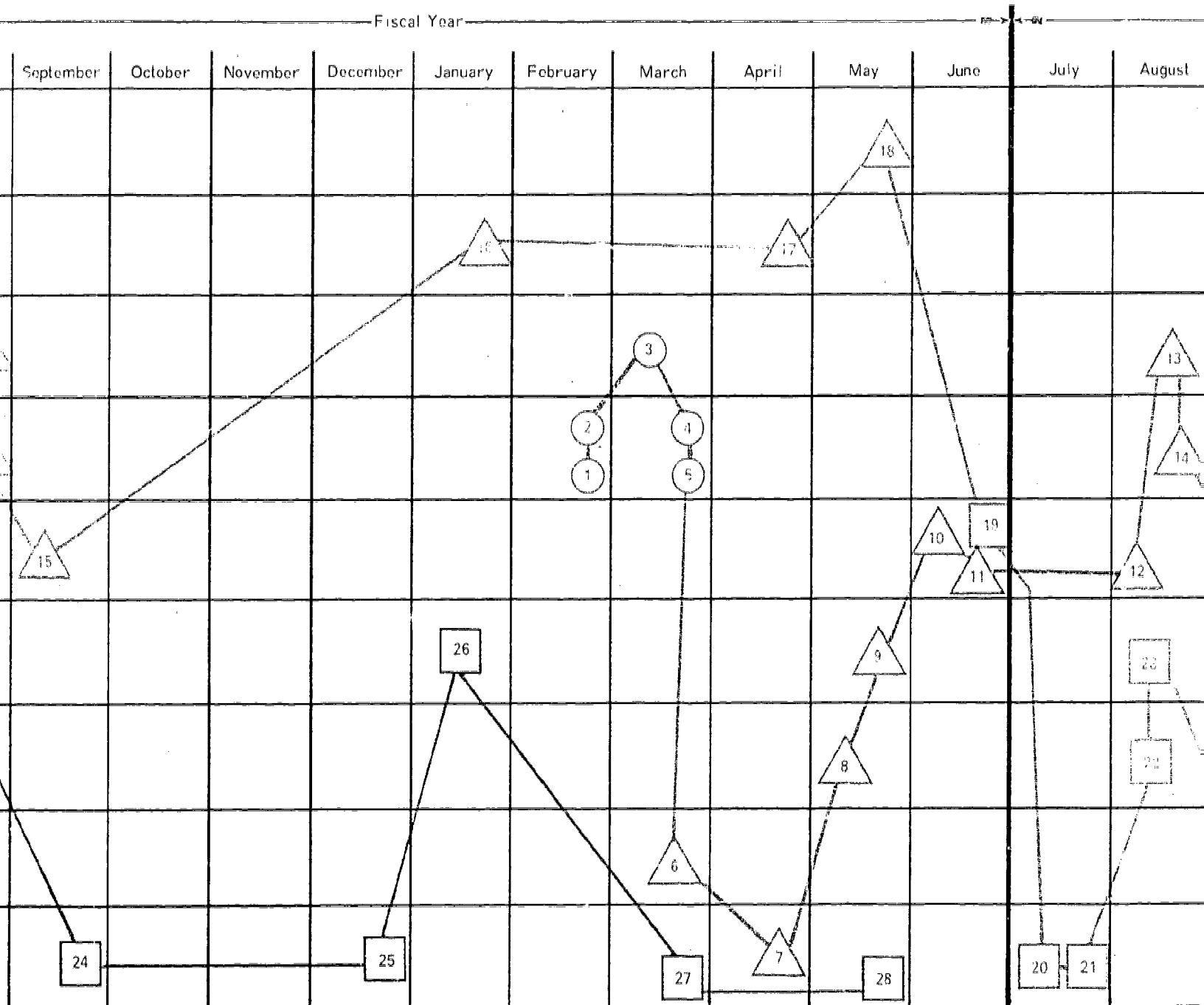△— Events Related to Development of Proposed Departmental Budget

▢— Events Related to Operations Planning and Reporting

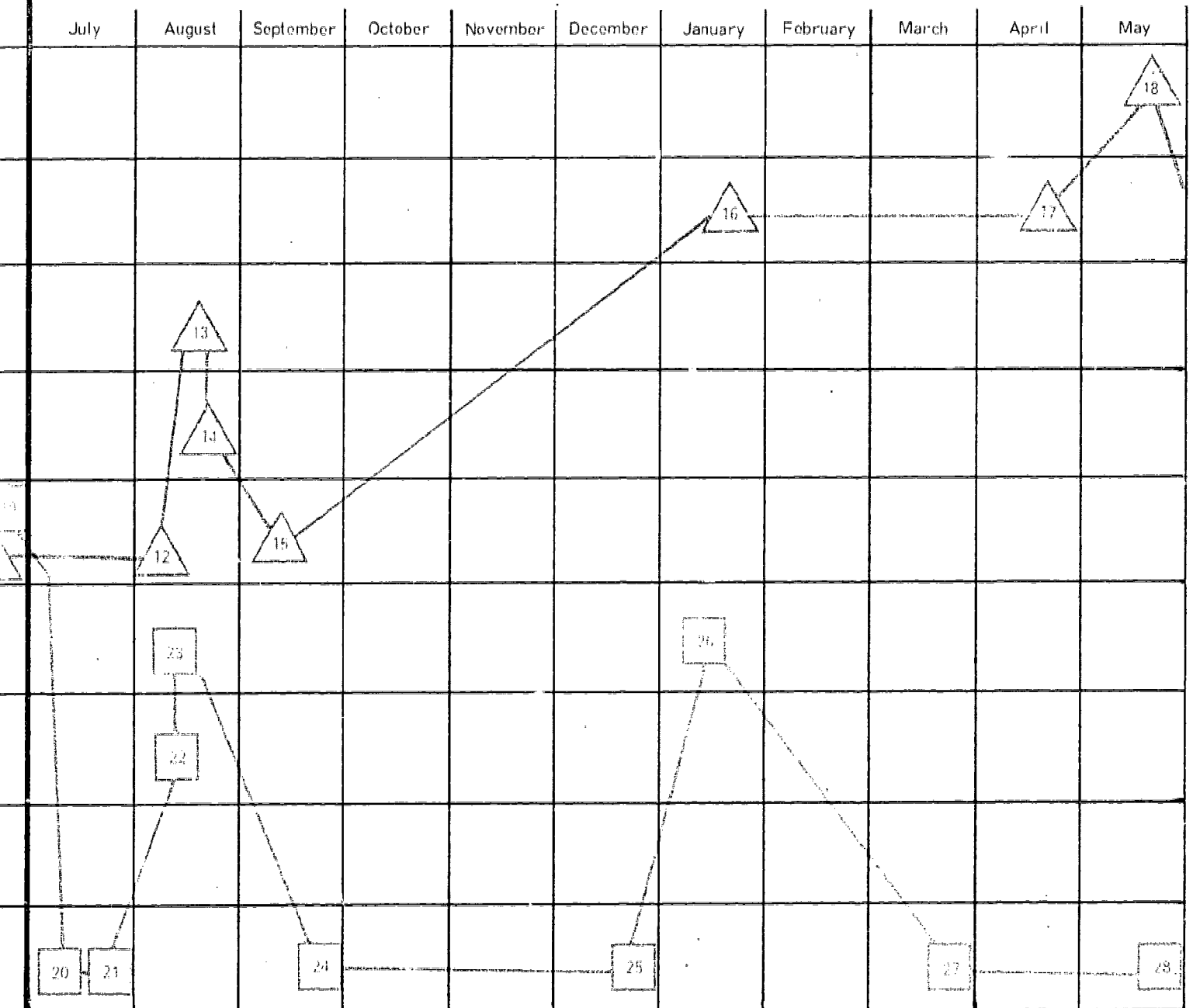— Interactions between events in different phases of recurring cycle

MISSOURI STATE DEPARTMENT OF EDUCATION

PLANNING/BUDGETING/EVALUATION CYCLE

Figure II: Overlapping Phases of Event Cycles with Interactions

July	August	September	October	November	December	January	February	March	April	May
										18
						16			17	
	13									
	14									
12		15								
	23					26				
	22									
20 21		24			25			27		28

EXPLANATION OF INTERACTIONS

The network of events (refer to Figure II) illustrates the overlapping of
recurring cycles of events. For example, during the month of May an event
from each of three different cycles is scheduled to occur:

(1) Event #28, representing completion of Evaluation Reports, marks
the end of a program year and the last event within the sequence.

(2) Event #18 represents approval of appropriations by the Governor.
This is part of the sequence of events related to program imple-
mentation in the fiscal year about to begin.

(3) Event #8 represents the approval of Budget/Planning Forms by
the Assistant Commissioners. This is an early event in the
sequence leading to program implementation more than a year
in the future.

Even though three distinct phases of the recurring cycle are represented
by these three events, several important interrelationships exist between
events in different phases of the cycle. These interactions are important
because they provide information for decisions at critical points in the
sequence. The following interactions are identified in terms of the numbers
of the events in each pair:

(1) Interaction 5-20. This interaction provides Operational
Priorities to guide the development of plans for each program
year. This provides opportunity for the Commissioner to
influence program planning with recent information not available
when the Planning Priorities were stated earlier.

(2) Interaction 10-20. This interaction provides opportunity for
the Associate Commissioner to use information contained in
the very recent Program Evaluation Reports to influence the
development of Operations Plans.

(3) Interaction 10-1. This interaction provides for information
from the most recent Program Evaluation Reports to be used by
the Commissioner in formulation of priorities for the department.

(4) Interaction 26-1. This interaction provides for information
from the recent mid-year Progress Reports to be used by the
Commissioner in formulation of priorities for the department.

(5) Interaction 26-16. This interaction provides for information
     from the mid-year Progress Reports to be used in support of the
     Proposed Departmental Budget in the legislative budget hearings.

(6) Interaction 28-10. This interaction provides for information
     from the year-end Program Evaluation Reports to be reviewed by
     the Associate Commissioner as a source of information in the
     section budget hearings.

APPENDIX A

BUDGET/PLANNING FORMS

BUDGET/PLANNING FORMS

MISSOURI STATE DEPARTMENT OF EDUCATION

INSTRUCTIONS

FOR

FY 1974

(JULY 1, 1973 - JUNE 30, 1974)

APRIL 1, 1972

INTRODUCTION

The State Budget Office has requested the preparation of the Department's
_____ Request for the fiscal year ending June 30, 1974, on the basis of programs
_____ lar to the request for fiscal year 73. The program/budget form requests
includes not only identification of estimated expenditures but indication of
program objectives and evaluation criteria.

Each section needs to complete certain forms on the section's programs
in order to provide input into the Department's Budget request document. These
_____ request information by section that may be difficult to obtain but are
_____ of our continual movement toward internal budgeting and accounting at the
_____ on level.

For purposes of coding and completion of forms, the following definitions
will be used:

Department - State Department of Education

Unit - Division of Public Schools

Program - (Appropriate Division)

Sub-Program - (Appropriate Section)

Program Element - (A distinct operating part of a section)

While this structure recognizes the Division as a Program and the Section
as a Sub-Program, some sections will be required to break down their budget into
greater detail than just the section level.

Instructions for each form are provided to aid you in your preparation.
Jim Wilson, (Director of Budgeting); Harold Rung, (Director of Finance);
Don Gann, (Coordinator for the Associate Commissioner); and/or William Wasson,
(Associate Commissioner), will provide any desired assistance or information

in order to complete the forms.

Once your Budget/Planning forms are complete, they should be reviewed by your Coordinator and Assistant Commissioner. Completed forms should be submitted to Jim Wilson, (Director of Budgeting), no later than June 1, 1972.

During the month of June, conferences will be held for review and discussion of your FY 72 Evaluation Report and the Budget/Planning Request for FY 74. The Section Director, Coordinator, Assistant Commissioner, Director of Budgeting, Associate Commissioner and Deputy Commissioner will participate in these hearings. All appropriate personnel will be notified as to the time of a Section's hearing.

It is anticipated that by the end of September each section will be advised of the status of their sectional budget request as submitted to the Legislature.

Your continued cooperation is appreciated toward the success of this budget development.

William Wasson
Associate Commissioner

Department _____ Unit _____ Submitted by (Name and Title) _____

OEO CATALOG NUMBER	DATES OF STATE PARTICIPATION		TITLE OF FEDERAL ASSISTANCE AS SHOWN IN 1971 OEO CATALOG	PLANNED STATE EXPENDITURE 1972-1973	FUNDS BY SOURCE 1973-1974							GOVERNOR'S RECOMMENDS 1973-1974
	START	END			AMOUNT FEDERAL PARTICIPATION	%	AMOUNT LOCAL PARTICIPATION	%	AMOUNT OTHER PARTICIPATION	%	STATE EXPENDITURE REQUEST	%
				TOTAL								

FEDERAL ASSISTANCE DETAIL

FORM 1-A

In order to provide the federal assistance information required by the State Budget Office, Form 1-A must be completed by those sections responsible for the administration of a grant. If your section is not responsible for the administration of a grant, proceed to Form 4.

If your section receives a federal grant through another state agency, such as Highway Safety Act or an ESEA, Title I, and not directly from the federal government, the grant should be listed but noting what state agency or Department of Education section the money came through.

You will note reference is made to an OEO catalog number and an OEO grant title. If you do not know this number for your grant, contact Jim Wilson or Harold Rung who have access to an OEO catalog.

1. Unit: Indicate your section.
Submitted by (Name and Title): Indicate director and name.

2. OEO Catalog Number: This is the five digit number that identifies each grant program in the 1971 Catalog of Federal Domestic Assistance.

3. Date of State Participation (Start, End, Continuous): The starting date is the date from which the state's participation in the program began. In the event participation has not been continuous, this date will refer to the date that current participation began. End refers to the date that the state's participation in the assistance program will cease. Check the continuing column if the assistance program will be ongoing after the request year.

4. Title of Federal Assistance as shown in the 1971 OEO Catalog: This is the "program title" shown in the 1971 OEO catalog.

5. Planned State Expenditure 1972-73: Enter the amount of state funds planned for expenditure during the 1972-73 fiscal year.

6. Funds by Source 1973-74, (Amount Federal Participation): State the full amount requested in the grant. Amount Local and Amount Other Participation: State the amount of funds expected from these sources. Other Sources refers to participation of other state

FEDERAL ASSISTANCE DETAIL (Cont.)

FORM 1-A

agencies, private groups, etc. State Expenditure Request, 1973-74:
Complete the full amount of state funds required in order to receive
the full amount of federal funds requested. Percent Columns: Enter
the percentage of funds from each source in these columns.

PROGRAM ANALYSIS
FORM 4

BUDGET OFF   USE ONLY
BR - NO
SECTION NO. ___   PAGE NO.

	1970-1971	1971-1972	1972-1973	PROGRAM CHANGE ANALYSIS				1973-1974	
PROGRAM SUMMARY OBJECT OF EXPENDITURE	EXPENDITURE	EXPENDITURE	PERSONAL SERVICE BASE RATE 1973 Planned Expend. 1973 for Equip. and Operations	SALARY & INFLA INCREASES Equip to Continue Present Service Level	WORKLOAD INCREASE	NEW AND CHANGED SERVICES	EXTRAORDINARY COSTS	AGENCY REQUEST TOTAL	GOVERNOR RECOMMENDS
	No. FTE 1	No. FTE 2	No. FTE 3	No. FTE 6	No. FTE 7	No. FTE 8	No. FTE 9	No. FTE 10	No. FTE 12	No. FTE 13
Personal Serv.			45							
Current										
Capital										
PROGRAM TOTAL										
FUND										
FUND TOTAL										

PROGRAM RELATED COSTS (Include Grants to Local Governments, Organizations, Individuals)

GRANT NAME		
CAPITAL IMPROVEMENTS (Description)		
TOTAL PROGRAM RELATED COSTS		

PROGRAM DESCRIPTION

PROGRAM COST JUSTIFICATION
(Attach additional sheet if necessary)

PROGRAM ANALYSIS

FORM 4

Program Analysis, Form 4, is a summary sheet and can best be completed after Forms 5, 6, 7, 9 and 10 have been completed. Some of the information on this sheet may have to be obtained from your Coordinator or Assistant Commissioner.

A. Program Summary by Object of Expenditure: Each section must have break-down of costs according to the three items of expenditure (Personal Service, Equipment Purchase and Repair, and Operation). The Program Total must be the same as the Fund Total.

B. Column 4 - Personal Service: Enter the June Rate 1973 total from Budget Form 6. Operation and Equipment Purchase and Repair enter the Planned Expenditure totals for 1973.

C. Program Change Analysis (Columns 6-9): The program change analysis will be used to identify all changes (increases or decreases) in program service suggested by the section. Changes should be analyzed in terms of (1) salary and inflationary changes, (2) workload change, (3) new and changed services, and (4) extraordinary costs.

    1. Column 6 - Salary and Inflationary Change, Equipment Purchase and Repair essential to continue present level of service: For Personal Service include all salary increases. For Operation include inflationary changes. For Equipment Purchase and Repair include those items absolutely essential to continue present level of service.

    2. Column 7 - Workload Change: Enter the costs of extending the 1972-73 level of service to a larger or smaller clientele or population. A workload change does not, therefore, involve a change in the quality of service but rather a change in the scope of the current service.

    3. Column 8 - New and Changed Service: The cost of any proposed new program service should be completely identified. The additional costs of providing service to a larger percentage of the eligible clientele or population than is presently being served will be considered as a changed service.

    4. Column 9 - Extraordinary Costs: Include in this category any changes in program costs not attributable to Columns

PROGRAM ANALYSIS (Cont.)

FORM 4

6, 7 or 8. As an example, the initial operation and miscellaneous equipment costs needed to open a new building might be included in this category since such one-time start-up costs will not appreciably affect the level of program service.

D. Program Related Costs: The purpose of this section is to identify costs that are directly related to the costs of performing a program but that are not included in the actual program request. All grants having similar or identical objectives to those of the program should be included in this section.

A description of all Capital Improvements requested for the 1972-73 fiscal year which will be needed for continuation or expansion of the program should be given. Include an estimate of the Capital Improvements costs.

Completion of this section will be useful in identifying the total financial effort the state is making toward accomplishment of a particular objective.

Note: All requests for Grants, Refunds or Distributions must also be shown on Budget Form 10.

E. Program Description: Briefly define the program. Describe size, scope, the nature of the service provided, and identify the recipients of the service.

F. Program Cost Justification: If no increases are necessary for the continuing operation of the program, a statement to that effect should be included. A clear and concise explanation and justification of need should be given for any costs that are shown in the program change analysis. An effort should be made to relate information provided in the Program Cost Justification to changes in program service projected in the Program Performance Measures identified on Form 5.

BUDGET OFFICE USE ONLY

BILL NO. _____

SECTION NO. _____ PAGE NO. _____

PROGRAM GOAL, OBJECTIVE STATEMENTS, AND
ANTICIPATED ACCOMPLISHMENTS

FORM 5

I. Goal Statement For Program:

II. Objective Statements:

III. Anticipated Accomplishments (Relate to each objective):

IV. Projected Needs:

PROGRAM GOAL, OBJECTIVE STATEMENTS, AND
ANTiCIPATED ACCOMPLISHMENTS

FORM 5

I.   Goal Statement for Program: A goal is a general descriptive statement
     concerning the overall purpose or aim of a program (section). This
     goal statement is the same or similar to the one you have stated for
     your FY 72 Evaluation Design.

II. Objective Statements: An objective is a descriptive statement con-
     cerning the specific activities to be accomplished during the proposed
     budget period. You will want to indicate the activities that your
     section plans to engage in during the budget period by a process objective
     which will usually indicate:

         (1)   the section responsible for the activity,
         (2)   the activity to be engaged in,
         (3)   the duration of activity or the date of completion, and
         (4)   the outcome or tangible product of the activity.

     Further, some sections may be able to relate their process objectives
     to a change of behavior in some target group within the state. If so,
     you should indicate a behavioral objective that the process objective
     is intended to effect. A behavioral objective will usually indicate:

         (1)   the target group (such as students, administrators,
               teachers, etc.);
         (2)   the behavior expected (such as knowledge, attitudes,
               skills, etc.);
         (3)   the content (reading, science, administration, finance,
               etc.); and
         (4)   the time necessary to achieve the behavioral change.

     Remember, that all sections will not be able to relate their activities
     to a behavioral change. However, if we are to be accountable at the
     state level, we will need to show the relationships of our activities
     to the behavior of target groups within the state.

III. Anticipated Accomplishments: In this section you will want to indicate
     the evaluation criteria that will indicate the accomplishments of the
     stated process and/or behavioral objective. (This may indicate a number
     of things accomplished or behavioral proficiency to be attained.)

IV. Projected Needs: A need is a differential between a situation as it is
     and as it should be. In order to give the Legislature some indication of
     what we are able to accomplish as compared to what realistically we should

PROGRAM GOAL, OBJECTIVE STATEMENTS, AND
ANTICIPATED ACCOMPLISHMENTS (Cont.)

FORM 5

be doing, indicate the difference between your goal and your present
accomplishments. (Example: Only 40% of all school districts in
Missouri provide services for physically handicapped children as
required by law.)

PERSONAL SERVICE DETAIL
FORM 6

POSITIONS BY JOB CLASSIFICATION TITLE	CLASSIFICATION CODE NO.	NO. OF EMPL. FULL-TIME EQUIV.	JUNE RATE 1972	NO. OF EMPL. FULL-TIME EQUIV.	ESTIMATED EXPENDITURE 1972-1973	JUNE RATE 1973	NO. OF EMPL. FULL-TIME EQUIV.	REQUEST 1973-1974	NO. OF EMPL. FULL-TIME EQUIV.	GOVERNOR RECOMMENDS

PERSONAL SERVICE DETAIL

FORM 6

Reading from left to right:

A. Positions By Job Classification Title: Each position will be listed by
   job title, classification code number, and total of such positions in
   each pay bracket, without regard to the funding source. Positions will
   be grouped within each program in the following order:

   1. Existing positions: This category includes all authorized
      positions including both full and part-time employees'.

   2. Extraordinary Costs - Project Employees: All employees
      needed on a temporary or seasonal basis to work in a
      particular program project will be listed under this
      heading.

   3. New positions - workload change: New positions requested
      to meet an increase in the anticipated workload of the
      program will be shown under this heading.

   4. New positions - new and changed services: Show new positions
      that will be needed to provide either new or changed program
      services under this heading.

B. Classification Code No: Classification Code number of each position
   should agree with the Position Code on the department's Personnel Profile
   Sheet recently compiled by Data Processing and distributed to each section
   by the Assistant Commissioners.

C. No. Of Empl. Full-Time Equiv: Number of full-time equivalency for FY 1972
   (1971-72).

D. June Rate 1972: Enter the aggregate amount of funds for each position(s).

E. No Of Empl. Full-Time Equiv: Number of full-time equivalency authorized
   for FY 73 (1972-73).

F. Estimated Expenditure 1972-1973: This amount for each position(s)
   is based upon the approved salary for each individual, then totaled
   for the position(s).

PERSONAL SERVICE DETAIL (Cont.)

FORM 6

G. June Rate 1973: This aggregate amount for each position(s) is the actual rate to be paid in June, 1973, and may be the same as the previous column.

H. No. Of Empl. Full-Time Equiv: Enter the number being requested for FY 1974.

I. Request 1973-1974: Enter the aggregate amount of funds for requested position(s). (Use increase of 5.0% as suggested by the Wage Price Freeze Board or other amount if so justified.)

J. No. Of Empl. Full-Time Equiv: Leave blank.

K. Governor Recommends: Leave blank.

NET AND CHANGED SERVICES

REDUCTIONS IN PERSONNEL

PERSONNEL REQUEST

FORM 6A

Existing position information is maintained by the Personnel and Budget Planning Section. Therefore, use Form 6A to request additional authorized positions. Additional position requests must be the result of workload increases or new and changed services. Justification data for these additions will have to be provided.

Reductions in existing positions must be explained.

EQUIPMENT PURCHASE AND REPAIR
FORM 7

BUDGET OFFICE USE ONLY
BILL NO.
SECTION NO. _____ PAGE NO. _____

EQUIPMENT ITEMS	BUDGETARY CODE NUMBER	EXPENDITURE 1971-1972	APPROPRIATION 1972-1973	1973-1974 REQUEST		GOVERNOR RECOMMENDS	
				QUANTITY	AMOUNT	QUANTITY	AMOUNT
		$	$		$		$

EQUIPMENT PURCHASE AND REPAIR

FORM 7

Equipment Items should be broken out in the following categories for your 1973-74 Request: (1) Purchase and Repair to Continue Present Level of Service, (2) Work Load Increase, and (3) New and Changed Service.

It is not necessary to indicate items for Expenditure 1971-72 or Appropriation 1972-1973. Show only dollar total amounts for these two columns:

Items being requested for the 1973-74 Budget should be coded as follows:

NEW OR REPLACEMENT

Code Number	Account Titles
100	Agricultural Equipment
101	Passenger Cars
102	Other Motor Vehicle Equipment
103	Educational and Recreational Equipment
104	Household Equipment
105	Office Equipment
106	Medical and Laboratory Equipment
107	Food Service and Laundry Equipment
108	General Plant and Maintenance Equipment
109	Construction Equipment
110	Technical and Special Equipment

REPAIR

Code Number	Account Titles
250	Repair to Agricultural Equipment
253	Repair to Educational and Recreational Equipment
254	Repair to Household Equipment
255	Repair to Office Equipment
256	Repair to Medical and Laboratory Equipment
257	Repair to Food Service and Laundry Equipment
258	Repair to General Plant and Maintenance Equipment
259	Repair to Construction Equipment
260	Repair to Technical and Special Equipment

EXPENDABLE SUPPLIES AND MATERIALS

OPERATING CONTRACTUAL SERVICES

GRANTS ALLOWANCES & CONTRIBUTIONS

FIXED CHARGES

DEPRECIATION

OPERATION DETAIL

FORM 9

CORRECTION. Columns should read as follows:

SUB-CLASSES	EXPENDITURE 1970-71	EXPENDITURE 1971-72	PLANNED EXPENDITURE 1972-73	REQUEST 1973-74	GOVERNOR RECOMMENDS

Space has been provided for all objects of expenditure classifications as now utilized by the State Comptroller. Most programs will not have need for all of the classifications and such classifications should be disregarded. A description of where items should be classified is as follows per the State Comptroller's Office.

300 Technical and Special Fees
Includes payments for services of attorneys when permissible under Missouri statutes, consultants, doctors, dentists, veterinarians, specialists and others compensated on a fee or contractual basis, except any such payments which are made for services as an employee; stipends for employee training. It excludes any such payments for services in connection with the acquisition, alteration, construction, or repair of land, structures, equipment or other capital assets.

310-311 Operation and Repair of State-Owned Motor Vehicles
Includes gasoline, oil, grease, washing, polishing, towing, antifreeze, and other items incident to the operation, maintenance, and repair of State-owned automobiles, trucks, tractors (including farm tractors), airplanes, self-propelled motor vehicles and auxiliary equipment attached thereto, such as radios, trailers and tractor-drawn implements. Other equipment, such as fire-fighting, paint spraying, pneumatic hammer must be permanently secured to either the self-propelled or the auxiliary equipment before repair to such is applicable.

318-319 Travel: Instate and Outstate
Includes all allowable costs incident to travel on official business (see "State of Missouri, Office of Comptroller, Regulations for the

OPERATION DETAIL (Cont.)

FORM 9

guidance of Officials and Employees of the State of Missouri While Traveling on Official Business").

320-321 Communications
Includes the transmission of messages from place to place such as: charges for telegraph, telephone and teletype service; letter postage; rental of post office boxes, postage meter machines, mailing machines, and teletype equipment; contractual messenger service; switchboard and service charge; telephone installation costs.

330 Food
Includes animals, fish or fowl acquired for immediate slaughter, meats, vegetables, beverages and other food for human consumption; cost of transportation assignable to food.

340 Fuel and Utilities
Includes all substances purchased for heating or for generating power (such as natural gas, coal, coke, charcoal, oil and wood), freight or hauling costs assignable to such substances, and light, heat power, and water when furnished by utilities.

350-360 Expendable Supplies and Materials
Includes all commodities, supplies, and materials not elsewhere classified which are ordinarily consumed or expended within a short period of time; items of small value which are more feasible to replace than to repair, supplies and materials used for vocational education or occupational therapy; supplies and materials which are converted in the process of manufacturers into articles held primarily for sale to other agencies or individuals. (Agencies which use supplies and materials for education, therapy, or manufacturing must certify to the Comptroller on the purchase requisition, departmental direct order, and the vendor's invoice those materials which are to be used for these purposes.) Examples of expendable supplies and materials are: stationery, paper, newspapers, clothing, drugs, buckets, tableware, baskets, dust pans, hand staplers, brooms, keys, and household supplies.

370-373 Operating Contractual Services
Includes services rendered to the State (not as an employee) under express or implied contract, excluding contracts for specific projects, such as painting or reroofing. The services may consist of labor together with the use of equipment, or labor together with materials furnished in the performance of such service. Examples are: equipment service contracts; occasional rental of equipment (not for repair or construction of assets); transportation of things

OPERATION DETAIL (Cont.)

FORM 9

when not otherwise assignable; printing reports; pamphlets and publications. Excludes services for construction, alterations or repair of capital assets.

380-381 Grants, Allowances, and Contributions
Includes Teacher Retirement, State Retirement, and OASI. Do not include grants to LEA's as this amount is included on Form 10.

390-393 Operating Fixed Charges
Includes relative fixed rentals or royalties paid for the use of land, structures, and machinery and equipment; membership and association fees; insurance premiums and cost of surety bonds.

GRANTS, REFUNDS OR DISTRIBUTION
TO INDIVIDUALS, INSTITUTIONS OR LOCAL GOVERNMENTS

FORM ...

BUDGET OFFICE USE ONLY

BILL NO. _____

SECTION NO. _____   PAGE N. _____

Department _____

Name of Grant, Refund or Distribution _____

(Submitted by (Name and Title)

	EXPENDITURE 1971-1972	PLANNED EXPENDITURE 1972-1973	AGENCY REQUEST 1973-1974	GOVERNOR RECOMMENDS	PROJECTED EXPENDITURE 1974-1975	PROJECTED EXPENDITURE 1975-1976	PROJECTED EXPENDITURE 1976-1977
GRANT, REFUND OR DISTRIBUTION TOTAL							
SOURCE OF FUND:							
GENERAL REVENUE							
FEDERAL FUNDS							
OTHER							
TOTAL							

JUSTIFICATION NARRATIVE

GRANTS, REFUNDS OR DISTRIBUTIONS
TO INDIVIDUALS, INSTITUTIONS, OR LOCAL GOVERNMENTS
(FLOW THRU FUNDS)

FORM 10

Budget Form 10 will be completed by each section requesting funds for direct distribution to local units of government, school districts, or for grants.

A. Source of Funds: Specify fund source in space provided.

B. Expenditure 1971-1972: Amount expended for FY 1972.

C. Planned Expenditure 1972-1973: Estimated amount to be expended in FY 1973.

D. Agency Request 1973-1974: Amount requested or to be appropriated.

E. Governor Recommends: Leave blank.

F. Projected Expenditure: Estimate in light of current needs and/or proposed legislation.

G. Justification Narrative: A brief justification should be written for each request, describing its nature, proposed accomplishments, and appropriate statutory provisions if known.

APPENDIX B

OPERATIONS PLANNING AND REPORTING DOCUMENT

MISSOURI STATE DEPARTMENT OF EDUCATION
OPERATIONS PLANNING AND REPORTING DOCUMENT
FISCAL YEAR_____

☐ Operations and Evaluation Planning (Due August 1)

☐ Monitoring Report #1 (Due October 1)

☐ Monitoring Report #2 (Due January 1)

☐ Monitoring Report #3 (Due April 1)

☐ Evaluation Report (Due June 1)

Section_____   Division_____

A. Program Goal Statement(s):

    1.

    2.

    3.

    4.

APPROVALS:

_____   _____   _____
    Director   Coordinator   Asst. Commissioner

Page ___
Form B

MISSOURI STATE DEPARTMENT OF EDUCATION
OPERATIONS PLANNING AND REPORTING DOCUMENT

Process Objective # ___

B. Need: _____
(Existing need or deficiency to be met)

C. Work Plan

Process Objective _____

Personnel: _____
(Person or office responsible for activity)

Activity: _____
(Refer to Activity Listing)

Time: _____
(Duration of activity; date of completion)

Outcome: _____
(Tangible product to result from activity)

D. Report

Data Needed for Evaluation: _____

Evaluation Criteria: _____
(Level of achievement considered essential to meet objective)

Resources Necessary: _____   Estimated Cost: _____

Total _____

MISSOURI STATE DEPARTMENT OF EDUCATION
OPERATIONS PLANNING AND REPORTING DOCUMENT

Goal #

Behavioral Objective #

for Process Objective #

E. Work Plan

Behavorial Objective

Target Group: _____

(Students, administrators, teachers, clients, etc.)

Behavior Expected: _____

(Knowledge increase, attitude change, skill, etc.)

Content: _____

(Reading, administration, planning, finance, etc.)

Time: _____

(Time necessary to achieve behavior change)

Data Needed for Evaluation: Source of Data:

Evaluation Criteria:

(Level of behavioral proficiency to be attained)

F. Report

OPERATIONS PLANNING AND REPORTING DOCUMENT
I.   INTRODUCTION

The Operations Planning and Reporting Document is comprised of multiple forms designed to serve several purposes with a minimum of repetition and unnecessary clerical work. The document serves the following functions in the P/B/E Cycle:

A.   Provides a form for communication of goals and objectives of
     each section,

B.   Provides a form for communication of annual operational plans
     of each section's program,

C.   Provides a form for communication of the plan for evaluation of
     each section's program,

D.   Provides a format for periodic reporting of progress in each
     section's program, and

E.   Provides a format for the final evaluation report at the conclusion
     of the program year.

II.   DOCUMENTS PREPARED

The following sequence of steps explains the use of the document in the planning, evaluating and reporting process:

A.   Operations Planning

During the month of July each section will plan the operation of its program for the current fiscal year based upon actual budget appropriations. This planning will include delineation of goals, existing needs, and objectives planned to meet the needs. The design for evaluation of the program will also be planned. This will be documented by completing Form A and Parts B, C, and E of the Worksheets. Four xerox copies of each worksheet will be made for future

use, and the original submitted to the Coordinator before August 1.

B. Monitoring Report #1

During the month of September each section will prepare a brief report
of progress made and problems encountered relative to each objective. This
report will be typed in the spaces labeled D and F on one set of the worksheets
xeroxed earlier. A coversheet will be marked to indicate Monitoring Report #1,
attached to the worksheets containing the report, and the report submitted to
the Coordinator before October 1.

C. Monitoring Report #2

During the month of December each section will prepare a brief report of
progress relative to each objective for the first half of the fiscal year. The
report is submitted on a second set of the xeroxed worksheets. A coversheet
(Form A) will be marked to indicate Monitoring Report #2 and submitted with
the report to the Coordinator before January 1.

D. Monitoring Report #3

During the month of March each section will prepare a third Monitoring
Report of progress up to that time. This report will be similarly prepared
and submitted to the Coordinator before April 1.

E. Evaluation Report

In May each section will prepare a Program Evaluation Report using the
fourth copy of the Operations Planning and Reporting Document. Achievement

.t of each objective should be reported, with supporting
. ... Copies of this report will be sent to the Coordinator
....ssioner, and Associate Commissioner before June 1.

USE OF PROCESS OBJECTIVES AND BEHAVIORAL OBJECTIVES

For ....ion purposes it is convenient to think of the responsibility
. the .... in two related phases: (1) the administrative procedures
.... section; and (2) results of these procedures in the behavior
. ..., administrators, or other parts of the educational
. . . .ation should occur in both these phases. Evaluation of
.. . .dures should provide information relative to personnel
.... se of resources, and similar administrative concerns.
. ...ent or personnel behavior should indicate effectiveness of
. . . .am in terms of whether it results in a desired behavior.
. . . . .ance of these two types of evaluation is the basis . .
. . Objectives and Behavioral Objectives in this evaluation.

.. . . in the department plans and implements administrative proce-
... . .ut its program. These plans can be expressed in terms of
... ... as outlined in Part C of the Operations Planning and Reporting
.. .. objectives are used in planning and evaluation of administra-
tive procedures which do not relate directly to learning or other behavior in
students or other persons. (See Example, Appendix D.)

The .... some sections within the department provides learning exper-
iences to students or other persons. For program evaluation these sections may
need to include, in addition to Process Objectives, one or more Behavioral

Objectives (Part E) to specify the type and degree of behavior expected. Thus,
one or more Process Objectives may be associated with one or more Behavioral
Objectives, and taken together, the set defines both the process and the antici-
pated resulting behavior, (Example, Appendix D). It should be emphasized
that each section will describe program procedures with the use of Process
Objectives; but only those sections which work with school personnel, students,
or other persons in instruction, consultation, counseling, or other roles may
be able to use Behavioral Objectives.

IV. GUIDE FOR COMPLETION OF ITEMS

The following statements may serve as guides for completion of items in
the Operations Planning and Reporting Document. Refer to Appendix D for an
example of each item completed.*

A. <u>Goal Statements</u>: A goal statement is an expression of a long-range purpose
   of the section. It encompasses a broad area of the section's responsibility
   but is precise enough to communicate the unique role of the section as
   distinct from the roles of other sections in the department.

B. <u>Need</u>: A need is a differential between a situation as it is and as it
   should be. The need statement defines that difference.

C. <u>Work Plan</u>:
    Process Objective:
        Personnel: This item names the section or person(s) within
        the section responsible for completion of the activity.

_____

*Examples used in this guide are for illustration only. They do
not necessarily represent actual conditions.

Activity: This item specifies the process or activity
to be conducted in meeting the objective. In order to
facilitate communication and minimize the possibility
of misunderstanding when describing activities, the
terminology proposed in the Activity Listing (Appendix C)
should be used whenever possible.

Time: This item specifies the expected duration of the
activity or the expected date of its completion. Because
of the annual cycles in which planning, budgeting, and
evaluation occur, the time should not extend beyond a
one-year period. If the activity is to continue signi-
ficantly past the end of the fiscal year, the objective
and evaluation plan should be related to that part of
the total plan which is to be completed before the end
of the fiscal year.

Outcome: At the conclusion of the activity a tangible
product of some type should be available as evidence
of completion. Examples of such an outcome may include
production of a publication or other product, evaluation
reports of workshops held, a file of correspondence
received, or a memorandum submitted to the Coordinator
stating that an activity has been completed.

Data Needed for Evaluation: This item lists the types of data or
information which will be needed to answer the question of whether
the objective is being achieved.

Evaluation Criteria: This item specifies the level of achievement
considered essential to successful completion of the objective.
Criteria may be stated in terms of action to be completed, deadline
dates to be met, or other measures of achievement.

Resources Necessary: Staff and other resources necessary for achieve-
ment of the objective are itemized. The cost of each resource is
estimated as accurately as possible.

D. Report: This item reports progress relative to the Process Objective.

Depending upon which report is being written, the item may report progress

up to some point in the program year (Monitoring Reports #1, 2, or 3); or

may report the status of progress toward the objective at the end of the

program year. The form of the report is relatively unstructured, but it is

suggested that attention be given to progress made toward achievement

of the objective and problems encountered which have impeded progress.

Other comments may also be included. Additional space is available on

the back of the sheet if needed.

E. <u>Work Plan</u>:

Behavioral Objective:

> Target Group: This item specifies the persons from whom the behavior change is expected. They may be students in school; but in other cases may be teachers, bus drivers, clients, or others who are to learn new information, attitudes, or physical or vocational skills.

> Behavior Expected: This item indicates the type of behavior to be expected. The behavior may be cognitive in nature (i.e.: to be able to express new knowledge or information); affective (a change in attitudes or values); or psychophysical (to develop a new physical or motor skill).

> Content: This delineates the area in which the behavior is to be learned. For the student, the content may be one of the academic areas; for the school superintendent, it may be related to one of the administrative functions; and for the bus driver, content may be maintenance of the bus or safety precautions.

> Time: This specifies the amount of time or date by which the behavior is expected to be achieved.

Data Needed for Evaluation, and Source of Data: This item describes what information will be collected to show that the objective has been met. It may consist of test scores to demonstrate knowledge or attitude change. The data may result from information observation or extensive surveys. Both the nature and source of data should be indicated.

Evaluation Criteria: This indicates the minimal level of achievement which will be accepted as an indication of successful achievement of the objectives. It may be stated in terms of test scores, behavior ratings, employment record, or other types of measures.

F. Report: This item reports progress whic has been made relative to the

Behavioral Objective. Depending upon which report is being written, the

item may report progress up to some point in the program year (Monitoring

Reports #1, 2, or 3); or may report the status of progress toward the

objective at the end of the program year. The form of the report is not

highly structured, but it is suggested that attention be given to progress

made toward achievement of the objective and problems encountered which

have impeded progress. Other comments may also be included. Additional

space is available on the back of the sheet if needed.

APPENDIX C

ACTIVITY LISTING

ACTIVITY LISTING
MISSOURI STATE DEPARTMENT OF EDUCATION

Accounting
is concerned with the activities of recording, classifying, and summarizing the financial transaction of the department, division, or section administration.

Allocation
is concerned with the activity of dividing appropriations of funds for certain purposes for a certain period based upon a formula or established procedure.

Auditing - fiscal
are the activities concerned with the examination of records and documents for: (a) determining the propriety of proposed or completed transactions; (b) ascertaining whether all transactions have been recorded properly; and (c) determining whether statements drawn from accounts reflect an accurate picture of financial operations and status.

Auditing - program
those activities associated with reviewing of progress made toward stated objectives of a plan, project or operation.

Assessment
activities designed to measure the "status quo" of a program or activity.

Application Processing
activities associated with the reviewing, processing and disposition of applications either for reimbursement or approval of activities to be carried out.

Accreditation
those activities concerned with recognizing an educational institution as maintaining standards set forth by the State Board of Education.

Apportionment
those activities concerned with the payment and record keeping of funds to school districts or other agencies based upon a formula, approved application, or other established procedure.

Budgeting
is the activity that develops a plan of financial operation which contains an estimate of proposed expenditures, for stated purposes, for a given period of time, and the means of financing them.

Certification
those activities concerned with the licensing of personnel to administer or teach in the public schools of the state.

Consulting	those activities designed to provide assistance and advice to others in administration and/or instruction. Consulting is advisory in nature and not regulatory.
Counseling	those activities offering advisement and direction directly to the client.
Classification	refers to the accreditation activities concerned with placing a school district in the categories of: Class AAA, Class AA, Class A or Unclassified.
Clerical	typing, filing, etc.
Dissemination	activities designed to make available information to various populations.
Data Processing	those activities concerned with the preparing of data, designing of systems, programming and the operation of the computer for users.
Data Collection	those activities concerned with the collection of raw data.
Evaluation	activities undertaken in an attempt to determine the value and/or success of a program or process.
Food Distribution	those activities related to the ordering and distribution of government commodities.
In-Service Education	those activities that are designed to increase the professional competency of members of the state department staff. Examples are: attending workshops, meetings, conferences, and studying.
Instruction	those activities in which state department of education personnel come into direct contact with the learner.
Library	those activities designed to maintain educational reference material.
Legislation	those activities designed to assist in the development or passage of legislation.
Liaison	those activities in which members of the state department staff represent the department to outside persons, groups, or agencies.
Monitoring	those supervisory activities that review on a continuous basis the program and fiscal operations of an approved application.

Maintenance	those activities concerned with general housekee,... such as stocking, groundkeeping, custodial, plant operation, etc.
Mailing	activities concerned with the preparation and sending of items by mail.
Payroll	those activities concerned with listing individual employees, with amounts due for services rendered during a specified time.
Personnel	those activities concerned with recruitment and welfare of employees.
Planning	those department activities concerned with (1) identifying problems, (2) analyzing the problems, (3) determining alternate solutions, (4) selecting a solution, and (5) developing a plan.
Purchasing	those activities concerned with a written request to a vendor to provide material or services at a price set forth (does not include requisitioning.
Printing	those activities normally carried out in a print shop to reproduce forms, publications, and the necessary binding.
Publications	those activities associated with the writing, designing, and set-up of materials to be reproduc: for dissemination.
Policy Development	those activities associated with the development of policy concerning department and program operat
Receiving/Shipping	those activities associated with receiving incomi... goods and sending out prepared goods.
Requisitioning	those activities by which an individual or section within the department requests supplies, materials or services.
Reporting	those activities required for the completion of reports to another level of department administrai... or other agency.
Reviewing	those activities designed to review and approve plans, documents, requests, etc. from a subordinate level, or other agency.

Studies   those activities associated with special research
                          and survey efforts to determine the facts. Not the
                          day-to-day data collection activities. (May include
                          data collection, data analysis, publication, and
                          dissemination.)

Student Services   those services such as dormitory, health, food,
                          recreation, etc. that are provided students when
                          the department has responsibility for instruction.

Workshops   those activities concerned with the development and
                          implementation of workshops, training sessions,
                          conferences, directed by the department.

APPENDIX D

SAMPLE: OPERATIONS PLANNING AND REPORTING DOCUMENT

MISSOURI STATE DEPARTMENT OF EDUCATION
OPERATIONS PLANNING AND REPORTING DOCUMENT
FISCAL YEAR _1973_

[ ] Operations and Evaluation Planning (Due August 1)

[X] Monitoring Report #1 (Due October 1)

[ ] Monitoring Report #2 (Due January 1)

[ ] Monitoring Report #3 (Due April 1)

[ ] Evaluation Report (Due June 1)

Section_____   Division_____

A. Program Goal Statement(s):

1. *To facilitate the best possible educational opportunities for all
    handicapped children of Missouri.*

2.

3.

4.

_____   _____   _____
Director   Coordinator   Asst. Commissioner

MISSOURI STATE DEPARTMENT OF EDUCATION
OPERATIONS PLANNING AND REPORTING DOCUMENT

Process Objective # 1

B. Need: *Only 30% of the physically handicapped children of Missouri are now offered special services by the school district in which they reside.*

(Existing need or deficiency to be met)

C. Work Plan

Process Objective

Personnel: *Staff of Section*

(Person or office responsible for activity)

Activity: *Conduct ten workshops throughout the state to instruct administrators of LEA's concerning new legislation on education of physically handicapped children.*

(Refer to Activity Listing)

Time: *All workshops to be completed before April 30, 1973.*

(Duration of activity; date of completion)

Outcome: *An evaluation report on each workshop to be submitted to coordinator.*

(Tangible product to result from activity)

Data Needed for Evaluation: *No. of workshops held; date of each.*
No. of participants
No. of LEA's represented
No. of LEA's in Missouri

Evaluation Criteria: *Workshops conducted as planned; attendance representing at least 60% of LEA's of Missouri.*

(Level of achievement considered essential to meet objective)

Resources Necessary:

	Estimated Cost:
1/3 FTE professional staff	$4,500
1/10 non-professional staff	420
Travel	800
Postage	60
Total	$5,780

D. Report

Progress toward this objective seems to be on schedule. Two workshops were held during the month of September. On Sept. 15 twenty-five districts were represented at a workshop in N.E. Missouri. On Sept. 22 thirty-four districts were represented at a workshop in east-central Missouri. This represents about 68% of potential participation in these areas. Each workshop consisted of five hours of organized activities, including 2 hours of formal presentation and 3 hours of informal discussion. Reaction to the value of the workshop was favorable. An evaluation questionnaire form was completed by each participant; results have been tabulated and submitted to the Coordinator. The only problem noted to this time is the disappointing number of participants. A possible reason may be that the workshops were held too early in the school year. This possibility will be investigated.

Goal # 1
Behavioral Objective # 1
for Process Objective # 1

MISSOURI STATE DEPARTMENT OF EDUCATION
OPERATIONS PLANNING AND REPORTING DOCUMENT

F. Report

Fifty-nine workshop participants
completed the evaluation questionnaire.
Completion of the form required both
knowledge of new legislation and expression
of attitudes toward the legislation. The
same form was completed before and after
the workshop. All participants showed
increased knowledge of legislation. Most
also showed more favorable attitudes after
the sessions. Specific results are being
recorded and tabulated, and will be reported
at the end of the fiscal year.

E. Work Plan

Behavorial Objective

Target Group: Administrators of all LEA's of Missouri

(Students, administrators, teachers, clients, etc.)

Behavior Expected: Increased knowledge

(Knowledge increase, attitude change, skill, etc.)

Content: New legislation relative to education of physically
handicapped children of Missouri.

(Reading, administration, planning, finance, etc.)

Time: Five hours (duration of workshop activities)

(Time necessary to achieve behavior change)

Data Needed for Evaluation:
Measures of participants'
knowledge of legislation

Source of Data:
Pre- and post-workshop
use of questionnaire form
developed for this purpose

Evaluation Criteria: Seventy percent of workshop participants
will significantly increase in knowledge according to judgment
of the section staff based on responses to the questionnaire.

(Level of behavioral proficiency to be attained)