This document is designed to offer guidance to those school district officials in New York State who are faced with making decisions about how their districts will cope with declining enrollment. Enrollment in New York schools is no longer growing at a predictable rate as it did for so many years. School districts need to establish a different perspective on enrollment decline in order to formulate adequate and creative means of coping with this phenomenon. The district must first collect demographic information to define the decline problem. Current and future needs must be analyzed, future facility needs outlined, and the fiscal requirements of future program, staff, and facilities must be determined. This volume's appendixes contain data on enrollment decline and building requirements for the state of New York. Chapters discuss analyzing programs, staff, facilities, and educational finance, as well as determining study strategy for enrollment decline. Declining enrollment is a complex problem, and it is not likely that districts can adequately cope with it if they deal with it in a fragmented manner. (Author/DS)
ENROLLMENT TRENDS
Programs For The Future

A Planning Guide For Districts
With Declining Enrollments

THE UNIVERSITY OF THE STATE OF NEW YORK
THE STATE EDUCATION DEPARTMENT
OFFICE OF RESEARCH, PLANNING, AND EVALUATION
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AUGUST 1976
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INTRODUCTION

This pamphlet describes enrollment trends in public elementary and secondary education in New York State which will require careful and thoughtful policy development on the part of the members of the boards of education of school districts in New York State. The reader will note that these trends have significant implications for the future of public schools in New York State.

The responsibility for making decisions about how to cope with changing enrollments rests with members of boards of education. The effect of the decisions which they make will be related to the quality of the information which is available to them as they choose among alternative courses of action. Most boards of education expect chief school administrators and other district staff to collect and assemble the information needed for such decision-making. This publication suggests actions chief school administrators can take to carry out this responsibility of conducting background studies for board decision-making. It has been written for the chief school administrators to assist them in meeting the responsibilities they have to advise their boards of education.

This pamphlet could not have been written without the advice and active cooperation of many school district officials. Seventy chief school administrators participated in interviews in the early stage of its planning to offer advice on what decline means and what would be helpful in a Department-prepared publication. Many of these same chief school administrators also reacted to drafts at various stages of preparation and provided specific suggestions for revision. Several also sent district plans for decline, and the content of those plans are reflected throughout the document.

The Department was especially fortunate to secure the services of Dr. William Keller for this project. Dr. Keller, who recently resigned as Superintendent of the Williamsville Public Schools, was the principal author and planner for this project. He travelled throughout the State seeking advice and reactions during its preparation.

Three other persons made contributions which deserve special mention. Dr. Edward Murphy, Superintendent of Syosset district, and his staff contributed much advice, many materials, and offered constructive criticisms throughout its planning and preparation. Dr. Clifford J. Crooks, District Superintendent of the Board of Cooperative Educational Services, First Supervisory District, Erie County, and Dr. Marilyn Rott of his staff generously contributed the competency and time that were required to develop the fiscal checklists and worksheets found in Appendix E, which is bound separately for the convenience of those wishing to use it.
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**Bound Separately.
SECTION I

OVERVIEW

Public school enrollment trends and projections for New York State describe a changing situation of dramatic impact and deep significance. In 1970-71 there were 3,489,245 pupils enrolled in public elementary and secondary schools in New York State. By 1975-76 this figure declined to 3,382,369 and the projection for 1982-83 is 2,845,000. This is a statewide decline of over 600,000 pupils in little more than one decade!*

These changes will have significant consequences for public education in New York State, and the impact will be greatest on pupils attending districts which will experience the greatest decline. Sixty-five percent of school districts have already experienced some decline and seventy-five percent now have smaller enrollments in kindergarten to grade six than they did in 1971. Some districts already have had to cope with decline of over 20 percent in a five-year period, and if their experience is a reliable guide, the problems of growth -- new buildings, more staff, increasing revenues -- will seem minor compared to the problems associated with adjustments to decline -- closing buildings, reducing staff, and diminishing revenues.

An examination of four factors (number of live births, migration patterns, non-public school enrollments and drop-out rates) which historically affect total pupil numbers registered in public and private schools suggests that the decline in public school pupil enrollments can be attributed to two factors primarily: number of live births and migration patterns. In New York State excluding New York City the live birth rate has declined

* Additional information on the scope of declining enrollments in New York State can be found in Appendix A.
from 23 per 1000 population in 1954 to 12.3 per 1000 in 1974. The evidence suggests that the lower birth rate will be maintained in the years ahead and that as a consequence we may logically assume that there will be fewer pupils in the public schools.

Another factor which historically has affected the size of the pupil population in New York State is the net number of new residents. Here, again, the signals suggest a "break" or a change. "The gradual but massive shift of the American population away from the industrialized North and toward the South and West documented by the 1970 census has accelerated greatly in the last five years," according to a mid-decade estimate of state populations released by the Census Bureau.

In fact, New York State for the first time lost 121,000 or about 0.7 percent of its residents although the population for the Northeast region increased eight percent. If the aforementioned development continues it certainly means lower pupil numbers for the public schools of the State.

The extent of the decline at the local level will be varied and unclear. A school system must adjust on the basis of its own decline pattern which could be different than that projected for the State. In some districts, enrollment will drop to a low level and then slowly start up. In other districts the decline could mean programming for reduced pupil numbers with little or no prospect of returning to higher pupil numbers. Other districts have not yet experienced reduced pupil numbers. For example, in the five year school period 1971-75, 359 school districts lost up to nine percent of their pupil population; 105 more school districts lost 10% to 19% of their pupils; thirteen school districts lost 20% or more of their student body. In contrast to this drop in pupil numbers, 256 school
districts experienced an increase in their pupil numbers for the same period.

This document has been prepared because educators are becoming acutely aware that the outlook for public school education can no longer be based on a fairly straight line, evolutionary, "surprise free" projection of current trends and conditions, and that a perspective beyond a factual description of the numerical decline of pupils must be established for coping with the events associated with decline. It is designed to offer concrete guidance to those district officials who are about to begin to collect the information and conduct the studies which will be used to make decisions about how their districts will cope with decline.

The Commissioner of Education, Ewald B. Nyquist, while urging the most careful use of public funds, has viewed the period of enrollment decline as a challenge to adjust to the realities of fewer students and thus less resources, and still continue the improvement of the quality of education.

Where to begin? The circumstances and prospects of decline have been outlined. A minority of the school districts will continue to increase in pupil numbers. The majority of districts in the majority of counties will face reduced pupil numbers in the next five to ten years. The severity of the impact will depend on the character and degree of advance planning done by the board and district officials. A school district that does not manage events will soon be overcome by them.

This publication has been organized in terms of the major steps which are involved in planning for decline. Schematically, they relate to each other as indicated in Figure 1.
1. Defining the decline problem; collecting demographic information
2. Developing and approving strategies to follow to plan solutions
3. Analyzing current and future program needs
4. Analyzing staff needs
5. Projecting future facility needs
6. Analyzing fiscal implications of future program, staff, and facility needs
7. Preparing alternative plans for review, and
8. Presenting alternatives to community for action

The reader will note that steps 1-6 in Figure 1 are covered in the pages which follow. Steps 7 and 8 rely on the skill and imagination of those district officials who will use the information generated by steps 1-6. Therefore, these steps are not covered in this publication.
Figure 1 can help readers locate sections of most interest to each district, but they must be aware that declining enrollment is a complex problem with many facets, and it is not likely that districts can adequately adjust to this problem if it is dealt with it in a fragmented manner. For example, declining pupil numbers could mean a higher percentage of a particular kind of student (e.g., handicapped). This number then will have direct impact on determining not only future facilities needed but also on what a balanced instructional program will be five years from now. This consideration, in turn, has direct implication on what specific staff competencies will be needed.

The many facets of decline are related; change in one facet has implication for another. Therefore, plans developed should be comprehensive ones, resulting from thorough review and analyses.
SECTION II

PROJECTING ENROLLMENTS

Those experienced in managing decline have said that if decline is to be controlled it must be acknowledged openly with the board and community. The failure of the board of education to point out officially the future reduction in pupil numbers can result in many crisis decisions which could dissipate district resources. For example, a seemingly nominal two percent per annum decline in pupil numbers can be deceptive in that it results in a cumulative loss of 10 percent in five years.

At this early stage of examining the impact of reduced pupil numbers, the district's efforts should deal exclusively with presenting valid future pupil population data. No effort should yet be made to outline the implications of the reduced pupil numbers. This exploration should be done later.

The administration must establish confidence in the historical basis for these projections and in the accuracy of the census figures, graphs, charts, listings of properties and other statistical information used. The following activities should be a part of the procedures to provide the board with reliable pupil projections which will hold up under rigorous public scrutiny:

1. Establish a census data bank (birth through 18) which should be updated regularly.
2. Maintain a current alphabetical file on every district child attending public and private school.
3. Monitor and document district land-use including changes to laws on zoning and new building permits.
4. Determine the number of children per family and per household.
5. Record data on local birth and death rates.
6. Describe family migration patterns within the district and in the geographical area at large.

7. Prepare estimates on the future enrollment of parochial and private schools in the district and general area.

8. Clarify the prospect of new government and industrial installations in or near the district.

9. Use the demographic resources of the regional state planning group, the banks, the telephone company and other similar community groups. Local power or telephone companies in particular consistently have been found to have very useful data on hand about potential changes to the community.

A few of these procedures are complex and will be elaborated upon. The descriptions below of the experiences of districts which provided information for this publication are helpful in drawing conclusions about how to proceed.

Census Data Bank

One district maintains and regularly updates a census data bank. This bank includes the name, age, and address of every child residing in the district. This information is stored in such a manner that it can be retrieved in accordance with a number of descriptors, including the following: alphabetically by family name and census zone subdivision, pupil listing by grade and school of attendance, and number of children by various age groupings (0-1, 1-2, 2-3, ...). This file gives the district the ability to project the numbers of pupils in various age groups who will be residing in each census zone. If a map of school building attendance areas is superimposed upon the census zones, district officials are able to project future enrollments for each building.
Cohort Survival

The cohort survival method of making projections is one which appears to be used most often in making projections. Accurate census information is essential for the effective application of this method because predictions about numbers of pupils are based on the actual numbers modified by assumptions about the future. For example, the number of pupils who will be in the sixth grade five years hence will largely be determined by the current number of first graders. Similarly, the number of pupils entering kindergarten in five years will partly be determined by the number of children currently residing in the district between the ages of birth to one year old.

In an unusually stable community future enrollments could be predicted by projecting current age groups five years in the future and using this as a basis for determining future enrollments. However, "cohorts" seldom "survive" at such a uniform rate; hence, there is a need to make adjustments to the predicted rate at which each cohort (e.g., first graders, fifth graders) will survive. Retention rates or survival ratios can be calculated to make the projection more sensitive to the actual experience of the district. These rates or ratios are obtained by working backwards to determine the differences between, say, current sixth grade enrollments and first grade enrollments five years ago. By dividing the number of pupils in grade six by the number who were in grade one, a rate or ratio of survival would be obtained. These ratios can be used as a multiplier to make projections about the future. The publications cited on page 11 should be consulted for details on how to calculate retention rates or survival ratios. The preceding discussion barely introduced the manner in which they can be used.
**Adjustment to Projections**

Adjusting projections to account for past experience may not be the only step necessary to develop a credible estimate of future enrollments. Other factors which signal a break with past trends may have to be accounted for in the process of making projections. One district, for example, modified projections by analyzing the status of vacant land and by making assumptions about the impact its use would have on future enrollments. This analysis is illustrated by Figure 2 which consists of a cut-away section of a much larger chart describing all of the vacant land in the district.

**Figure 2.**

**LAND USE ANALYSIS**

<table>
<thead>
<tr>
<th>Census Bureau</th>
<th>Town Zoning</th>
<th>Number of Acres</th>
<th>Lot Yield</th>
<th>Other Lots</th>
<th>Total Lots</th>
<th>Total Possible Pupils</th>
<th>Ratio Pupils Per Lot</th>
<th>Ratio Pupils Per Acre</th>
</tr>
</thead>
<tbody>
<tr>
<td>B</td>
<td>2 Acre-A</td>
<td>148.4</td>
<td>59</td>
<td>2</td>
<td>61</td>
<td>4</td>
<td>1.7</td>
<td>.4</td>
</tr>
<tr>
<td></td>
<td>1/2 Acre-B1</td>
<td>157.2</td>
<td>252</td>
<td>28</td>
<td>280</td>
<td>476</td>
<td>1.7</td>
<td>1.6</td>
</tr>
<tr>
<td></td>
<td>6-7,000 Sq.Ft.-D</td>
<td>20</td>
<td>20</td>
<td>34</td>
<td>1.7</td>
<td>4</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Careful inspection of Figure 2 gives insights to the steps of the analysis. Note that the effect of the analysis is to make adjustments to projections by assuming the number of pupils likely to come from houses yet to be constructed. Past experience has indicated that lots zoned as those in census zone B have produced 1.7 pupils on the average. Further assumptions that these lots mean an influx of two elementary pupils to
each secondary pupil and that one half of the potential group will be on
the scene within five years, make it possible for concrete adjustments to
be made to the district's projections for the next five years.

Districts which have significant amounts of vacant land will find it
necessary to monitor closely such items as: 1) building permits issued,
2) zoning changes projected, 3) number of children per household, 4) plans
for commercial or industrial growth, and 5) changes in the mortgage market.
The rate at which vacant land will be used and/or the manner in which it is
used is sensitive to each of the five factors. Assumptions about each of
them underpin existing projections and changes to them would be cause for
district staff to alter these projections.

Other Factors to Consider

Vacant land and developments which will affect the rate of its use are
not the only factors which will provide clues to future enrollments. Other
trends to watch are:

1. District migration patterns (for changes in numbers of pupils
residing in existing housing),

2. Birth rates (recent changes upward or downward could lead to
placing more emphasis on current experience rather than averaging
trends over a five or ten year historical period), and

3. Private school enrollments and plans (sudden closing of a private
school in the district would abruptly affect enrollment).

Not all of the above items will apply to all districts, and those
that apply will be weighted differently from district to district. Each
community is unique and selection of factors upon which to project enrollments
must be made after carefully considering what forces are likely to impact
most dramatically on enrollment growth or decline.
School officials are advised to use at least two different procedures by which to develop future pupil data. More detailed guidance in the aforementioned procedures can be found in the following:


d) Educational Facilities Division, New York State Education Department, "Enrollment Projection Procedures."


SECTION III
APPROVING A STUDY STRATEGY

Developing plans for a school district which expects a decline in enrollment begins with confirmation that future decline is, in fact, to be expected. This topic was covered in the previous Section and is accomplished by the professional staff of the district developing reliable projections and presenting them to the board of education. The decisions the board makes on these matters could shape board credibility with district residents for many years.

The impact of decline could be dramatic — even traumatic. Program changes could be required; staff may have to be let go; or buildings may have to be closed. Any one of these responses — or others — could be greeted with scorn, derision, or revolt. Rumor about the motives for change and/or the changes themselves often upset members of the staff and the community. This sensitivity to change suggests that the processes which are adopted to develop plans could be as important as the plans themselves. Discussions with over 70 administrators have emphasized the importance of the board of education reviewing various planning strategies and adopting that one which best suits the circumstances of the community they serve.

Various approaches to developing plans are reviewed below along with a brief comment on the advantages and disadvantages to each. The reader will note that the alternate strategies are not mutually exclusive, and various combinations of those presented are indeed possible. The board might want to consider the adoption of
certain principles guiding the investigation about to take place. One board, for example, was able to create a positive climate for a cooperative investigation by approving the following four policies in the early phases of its planning effort:

1. As it becomes necessary to close schools because of declining school enrollments, schools with smaller student populations should be merged with larger units.

2. Parents of schools recommended for closing should be assured that an equivalent or better educational opportunity exists for their children in the new school setting.

3. The superintendent's staff should investigate and study alternative educational organization patterns so that future building utilization will meet student needs at all levels. Such an investigation should include recommendations and reports from available and interested professional and community (lay) groups.

4. No school shall be closed until an alternate use has been devised for that plant; such proposed alternative use will be beneficial to the community.

In resolving this procedural matter, the board, in effect, will generate answers to the following questions:

1. What questions will be examined in response to the figures projecting decline?

2. Who will be involved in the fact-finding?

3. What time-lines will be agreed upon?

4. Who will participate at each of the stages?

5. How much will the chief school administrator carry out on his own?

6. Who will report to the board?
7. To what extent will staff be involved? What staff?

8. What will be the role of the board, as a group, as individuals?

9. How will the community be kept informed?

If agreement can be reached on the processes which will be followed to make decisions, it is more likely that the decisions themselves will be understood and accepted.

Alternative Strategies for Board Consideration

A. Direct the chief school officer and his staff to do an in-depth study on the meaning of the decline and present alternative solutions to the board for its judgment and action.

1. Advantages --
   (a) Time necessary to do the study is controllable.
   (b) The nuances of the data could be more accurately arrayed by the superintendent and his staff.
   (c) The board has considerable freedom in its decision-making.
   (d) Cost to the board for study could be nominal.

2. Disadvantages --
   (a) Unilateral action by board could be aborted by limited community understanding of the issues.
   (b) This plan fails to take advantage of community resources.
   (c) Superintendent may have limited staff resources to do the study; as a result, he could neglect the daily administrative demands of his position.

B. A variation on (A) is for the board, after examining the data submitted by the chief school administrator, to develop a specific set of proposals for review with the public via a series of large and small group meetings.
1. Advantages --

(a) Gaps or oversights in data and proposals could be minimized by public exposure.

(b) A fuller understanding of the issues can be assured.

(c) Varied competencies of district residents can test the accuracy of the data.

(d) Support can be strengthened for future board measures.

2. Disadvantages --

(a) The process of public exposure will stretch out the time or delay the final board action.

(b) Public exposure will not assure public or voter acceptance.

(c) Deep political cleavages can develop among community groups.

C. Employ an independent consultant to make recommendations to the board on a given set of topics.

1. Advantages --

(a) Opportunity is given for independent objective judgments.

(b) The consultant presumably is an expert in the process and on the topic and as a result the recommendations would be more trustworthy.

(c) The chief school officer is freed to carry on the day-to-day administration of district affairs and responsibilities.
2. Disadvantages --

(a) Costs are increased.

(b) Consultant probably would not know the nuances of the data or be familiar with community attitudes; as a result recommendations can be unrealistic.

(c) Community may not be receptive to studies done by "outside" experts.

(d) If consultant firm is located some distance from the district, communication and scheduling efforts can be difficult and time wasting.

D. Appoint an ad hoc community task force charged with making recommendations to the board on a prescribed set of questions within a given time frame to function semi-independently of the board and staff.

1. Advantages --

(a) The many talents of district residents can be tapped.

(b) A deeper understanding of the various issues can be developed among district voters.

(c) Members of the committee can be used to communicate the outcomes of the study to the community.

2. Disadvantages --

(a) A prolonged period of study is usually needed to bring about closure.

(b) Study outcomes can be distorted by members of special interest groups on committees.
The ad hoc committee might try to use the forum for some unrelated issue.

A Case Experience

The strategy employed by the one district whose board recently voted to close two buildings is closest to that described in (D) above. The following recommendations have been derived from its experience:

1. The board appointed a community task force to study program and facilities and it had representatives from all interested community groups and from every geographic location in the district.

2. The board detailed specific charges to the task force. These charges included the following:
   (a) To equalize facilities and program offerings for all students.
   (b) To utilize efficiently and effectively the staff, facilities, and student time for instruction.
   (c) To reduce the extremes of class size in grades K-12.
   (d) To minimize the numbers of transfers necessary during the individual student's career.

3. The board of education included provision for a specific meeting place, the necessary resources, and a deadline for final recommendations from the community task force. If the board of education wishes the task force to continue beyond the time such recommendations are made, it should clearly state that in the beginning, when the task force is formed. If this is not the case, the task force should be thanked and discharged after they have fulfilled their obligations.

4. There are several options under which the task force may operate. A few examples are as follows:
   (a) The task force may operate independently and consult with its
members, study the situation, and make recommendations to the board.

(b) The task force may request the chief school administrator and his staff to act as resource specialists to provide them with necessary data for their deliberations, and after having examined such data and studied the matter in depth, make recommendations to the board of education.

(c) The task force may request the board to provide an independent consultant to work with them to develop administrative studies, enrollment projections and other needed data to help them in their deliberations. Thereafter, they will make recommendations to the board of education.

(d) The task force may work with the chief school administrator and his administrative staff, using them as resource people to develop general background information, demographic data, and information relating to local concerns. They may, in addition, ask the board to provide an independent consultant with specific expertise in a given area to help them by providing expert advice in addition to what is provided by the chief school administrator and his administrative staff. Thereafter, the task force will make recommendations to the board of education. (Obviously, this last alternative provides the greatest availability of professional resources to the comprehensive task force. If funds permit, it will allow the most comprehensive approach to the problem.)
SECTION IV
PROGRAM

Previous sections have dealt with establishing that decline will occur and with the selection of a strategy to use to develop long-range plans for the district. The sections which follow will address the content of those plans. Program, staff, facilities, and finances will be affected by changes in pupil numbers. Each will be dealt with separately in the sections which follow; however, this separate treatment must not be allowed to mask the extent to which they are inter-related. The final product of this entire effort will be a comprehensive plan for the district. Program considerations will be the first of the four planning content subjects reviewed.

The importance and difficulty of the program review can hardly be overstated. The educational planning necessary to meet the needs of this changing pattern of pupil distribution is not simply a question of managing the reduction of educational services, but also one of shaping new and changed responses. Kenneth Boulding, in his address to the Regents Convocation in 1974, said that the skills needed to manage a declining institution are not only different from but are probably in some sense greater than those required to manage a growing institution. The manager of a declining institution is required to think of more things that have not been thought of. In a growing institution mistakes are easily corrected; in a declining institution they are not.

Topics for Review

The review of program will be most effective if it is comprehensive. This means that there are several elements of program and dimensions of decline which should be addressed. Parents especially will be interested in the program which is planned for their children. Many members of the
board and the staff will find themselves in situations where they are asked questions about the future of a particular course or program. If the review of programs and the conclusions reached are documented, the probability that accurate and similar answers will be given will be increased and the credibility of the board and staff will be upheld.

The reference point for decisions about staff, facilities, and finances should be program needs and priorities. Changes rooted in program considerations should be the easiest to explain and the most readily accepted. The experiences of districts which have had to develop responses to change suggest that the review of program should include a documented response for each of the following elements.

1. **District philosophy.** A brief statement of district philosophy will provide an overarching context for discussions of program. Such a statement need not be lengthy or pedantic. Examine, for example, the excerpt below taken from a brief statement entitled, "Approach to Program." This statement was an important part of the comprehensive documentation assembled and used to explain the need for changes to the community in one district.

   **APPROACH TO PROGRAM**

   Over a period of almost twenty years, since the centralization of the Central School District, it has been the desire of the residents to provide a comprehensive school program for their children which would help them prepare for a complete and satisfying life as adults.

   There has been a gradual expansion of special support services and of elective courses available to students in our schools as our existing facilities have allowed. In the last few years, our approach has been based on a philosophy of individualization. What we are trying to do is to identify the best way each child learns and then to provide the appropriate teaching and support service so that each student can develop his or her talents and abilities to the fullest.
As the Advisory Committee considers the objectives outlined in the charge prepared by the Board of Education, we must keep in mind the nature and extent of the existing comprehensive program of studies now offered in our schools.

2. Program objectives. Performance objectives which clearly indicate what is being accomplished for students can be very useful to explain the need for specific staffing patterns, facilities, or levels of funding. Such statements usually indicate clearly what needs to be accomplished and disarm those who attack district staffs because of vagueness. The development of performance objectives for instructional programs is a major undertaking, which requires considerable effort. Their development should be perceived as a major undertaking in and of itself.

There are many signs unrelated specifically to decline which indicate a growing emphasis on the use of performance objectives and other related techniques such as criterion-referenced evaluation and cost accounting. For example, the New York State Board of Regents recently approved the use of competency-based examinations as a basis for high school graduation, recent state aid legislation included a planning and reporting requirement (needs, objectives, evaluation design) as a condition of receiving aid, and comprehensive planning and evaluation continue to be an integral part of federal aid programs. These techniques which are used to generate information on a regular basis about program effects, needs, and costs are especially relevant to those districts experiencing decline.

3. Class size policy. Class sizes agreed upon will directly affect the numbers of staff and classrooms needed, with obvious implications for future levels of expenditures. A class size policy approved by the board should be made available to those staff and citizens who will be developing alternative staffing and housing patterns. This policy should
also be consistent with the district philosophy and performance objectives. The experience of one district is again instructive. Note the concise but formative statement on class size used in that district:

CLASS SIZE POLICY

The District's class size policy is regulated by the following factors:

A. Organization size -- Number of classes and/or sections predetermined by dividing the number of students in a category by the specified number unit. This will be done prior to development of budget requirements for personnel in the spring of each year.

B. Maximum size -- The organization policy of the district is as follows:
- Grades K, 1 & 2 will organize between 20-25, maximum 25
- Grades 3 through 6 will organize between 25-30, maximum 30
- Grades 7 through 12, track 1, will organize between 25-30, maximum 30
- Grades 7 through 12, track 2, will organize between 25-30, maximum 30
- Grades 7 through 12, track 3, will organize between 15-20, maximum 20

The Board will decide on the formation of new classes and such decision will be generally based upon availability of space, budgetary allocations, time of year, and other enrollment conditions. This class size policy is based upon the current school organization.

4. Teacher work load. The assignments teachers receive are usually related to district philosophy, program objectives, and class size. Policy on work load is also a consideration that influences space needs; for example, planning time, meeting rooms, counseling rooms. Consequently, it is advisable to study teacher work load and to document its relationship to other program considerations.

5. Support personnel. The need for support personnel -- like teacher work load -- also grows out of district philosophy, objectives, and class size policy. Numbers of support personnel also impact on space and fiscal
needs. This, then, is another element of program which needs to be reviewed and documented.

6. School organization (K-3,4-6, 7-9,...). The resolution of whether a district has middle schools or junior high schools, primary schools or K-6 schools is also one of deep concern to parents and one which is related to the program factors observed earlier. The impact of decisions on school organization directly affects building needs and use. The expected numbers of pupils in each census zone and attendance area should also be addressed during a review of school organization. The choice of buildings to be used and the place of residence of their future students will directly influence the number of children who will need to be bussed to school. Figure 3 on page 24 was used effectively in a case district to outline building capacity and utilizations. These figures become important during latter stages of the planning when alternative uses for buildings are developed.

Changing Student Population

Another important set of facts to consider throughout the entire process of program review are the needs of the students who will be served in the future. For example, if decline results from out-migration, are pupils of similar needs moving, thereby increasing the district's percentage of, say, handicapped pupils, disadvantaged pupils, or pupils with another unique set of needs? Such a change has obvious implications for program priorities, and will need to be explained to the community as part of the justification for future staff and building needs. Therefore, in the course of projecting enrollments and in setting program priorities account must be taken of the needs of the pupils to be served, not just their numbers.
### FIGURE 3

**BUILDING UTILIZATION**

<table>
<thead>
<tr>
<th>Schools</th>
<th>Available Rooms</th>
<th>Maximum Utilization by State Rating</th>
<th>Operational Utilization Elem. 85% - Sec. 80%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Elementary A</td>
<td>20</td>
<td>540</td>
<td>459</td>
</tr>
<tr>
<td>Elementary B</td>
<td>13</td>
<td>351</td>
<td>298</td>
</tr>
<tr>
<td>Elementary C</td>
<td>13</td>
<td>351</td>
<td>298</td>
</tr>
<tr>
<td>Elementary D</td>
<td>22 + 2 Sp.</td>
<td>621</td>
<td>527</td>
</tr>
<tr>
<td>Elementary E</td>
<td>21 + 1 Sp.</td>
<td>579</td>
<td>493</td>
</tr>
<tr>
<td>Elementary F*</td>
<td>9 + 4 Port.</td>
<td>230</td>
<td>195</td>
</tr>
<tr>
<td>Elementary G</td>
<td>13</td>
<td>351</td>
<td>298</td>
</tr>
<tr>
<td>Elementary F</td>
<td>13 + 1 Port.</td>
<td>351</td>
<td>298</td>
</tr>
<tr>
<td>Elementary G</td>
<td>15 + 2 Sp.</td>
<td>432</td>
<td>367</td>
</tr>
<tr>
<td>Elementary H</td>
<td>16 + 1 Port.</td>
<td>432</td>
<td>367</td>
</tr>
<tr>
<td>Elementary Totals</td>
<td>155 + 5 Sp. + 6 Port.</td>
<td>4,238</td>
<td>3,600</td>
</tr>
<tr>
<td>JHS A</td>
<td>49</td>
<td>1,360</td>
<td>1,088</td>
</tr>
<tr>
<td>JHS B</td>
<td>61</td>
<td>1,709</td>
<td>1,367</td>
</tr>
<tr>
<td>High A</td>
<td>86</td>
<td>2,298</td>
<td>1,834</td>
</tr>
<tr>
<td>Sec. Totals</td>
<td>196</td>
<td>5,367</td>
<td>4,289</td>
</tr>
<tr>
<td>District Totals</td>
<td>351 + 5 Sp. + 6 Port.</td>
<td>9,605</td>
<td>7,889</td>
</tr>
</tbody>
</table>

In the elementary schools normal operation would utilize approximately 85% of the total capacity. This is necessary because of the uneven age distribution of students, limitations by geographic areas, transfer of children in and out during the school year, and grouping patterns.

In the secondary schools normal operation would be 80% for classrooms and 75% for laboratories. This utilization permits some flexibility in scheduling, adjustment for variation in class sizes, occasional use of rooms for study halls, and changes of teachers and student demand from year to year. For laboratories additional flexibility of time is necessary for preparing and dismantling science equipment.

*Elementary F has a State maximum rating based upon seven (7) rooms in main building plus two (2) new portables only.*
Another factor which affects program and which evolves from the nature of the pupils to be served in New York State is the list of programs which are mandated by the State Education Department. These mandates describe minimum programs which districts must provide. The mandates have been outlined in a publication which is available from the State Education Department: *Minimum Requirements for Schools in New York State, 1976 edition.*

**Opportunity**

Declining school enrollments also represent an opportunity for many districts. Reduced pupil numbers can free up space and staff to address program priorities heretofore neglected due to a dearth of such resources. For example, elementary schools often lack special rooms for art, music, or physical education. Elementary and secondary schools could be remodeled to provide more open space for ungraded or large group instruction. Also, rooms for team teacher planning can be made available. Some boards of education have also expressed interest in expanding prekindergarten pupils and/or in opening day classes to senior citizens. A board and staff which are familiar with the unmet needs of its community could view decline as an occasion to examine the number and quality of the services provided.

**Other Considerations**

Response to the demands of decline will vary among districts from the small one-building, usually rural, district, to the suburban and the urban. The National School Boards Association Research Department has noted:

> The hardship falls on smaller districts because, as studies over many years have shown, larger districts realize greater economies in operation and have more flexibility in administrative arrangement. Not only in overall district operations, but within each school, large districts (which tend to have larger schools) are more efficient. Declining enrollment, when it strikes smaller districts with lower revenues, is likely to exacerbate the weaknesses of small districts: relatively narrow curriculum, inability to attract and hold...
quality teachers and administrators, inability to construct or remodel school plants, efficient use of staff because of small class sizes, insufficient use of financial and other educational resources, absence of special programs for special student populations.

Suburban districts, which are immediately adjacent to a city and experienced out-migration from the cities first, are now confronted with a rapid decline in population -- in some cases a 20 to 30 percent decrease in five years, and more loss expected ahead.

Even in many of these districts, however, decline has yet to reach the secondary grades. Time as a planning resource still exists for planning at the secondary level, but it is a resource rapidly dissipating.
SECTION V

ANALYZING STAFF NEEDS

A review of future program needs provides the necessary context for an analysis of future staff needs. Of all the decisions a board makes concerning a decline, none can be as costly or cause as much ill feeling as the decision to reduce staff. There are both humane and practical reasons why this issue should be handled with sensitivity. This Section will offer suggestions on how to conduct that analysis.

Background

One would expect that staffing costs would be reduced in proportion to the rate at which enrollment is dropping; however, this is not the case. An enrollment decline of a few hundred pupils spread over twelve grades might result in a slight drop in average class size; but it will not automatically mean a need for fewer classes (or teachers), nor will it reduce demand for special subjects such as music, art and physical education. This contention is borne out by statewide figures on enrollment and staffing trends for the past five years. From 1971-72 to 1975-76, enrollment in New York State decreased by 3.5 percent. During the same period, the number of classroom teachers per thousand students increased by 1.4 percent. New York City is the only region of the state where the reduction in professional staff per thousand (4.4 percent) exceeded the drop in enrollment (3.8 percent) for the five-year period. In every other region of the state except one*, enrollment has dropped and professional staffing ratios have increased.

* The exception is the Mid-Hudson region where enrollment increased by 0.2 percent and total professional staff increased by 2.7 percent while classroom teachers per thousand increased by 4.2 percent.
These figures emphasize the need for long range planning and careful study in the matter of school district staffing. School staffs are not in the words of the economists, an "elastic" product, sensitive to the forces of supply and demand. Decisions to appoint a staff person to tenure or abolish a position often have implications for the district that are not immediately obvious to the board members making them. For example, a person appointed to tenure this year could fill a position which the district does not need in three to five years. The action of appointing a person to tenure when viewed over the career of the person so appointed is a costly one with important program implications. A later decision to abolish that position could involve the district in costly, complicated and time-consuming litigation. These factors combine to suggest that board members should insist that their districts develop and operate carefully planned personnel management systems.

The Supreme Court of New York State noted the absence of such a planned, uniform way of dealing with personnel in two recent cases in which it ruled for the plaintiff (Dreyfuss vs. the board of Education and Baer vs. Nyquist).

Review of Critical Questions

Initiative must be taken in the early stages of decline to anticipate, to define, and to enumerate the number of staff to be retrenched, particularly if historic district staffing patterns and pupil costs are to be respected. Before taking administrative action on staffing considerations it seems imperative that the board and chief school officer determine (a) whether they should consider new priorities in the context of a long-term view (5 years) of the population and related data or (b) whether their decisions will be made to sustain the status quo in program and pupil costs based on a
year-to-year view of changes. Alternate (a) will be preferable for those districts which wish to provide retraining opportunities for teachers and/or adequate advance notice to teachers to be exceeded.

In either case, answers to the following questions are indispensable prerequisites to the decision-making associated with determining future staff requirements.

1. What is the prediction on future pupil numbers?
2. Can the reliability of these projections be upheld convincingly in the public arena?
3. What impact do reduced pupil numbers have on the offerings of the current educational program?
4. Is the makeup of the student body changing?
5. Will the tasks and makeup of the instructional program change in the next three to five years?
6. Will the current organizational plan change (K-5, 6-8, 9-12, etc.)?
7. What future staffing ratios does the district wish to maintain?
8. How do these staffing ratios compare with similar state data?
9. How many staff will be needed to meet district objectives in the next three to five years?
10. What are the necessary teacher competencies and certification needs in the next three to five years?
11. In which tenure areas will positions be abolished?
12. How much of the staff reduction can be assimilated by attrition?
13. Must some of the remaining staff be retrained?
14. How does the district maintain a balance in experience, age and competence in the staff?
15. How can new programs such as bilingual instruction with recently employed staff be maintained in light of the last hired, first fired rulings?

16. How are these interrelated questions to be reconciled with the mandated collective negotiation legislation, rulings and procedures?

An analysis of the future staffing needs of the district should proceed in the context of information relevant to the task. Program information has been noted to be of critical importance (see Section IV). Additionally, the board should take steps to insure that the school district attorney is involved throughout the analysis since the legal implications of staff decisions are significant. Those involved in the analysis should be knowledgeable about the content of contracts which have been negotiated with various staff groups. There are many laws, rules and rulings which are also relevant to an analysis of staff changes. Some of the more important ones which should be reviewed in the course of the analysis are listed below in Figure 4.

Figure 4.

Checklist of Items to Consider When Making Decisions About Staff

<table>
<thead>
<tr>
<th>Item</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Section 2510 &amp; 2585 of the Education Law</td>
<td>Contains information about the rights of professionals whose positions are abolished.</td>
</tr>
<tr>
<td>2. Sections 75, 80 &amp; 82 of the Civil Service Law</td>
<td>These sections clarify the rights and responsibilities of local boards in their dealing with nonprofessional employees.</td>
</tr>
<tr>
<td>Item</td>
<td>Comment</td>
</tr>
<tr>
<td>------</td>
<td>---------</td>
</tr>
<tr>
<td>4. Court Decision: Schaub vs. Bowen</td>
<td>Abolition of positions for economic reasons is not a &quot;term or condition of employment&quot;. Any such provision in a collective bargaining agreement is not binding on the public employer.</td>
</tr>
<tr>
<td>5. Court Decision: Baer vs. Nyquist</td>
<td>In this decision the court reiterated the validity of elementary, secondary and specific special subject tenure areas recognized by earlier decisions. The court disregarded vertical tenure areas established by local boards and retrospectively approved by the Commissioner.</td>
</tr>
<tr>
<td>6. Court Decision: Lynch vs. Nyquist</td>
<td>Court found that &quot;Certification Requirements could not be employed to erode protection of tenured teachers&quot;. Appellant's seniority in secondary tenure area mandated the dismissal of a person junior to the appellant in that tenure area.</td>
</tr>
<tr>
<td>7. Court Decision: Dreyfuss vs. Board of Education (Union Free District #3 Huntington)</td>
<td>Court held that a teacher granted a leave of absence not consistent with Section 3005 of the Education Law could not count the year away toward his seniority.</td>
</tr>
<tr>
<td>8. PERB Ruling: New Rochelle 4 PERB 3704</td>
<td>Budget cuts and resultant economically motivated decisions to reduce work force is a management decision which is part of carrying out the employers' mission and as such is not a mandatory topic for negotiations. The employer is obligated to negotiate the impact of such decisions. Examples of such negotiable matters are: order of layoff, severance pay, and workload for the remaining staff.</td>
</tr>
<tr>
<td>9. PERB Ruling: White Plains 5 PERB 3013</td>
<td>The demand that work force not be reduced except by attrition or for disciplinary reasons is not a mandatory item for negotiations.</td>
</tr>
<tr>
<td>10. PERB Ruling: West Irondequoit 4 PERB 3725</td>
<td>Numerical limitations on class size is a non-mandatory topic for negotiations. The employer has an obligation to meet with the teachers and discuss the impact of decisions to abolish positions claimed</td>
</tr>
</tbody>
</table>
to exist by the employee organization. The act of meeting and discussing would not constitute a concession on the employer's part that there is an impact on terms and conditions. (The Court of Appeals affirmed the decision but held that the impact of the basic decision was negotiable; that the compensation and other benefits received by teachers depending on the class size is a mandatory topic of negotiations.)

11. PERB Ruling: Albany
   PERB 3142
   Seniority is a mandatory topic of negotiations.

12. PERB Ruling: Huntington
   5 PERB 7507
   Special salary increment in last year of service before retirement is a mandatory topic of negotiations.

Secondary School Staffing

The steady decline in the enrollment now evident at the elementary school level will mean fewer pupils in the secondary grades. There is still time in most instances to shape the impact of this change and the following procedures are suggested to assist district officials as they make decisions about secondary programs.

1. Determine number of pupils per total secondary school staff (including administrators, guidance, special education, librarians, etc.) for the past three to five years.

2. Determine number of pupils per teacher for each subject and special area for the secondary school program for the past three to five years. It might be advisable to do a separate calculation for junior high or middle school and one for senior high school. The calculations should certainly parallel present organizational patterns. The pupil-teacher ratios
would be established for each subject area — English, Social Studies, Foreign Language, physical education, industrial arts, guidance, administration, special education (handicapped).

3. Determine future secondary school pupil populations by grade level for the next three to five years by using official district pupil data.

4. Assume that present program and course offerings, total staff ratios and class size ratios will be maintained for the next three to five years.

5. Now using projected secondary pupil data, calculate the number of pupils per total secondary school staff, the number of pupils per class for each subject and special area for each of the next three to five years.

6. Now compare the above two sets of figures, i.e., total pupil/staff ratios and pupil/teacher ratios for each subject past and future. This comparison should enable the administration to identify those class-size ratios which are below historical class size policies. This same comparison should also indicate the number of surplus staff positions and the program area in which they are assigned. For example, the data could demonstrate that there will be in three years an extra English teacher, one-half physical education person, or one-half guidance counselor.

An additional step which may reveal some interesting insights into the potential impact of decline is as follows. All districts annually develop class schedules for junior high schools and high schools. This enables them to continue the efficient use of teachers and classrooms while maintaining class sizes within policy limits. The additional step would be to follow the procedures normally followed to develop such schedules, but use projected enrollments — for example, that expected in five years — rather than next year's enrollment. This would enable district officials
to gage the impact the projected number could have in five years on staff, classrooms, buildings, selected courses, and class size policy.

The follow-up to this analysis is one of determining whether the assumptions on which the class size ratios, total pupil-teacher ratios and program offerings were based should be altered. If a new set of fiscal, program, and staffing assumptions are established for the next three to five years, then the aforementioned process should be repeated.

The end product of this process will identify staff reductions that may be necessary as a result of a drop in enrollment. The anticipated reduction in staff positions needs to be reconciled with the seniority and certification qualifications of each staff member who might be dismissed.

This reconciliation then sets the stage for possible future job reduction and staff retraining programs and efforts. For example, some of the teachers remaining will be required to teach subjects in which they are certified but have not taught for many years. Other teachers might be assigned to instructional duties for which they are not certified because of their seniority rights.

Procedure

Now that the problem has been described, the questions posed, and fact finding roles defined, what is the procedural and background information that can make decisions on the abolishment of staff more and humane? Some crucial elements of this effort have been discussed earlier. These include accurate projections, a review of program, and an agreement on school organization. Section VII will discuss the necessity for making fiscal projections. Steps in the total analysis growing out of review of staff needs include.

1. Estimate number of staff needed to achieve program objectives at each organizational level for each of the five years. Compare these figures to the staff likely to be available without board intervention.
2. Determine the certification status and seniority of all professional and nonprofessional personnel in the context of tenure and the civil service rights.

3. Compile probability patterns of attrition for teaching and non-teaching staff for each of the next three to five years to include age and related retirement data.

4. Determine the number of instructional and noninstructional support positions to be abolished given agreed upon program requirements, negotiated contracts, law, regulations, and rules. Changes have recently been made to the Regents Rules on Tenure which affect all teachers appointed to probationary status on or after August 1, 1975. Recent relevant rulings of the Public Employment Relations Board have been summarized on Figure 4 (page 30).

Staff Dismissal

Whatever the particulars of a job dismissal situation, there are some humane ways of dealing with the employees affected. Some of the more important ones are as follows:

1. Reconcile staff reduction actions with considerations of plans for early retirement incentives,* sabbatical leaves, reassignment to substitute

*Most early retirement incentives used so far in New York State districts consist of special increments in salary ($1000-$5000) during the last year of employment. The following statement is recommended by the Teachers Retirement System to be used in making such agreements with teachers.

Each teacher with at least 20 years of service in the district shall be eligible to elect to receive a salary raise of $ per year to be payable for one year only. Such raise shall be payable in the school year following the date the teacher files a written request with the superintendent to elect to receive such salary raise. For any year following the year in which such salary raise of $ was paid, the salary of such teacher shall be computed excluding such salary raise of $. Each such teacher shall be entitled to exercise such election only once during his or her employment with the district.
teacher duty, retraining opportunities and placement opportunities in other school districts.

2. Candidly inform employees being terminated of their rights to reemployment should suitable vacancies occur.

3. Notify all employees whose positions are to be eliminated as soon as possible before their actual termination date from the payroll (ideally one hiring season prior to termination).

4. Fully inform employees being terminated of the loss of fringe benefits and personnel services.

5. Aid them in adjusting to their changed status. Explore with them the possibility of employing them in such a way as not to jeopardize their rights on eligibility lists.

6. Deal with each employee in this situation as an individual with very specific needs, interests, and abilities rather than as a member of a faculty that has fallen on hard times.
SECTION VI

ANALYSIS OF FACILITY NEEDS

The analysis of present and future needs for physical facilities can occur at the same time that staff needs are reviewed. However, it is not likely that space needs can be determined before the comprehensive review of program discussed in Section IV is completed. The number and kinds of classrooms which a district needs relate directly to the district's philosophy, program objectives, building organization, class size policy, teacher work load, and support personnel needed. Section IV also pointed out that these factors themselves undergo change due to changes occurring as a result of migration and other trends; therefore, those involved in an analysis of building needs should have the most recent statement of program needs. Districts are also advised to monitor regularly those factors which influence such things as program objectives to insure that significant trends do not go undetected.

The Division of Educational Facilities Planning has prepared a document entitled School Building Requirements (see Appendix B) which should be helpful in a review of the general adequacy of existing facilities. This document addresses such items as: ventilation, light, heat, and fire and safety standards. Also, it provides for a review of the adequacy of space for gymnasiums, library media centers, learning resource rooms, all purpose rooms, and storage areas. Older buildings, for example, may lack storage space for large quantities of audio-visual, physical education, science and mathematics equipment used in modern programs.

In addition to these rather generalized points of review, district staff must also study building adequacy in the context of the following specific criteria.
Consideration of Effects Upon Pupils Attending Schools to be Closed

1. **Increased number of students to be transported.** A prime consideration as to which facility or facilities to be eliminated in a school consolidation program is the number of students who would have to be bussed should any particular school be closed. Therefore, transportation requirements resulting from any proposed consolidation plan should be analyzed as part of the decision-making process.

2. **Distance and time required for transportation.** The distance and time required for students to be transported from any closed facility would be an important consideration for the district's children and residents. In addition, transportation patterns which result in children passing operating schools in order to attend other schools are conceptually difficult for the community to accept and is basically inefficient in terms of transportation. Therefore, any consolidation plan should have as a prime element the requirement of moving the least number of children the shortest distance possible.

3. **Degree of fragmentation created.** Wherever possible, whole school populations should be moved as a unit. A great deal of community opposition is generated by splitting or fragmenting the student population of a school to be closed.

4. **Ability to assure single move during elementary years of attending school.** Any plan to consolidate schools should include as a basic consideration assurance that children will not again be moved during their elementary years. It is necessary, therefore, to plan for a minimum of five years for those pupils to be transferred. Any moves made should take into consideration the possibility of further closings in the future. Therefore, long-range planning is desirable prior to any determination regarding moving children.
Consideration of Physical Structure of Buildings

1. Age, condition, efficiency and cost of maintaining buildings. As part of the process of analysis, it is important to assess the condition, efficiency, and cost of maintaining each of the buildings used for instructional purposes. One of the major advantages of school consolidation can be realized by the cost savings resulting from closing those facilities which will require the most maintenance, repair, and noninstructional operating expense. Therefore, a key part of the decision in choosing which schools are to be closed will center around the long-term savings accrued by closing the least efficient facilities.

2. Adequacy of space. Although school consolidation presumes surplus space, often at the same time districts are faced with a lack of adequate space of a particular nature, such as gymnasiums, all-purpose rooms, stages, etc. These types of facilities are either impossible or extremely costly to obtain by converting surplus classroom space. Therefore, it is necessary to analyze district-wide facilities in relation to these specialized use requirements.

3. Consideration of location of buildings. As part of the decision-making process, it is necessary to consider the following factors:
   a. ease of access to a particular building,
   b. zoning and adjacent zoning,
   c. distance from present and potential population centers,
   d. the potential of the building to be attractive to buyers if selling is considered, and
   e. possible alternative uses.

Alternative Plans for School Consolidation

It is advisable to develop alternative plans which would accomplish
consolidation in accordance with the previously established guidelines and criteria. This provides a degree of flexibility and allows for varied approaches in initial considerations. These alternative approaches allow for comparison and analysis by members of the Board of Education and provide a framework for discussion of pros and cons associated with each plan.

Examples of alternatives which might provide a variety of consolidation plans include: a) pairing of elementary schools, b) single-grade schools, c) reorganization of grade level breakdown, d) middle school organization, e) 9-10-11-12 high school, f) 7-8 junior high school. These alternatives could be explored as a framework for school consolidation, providing they are consistent with the district's philosophy and goals.

Financial Implications of School Consolidation

Does a recommended school consolidation program result in savings to the taxpayers of the district? The board of education must be very precise in presenting the analysis of the savings accruing from such a consolidation plan. It is recommended that a chart be drawn up to identify specifically the reduction in cost from the operating school budget on an item-by-item basis, so that the individual community resident may refer back to the school budget and identify the amount cited as being saved against the reduction of positions, reduced operating costs in building, and reduced transportation costs, if any.

If there are some increased costs due to the consolidation program, they should be clearly identified. Such costs might include increased transportation, costs associated with the maintenance of a closed facility which is neither leased nor sold, the cost of any modifications to buildings to be used for other purposes, and any cost associated with the retraining of staff.
In developing the total net savings, it is wise to make available to community groups both the information and the basis on which it was developed. Very often, verification by community members who are skilled in finance and accounting will go a long way in convincing the rest of the community.

**Alternative Possibilities for Use and/or Disposal of Surplus Buildings**

What can be done with an unused school building? The board of education is faced with the problem of finding another positive use for that building or maintaining it in mothball condition against the possibility of a future need to reopen it to students in the district.

Long before such a decision to close schools is made, it is important that the board of education consider various alternative uses for the surplus school buildings. Four general possibilities that might be considered are discussed in the pages which follow. They are:

1. sale of the building,
2. leasing of the building,
3. use of the building for an alternate educational program, with consideration given to multi-use of such a building,
4. mothballing the school for future use.

**Sale of the building.** If the district decides to sell the building, the following steps should be considered:

1. The first step a chief school administrator should take is to contact the school attorney in order to have him develop a formal opinion regarding the legal requirements for the sale. Sections 402 and 403 of the Education Law deal with this matter. It is recommended further that the school attorney make a formal presentation to both the board of educa-
tion and the chief school administrator must outline requirements which must be satisfied prior to the sale of a surplus school building.

2. Again with the advice of the school attorney, a determination would have to be made as to the means by which the board of education will sell the surplus building. The board may, on its own action, dispose of the school building no longer needed for educational purposes as long as a fair market value is received for such building and the further requirement is met that the school has not been used for educational purposes for a period of five years. Section 1804, subdivisions 6a and 6c, of the Education Law deal with property of school districts and these sections are of importance to chief school administrators who supervise central school districts. The board may also decide to seek a referendum of the public in order to determine whether or not the building should be sold. Under subdivision 6c, the board of education in a central district can complete a sale without approval of the voters of the district unless a petition of at least ten percent of the qualified voters of the district is filed with the clerk after the adoption by the board of education of the resolution of sale. This applies to central districts which have been centralized for at least seven years.

3. The district has a choice under the law of how the funds received from the sale of such surplus building may be used. Such funds may be applied to one of the following at the discretion of the board of education:
   a. utilized for existing indebtedness;
   b. applied to construction, reconstruction, or renovation within the district, and
   c. applied to the general fund of the district.

4. The chief school administrator should secure a valid real estate
appraisal of the surplus school building from a qualified expert. It is also wise to have a new survey taken of any property which will be sold along with the building, so that there can be no question of ownership or boundary lines at the time of the sale. The school attorney should work in close relationship with the chief school administrator.

5. If zoning requirements limit the type of sale and if it is possible to secure a more favorable zoning for the building and appropriate property which is to be sold, it is usually more desirable to have the school district request this change prior to offering the building for sale. If the school building is offered for sale under present zoning, subject to the new owner's securing a change in zoning, all of the preparations and the conduct of the sale may go for naught if the new owner is unable to secure the appropriate change.

6. It is recommended that meetings with appropriate community groups be held so that the board of education and the chief school administrator have received input prior to the actual sale of the building. These groups should include residents of the immediate neighborhood, the Chamber of Commerce, PTA groups, civic associations, and depending upon the age of the school, possibly the local historical society. One important consideration coming out of such discussion might well be the establishment of a restrictive covenant in the deed of sale, so that the nature of the building, physical appearance, etc., might be retained. This might be very important to local community groups, e.g., a small colonial structure might well be retained in its exterior aspect by a bank which was purchasing the building for its own purpose.

7. The proposed sale of the surplus school building should be advertised widely in newspapers, periodicals, district publications and,
most important, trade journals and business reviews. Often local business firms or branches of major corporations are looking for additional space in a locality and would be very willing to utilize a former school building if the zoning permits.

8. Prospective buyers should be encouraged to visit the surplus building and district administrative staff members should be prepared with a layout sketch, detailed plan, and a general knowledge of the physical condition of the building. Interest in these tours often distinguishes a real buyer from one who is not.

9. It is recommended that the building be advertised publicly and that sealed bids be received. A public disclosure is important at the designated time and place after the bids are open. The board of education can reserve the right to reject any and all bids, if, in its opinion, the sale of the building to a particular bidder would not be in the interest of the community.

10. Once a satisfactory bidder has been accepted, the chief school administrator should prepare a news release describing the sale — the amount of the proceeds, how these funds will be used, to whom the building has been sold and for what purpose, and the date of occupancy.

Leasing. If the board decides to lease the building, the following steps should be taken:

1. The chief school administrator should consult with the school attorney and review Section 403a and other sections of the Education Law which deal with the leasing of school buildings. In Section 403a, the board of education is authorized to lease real property, including buildings which are not currently needed for school district purposes, provided that the board determines that the leasing is in the best interest of the district.
No voter approval is required. However, the lease must provide for a fair market rental, the term may not exceed five years and must be cancellable by either party upon one year's notice, and the leasee must be obligated to restore the property. Such a lease may be renewed for a period of up to five years upon the consent of the Commissioner. If the property is to be leased to a nonprofit corporation for purposes relating to youth, or if it is to be leased to a political subdivision for its lawful purposes, then there is no requirement either for a fair market rental or the cancellation provision.

2. If the current zoning of the building is for residential purposes, then the only eligible tenants are another nonprofit educational institution or a division of city, county or local government. There is tremendous competition for such tenants, and as more schools are closed because of declining enrollment, this type of tenant will become even more difficult to secure. It is suggested that, with the advice of the school attorney and persons with experience in zoning matters, the chief school administrator pursue the possibility of having the zoning changed without doing harm to the immediate area surrounding the school. Obviously, if the choice of tenants can be broadened, the opportunity for securing one becomes greater.

3. It is recommended that once a particular tenant is secured, that the lease be very carefully drawn, meeting the requirements outlined in Section 403a of the Education Law.

4. It is recommended that before any final determination of the tenant is made by the board of education, full and ample opportunity be given at local community meetings to apprise residents of the nature of the tenant's activities.
Multi-use of buildings. Some suggestions for alternate educational uses of the building include:

1. Many schools have used surplus buildings for alternate educational purposes. One of the best references in this regard is the publication of Educational Facilities Laboratories, Fewer Pupils/Surplus Space (listed among References, Appendix D, page 62).

2. A number of school districts throughout the State have used surplus elementary school buildings for high school programs.

3. A number of school districts have secured multiple tenants for a surplus school building. One example of this is a district which had divided the space three ways in an elementary school. One section of the building houses the central administration of the district; the second section of the building supplies space for the Music and Art Foundation, a nonprofit group which provides cultural enjoyment for young people; and a third section is used for a nonprofit group conducting an instructional gymnastic program available to residents throughout the community. Obviously, there are a number of compatible groups who may want to lease only part of a building.

4. One consideration that needs more investigation is the possibility of converting surplus school buildings to apartment buildings for either very young families or senior citizens. The Department of Housing and Urban Development currently has a study underway which is considering the feasibility of making such conversions and allowing such buildings to be used for senior citizen housing. It is a direction worth pursuing.

5. In addition to the education laws previously cited relating to alternative use and/or disposal of surplus buildings, the Historic Preservation Act of 1966 and Executive Order 11593 must be considered. A federally
assisted undertaking shall be considered to have an effect on a National Register property or on property that might be eligible for inclusion on the National Register (districts, sites, buildings, structures, and their settings) when any condition of the undertaking causes or may cause any change whether beneficial or adverse in the quality of the historical, architectural, archeological, or cultural character that qualifies that property under the National Register Criteria. Generally, adverse effects occur under conditions which include but are not limited to:

a. Destruction or alteration of all or part of a property;

b. Isolation from, or alteration of, its surrounding environment;

c. Introduction of visual, audible, or atmospheric elements that are out of character with the property or alter its setting;

d. Neglect of a property resulting in its deterioration or destruction.

Procedures for obtaining a determination of effect and complete regulations may be found in the Federal Register, Volume 39, No. 18 (January 25, 1974).

Mothballing. After the board of education finds that it either does not wish to or cannot sell or lease the surplus building or use it for alternate educational purposes, it should then consider mothballing the school. This should be done with the least continuing operating cost for heat or power, and with provision for preventing vandalism of the surplus school building. It is suggested that the building not be left completely unoccupied but rather that a minimum number of people be kept, perhaps one office operating out of that building, so that it does not become a prime target for vandals. This, it would seem, is the least desirable option, but sometimes it may be the only choice. (District officials who decide to close a building are urged to review the checklist for "Mothballing" included in Appendix C.)

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SECTION VII
FISCAL RESOURCES

School officials attempting to cope with declining enrollment are encountering a frustrating dilemma. On the one hand they are reluctant to give up or curtail successful programs that have been built over a number of years. On the other hand, reduction in pupil membership means to the local community residents a corresponding reduction in school budgets. Many community residents do not hold expectations for the expansion of school services or program improvement. They view the decline of population as a time for retrenchment, reducing programs, and reducing expenditures.

The limited studies done on the fiscal impact of pupil decline suggest that school districts have difficulty reducing expenditures in proportion to the decline in pupils, and their expenditures on a per pupil basis therefore increase more drastically than those in districts with little change in enrollments or with increasing enrollment. Among the costs that cannot be reduced proportionately are the following: salaries of more senior staff, operational costs, and debt service charges. State aid can be reduced, furthermore, by an increase in local property wealth per pupil.

These conclusions have been substantiated by some fiscal figures generated for 60 districts in New York State by staff of the Department. The districts examined were the 20 which experienced the most decline in the period 1971-72 through 1973-74, the 20 which experienced the most growth over the same period, and the 20 which changed the least. Among the 20 which declined the most, the median increase in approved operating...
expenses per pupil was 42.1 percent. The other two groups saw median increases of 24.7 percent and 24.1 percent. The median increases in total operating expenses per pupil reveal a similar dramatic difference among the three groups with the decline districts sharply contrasted to the other two groups: 38.1 percent increase for declining districts, 24.2 percent increase for least change districts and 19.0 percent increase for growing districts. Clearly, without long-range planning and careful management, districts experiencing decline could find themselves with per pupil expenditures that their communities find unacceptable, and, consequently, are dysfunctional to school operations.

Fiscal Analysis

What are some of the ingredients of fiscal planning that seem to be an inherent part of a structured effort to manage decline? Appendix E* contains a fiscal checklist composed of worksheets and directions which can assist district officials to generate trend data which will provide some insights into what is happening to key fiscal indicators. Some chief school administrators may want members of their staffs to work through these checklists for their districts. Other elements of a sound fiscal management process are suggested by the questions which follow. No doubt many districts practice fiscal management procedures which include the specifics inherent in the questions; however, the list can serve as a vehicle by which to inventory present practice.

1. Are present accounting procedures designed to give unit costs -- for example, per pupil expenditures for instructional supplies, teacher salaries by organizational and content levels, and maintenance costs per square foot?

2. Are accounting procedures organized to give valid three and five year revenue and/or expenditure estimates including an explicit set of assumptions?

*Bound Separately.
3. Are dollar resources appropriately committed to district program priorities?

4. Are performance objectives an integral part of major expenditure programs? This can be done by building and/or by special projects (for example, handicapped, summer curriculum development projects).

5. Is the expenditure of funds communicated to the publics of the district in ways which staff and residents can understand easily?

6. Is the fund management program based on a rather explicit set of assumptions which are shared with Board members?

Assumptions

Inherent in the management of decline is a set of assumptions affecting district finances which should be made explicit. For example, it might be assumed that:

1. pupil populations in the district will continue to decline and eventually level out at a lower level;

2. class size and staffing ratio policies will be unchanged;

3. revenues per pupil will remain about constant, but the dollar base will be reduced;

4. the State and "save-harmless" program eventually will be replaced with a new aid formula;

5. dollars designated to implement program goals will continue to be eroded by inflation;

6. there will be mounting public and official pressure to put a cost effectiveness dimension to administrative decision-making and to institutional goals; and

7. future additional resources allocated for educational purposes will require cost-effectiveness analysis as part of a general trend toward more accountability.
Summary

This discussion of the fiscal implications of decline has been brief. However, the fiscal implications of the situation in each district grow out of the program, staff, and facilities decisions commented upon in earlier sections. These analyses should have generated information about the services that will be provided to pupils and these services make up the overwhelming part of the school budget. In a sense, all of the analyses done to this point have been fiscal analyses. Curricular decisions have direct fiscal consequences.

There is another side to these fiscal pictures which presents a more optimistic view of the future and one which might be more appropriate for the conclusion of this publication. Throughout the 1950's and 1960's public education's share of the State tax dollar increased and enrollments grew. If the projection of 600,000 fewer pupils holds, and if the school's share of the State tax dollar remains about the same, it is likely that the resources available to districts in the future will be adequate to provide programs that continue the current levels of quality and even make it possible to provide some services not now possible.
MILIONS OF STUDENTS

GRADES
K-6
7-12

MILLIONS OF STUDENTS

ACADEMIC YEAR

74-75
75-76
76-77
77-78
78-79
79-80
80-81
81-82
82-83
83-84
84-85
85-86
86-87
87-88
88-89
89-90
90-91
91-92
92-93

APPENDIX A.2

LIVE BIRTH RATES: NEW YORK STATE, NEW YORK CITY, NEW YORK STATE EXCLUSIVE OF NEW YORK CITY, 1954-1974 *

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<th>Rest of State</th>
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APPENDIX B

THE UNIVERSITY OF THE STATE OF NEW YORK
The State Education Department
Division of Educational Facilities Planning

SCHOOL BUILDING REQUIREMENTS

The authority for appraising and approving plans will be found in (1) the Education Law, (2) the Regulations of the Commissioner of Education and (3) certain of our pamphlets and leaflets which explain the Regulations of the Commissioner of Education.

THE EDUCATION LAW

Sections 408 and 409 of the Education Law relate to the approval of plans. Briefly, these sections state that the plans and specifications (with certain exceptions) shall be submitted to the Commissioner and his approval endorsed thereon. They further state that the plans shall not be approved unless they make provisions for heating and ventilation, lighting, sanitation and health, fire and accident protection adequate to maintain healthful, safe and comfortable conditions.

Section 408 also states that the Commissioner of Education shall not approve the plans unless the site has been selected with reasonable consideration to the following factors: its place in a comprehensive, long-term school building program; area required for outdoor educational activities; educational adaptability, environment, accessibility; soil conditions, initial and ultimate cost. This provision is explained by a leaflet published by this Division.

THE COMMISSIONER'S REGULATIONS

The Regulations of the Commissioner of Education, Part 155, are brief and in the main, general in their terminology.

PAMPHLETS EXPLAINING THE COMMISSIONER'S REGULATIONS

We have prepared certain short pamphlets and leaflets which explain the Regulations. The pamphlets and leaflets may be divided into two categories.

One category is concerned with safety, heating and ventilation, lighting, sanitation and health. The Manual of Planning Standards includes all these minimum requirements as well as excerpts of applicable laws, procedures and standards.

The other category is concerned with adequate housing of the education program. Minimum requirements to carry out this program are listed under A and B below. C is concerned with facilities considered to be desirable but are not required.
Minimum Space Requirements

A. Elementary school spaces

1. Classrooms
   (a) Kindergarten - 900 square feet clear educational space
   (b) Grades 1-6 - 770 square feet clear educational space
   (c) Exceptional children (where space is to be provided)
      (1) Physically handicapped - 900 square feet clear educational space
      (2) Trainable mentally retarded - 900 square feet clear educational space
      (3) Multiple handicapped - 900 square feet clear educational space
      (4) Brain injured and/or emotionally disturbed - 500 square feet clear educational space

2. Special facilities
   (a) Physical education:
      (1) For one-classroom and two-classroom building - none
      (2) For 3 classroom through 14 classroom building - 36 x 52 feet minimum clear dimension
      (3) For each additional 14 classrooms or fraction thereof - 1 physical education station 36 x 52 feet minimum dimension
   (b) Library of 900 square feet - 13 or more classrooms

3. Rooms for administration, health and teachers - size determined by pupil enrollment

B. Secondary school spaces (exceptions are made for necessarily small high schools)

1. Standard recitation room - 770 square feet clear educational space with allowance for some smaller rooms to accommodate small classes

2. General Science - 1000 square feet

3. Physics, Chemistry, Biology - 1200 square feet
4. Art - 1200 square feet (including storage)
5. Industrial arts shop - 1800 square feet plus 200 square feet for storage
6. Agriculture - 1500 square feet plus classroom 20 feet by 20 feet minimum dimension
7. Homemaking:
   (a) Junior high - 1200 square feet
   (b) Senior high - 1200 square feet
8. Music - 770 square feet plus storage
9. Library - size based on enrollment. Minimum requirement - 1500 square feet
10. Business education:
    (a) Typewriting - 840 square feet
    (b) Office and/or secretarial practice - 840 square feet
    (c) Distributive education - 1000 square feet

NOTE: The number of spaces in each of the foregoing ten categories is determined by the enrollment to be provided for in the planning of the school building.

11. Physical education spaces:
    (a) A building planned for an enrollment of 500 or less - one space 48 feet by 66 feet minimum clear dimension
    (b) A building planned for an enrollment of from 500 to 1000 - two spaces each 48 feet by 66 feet
    (c) A building planned for an enrollment over 1000 - an additional space 36 feet by 52 feet is required for every 500 pupils or fraction thereof

12. Lockers and showers - size based on enrollment
13. Administration, health, guidance, teachers' room - size based on pupil enrollment
14. Operational and maintenance space - district policy will determine kind and amount
Desirable Facilities

C. Other spaces desirable but not required

1. Elementary

(a) Cafeteria and kitchen
(b) Shower and locker facilities for intermediate grades
(c) Library facilities for smaller schools
(d) A place for assembly
(e) Small instrumental practice rooms
(f) Space for conference, remedial and therapeutic work
(g) Swimming pool for physical education and safety instruction
(h) Toilet facilities for the public
(i) Toilet facilities for outdoor recreation program
(j) Adult education, administration and storage
(k) Space for grounds maintenance

2. Secondary

(a) Cafeteria and kitchen
(b) Auditorium and stage facilities
(c) Adult education, administration and storage
(d) Swimming pool for physical education and safety instruction
(e) Space for driver education cars
(f) Public toilet facilities
(g) Toilet facilities for outdoor recreational program
(h) Laundry and uniform drying room
(i) Space for grounds maintenance
(j) Large group instruction area
(k) Rooms for music group practice

June 1974
APPENDIX C

CLOSING A SCHOOL
"MOTHBALLING"*

Move out students and teachers. Arrange for boxes and moving of requested items.

Equipment:

Teaching: Books, paper, science, arts, desks, chairs, maps, books, boards, etc. Move to other schools for use as directed, or to Central Supply for use. Leave no paper goods, books, etc. in school. Keep moving record of all items for inventory.

Custodial, cafeteria, maintenance, nursing: Move to other buildings where they can be used. Keep moving record for inventory.

Remainder of equipment: Select a classroom or larger area, near or with outside entrance, for future moving. Inventory and store all remaining equipment by size, item, or category, for future removal or sale.

Plumbing: Drain entire building.
Remove well pump from hole (schools with own wells).
Turn off street water at curb and remove water meter shut off valve.
Remove all valve and faucet stems and tie to valve or faucet.
Remove all flushometers, tie to urinal or toilet.
Disconnect or cut piping wherever water trap is suspected.
Blow all lines under air pressure.
Remove all sink traps or remove drain plugs from traps. Tie plug or trap to sink.
Remove all shower control valves.
Drain all free-standing drinking fountains and disconnect.
Syphon all urinal and toilets, floor and main traps.
Anti-freeze all urinals, toilets, floor and main traps.
Syphon or sponge all toilet tanks dry. Remove ball cock valve.
Leave in tank.
Plaster fill all urinal and toilet drain openings by cutting cardboard to size of opening and plaster of paris 1/2" on top.
Anti-freeze wall drinking fountains and plaster fill.

* Developed by sub-committee to the Advisory Committee to the Division of Educational Facilities Planning.

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Fire Systems:

1. Stand pipe - Dry systems only connected to fire department outside siamese connection, can be left intact.
2. Stand pipe - Wet systems connected to internal water supply with outside fire department siamese connection. Drain system. Disconnect system from internal water supply and plug, leaving remaining system intact with outside fire department siamese connected ready for hook-up as a dry system (notify local fire protection of this change).
3. Stand pipe - Wet system with own water supply and outside fire department siamese connection. (Same as Item #2). Shut street supply valve at curb, or at source of supply.
4. Stand pipe - Wet system without fire department outside connection, completely drain and disconnect system (notify local fire protection of change).
5. Sprinkler - Dry system air pressured. System can be left in service. Supply water lines to and main pneumatic valve must be protected from freezing.
6. Sprinkler - Wet system. System can be converted to dry system and kept in service (per item 5) with notification to fire protection agency. If not converted, drain entire system:
   a. Close main valve at water source external of building.
   b. Disconnect electric, pressure or flow signal devices.
   c. Open valve drains where available.
   d. As each floor, floor section or building area is check valved, they must be treated as individual sections and drained separately.
   e. If all check valves can be opened manually, open and drain bottom to top of system. If not, then drain top section to bottom section.
   f. Sprinkler heads and sections of piping will possibly have to be removed where water traps are likely.
   g. Remove checks from all check valves.
   h. Blow out all lines with air.
   i. Notify fire protection agency that system is inoperaible.
7. Fire detection systems. Leave system intact. If possible have wired directly to fire protection agency dispatcher. If not possible, have both internal and external sounding building bells.

Heating:

1. Secure electric to all heating equipment: burners, controls, compressors, pumps, fans, HVAC units.
2. Secure main water supply. Disconnect water feeders from boiler.
3. Drain boilers and entire heating system, using basically the same procedure as in plumbing.
4. Disconnect both supply and return side of all radiation, coils, etc. Blow out under air pressure.
5. Lubricate with preservative all valves and valve moving parts, dampers and damper valves.
6. Seal all outside damper and ventilation openings.
7. Remove all traps, flow valves, regulator valves, etc.
8. Clean both water side and fire side of all boilers.
9. Reseal water side of boiler, making as air tight as possible, to prevent oxidation.
10. Remove boiler breaching from chimney.
11. Clean chimney and seal all lower openings. Cap top of chimney if possible.
12. Spray oxidation preservative on all fire side surfaces, doors, hand and man holes, bolts, nuts, etc.
13. Remove oil burner or swing out from boiler.
14. Wrap burner in plastic after spraying with preservative.
15. Spray all pumps, compressors, air flows, shafts, valves, regulators, etc. with preservative.

Electric:

1. Disconnect all main power distribution except:
   a. electric security and fire systems
   b. necessary lighting for security and checking building
   c. necessary drainage and sump pumps
2. Remove all lighting lamps not necessary for security and checking building. Store or use in other buildings.
3. Remove all electric motors possible, spray with preservative, wrap and store in dry area. (Record each motor move for replacement)
4. Unremoved motors -- spray and wrap in place.
5. Remove all portable electric equipment and store.
6. Open and spray with oxidation preservative all electric distribution panels, public address, lighting, etc. panels.
7. Spray sockets of all lighting fixtures.
8. Clock systems -- remove slave clocks and master systems. Store, wrap, and spray.

Security:

1. Lock all doors and windows.
2. Board up all openings, windows, vents, etc.
3. Board up all door openings except one door to be used for security checks.
4. Arrange for a security and building condition check to be performed. Recommend minimum of three times weekly. (Log all building checks, dates, times, and conditions found).
5. Notify police, fire, etc. agencies of building condition.
6. If building does not have fire or vandal protection system installed and money is available, install a minimum detection system (portable or otherwise) with loud bells or wire directly to protection agency.

General:

1. Keep exact records of all equipment moved or stored — date, place, etc.
2. Keep up-to-date inventory of building and equipment.
3. Keep exact record of work performed, securing the building, lines cut or disconnected, equipment stored where for what.
4. Remove tension from all belt or spring driven equipment.
APPENDIX D

REFERENCES

Publications


   This publication includes an overview of the steps which districts can follow to plan for declining enrollments. Sections on predicting enrollments, involving the community, dealing with personnel, and closing facilities are included. The appendix contains interesting displays used by a variety of school districts, with some materials on early retirement incentives of particular interest.


   This publication includes a thorough review of the problems and prospects of decline. The material in the publication was gleaned from surveys of over 100 districts in 40 states which responded in writing to questions about their enrollment projections and their plans for using excess space. Sections dealing with closing schools are particularly instructive and should be of interest to Superintendents faced with that problem.


   This paper includes a list of items for consideration when reducing staff. Policies and contract provisions used by school districts to govern reductions in staff are included. Reference is also made to recent rulings from Counsel's Office of the New York State Education Department in reference to Section 2585 of the Education Law.


   This article discusses the task that school officials have in educating the public to recognize and to understand the need to continue adequate funding for public education in spite of the fact that enrollments are declining. The authors express concern about current attitudes towards the limits of growth and the effect these attitudes might have on the continued adequate funding of public education. The article also includes an interesting list of thirteen additional references.


   This is a report on a conference of persons who gathered in Washington, D.C. to examine the implications of declining enrollments on the school systems of the nation.

A task force examined the problems associated with the decline in the State of Illinois. This publication includes a summary of the recommendations of that task force. One of its major recommendations is that school district responses to declining enrollment must be unique, determined by each district's resources, enrollment trends, programs and purposes, community needs, styles of decision-making, and ability to plan. The full task force report is available for the asking by writing to the Illinois Office of Education, Department of Planning and Research, 100 North First Street, Springfield, Illinois, 62777.


This article includes background information to support the generalization that the U. S. is at zero population growth. Meyer suggest that future gains in the population, if any, will be modest.


This report reviews, in a non-technical fashion, the demographic analysis that should form the fundamental basis upon which educational policies and plans are developed. The author deals with "applied demography" and the manner in which it facilitates planning and policy actions. In the text, applied demography goes beyond exercises for gaging the future at the national level to a consideration of what kind of education is likely to be demanded by the populations of different places: Central City, Suburb, Metropolitan, and Non-Metropolitan growing and declining communities. Contents are grouped under the following headings: The National Demographic Context, Implications of National Demographic Trends, Emerging Patterns of Migration and Settlement, and Conclusions.


This publication covers the following topics: discussion of Birth Rates Statistics, a Review of What is Known About the Extent and Impact of Declining Enrollment, and an Optimistic Discussion of Ways to Plan for and to Cope with Declining Enrollment in a School District; A complete list of references is also included.
10. New York State Education Department: Management by Objectives; A Bibliography of ERIC Documents and Journal Articles. Albany, New York, New York State Education Department, undated.

This bibliography includes annotated comments on a series of journal articles and ERIC documents on the topic of Management by Objectives. Districts interested in documenting program purposes may find these selections interesting. The bibliography can be ordered by writing to the following address: EPSIS
Room 330 EB
New York State Education Department
Albany, New York 12234


This article is based on Dr. Rodekohr's doctoral dissertation completed at the University of Colorado at Boulder in 1974. It examines the effects of growth and decline in enrollment on a sample of 181 school districts in Colorado. Effects on school finance, staff, and performance are highlighted. Also included is a summary of a questionnaire which was completed by 73 Superintendents in declining districts.
School District Reports*

12. Clarence Central School

A notebook, organized chronologically and prepared by the administrative staff for the Clarence Board of Education, presents sequentially the processes and information shared with board on the problems and issues surrounding efforts culminating in the closing of two elementary schools. The planning process used by the Superintendent with board opens with a memorandum dated August 8, 1975. The last memorandum in this collection of administrative statements is dated January 2, 1976, and deals in detail with "School Closing." The Superintendent summarizes his studies on: transportation, facilities, cost implications, public information program. His memorandum of December 12, 1975, in which four options for closing an elementary school are outlined is especially noteworthy.

Address: Clarence Central School
P. O. Box T
Clarence, New York 14031
Richard W. Moomaw, Supt.

13. East Meadow Public Schools

This is the final report of the "Ad Hoc Committee to Study Future District Planning as Related to Declining Enrollment -- A Report on Facilities", submitted to the board of education in February, 1976. A sixteen member committee was established by the East Meadow Board of Education, October 9, 1975, to serve the Board in an advisory role, "to recommend plans regarding future utilization of our school facilities and plant organization." The first section contains the results of fact-finding on each topic from which plans and recommendations evolved (p. 1-45). The second section contains the plans and recommendations of this committee (p. 47-181). Ten plans offered to the board include three on secondary schools. A copy of the P.T.A. community survey is also a part of the committee effort.

Address: East Meadow Union Free School District
Campan Avenue
Nassau County
East Meadow, New York 11554
Dr. Martin T. Walsh, Supt.

* Officials of the districts whose reports are listed on the pages which follow generously shared materials with Department staff who prepared this publication. The reports listed exemplify documented approaches to dealing with decline. The fact that these reports are noted in this publication does not mean that large quantities of them are available for distribution. The Department has a limited number of them available and will loan them to interested district officials on a first come, first serve basis. Please do not expect the districts listed to provide copies of their reports.
14. Greece Central Schools

This booklet contains a detailed compilation and analysis of demographic information on Greece Central School District's student population. The report highlights data gathered in the Summer of 1974. It deals, among other topics, with the number of children per home unit; an analysis of census data by each elementary school district; a breakdown of the 22,315 residents age 21 and under; an analysis of apartment residents age 21 and under; and five year projections of student enrollments with supporting assumptions.

Address: Greece Central Schools
P. O. Box 7197
North Greece, New York 14515
David B. Robinson, Supt.

15. Kenmore - Town of Tonawanda Public Schools

"Decreasing school population presents new opportunities to Kenmore - Town of Tonawanda Board of Education" is a statement prepared by Kenmore administrative staff in order that the citizens might have a better understanding of the impact of decreasing school population on school programs, facilities utilization, educational organization and the school budget. Included in this collection of miscellaneous administrative statements is a series of recommendations on the use of school facilities prepared by the School Facilities Task Force which can serve as suggested guidelines by which to form a district program for closing schools.

Address: Kenmore Union Free School District
1500 Colvin Boulevard
Kenmore, New York 14223
C. S. Miller, Supt.

16. Mamaroneck Union Free School


An eleven member committee was requested by the board "... to recommend essential planning to deal with declining enrollment and aging facilities for the housing of public school students over the period 1980-81." The first 23 pages of the report are devoted to recommendations and findings. The data and findings are well supported with written assumptions. The demographic section of the report outlines in detail the projection formula and assumptions. In fact, this section of the report was done by a six year resident of the district who is an expert on the topic and it is noteworthy for readers interested in reviewing an in-depth study of pupil numbers. (Complete copies are available from the district at a cost of $5.00 each.)

Address: Mamaroneck Union Free School
740 W. Boston Post Road
Mamaroneck, New York 10543
Otty R. Norwood, Supt.
17. **Plainview – Old Bethpage**

A collection of miscellaneous public documents outlining the approach used to involve the entire community in the future of public schools in this district -- the School Board used the services of a major commercial survey organization to help plan for the future. Among items included in the exhibit are: Community survey results; proposed plan for future district organization; newspaper clippings on related board actions.

Address: Plainview – Old Bethpage Central Schools
Adminstration Bldg. Jamaica Avenue
Plainview, New York 11803
Robert F. Savitt, Supt.

18. **Rome Public School System**

"The Report of the 1975-76 Enrollment and Facilities Study Committee" submitted to board, M’v 19, 1976. This 276-page report was prepared for the Board of Education upon their request by a nineteen member committee. In late 1975 the President of the Board of Education, acting in concert with the school system staff and the school board, appointed nineteen people to study the situation and recommend a plan of action. A minority report (six pages) was also filed with the board.

The table of contents reflects some of the following topics: Statement of the Problem; Objectives; Educational Considerations; Recommendations; Implementation; Economic Rationale and Conclusions.

The committee dealt with these types of questions posed by the board -(1) Can the board close any schools for the 1976-77 school year?; (2) What should the board do with the children in the schools closed?; (3) What should be the disposition of the buildings closed?; (4) Are there any necessary facilities which the School District currently lacks for which provisions should be made?

Address: Rome Public School System
Board of Education
108 East Garden Street
Rome, New York 13440
Mr. Edward A. Pascucci, Supt. of Schools

19. **Syosset Central School District**


In 1973-74 the board appointed a representative citizens advisory committee to study program and facilities the board implemented most of the recommendations of the committee. The board charged the Superintendent with analyzing this report and updating pupil projections for the next five years through 1981. This latest report on "consolidation" reflects
An in-depth study aimed at developing long-range plans to maintain quality education and deal with declining enrollment and increasing costs was initiated in the Spring of 1975 by the White Plains Board of Education. The initial phase was a demographic/school organization study conducted by New York University in association with J. Michael Divney, a White Plains professional engineer. A 77-member citizen task force, appointed in the Fall of 1975, spend the winter examining data and alternative school consolidation suggestions, developed by the consultants and the community. In June 1976 it presented to the Board its own recommendations for district reorganization.

The Board of Education had specified both to the consultants and the task force that the current educational program should be maintained or enhanced, and that the district's racial balance should not be impaired. The task force emphasized, among other convictions, that "the existing need for consolidation represents not an insolvable problem but, rather an opportunity...to strengthen even further the good program that we already have." The task force report deals with reasons for reorganization, its proposed reorganization plan, proposals for elementary consolidation, a middle school, and a four-year high school, an implementation timetable, financial savings, and other considerations.

Address: White Plains City School District
5 Homeside Lane
White Plains, NY 10605
Arthur P. Antin, Supt.
APPENDIX E

DISTRICT REPORT: FISCAL CHECKLIST

APPENDIX TO:

ENROLLMENT TRENDS
PROGRAMS FOR THE FUTURE

A PLANNING GUIDE FOR DISTRICTS
WITH DECLINING ENROLLMENTS

THE UNIVERSITY OF THE STATE OF NEW YORK
THE STATE EDUCATION DEPARTMENT
OFFICE OF RESEARCH, PLANNING, AND EVALUATION
ALBANY, NEW YORK 12234

AUGUST 1976
Decisions on school district expenditures must be based on sound judgement and the best information available. Do you have the information you need to plan for your district? Who are you serving? Many districts are experiencing some change in the pattern of student enrollment. What will such changes mean in terms of instructional staff needs, facility planning, or operating aid revenues? What are you spending in specific cost areas? Does your information help you to know and consciously decide which program areas must be given priority, which to cut first and how far, which to expand first and how far? Where are your resources for the future? How do changing enrollment and attendance patterns affect your state aid prospects?

Using the attached worksheets, you can pull together information that you need for decision-making. Each section of the worksheets begins with your district’s recent history and then asks you to calculate percent of change and to make projections for the future.

Your secretary or assistant can probably fill in the information for the past four years and for the current year. You can then examine the past year’s data, plot trends on the graphs provided, and make projections for the next three years to develop a picture of the future of your school district. Having an idea of what to expect for the future will help you address the decisions being made today.

A primary reason for monitoring trends of expenditures in your district is to see how they fit with district goals and objectives. If the financial situation improves, which expenditure areas should be increased first? If the financial situation becomes worse, which expenditures should be maintained and which should be cut to adjust to current reality? Decisions concerning school district expenditures are of such importance for the organization as a whole — over and above their impact upon individual activities — that they must not be made without careful consideration of each item in turn and all of them jointly. It is essential that the chief school officer and board members have the information on which to base their decisions.
WHO IS THE DISTRICT SERVING?

A look at enrollment trends:

Most districts are experiencing some changes in the pattern of student flow through their system. Not only is the entering kindergarten class smaller, but there are also more options for high school students. Many no longer follow a standard four-year course of study. What proportion of your seniors leave after three years, attend BOCES classes, or are off campus part of the day to work or to take college classes?

Plot your enrollment figures for the past few years on the chart provided for your use on the next page. Plot these figures (on the graph provided) in order to display the trends.

FOLLOW-UP STEPS:

1) Plot your entering kindergarten class trends and projections on the charts and graphs provided on page 3.

2) Plot your senior class trends on the chart and graph on page 3. You may want to show percentage of senior class in BOCES, workstudy, or college classes and to display this information in a bar graph.

3) Examination of your enrollment trends by grade levels (k,1,2,...) will reveal the trends in your district. The chart and graphs on the next page are for your use. If a pattern of decline emerges, a grade by grade look at cohort survival rates might be useful. Division of Facilities Planning (SED) can provide a cohort survival method of projecting enrollments.

<table>
<thead>
<tr>
<th>Enrollment</th>
<th>1971-72</th>
<th>1972-73</th>
<th>%</th>
<th>1973-74</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>K-6</td>
<td>2627</td>
<td>2450</td>
<td>-6.4</td>
<td>2278</td>
<td>-70</td>
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<tr>
<td>7-12</td>
<td>2694</td>
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<td>5321</td>
<td>5147</td>
<td>-3.2</td>
<td>4928</td>
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</table>

Small City Enrollment
Step 1. A. On the chart above enter your enrollment figures as reported in October for the annual BEDS report.

B. Calculate the percent of change in enrollment from year to year.

Step 2. A. Select an appropriate scale for the side of the graphs below. If your district is small, use hundreds, if large, use thousands.

B. Plot the enrollment for K-6 and 7-12 on the first graph. Plot total enrollment on the second graph.
STUDENT ENROLLMENT

<table>
<thead>
<tr>
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<td>Seniors</td>
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</tbody>
</table>


Plot your senior class enrollment on the graph below.

Considerations:

What percentage of seniors graduate early? Is off-campus part of the day -- to work, to BOCES, or to college courses?
Examine the patterns in your district by filling in the information on the chart on the following page. Are your staff/pupil ratios being maintained at stable levels or is a richer staffing pattern emerging as enrollments decline? There is usually a time lag between enrollment loss and staff reduction, but the pattern needs to be monitored.

FOLLOW-UP STEPS:

Examine the regional staff per 1000 pupils information available from BEDS data. Compare your own district with regional and/or state averages.
## STAFF/PUPIL RATIOS

### Step 1

A. Enter the enrollment for the appropriate year from page 1 on the chart above.

B. Enter the number of instructional staff in your district for each category: K-6, 7-12, and the total. Use F.T.E.'s (Full Time Equivalents) including BOCES teachers who serve your students. Report F.T.E.'s as a decimal, i.e., 1/2 time = .5 F.T.E.

C. To calculate the number of pupils per teacher, divide the enrollment in each category by the number of instructional staff in that category for each year.

D. Calculate the percent of change for each category.

### Step 2

#### Showing Staff Ratio Trends

A. Select a scale for the side of the graph that includes your highest and lowest values.

B. Plot the staff ratios on the graph.

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<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>K-6 Instr. Staff</td>
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<td></td>
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<td>7-12 Enrollment</td>
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<tr>
<td>Total Instr. Staff</td>
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<td>Total Staff Ratio</td>
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</table>

STAFF/PUPIL RATIOS

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</thead>
<tbody>
<tr>
<td>Ratio</td>
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</tbody>
</table>
WHAT DOES YOUR DISTRICT SPEND FOR INSTRUCTIONAL PROGRAMS?

Approved Operating Expenditures offer an established standard cost comparison for general programs. During the past few years inflationary pressures have increased prices of goods and services that school purchase in order to provide programs. Naturally instructional costs have increased; however, these costs may show a dramatic increase on a per pupil basis if your enrollments have declined concurrently as prices rose.

The chart on the next page is for your use as you examine the trends in Approved Operating Expenditures over the past few years and make projections for the next few years.

FOLLOW-UP STEPS:

How does your rate of increase compare with state or regional average increase?

Step 1. Plot the line for state average AOE/14APA along with your own on the first graph on page 7.

For a better comparison, obtain average AOE/14APA for your region or county. Enter the information on the chart, plot on the first graph on page 7.

Step 2. Compare your percentage of increase with state average. Show your percentage of increase by adding your bars to the second graph on page 7.

WHERE ARE YOUR COSTS IN SPECIFIC AREAS?

Staff Costs

A primary component of any district's expenditures is for personnel. What are you spending for your total staff for instructional staff?

Examine your staff expenditures using the chart and graph provided on page 8.

FOLLOW-UP STEPS:

1) Break payroll costs down into finer categories, i.e., by contract category: non-instructional, transportation, food service, etc., or by particular field: pupil personnel services, elementary, etc.

2) A more experienced staff is more expensive. What percent of your staff is at each salary step and how does this affect your costs?
Step 1.  A. Enter the chart above your costs for Approved Operating Expenses (AOE) from the SA-122.
B. Enter WADA for each year from the SA-129.
C. Calculate AOE/WADA by dividing WADA into the total AOE for each year.
D. Calculate the percent of change from year to year for the total and per WADA.

Step 2.  A. Establish an appropriate scale on the side of the first graph allowing for your highest and lowest numbers.
B. Plot your AOE/WADA on the graph.

Percent Change Between School Years

AOE/WADA

<table>
<thead>
<tr>
<th>State Average</th>
<th>Local District</th>
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<tbody>
<tr>
<td>20</td>
<td>15</td>
</tr>
<tr>
<td>10</td>
<td>5</td>
</tr>
<tr>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>
### Step 1.

A. Enter WADA from page 7.

B. On the chart above, enter the cost of the total staff for each year. Use records of your total payroll.

C. Determine the cost of Instructional Staff and enter on the chart. (Instructional Staff are all those covered by the Teacher Contract, plus building administrators and supervisors.)

D. Divide Total Staff Costs and Instructional Staff Costs for each year by WADA.

E. Calculate the percent of change for each category.

### Step 2.

A. Select an appropriate scale for the side of the graph, allowing for highest and lowest number.

B. Plot the cost of Total Staff/WADA on the graph.

C. Plot the cost of Instructional Staff/WADA on the second graph.
Other Cost Areas

Monitoring the trends of other cost areas is also important. Selected cost areas are listed on the chart on page 11; you may add others which seem important to you. Examine patterns of increase after entering the information on the chart.

Which areas are costing more, how much more?

Costs have risen generally; however, some cost areas have increased faster or slower than the general trend. You may find that on a per pupil basis some costs have increased far more rapidly than the general trend.

Use the grid on page 11 to compare selected cost areas by preparing an Index of Increases between 1971-72 and 1975-76 as compared to the Total General Fund Expenditure (TGFE).

### SMALL CITY COST INDEX

<table>
<thead>
<tr>
<th>Expenditure Category</th>
<th>Dollar Increase</th>
<th>Index</th>
<th>Per Pupil Increase</th>
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</thead>
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<td>Total General Fund Increase</td>
<td>1.00</td>
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<td>2.79</td>
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<td>Guidance, Psychological</td>
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<td>2.40</td>
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<td>Interscholastic Athletics</td>
<td>2.23</td>
<td>2.15</td>
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<tr>
<td>Health Services</td>
<td>1.95</td>
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<td>Board of Education</td>
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<td>Teaching</td>
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<td>.85</td>
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<td>Transportation</td>
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<td>Principals/Supervision</td>
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<td>.62</td>
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<td>Operation and Maintenance</td>
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<td>.03</td>
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<td>Teaching Equipment, Supplies &amp; Materials</td>
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### COST AREAS

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<td>Fringe Benefits</td>
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</table>

**Step 1.**

A. On the chart above enter Total General Fund Expenditures (TGFTE) (9900.0).

B. Enter WADA values on chart.

C. Enter District costs for operations and maintenance ST-3 (2620.0), Fringe Benefits ST-3 (9096.0), and Ancillary Services ST-3.

D. Divide each total by that year's WADA and enter on the chart.

E. Calculate the percent change from year to year for total and per WADA.
Step 1. 
A. Subtract the 1971-72 TGFE from the 1975-76 TGFE. 
Divide the difference by the 1971-72 TGFE.

\[
\text{Index Base} = \frac{(1975-76 \text{ TGFE}) - (1971-72 \text{ TGFE})}{1971-72 \text{ TGFE}}
\]

B. Index the Operations and Maintenance increase.

1) 
\[
\frac{(1975-76 \text{ O+M}) - (1971-72 \text{ O+M})}{(1971-72 \text{ O+M})} = \text{Index Base (Step A)}
\]

2) O+M Difference = 71-72 O+M \times \text{Index Base (Step A)}

Index Increase for O+M.

C. Follow the two steps above for each category on the chart and enter them on the index grid. Do per-pupil cost increase comparisons the same way.
WHERE ARE THE RESOURCES TO COME FROM?

State aid, a major factor in many districts, is based on number of attending students and the full value of real property wealth per pupil. Changes in enrollment or attendance patterns affect both of these factors. In addition, rapidly dropping equalization rates have increased full valuation at a pace never before experienced by school districts. How do these changes affect your district?

Use the chart and graph on the next page to examine past and future trends in the factors which influence aid in your district.

FOLLOW-UP STEPS:

How does growth in assessed and full value compare? Plot the rate of increase on the graph on page 13a.

Check for other trends. Make a graph to show trends in change of RWADA for aid ratio in order to display the pattern of change.

PATTERNS OF OPERATING AID

Use the chart on page 14 to examine formula operating aids from previous years and for the next few years. Plot the trends in aid per pupil unit on the graph on that page which also shows the trend of aid per pupil unit in the average wealth district state.

-12-
WHERE ARE THE RESOURCES?

Step 1. A. On the chart above enter District Assessed Valuation since 1971-72.

B. Enter your Full Value for aid-for example for the 1975-76 aid year use 1973 Full Valuations from SA-124.

C. Enter resident pupils in weighted average daily attendance, and Full Value/RWADA for appropriate aid years-for example, 1973 full value divided by 1973-74 RWADA was used on 1975-76 aid year.

D. Calculate percent of change from year to year for all entries.

Step 2. Trends in Assessed and Full Value

A. Select an appropriate scale to show percentage difference between assessed and full value for the aid of the graph on page 13.

B. Plot the percent of change in assessed valuation and full valuation. (see sample graph on page 13a.)
PERCENT CHANGE: ASSESSED VS. FULL VALUE
Sample District

--- Full  --- Assessed

--- Chart ---
<table>
<thead>
<tr>
<th>Year</th>
<th>State Average</th>
<th>Aid Per Pupil Unit</th>
<th>TAPU (SA-124)</th>
<th>Formula Aid</th>
<th>Per Pupil Save</th>
<th>Dollar $\text{Save}$</th>
<th>Harmless</th>
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<td>483.00</td>
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**Operating Aid**

**Step 1.**
A. On the chart above calculate and enter aid per pupil unit. ($1200-.015 \times \text{TV/MAAD}, or use flat grant calculation on SA-12.

B. Enter TAPU (SA-124) and formula aid (aid per pupil unit \times \text{TAPU}).

C. Calculate the percent of change for each category.

**Step 2.**
A. Plot the line to show your district aid per pupil unit on the graph.

How does your loss compare to the state average?
Sample District Comparison

STATE AID AND PROPERTY TAXATION APPLIED TO YEARLY BUDGETS


EXAMINING REVENUE PATTERNS

Summarize the total revenues of the school district by adding to the State Aid (past figures for or projections of operating, transportation, building, BOCES, textbooks, etc.) and total local revenues (past figures for or projections of revenues derived from local tax effort including property tax, sales tax, and miscellaneous revenues).

Step 1. A. On the chart on page 16, enter your district's operating aid. (Operating aid could include growth aid, be Budget Aid, or a type of Save Harmless.) Also enter building, transportation, and any other aid (high tax rate, reorganization incentive that your district receives).

B. Enter the Total General Fund Expenditures (TGFE) and percentage change from page 10.

C. Enter the total amount of aid from all State sources (SA-124 Total plus BOCES Aid).

D. Calculate what percentage State aid is of TGFE (State Aid/TGFE x 100).

E. Determine your local tax effort (add local revenues, property tax, sales tax, etc.).

F. Calculate what percentage local tax effort is of TGFE (Local tax effort/TGFE x 100).

(Note: Local tax effort + State Aid will not equal 100 percent of TGFE.)
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Showing State Aid and Local Tax Effort as percentage of TGFE.

A. Select appropriate percentages for the side of the graph.

B. Plot the percentage of State Aid/TGFE for each year.

C. Plot the percentage of local tax effort/TGFE for each year.