

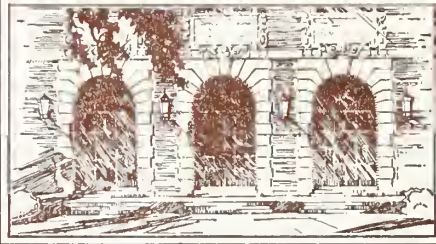
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STATE-REGIONAL LAND USE PLANNING STUDIES

Volume Three -- State Level Policy Considerations:
Dealing with Regional Diversity

Overview of Task Force Program

Introduction and Summary

Mitchell Burack

Part I -- Regional Typologies

David Behr

Part II -- The Minimum Effort Model

Joanne Malinowski

Part III -- Capabilities and the State

Assistance Program

Mitchell Burack

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OVERVIEW OF THE TASK FORCE PROGRAM

State--Regional Land Use Planning

During the fall semester 1975 a Task Force of ten undergraduate and graduate students of Urban and Regional Planning conducted a series of exploratory studies focused on state and regional land use planning. This Task Force was under the general guidance of Professor Louis Wetmore and Teaching Assistant Charles Cumby.

This exploratory workshop developed several studies which are published in three volumes. The workshop also defined a set of focused studies for the spring semester at both the state and regional levels. The set of reports will provide important background for the spring workshop.

Without these materials and without the conceptual framework devised by the fall workshop the work program for the spring workshop could not have been formulated or carried out. The results of the spring workshop are expected to be relatively definitive procedures for the land use plan by the State of Illinois and for regional land use planning by the South Central Illinois Region.

The fall workshop had the cooperation and critical comment of Fred Walker, Director of the South Central Illinois Regional Planning and Development Commission; of Laird Starrick, Land Use Planner for the Department of Local Government Affairs; and Joseph Marinich, Executive Director of the Council of State Community Affairs Agencies.

On occasions during the fall semester the Task Force reviewed materials with Walker and Starrick. At a major review session on November 21st Walker, Starrick and Marinich gave essential guidance in formulating the spring workshop program.

The Three-Stage Work Program. The fall workshop was organized in three separate stages. At the end of each stage the work program for the next stage was formulated. At the end of the third stage the work program for the spring workshop was defined. In other words, each stage comprised a set of studies which explored the broad question of state and regional land use planning responsive to the HUD requirements that each state and each region have a completed land use plan and policies by August of 1977.

Stage I resulted in a set of reports on September 26th which analyzed the requirements for land use planning as a basis for policy decisions in housing, transportation, and water resource development. These are three of the nine areas of concern which HUD requires be considered in comprehensive land use planning.

Volume One incorporates several papers that deal with regional land use planning models and work program procedures. This volume was edited by Joanne Malinowski from papers by Michael Steele, Larry Debb, Yvonne Taylor, Joe Frank, Kathi Ingrish, David Behr and Luba Bozinovich. The graphics were prepared by David Behr.

Volume Two comprises several papers focused on urban development and resource conservation questions in Effingham County which is representative of the three-county South Central Illinois Region. This volume was edited by Kathi Ingrish and contains papers by Kathi Ingrish, Luba Bozinovich, Jeff Coleman and Larry Debb. The graphics were prepared by Jeff Coleman.

Volume Three comprises three papers which look at the variety of sub-state regional situations. Recognition of the range of metropolitan, urbanizing and rural regions is essential to a workable state/regional land use planning procedure. The volume was edited by Mitchell Burack from papers by David Behr, Joanne Malinowski and Mitchell Burack.

Volume Four comprises the work program for the spring semester. The initial document is the Decentralized Model for state/regional land use planning evolved from the November 21st seminar. This provides the broad conceptual framework for the state level and regional level sections of the spring study program.

The state level study program, and the regional level program of studies, are outlined. The final sections of this volume detail the internal operations of the workshop and schedule the seminars and two meetings for final presentations.

The content of this volume was edited by Michael Steele from materials developed by Steele, Charles Cumby and Louis Wetmore. These materials were reviewed by and adjusted as a result of constructive criticism from Laird Starrick and Fred Walker.

Reproduction and assembly of the final reports were directed by Charles Cumby and accomplished by Luba Bozinovich, Yvonne Taylor, and Larry Debb.

In each case appropriate models for planning were identified and analyzed as to the land use inputs required. In each case the substantive issues and the status of plans in the South Central Illinois Region were appraised.

Stage I provided an essential orientation for the Task Force. All participants became familiar with a variety of plan-making models and the significance of the HUD requirements. The field trip to the Regional Commission office in Salem gave insights into the character of the region and its cities.

Stage II. The second stage defined four next step study areas. The first two studies devised alternative models for regional land use planning. The third study devised a broad framework for relating state and regional land use planning. The fourth study area analyzed approaches to defining a regional land use planning work program.

During this second stage all of the studies were on a team basis and resulted in a series of conceptual frameworks.

Stage III. The third stage began at the end of October and continued through November. Individual studies were pursued by the ten members of the Task Force. Each study was aimed at analysis of a particular substantive or procedural question which had been identified in Stage II.

During the last two weeks of the semester these papers were organized in the form of an oral/graphic presentation. One presentation was directed to the South Central Illinois Regional Commission. Because of bad weather the report to the Commission was deferred but will be made in January.

Oral reports were prepared by Joe Frank for the papers in Volume Two; Larry Debb for the study on Water Supply Procedures; and by Joanne Malinowski for the content of Volume One.

The report to the Commission and a summary report to the professional advisers were presented at the meeting on November 21st. From that meeting and critique the spring workshop program was defined.

Subsequent to the meeting the Task Force defined three volumes of papers which were to be edited and organized for reproduction. These edited volumes comprise papers developed in the second and third stages.

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INTRODUCTION AND SUMMARY

This report represents the combined efforts of three undergraduates in UP 338--fall semester 1975. The individual studies which are included pertain to state level policy considerations in land use planning. The major concern is to address the issue of how the state should deal with regional diversity in establishing land use planning policy in Illinois. The first study, by Dave Behr, proposes a system of classification for regions consisting of metropolitan, urbanizing non-metropolitan, and rural non-metropolitan. The classifications are based on priorities and potentials as they relate to the major land use element objectives set forth by HUD. The possibility of developing specific land use plans based on regional typology is discussed and a specific model for urbanizing non-metropolitan regions is proposed.

The second study, by Joanne Malinowski, deals with policy guidelines concerning areawide planning agencies and how they might comply with the HUD objectives. Various aspects of the planning process are analyzed to generate questions on how the region might deal with each one. In terms of regional variations, two major directions of policy are dealt with. A "minimum effort" model is discussed and proposed. This model attempts to establish a set of minimum criteria which all regions could fulfill. It is postulated that agencies in rural regions and/or developing agencies, might find utility in this basic formulation. A modification of the minimum effort model leads to a more complex system which would conceivably be more conducive to a metropolitan or more established agency. It provides

additional flexibility to take into account regional variation.

The third study, by Mitchell Burack, deals with the question of varying capabilities among both local and regional agencies. Several sets of criteria for evaluating planning agencies are examined as well as a range of methodologies employed in other states for assisting planning agencies. In an investigation of the issues involved in an assistance program, these criteria and methodologies are discussed in terms of their implications for state level policy. Each of these represents a different degree of centralization of the state's role and a different priority for where assistance should be concentrated.

PART I

A DISCUSSION AND COMPARISON OF REGIONAL

TYOLOGIES: THE URBANIZING NON-

METROPOLITAN REGION

BY

DAVE BEHR

INTRODUCTION

In the making of comprehensive land use plans, two basic regional typologies have been identified by planning agencies and the Department of Housing and Urban Development:

- 1) Metropolitan
- 2) Non-metropolitan

Metropolitan regions have specific problems and potentials that can be represented by a common land use plan. In the non-metropolitan regions however, a wider range of variables creates a significantly different set of problems and potentials. The state of Illinois with its regional diversity, exemplifies the need for such classification in planning. For the purpose of dealing with this diversity, an additional breakdown of non-metropolitan regions is useful:

- A) Urbanizing
- B) Rural

THE URBANIZING REGION

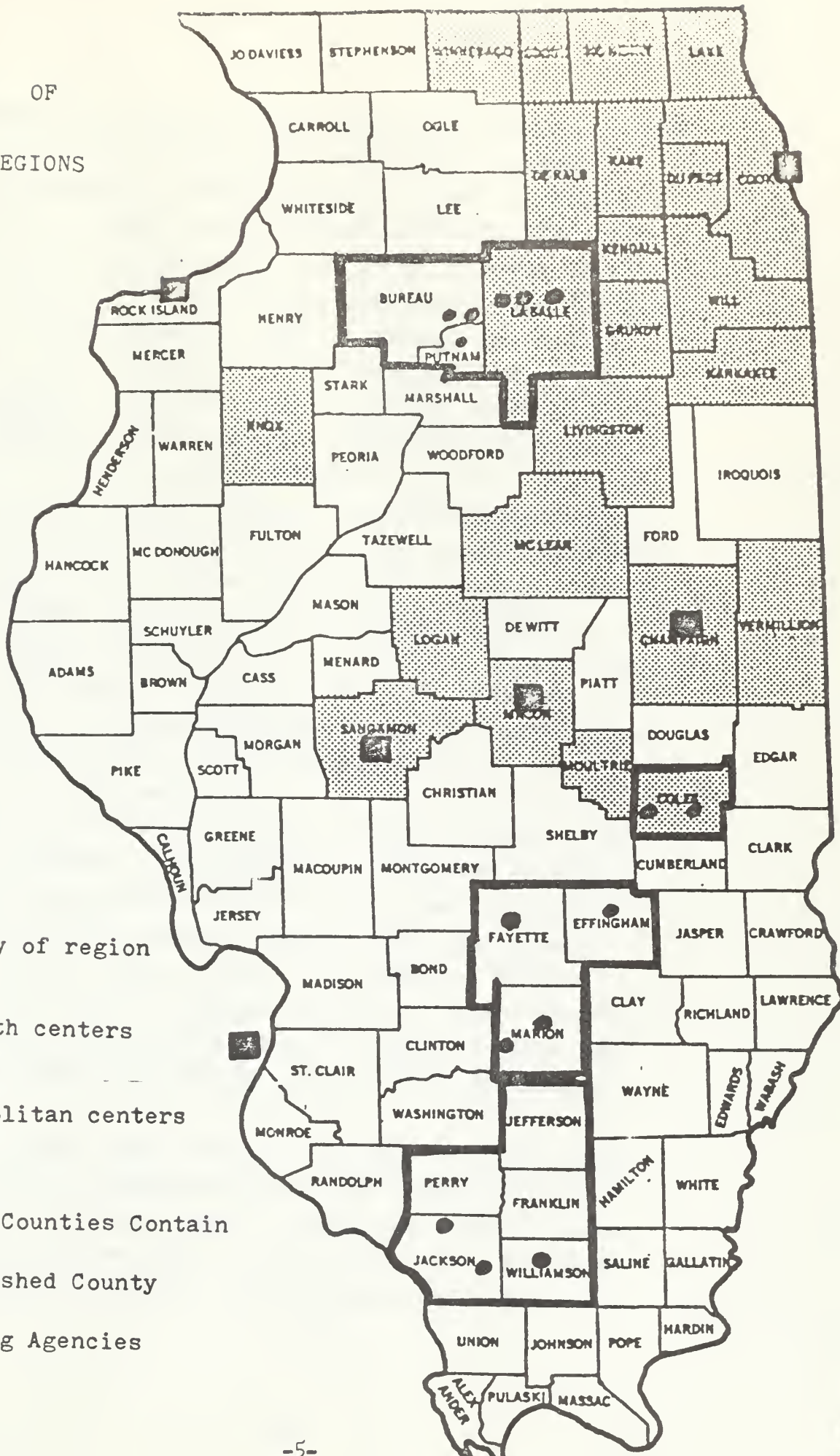
An urbanizing region can be defined as a non-metropolitan region that is experiencing substantial growth and development. The usual urbanizing region is situated near an existing major metropolitan region or between two (or several) of these areas. The urbanizing region will also contain a good transportation network consisting of interstate highways, U.S. routes, or both, which provide access to the nearby metropolitan region. These routes would also bring a large amount of business into the region. Cities of substantial size along these highways can easily channel this influx of business to develop into new growth centers which can enhance the overall economic development of the entire region. Growth centers occur when cities have such a strategic location, along with having major functions to

perform(such as a market, transportation hub, or county seat), and by providing a high enough level of community services to attract new residents. Several cities in Illinois fit this description. Peru, LaSalle, and Ottawa are all over 10,000 in population, lie along Interstate 80 and are situated between the metropolitan regions of Chicago and the Quad Cities. Because of the influences of the expressway and the Illinois River, LaSalle County is an example of an Urbanizing region. In the future this urbanizing region could expand to include nearby Bureau and Putnam Counties with the growth of Princeton, Spring Valley and Grandville. In southern Coles County, Interstate 57 and Illinois Route 16 provide good transportation for the growing cities of Charleston and Mattoon. This urbanizing area is near such metropolitan areas as: Champaign-Urbana, Decatur, Springfield and Indianapolis. In the Greater Egypt region the cities of Carbondale, Marion and Murphysburo are also located near major transportation routes and near the metropolitan areas of Evansville and St.Louis. In South Central Illinois the cities of Vandalia, Salem, Effingham and Centralia are all over 5,000 in population; two interstates(57 and 70) cross the region and the metropolitan areas of St.Louis, Chicago and Indianapolis are close enough to encourage substantial growth within the region.


To systematically examine the differences between metropolitan, urbanizing and rural regions two Overall Economic Development Plans were studied-- one from S.C.I.R. and one from the Southeast Illinois area, each being an example of urbanizing and rural regions respectively. Since HUD regulations focus on nine areas of concern, these elements were analyzed for each region. Specification #4 (coastal zone management) is omitted because of its insignificance in the non-metropolitan regions of Illinois. NIPC was used as a base to provide general facts about a metropolitan region.



EXAMPLES OF
URBANIZING REGIONS



KEY:

 Boundary of region

 Growth centers

 Metropolitan centers

Shaded Counties Contain

Established County

Planning Agencies

For each category of concern in the HUD regulations the level of problems and level of potentials was stated in terms of economic development, ie. development for growth and change.

In the chart on the following page, problems are shown to be more critical as the circle increases in size. Likewise the greater potential for the region under each specification is shown by a larger hexagon. When we compare the regions in this manner, one can see how the Urbanizing region compares to the other two regions. Air and Water Quality is more of a problem as an area becomes more urban; but while this concern is at a high level at NIPC it is on a much lower level at SCIR and Southeast Illinois. Under Transportation we see the same example of the metropolitan area experiencing more of a problem, but here the urbanizing region has transportation as a relatively high level of concern compared to the rural region. Environmental concern and Housing also show a steady increase of concern as an area urbanizes, while Agriculture shows the opposite effect. Economic Development and Waste Disposal problems show approximately the same level of concern in all three areas.

Potentials are also shown to be different between the three kinds of regions. Transportation is a good example since the urbanizing region shows a strong basis for growth, the metropolitan region shows a smaller basis for growth, and the rural region shows little or no tendency towards growth. A weaker basis for growth exists for Waste Disposal as an area becomes more urbanized and a stronger basis for Environmental Conservation and Housing as an area becomes more urbanized.

The chart shows that there are significant differences in the pattern of potentials and problems between the three regions studied. Although there is some similarity between the two non-metropolitan regions, the differences are very striking in certain respects. On the other hand, the sim-

PROBLEMS

and

POTENTIALS

	METRO- POLITAN REGION	URBAN- IZING REGION	RURAL REGION	METRO- POLITAN REGION	URBAN- IZING REGION	RURAL REGION
1. Air and Water Quality						
2. Waste Disposal						
3. Transportation						
5. Agricultural food and fiber production						
6. Open Space						
7. Environmental Conservation						
8. Economic Development						
9. Housing						

(The larger the circle, the greater the problem. The larger the hexagon, the stronger growth potential for that category.)

ilarities between the metropolitan and urbanizing region are at a low enough level to warrant a distinction between them. Judging from this it would seem that a separate land use plan for each region is a reasonable goal to pursue.

With separate plans, these problems could be dealt with in an efficient manner since it would be designed to respond to the individual needs of each type of region.

A LAND USE MODEL FOR AN URBANIZING REGION

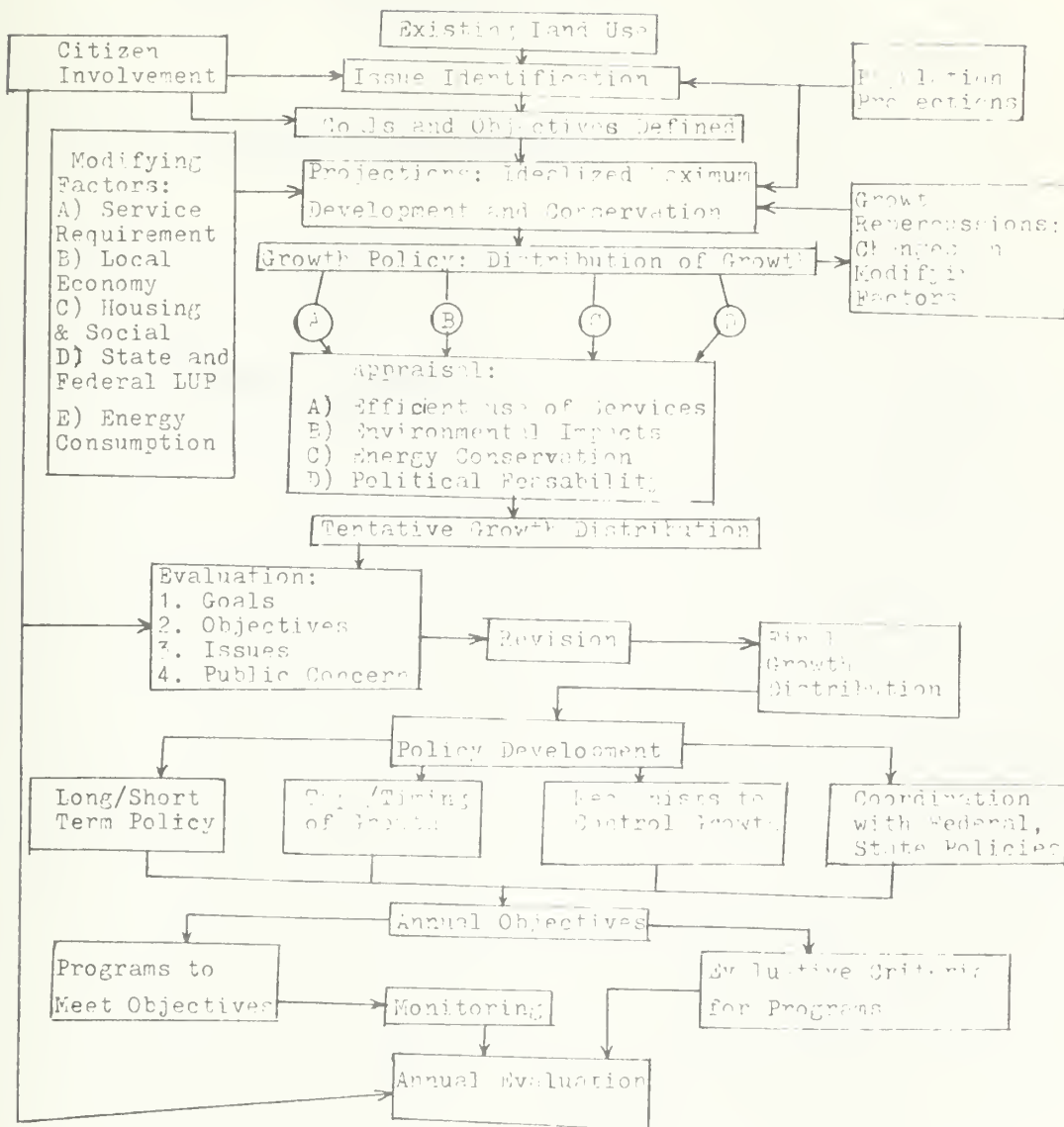
The question which I propose to consider now is, what type of land use model would be most suitable for an urbanizing region? The UP 338 workshop has already researched this subject and identified two models known as IA and IB. Model IA seems suited for a rural region in that it handles the HUD requirements well and that it contains citizen participation and involvement, which is necessary within less populated areas for maximum efficiency. Policy development is also well established. It is an easier plan for a rural region to follow and implement. As applied to an Urbanizing area, the model becomes too simplistic in several phases. The technical manipulation phase is not established enough for a growing region with a number of problems arising simultaneously. A system of modifications and checks are needed in the plan as well as additional evaluative criteria to determine the final growth distribution.

Model IB provides these phases as well as others that make it very applicable to Metropolitan regions. Seven modifying factors are listed which affect the initial projections. Model IB allows for different policies to be examined at once and tests alternatives between different ranges of ideas. The model, however, would probably prove to be too complex for an urbanizing region. The urbanizing region probably wouldn't have to concern itself as much with some of the seven areas of concern, such as Asthetic

and Cultural Values. The Policy Development phase would not need to be as complex as the one indicated in IB since the issues in an urbanizing region are not as complex as those in a metropolitan region. The pattern for non-compromise would also not be needed in the context of an urbanizing model.

In light of these issues it would be relevant to consider a compromise between IA and IB which would be specifically suited to the needs of an urbanizing region. The model on the following page which incorporates the most significant elements from both IA and IB is an example of how such a compromise might be implemented. A similar model is discussed in the following section as a minimum effort model for regions to be in compliance with the HUD regulations. The formulation is then taken a step further to provide flexibility for dealing with regional variations.

Proposed Land Use Planning Model for Urbanizing Regions



PART II

POLICY QUESTIONS REGARDING

A "MINIMUM EFFORT MODEL"

BY

JOANNE MALINOWSKI

INTRODUCTION

As the state agency responsible for administering 701 planning assistance funds, DLGA is required to develop procedures for insuring that grant applicants comply with HUD's requirements. It is the intent of this report to offer suggestions to DLGA in developing guidelines for areawide planning organizations on how to comply with HUD's requirements for a land use element.

The approach taken in this project involved two steps. First, an attempt was made to develop a land use planning model which illustrates the "minimum effort". The model is defined as the minimum effort for three reasons:

- 1) The HUD requirements are the first step in developing the model.
- 2) The logic of the planning process is used to determine relationships between the HUD elements.
- 3) The model includes only the minimum elements needed to be workable.

The second step taken in this approach was to recognize regional variations in defining the minimum effort model. These variations can be categorized as variations in capabilities of regional planning agencies and variations in priority issues regarding land use.

This approach indicates two basic policy questions for DLGA in establishing guidelines for regions on how to comply with HUD's requirements. In the process of defining the minimum effort model and accounting for regional variations, a whole series of policy questions arises. It is these questions of policy which are meant to assist DLGA in developing guidelines. Following a discussion of these questions is a description of the minimum effort model developed. The reader should keep in mind that the model is not being recommended as the minimum effort which would be expected of regions. It was developed only to

be illustrative of how this policy question could be resolved.

POLICY QUESTIONS

The two major policy questions addressed in this report are: What would be the minimum effort expected of a region in its land use planning program? How can variations between regions be taken into consideration in defining the minimum effort? Two general questions which need to be dealt with in the process of defining the minimum effort involve the current level of land use planning in the region. First, what basic professional level would be expected of regions just initiating land use planning? Secondly, how would DLGA evaluate the planning programs of regions already engaged in land use planning? What these policy questions point out is that different approaches may be needed for regions just beginning land use planning and those already involved in it. Defining the minimum effort model may be a satisfactory way of providing basic guidelines to regions that are just beginning land use planning; but a minimum effort model may not be a satisfactory approach for regions already engaged in land use planning. For this situation policies will be needed to evaluate planning programs. (See part III for a discussion of program evaluation.)

A number of policy questions arise which are applicable to both kinds of regions. These questions deal with specifics of the land use planning process. The aspects of the planning process which these policy questions address are:

- 1) data collection
- 2) issue identification
- 3) citizen participation
- 4) coordination with other levels of government
- 5) implementation
- 6) relation of the land use element to functional areas of planning

DATA COLLECTION What sources of information will be acceptable? For example, could the region rely on 1970 Census data or would it have to update this information? What amount of detail would be expected of the region in data gathering? What level of data collection would be expected? (Level relates to the number of issues dealt with in the planning process.) For example, would the region be expected to do extensive data collection as the first step in land use planning? An alternative approach would be to collect the land use and population data necessary for identifying key issues in land use. After reaching agreement on issues and goals and objectives the region would go back and collect any additional information it needs about these issues.

ISSUE IDENTIFICATION These policy questions relate back to those on data collection. How many issues or categories of land use concerns would the region be expected to consider? Would it be expected to address all categories of land use concern (such as water, transportation, development, etc.)? Rather than address all categories or issues, the region might concentrate only on the two or three issues of highest priority. What categories of issues would be required? Housing might be one category since HUD also requires a housing element by August of 1977.

CITIZEN PARTICIPATION At what stages of the planning process would the region be expected to include citizen participation? Policy would be needed concerning information distribution; In what form is the information and how effective is it? In addition, policies on citizen participation should address the question of where and when meetings are held.

COORDINATION WITH OTHER LEVELS OF GOVERNMENT How are the regions expected to coordinate their land use policies

with each other and with the state? What are the exact procedures that would be followed for coordination? Would coordination be an on-going process or would it take place only at isolated points in the planning process? How would conflicts be resolved?

IMPLEMENTATION What role should the state play in helping regions implement their programs? How could the state improve the capabilities of regions in implementing programs? How could the regions be used by the state to help implement state programs?

RELATION TO FUNCTIONAL AREAS OF PLANNING How could the region be expected to make the land use element compatible with the housing element? How would it be expected to relate the land use element to other existing plans and studies? For example, metropolitan regions are required by DOT to have comprehensive transportation and land use plans to receive road improvement funds. Non-metropolitan agencies are required by EDA to complete an Overall Economic Development Program to be designated an Economic Development District and to qualify for federal funds. How would these metropolitan and non-metropolitan regions be expected to utilize these plans in their preparation of land use elements?

* * * *

THE MINIMUM EFFORT MODEL

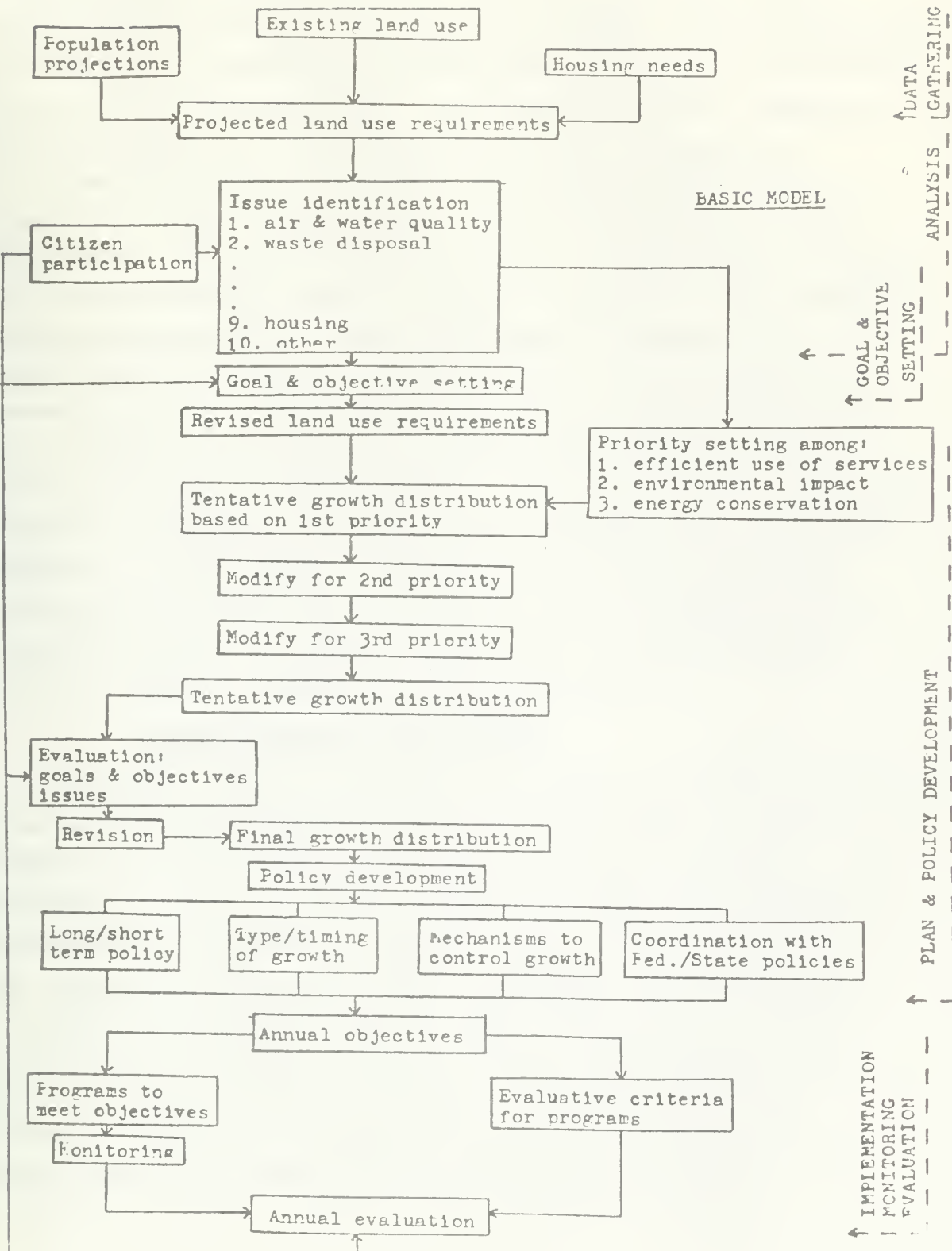
The policy questions just discussed arose through developing a land use planning model which illustrates a minimum effort. As stated in the introduction, the HUD regulations are the first step toward development of the model. The HUD requirements for a land use element include goals and objectives, programs, categories of land use concerns, priorities for action, and policies on growth.

A graphic representation of the model is presented on the following page. HUD states that the land use element must specify broad goals and annual objectives (which are measurable wherever possible). The land use element must include programs to accomplish these objectives and criteria for evaluating programs. The region must have policies which include the following categories of land use concerns:

- 1) air and water quality
- 2) waste disposal
- 3) transportation
- 4) protection of coastal areas
- 5) open space
- 6) agricultural food and fiber production
- 7) environmental conservation
- 8) development
- 9) housing

Next, the region is to consider land use problems which it determines to be priorities for action. However, setting of priorities must include consideration of: existing land use, projected land use requirements, housing needs, services needs, environmental impact, distribution of growth, and conservation of energy. Finally, the region must include policies on growth in its land use element. HUD requires long and short term policies on where growth should and should not take place. Another requirement is policy on type, intensity and timing of growth. The region must have criteria and implementing procedures for guiding decisions on growth. The last policy required is that of coordinating local, areawide, and state land use planning.

The minimum effort model developed in this paper begins with these HUD requirements. Certain relationships between these elements are implicit in the land use planning process. For example, goal and objective setting would be expected to precede policy development. Other relationships between HUD elements are not as easy to determine. For example, no explicit relationship is stated by HUD regarding four of the considerations for selecting priorities for action: service needs, environmental impact, distribution of growth, and conservation of energy. This problem is resolved in



the model by determining a distribution of growth based on the other three factors. In this model, the region is to set priorities among the three impacts on growth (efficient use of services, environmental impact, and conservation of energy). A tentative distribution of growth is developed based on the first priority. The distribution is then modified by the second and third priorities in sequence.

The HUD elements and their relationships are supplemented by other elements considered necessary for a minimum model. By definition, the minimum effort model includes only those elements needed to make it workable. For example, population projections were considered a necessity for predicting future land use requirements. These projections however, are not explicitly required by the HUD regulations. Also lacking in the land use element requirements is the mention of citizen participation. This input to the planning process is discussed in the HUD requirements but is not made explicit for the land use element. In this minimum model citizen participation is included at various stages of the planning process: analysis, goal and objective setting, plan and policy development, and evaluation.

A MODIFICATION OF THE MODEL

As stated earlier, the minimum effort model was derived from the HUD requirements. It was supplemented by other elements of the planning process which were considered necessary to make the model workable. When relationships between the HUD elements were not explicit, the logic of the planning process was used to determine relationships. An example mentioned earlier is the relationship between distribution of growth, service needs, environmental impact, and conservation of energy. The problem was resolved by having a distribution of growth determined by sequentially considering the other three variables.

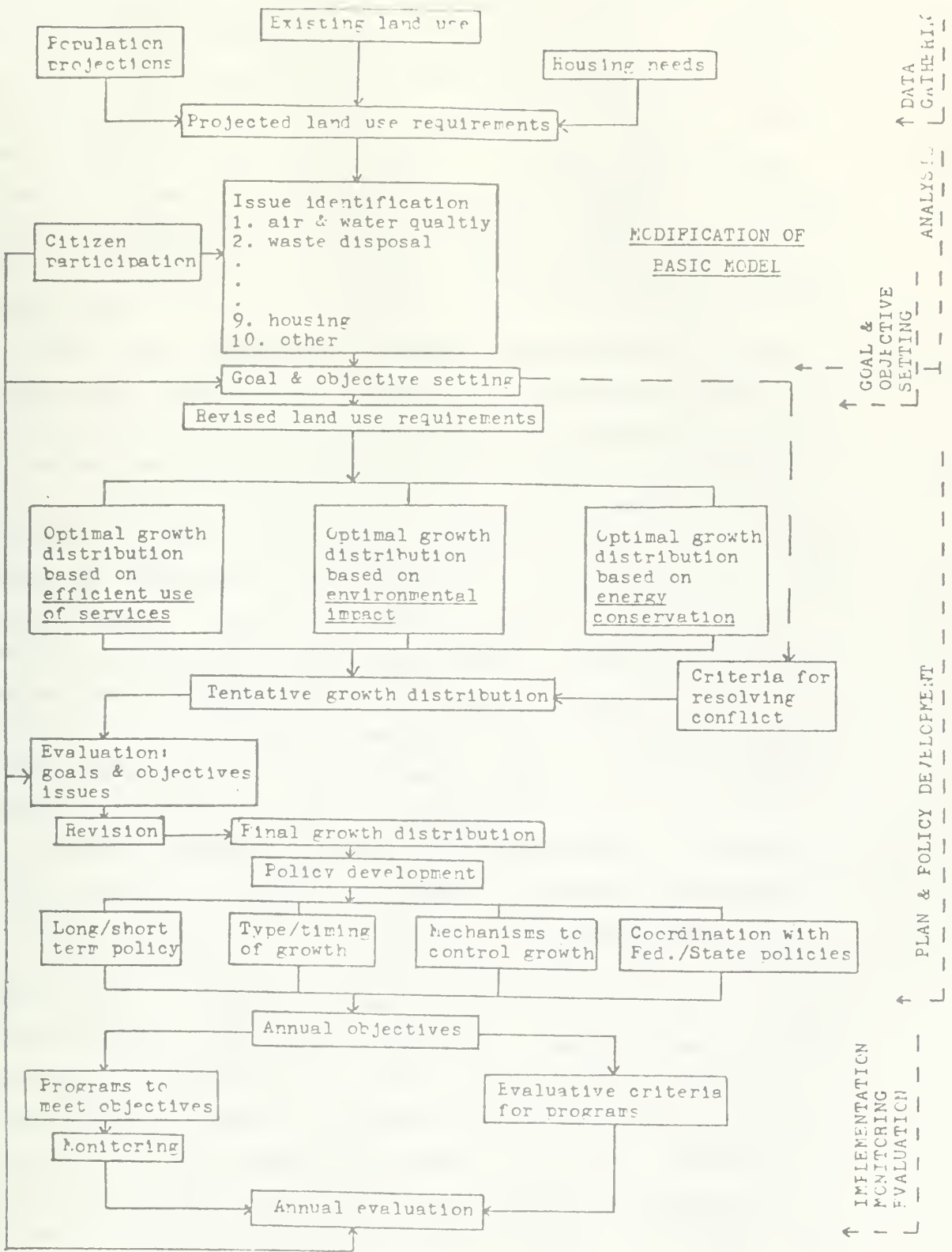
The modification of this model involved changing the sequential consideration of the three impacts on growth distribution. As an alternative, this model involves developing an optimal growth distribution for each of the three impacts. These three distributions are then merged to achieve a single growth distribution. (A flow chart appears on the following page.) In order to merge these distributions, criteria for resolving conflict must be previously set forth. The growth distribution is evaluated and revised in the same way as the basic model. The only steps being modified are those related to the distribution of growth.

The primary difference between the sequential approach to distributing growth and this modified approach is that the latter allows a wider range of choices. In the sequential approach of the basic model, priorities are set among the three impacts on growth and a tentative growth distribution is developed based on the first priority. In the modified model, each of the three impacts is given equal consideration. Although this greatly increases decision making flexibility it is also more time consuming.

APPLICABILITY TO A TYPOLOGY OF REGIONS

The two models illustrate how regional variations can be dealt with. As mentioned earlier, variations among regions can be divided into two types: capabilities and priority issues. Identifying the differences between the models represents a first attempt at addressing the policy question of how to deal with regional variations. Second, regional variations are recognized within both models since they incorporate a "building block" approach.

As stated earlier, the primary difference between the basic model and the modified model is the availability of options. Since the basic model allows fewer choices it may be more suited to a rural region than a metropolitan or "urbanizing" region. (The term "urbanizing" is used to



refer to regions which are primarily agricultural but are experiencing sizable population growth. See part I for elaboration on regional typology definitions...) Limiting the number of choices by using the basic model would not be as restrictive for a rural region as it would be for a metropolitan or urbanizing region. In the latter types of region, growth has a more significant impact. It would be more advantageous to use the modified model in these types of regions since it allows for consideration of more alternatives.

The other differences between these models are the professional level of the model and the time required to complete it. As the less time consuming alternative, the basic model would be appropriate for developing agencies such as the one in the South Central Region which was established in 1972. Although this region would fit the definition of urbanizing, it would not be expected to use the modified model. Since this model is more complex, only metropolitan and more well established urbanizing regional agencies could reasonably be expected to complete it. A well-staffed metropolitan agency (like Champaign County) or urbanizing region (like Greater Egypt) would be able to complete this kind of model by August of 1977.

Besides recognizing regional differences by comparing the two models, variations in capabilities are accounted for within each of the two models. A building block approach was suggested in a report by the HUD staff (no author or date given) entitled "Draft Discussion Papers": Comprehensive Planning Assistance Program". The approach recognizes that all regions will not be able to fully address all ten areas of land use issues and still be able to complete the land use element by August of 1977. Instead, a region could select the two or three areas of highest priority and complete the model based on these. One area which

would probably be included in the first block is housing, since HUD also requires a housing element by August of 1977. After this time, the region would begin a second building block (two or three areas of next highest priority).

SUMMARY

The approach taken in this report addressed two main policy questions. First, what would be the minimum effort expected of a region in its land use element? Secondly, how can variations among regions be recognized by the state? Two models were developed to illustrate how these questions could be dealt with. The models were also useful in generating a series of other policy questions for DLGA to consider. These relate to specific aspects of the land use planning process such as data collection and citizen participation.

To illustrate how the first policy question could be resolved, a minimum effort model was developed. It was based on the HUD requirements. The logic of the planning process was used to determine relationships between these elements. The HUD requirements are supplemented by other elements considered necessary to make the model workable. A modification of the basic model was introduced to recognize variations among regions in capabilities. Inherent in both models is a building block approach to recognize variations in both capabilities and priority issues.

It has been the intent of this author to raise a number of policy questions for DLGA to consider concerning how regions might meet the HUD requirements for a land use element. These questions may serve as a basis for development of regional guidelines and an indication of directions to be taken in further study on this subject.

Another aspect to consider, which relates to regional compliance with the HUD requirements, is assistance by the state. Even with a "building block" approach some regions may experience an inability to fulfill the HUD requirements. In addition, many agencies may be generally unable to carry on an efficient planning program for a number of reasons which will be examined in the next section. The following study discusses criteria for evaluating planning agencies and their programs, and looks at a range of methodologies for implementing a state assistance program.

PART III

PLANNING AGENCY CAPABILITIES

AND THE STATE ASSISTANCE PROGRAM

BY

Mitchell Burack

GENERAL INTRODUCTION

Part III is an attempt to outline the issues and general parameters involved in the implementation of a state assistance program. In light of DLGA's concern with achieving vertical coordination in state land use planning, it is relevant to relate the factors involved in an assistance program to vertical coordination and to establish a range of criteria for considering specific programs which the state could undertake. An initial assumption made, is that the time frame for consideration of programs is five to ten years.

This report is the first part of a two phase study on planning agency capabilities and state assistance programs. It is intended to lay the groundwork for future study by examining the broad range of issues which need to be considered for the implementation of a state assistance program. The second phase of the study will then address itself to specific program alternatives which DLGA might consider for the state of Illinois.

INTRODUCTION OF THE FRAMEWORK

Looking at the overall framework of a state assistance program one can conceptualize two basic approaches. These can be thought of as representing the extremes on a continuum relating to state policy on assistance to local and regional planning agencies. The first approach is oriented toward a centralized administrative structure-- a pyramid with the state at the top. Inherent in such an approach would be a strong emphasis on assistance to areawide vs. local agencies, and a consolidation of the 701 funding program in order to increase efficiency in its administration at the state level. The second approach tends toward a more flexible policy regarding assistance to local agencies. It involves evaluation of the capabilities and needs of both

local and regional agencies. This evaluation is aimed at a formulation of state policies and priorities for an assistance program which would result in an optimal allocation of planning resources to agencies in the state.

The utility of the overall framework is three-fold:

- 1) Identifying the two basic approaches as extremes on a continuum facilitates the definition of relationships between the capabilities issue and assistance program priorities.
- 2) To the extent to which different types of regions are more conducive to one formulation as opposed to the other, a general direction can be identified for dealing with specific types of regions.
- 3) Some of the formats identified which illustrate to an extent, the gradient referred to earlier, relate to specific programs in other states. These formulations can provide a basis for further study; if analyzed in more detail and compared to programs in states more like Illinois, they may be suggestive of models to be considered by DLGA.

* * * *

Just what is meant by a "state assistance program" and what are the implications of trying to implement such a program statewide? As pointed out in parts I and II, a great diversity exists within the state of Illinois in terms of planning priorities. This diversity is also manifested as differential levels of success in dealing with these priorities. In many cases limited financial resources stifle the planning effort of local as well as regional agencies. Insufficient staffing and data gathering capability may be symptoms of this fundamental problem, or may be a result of

inefficient budgeting on the part of the agency. For some local agencies these types of deficiencies are being made up for by the assistance of an areawide agency. If this in turn weakens the regional agency's ability to do "regional planning", perhaps this is where state assistance would have optimal utility. One question of policy for DLGA then becomes, how to administer the dissemination of federal funds so that optimal allocation of financial resources for planning results. One problem stems from the burden a non-urban agency may have in meeting the administrative requirements placed on it as prerequisites for funding. Such an agency may end up devoting an inordinate percentage of its resources to preparing plans and setting up committees which are far beyond the scope of its needs and real capabilities. Subsequently, these plans may never get serious attention after preparation; yet the agency may appear to have an adequate planning program. Agencies which are unable to meet these prerequisites at all will of course not be competitive with more urban regions in applying for federal funds, despite an urgent need for them.

A conflict to consider is the need to process the large numbers of applications in an efficient manner, without reducing the state's review function to that of paperwork. The two extreme approaches as previously mentioned, indicate different methodologies and directions for state policy. The highly centralized approach might imply an emphasis on dealing with areawide agencies exclusively as opposed to dealing directly with local agencies in the 701 program. At the other end of the spectrum, it might be desirable to work with the local agencies in improving their individual capabilities in applying for funds so that they might improve their own programs.

One may also consider other forms of assistance which would have utility to both local and regional agencies.

Implementation of statewide information and referral services, and provision of computer services and special personnel to various agencies are important ways in which the state could enhance the performance of regional and local planning organizations. The effects of assistance to local agencies can be thought of as two-fold:

- 1) Firming up the planning-programming capabilities of individual local agencies.
- 2) Making it possible to remove some of the dependence of the local agencies on the areawides, thus freeing resources which can be diverted to areawide planning. This is important to consider especially in an urbanizing region...

SPECIFIC FORMATS IDENTIFIED

It would be illustrative at this point to relate some of these issues to specific formats identified in the literature. I would point out that some of these relate to specific programs in other states while others reflect general perspectives and methodologies for approaching the problems. Those relating to specific programs are discussed mainly to provide a context for understanding the perspectives and program evaluation criteria inherent in them.

In order to gain some insight into the issues and potential conflicts we are dealing with, it is relevant to consider some of the important factors affecting the performance of a local planning agency. I would propose initially to compare some common characteristics of a "small town" as opposed to a more metropolitan situation. John Quin of the Extension Service at University of Illinois has generated some ideas on this subject. Besides the obvious differences in terms of funding capability, there are other more subtle and perhaps more fundamental differences which need to be considered in the context of

evaluative criteria for a state assistance program. The conflict immediately apparent is one of implementing a planning process with its rational and logical decision making in the political context of a small town which is likely to be conservative in outlook. Many such areas have a lack of perspective and tend to treat problems "as they arise" and on an individual basis. A zoning scheme enacted in the past may be the extent of the comprehensive planning effort. The agency may lack both the input from full time professional people and the continuity that a metropolitan agency experiences in terms of personnel turnovers. Also lacking in many cases is a sufficient information base with which to carry on effective planning.¹

These kinds of factors have important ramifications for any state assistance program-- while the state needs quantifiable criteria for evaluating the needs and capabilities of local agencies, it must also develop in conjunction, policies defining what constitutes an optimal allocation of resources. Should small town agencies such as those discussed in John Quin's paper have priority in receiving assistance? In light of the apparent difficulties they may encounter both in funding and implementing effective programs, this is one reasonable conclusion. A University of Arkansas study points out however, that perhaps these agencies would benefit most if an areawide agency supplemented their basic planning needs.² In terms of implications for state level policy, it is contended that:

...In regard to traditional comprehensive planning programs complete with studies, plans, and implementation procedures non-urban local agencies have no need, insufficient manpower capacity... and (701 funding of such agencies) is not the best utilization of professional planning resources and Federal grants for assistance...

If the areawide agency were to take on the additional responsibility of applying for 701 funds on behalf of the local agencies within its jurisdiction, these agencies would be spared the complex administrative procedures

"generally more suitable for a sophisticated urban agency" and would tend to reduce the commonly resulting "dilution of specific programs".³ An additional benefit would be realized in terms of increased efficiency of the state level review function. In terms of the overall framework and parameters we are developing in this study, this sort of policy may be identified with the centralized approach discussed earlier.

A related form of this approach is exemplified in a Utah program known as "Sub-state Districting". Centralization of federal fund dissemination is achieved here on a geographically determined regional basis.⁴ A goal of this program is to achieve inter-county coordination and pooling of resources. This is especially significant for rural counties who may not be competitive independently with more urban counties in applying for federal grant programs. This concept of "integrated grant administration" is also seen as a way to increase state level efficiency in monitoring various areawide work programs and coordinating them with state and local goals. This is accomplished in Kentucky through implementation of "Area Development Districts". In an attempt to cut down the bureaucracy and paperwork involved in grant administration, a uniform funding cycle and set of funding requirements is made applicable to all district programming efforts.⁵ Integration of all district agendas is also enhanced under this system.

Another format representative of the centralized approach but in more compromised form is the program in California known as LAFCO (Local Agency Formation Commission). Here we find an example of centralization basically at the county level--an agency created by the state with full review authority in an attempt to coordinate the annexation, incorporation, and special district problems of local areas on a semi-areawide basis.⁶ LAFCO's are intended to

operate on a partnership basis with local agencies--not to supercede their activities, as suggested in the Utah and Kentucky plans. In terms of state policy however, there is still emphasis on centralization at least for administering federal funding programs.

* * * *

In conjunction with any policy of priority for regional agencies in an assistance program, evaluative criteria are needed to determine the needs and capabilities of these agencies in a regional context. These will parallel to an extent, criteria discussed later for local agencies. In either case, the utility of the criteria lies in establishing a systematic way of evaluating the performance of planning agencies. Subsequently, priorities can be generated for structuring an assistance program so that optimal allocation of planning resources can be realized.

At the regional level, a publication of the SanDiego CPO (Comprehensive Planning Organization) suggests the following considerations:

- 1) Areal coverage
- 2) Equal costs and benefits which are contained primarily within the jurisdiction
- 3) Realization of economies of scale
- 4) Fiscal capacity
- 5) Legal and administrative capability
- 6) Balanced use of facilities
- 7) Responsiveness to citizen input without being encumbered by it
- 8) Accountability
- 9) Visibility of policy makers
- 10) Region-wide functional management
- 11) Planned growth
- 12) Political acceptability
- 13) Responsiveness to the regional policy making agency

In the SanDiego CPO areawide centralization is achieved primarily on a specific program basis. Heavy emphasis is

placed on areawide water resource development and open space planning.⁷ A discussion of alternatives for such areawide planning is also found in a Bureau of Governmental Research publication of UCLA. It deals with the conflicts arising from "spillover effects" of uncoordinated planning and proposed specific plans for areawide recreation planning.⁸ The advantage of this approach for state level policy consideration lies in its flexibility. Instead of evaluating the regional agency as a whole, the process could be broken down into specific functional areas to be evaluated. Monitoring a regional planning effort in one functional area might be very effective and such a system could conceivably be applied to different types of regions based on their respective planning priorities. This approach could also be incorporated in the building block concept discussed in part II, as a viable method for dealing with regional diversity of priority issues.

PARTIAL SUMMARY

Up to this point I have presented several different formats for approaching the issue of how a state may deal with local agencies' deficiencies in carrying on effective comprehensive planning. We have focused primarily on agencies in non-urban areas. We have discussed the inherent problems they may be faced with and possibilities for various degrees of centralization of planning functions and 701 funding for these agencies. At this point it is relevant to consider an additional dimension: How should the state deal with local agencies in more urbanized areas? These may not be as easily characterized as being in need of assistance or "incapable" of effective planning, as those in rural areas. A system for evaluating the needs and capabilities of individual agencies would be needed to determine priorities for state assistance. Likewise, if the

state adopts a policy of considering assistance to non-urban local agencies as well, this same evaluation would be required.

In considering these points we begin to move closer to the second basic approach discussed at the outset of this study-- the "spider web" concept which implies a role for the state more related to coordination, technical assistance programs and information & referral services.

FORMATS RELATING TO THE SECOND APPROACH

One interesting approach is that of a Comprehensive Planning Information System. Recognizing that quality and quantity of data can be a controlling factor for agency performance, this Texas program attempts to bridge existing gaps of this nature through a statewide service.⁹

Another related model is the "Tri-County Service Access System". This program includes information-intake-referral services as well as a client & services information system. The goals pursued are establishment of inter-agency linkages, and cataloging of service gaps and duplications in order to improve the effectiveness of planning on an area-wide basis.¹⁰

An additional format worth considering at this time is that developed by the Pennsylvania DCA (Department of Community Affairs). In this case the emphasis is on implementing a statewide technical assistance program aimed at county and local agencies.¹¹ Criteria are established for eligibility of these agencies for the program; DCA wants to be reasonably sure beforehand that the assistance program will produce results. The two major criteria are:

- 1) strong executive government
- 2) tax base and budget sufficient to implement a comprehensive planning and management program

The major feature of this program is the assignment of a "management assistance team" consisting of two specialists,

to each participating agency. The team then attempts to analyze the weaknesses of the agency which could use improvement in terms of:

- 1) Financing
- 2) Municipal services
- 3) Policy making procedures

The policy implication of this program is that there is a priority in implementing a technical assistance program for agencies which offer basic potential but are perhaps lacking in specific planning-programming elements. The initial eligibility evaluation is to "weed out" those agencies having inherent deficiencies of the type mentioned earlier in a discussion of small town agencies... The second step evaluation by the management assistance team is used to determine what specific needs there are. A definitive formulation along these lines is found in "The Planning Audit" by Odegard. Here a two step evaluation process is discussed in terms of a series of questions which need to be answered: Sensors and Pathors.¹² Sensors deal with discovering the presence of a general problem. Pathors are aimed at determining specific causative factors which may indicate where the solution to the problem lies. The four basic areas of evaluation discussed are:

- 1) Comprehensive planning criteria
- 2) Analysis of the comprehensive plan of the agency
- 3) General operation of the agency
- 4) Organizational structure of the agency

The major criteria developed are:

COMPREHENSIVE PLANNING CRITERIA

- 1) Definite intentions and goals vs. "accomodation planning"
- 2) Future orientation
- 3) Democratic input to policy formulation
- 4) Flexibility
- 5) Exclusiveness as well as inclusiveness of the planning in order to prevent interference of politics and/or unattainable goals, with the planning program

ANALYSIS OF THE COMPREHENSIVE PLAN

- 1) Designation of specific parties and times for implementation, as opposed to just generalities
- 2) Flexibility as a guide through changing conditions
- 3) Clarity and inteligibility
- 4) Obvious reflection of biases?

ORGANIZATIONAL STRUCTURE

- 1) Continuity vs. large turnover in personnel
- 2) Lateral communication within the agency
- 3) Established linkages with relevant governmental agencies
 - a) Is the relationship of these agencies to the planning organization one relating to assistance in decision making vs. "ratification and rejection" only?

An even more fundamental approach is advocated by Professor Clyde Forrest (University of Illinois) and Hatry et al. (Urban Institute). Both deal with evaluative criteria based on whether or not the planning program is accomplishing its intended purpose. Professor Forrest advocates an analysis of local zoning legislation, citing ambiguity and lack of areawide coordination as major causes of local competition and unplanned development. In addition, he postulates six criteria for evaluating an "effective planning process":¹³

- 1) Jurisdiction
- 2) Non-overlapping units
- 3) Responsiveness
- 4) Policy orientation
- 5) Administrative delegation
- 6) Competence of personnel

Hatry et al. speak of "effectiveness status monitoring". This involves evaluating the success of an agency based on what progress has actually been made in the community.¹⁴

Criteria for measuring progress are discussed and the possibility is raised of developing seperate criteria for

individual land use functions, eg. transportation, water resources, etc. Such criteria would be applicable to an evaluation system such as the one suggested earlier in conjunction with the SanDiego CPO program and the building block approach of Part II.

SUMMARY

The various evaluative criteria discussed in this last section cover a wide range of potential difficulties and sources of problems which local and regional planning agencies may experience. It is important to consider them in two contexts: Sensor and Pathor if you will. In the first case they have utility for determining the basic capabilities of an agency and its potential responsiveness to a given assistance program. They can be used to "weed out" those agencies whose needs are such that perhaps they are best fulfilled by a partial centralization of their planning activities at an areawide level, as discussed earlier. Equally important to consider is the utility these criteria have in terms of discovering specific weaknesses of an agency (be it local or regional) which indicate specific kinds of assistance programs which would be beneficial to them. In terms of state policy and the overall framework we have developed, this relates once again to the two basic approaches defined at the outset of the study. The "pyramid" approach and the "spider web" approach are distinctive in that they define different perspectives in general state policy. They also overlap to the extent that they may be modified and combined as part of a comprehensive state policy for assistance programs.

NOTES-Part III

- 1) Hypothesis Regarding Large vs. Small Cities, paper by John Quin, Feb. 22,1974 and Jan. 28,1975.
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- 3) Planning and the Non-urban Community, Ibid, 1970
- 4) The Missing Link: Community Development and the States, discussion paper of COSCA Salt Lake City Conferance, 1975.
- 5) Ibid.
- 6) California Local Agency Formation Commissions, Richard Legates-Institute of Governmental Studies of Berkely California, 1970.
- 7) Emerging Governmental Responsibilities in the SanDiego Region: Backround and Policy Statement, SanDiego CPO, 1972.
- 8) Metropolitan Services, Dinerman et al.- Bureau of Governmental Research of UCLA, 1966.
- 9) Cosca papers, 1975
- 10) Evaluation of the Services Access System Element of the Illinois Institute for Social Policy's Tri-County Project, 1972.
- 11) Cosca papers
- 12) The Planning Audit, Odegard- University of Minnesota, 1974.
- 13) Intergovernmental Organizational Considerations for Effective Land Use Planning, Clyde Forrest- University of Illinois.
- 14) Practical Program Evaluation for State and Local Government Officials, Hatry et al.- Urban Institute of Washington D.C. 1973.





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