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PLANNING EFFECTIVENESS AND 701:
AN EVALUATION

Prepared for
Department of Housing and Urban Development

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HAMMER, GREENE, SILER ASSOCIATES
ECONOMIC CONSULTANTS WASHINGTON • ATLANTA

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NO 16

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FOREWORD

The Contractor . . . shall conduct a study and render a report of the effectiveness of comprehensive urban planning in communities under 50,000 population, with recommendations for improvement, including Federal administrative or legislative changes in the urban planning assistance programs under section 701 of the Housing Act of 1954, as amended. As a basis for the study, the contractor will conduct an in-depth analysis of the effectiveness of planning in a minimum of ten such communities which have used section 701 urban planning grants in HUD Regions III and V, the

criteria for community selection, and the communities, to be recommended by the Contractor and approved by the Government.

Concurrently with our study of planning in Regions III (Atlanta) and V (Fort Worth), similar studies were completed in other regions of the continental United States. Arthur D. Little, Inc. was responsible for Regions I and II in the northeastern part of the country; Real Estate Research Corporation was responsible for Region IV which includes the midwest. Kaplan, Gans and Kahn was responsible for the Pacific Coast and Rocky Mountain states in HUD's Region VI. The four consulting firms adopted similar study approaches and through regularly scheduled meeting with representatives of the Department of Housing and Urban Development shared their findings and tested their conclusions as they developed during the course of the study.

The study was undertaken and completed in four phases:

1. Techniques were developed and data were gathered for the selection of communities to be studied in depth, subject to the approval of the Department of Housing and Urban Development. Criteria for evaluating the effectiveness of planning in communities of under 50,000 population were also developed for review.
2. Each consultant analyzed and evaluated five (in our case six) of the communities selected for study in depth. The results of the work in these communities were reviewed at a meeting of the consultants with representatives of HUD.
3. Surveys of the remaining communities selected for study were completed.
4. The findings, conclusions, and recommendations with respect to effectiveness of planning in small communities and the section 701 urban planning assistance program were drawn together into a final report and were reviewed and discussed with representatives of HUD in a two-day evaluation session.

Research Approach

The research program for the study included the following basic components:

1. A review of the historical development of the 701 urban planning assistance program, the existing legislative and administrative base, official HUD documents describing the scope and character of the 701 program, and official and unofficial studies of planning effectiveness that were relevant to the objectives of the study.
2. Interviews with HUD officials in the central and regional offices, state officials concerned with the local planning assistance program, planning consultants with experience in local planning programs (701 and non-701) and other experts in community planning to develop a broad understanding of how planning operates in small communities and the role of the 701 program in the development of planning as a local government function. This part of the research was designed to identify program deficiencies that could be corrected by selective legislative and/or administrative changes.
3. Intensive field research in each of the communities selected for in-depth analysis. The purpose of the surveys was to learn firsthand how the planning function operated in the community, how effective a role it played in the development decisions of the community, and what factors were important to the success of planning in that community.

Organization of Report

This report which summarizes our work is organized in three major sections. Section I is a concise statement of our recommendations for a new approach to 701 that we believe is necessary to make planning more effective, based on our findings and conclusions about the program's deficiencies in improving the quality of public decision-making in communities with less than 50,000 persons.

Section II is an analysis of the effectiveness of planning under the present 701 program, based upon the case studies of the individual communities selected for in-depth analysis, and an evaluation of factors found to be particularly critical to planning effectiveness.

Section III contains our recommendations for strengthening the urban planning assistance program through improved administrative procedures, even if the major reorientation recommended in Section I is not feasible of political or practical accomplishment within the near future.

We owe much thanks to the many public officials, local citizens, and private consultants with whom we conferred during the course of the study. We also enjoyed and were stimulated by the other consulting firms associated with the study. The parallel team approach used in the study is recommended to the Department as appropriate for similar research and evaluation programs that may be undertaken.

Hammer, Greene, Siler Associates
Washington, D.C.
October 13, 1967

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Section I. A NEW APPROACH FOR 701

Section I. A NEW APPROACH FOR 701

Hammer, Greene, Siler Associates was given the assignment to evaluate the effectiveness of the Section 701 Urban Planning Assistance Program of the Department of Housing and Urban Development (HUD) in communities under 50,000 population in the 16 states of the Southeast and Southwest. This assignment brought the consultant into contact with officials in the respective regional offices of HUD, state planning officials and more than 100 local citizens in 11 different communities.

On the basis of this analysis the consultant has concluded that the 701 program has been generally effective -- and in some instances dramatically effective -- in bringing planning into the local decision-making process. In 1954 when the program was started, community planning was a relatively unknown concept at the local level of government. Today few elected officials are not in some way aware of community planning principles, and planning has come to be recognized as a basic function of local government.

There is no doubt in the consultant's mind that the 701 program should be continued. It is clear that financial aid from the Federal Government must continue to be made available to small local communities if planning is to be a vital force in the future.

At the same time, the consultant has concluded that the 701 program has serious weaknesses that must be overcome. The consultant is not prepared to recommend that the program be discontinued if these weaknesses are not eliminated, but the need for change in both direction and content is regarded as urgent.

The Basic Problems

The 701 program is so structured that, more often than not, it:

1. Fails to grapple with the most important issues facing the local communities; and
2. Fails to produce and sustain an on-going process that regularly and systematically fits into the local community's decision-making machinery.

The simple fact is that there is now a new challenge for local planning in America and there must be some new policies to go with it. The first phase of federal assistance to local planning should be regarded as finished -- local community planning has become established and its value clearly demonstrated. The second phase should now get underway. It is the consultant's conclusion not only that the need for change is apparent but also that the local communities are ready for a new and broader approach to community planning with Federal assistance.

The situation is clearly one in which objectives have changed. The original aim of the 701 program to introduce the comprehensive plan as a vehicle for identifying local problems and goals has been successfully achieved; the new objectives call for strengthening the planning process and introducing new content into the plans themselves. It is clear that the 701 program up to now has, within the limited framework of its original objectives, been a success in many cases. Even when local officials are hard pressed to describe specific instances of the success of their local planning program, they support it with such remarks as, "Even if we don't do what the planner suggests, we need him because he makes us think about our problems." More often than not, most officials can name specific instances where their planning program has influenced some aspect of community development -- a highway location, a downtown improvement, a community facility location -- which in their opinion justifies the value of the planning program as a whole. From here on out, however, the consultant believes that this kind of success -- however commendable -- is not enough.

The small communities receiving 701 planning assistance have been heavily impacted with problems of change and growth. As in the larger cities, problems of land use control, housing, traffic and parking, utility extension, air and water conservation and local government finance have become acute. Social problems have been brought to the fore -- problems of health, welfare, training and education have come to occupy new positions of importance in community planning. The issues of slum housing and ghettos and the elimination of second-class citizenship are -- or soon will be -- as real issues in the small city as in the large metropolitan area.

The Program Redefined

To help local decision-makers meet these community problems effectively and systematically, the local planning assistance program must be redefined. Simply stated, the consultant's basic recommendation emerging from this study of the 701 program is as follows:

The 701 program should be restructured from mainly a product-oriented program to a dynamic continuing process so as to stimulate and support an expanded set of planning activities within the office of the chief executive of local government, with adequate funds, and utilizing the maximum availability of professional assistance.

The concept of a comprehensive plan document -- which, if only followed, would presumably lead to solutions of community problems by some appointed future date -- has proved to be a fallacy. Its ineffectiveness has been demonstrated, but the response of the 701 program has been mostly to enlarge the "comprehensive" aspects of the plan by adding new areas for data collection, analysis, and recommendation. Funds have been made available primarily for the production of specific products of planning rather than for the support of planning itself. This predisposition to produce documents has left a void in the development of an appropriate structure for implementation, review, and modification.

Planning theory has substantially abandoned the old concept of "the master plan" and now deals mainly with the planning process as a continuing function of government and as an integral part of the decision-making process. It is toward these goals that the proposed new 701 program should be directed. The ramifications of this new direction will be felt in both technical and administrative areas.

Specific Program Recommendations

More specifically, the new approach for 701 should contain the following basic elements:

1. The emphasis in 701 planning should include not only physical planning but those aspects of social and economic planning which are related to total community development.

The idea that physical planning can be separated from social and economic planning must be abandoned. Planning must look at the total fabric of the community of which the physical environment is but one aspect. The concept underlying the Model Cities Program is a clear example of the emerging planning philosophy. The 701 program does not yet reflect this basic change even though data collection is called for in some economic and social areas. Implementation recommendations in these areas which strengthen and make possible physical changes in the community must be introduced into the planning process itself.

There has been a significant awakening throughout the country about the latent social problems of our cities and about their economic consequences. The responsible official can no longer think in terms of the purely physical problems of the city. The response to this legitimate concern for the total community structure has been a wide variety of new programs and projects initiated under federal and state sponsorship and new life has been pumped into the existing agencies at the local level.

It is too early in the struggle for solutions to judge accurately which of the various efforts merit continuing support and which are to be short lived. It is a time of trial and error. The full requirements for a program are yet poorly defined. It may not be possible to establish all the links between general community planning and the social and economic problem factors. To be truly effective, therefore, the 701 Planning Program of the community must be designed to incorporate a broader perspective about the needs of the people of the community with a wide range of flexible support for planning efforts in these fields. The general test to be applied should be that a specific program effort in the social or economic field has a demonstrable effect on the total community planning program.

2. The local planning program should be directly related to the office of the chief executive and specifically concerned with the community budgeting process.

In most 701 planning programs there is a requirement that a capital improvements budget be prepared. This section generally results in a listing of all the capital improvements called for in the plans with some general estimates of their dollar costs but falls far short of true fiscal planning. This work is done by the planner for the planning agency and is usually independent of the budgetary process of the community. To be effective, planning must be brought much more fully into contact with the executive and legislative processes of government particularly the budgeting process. How this bridge is to be built should be part of the requirements of the 701 application. Furthermore, the process must be institutionalized into the annual work of the planning agency.

Possibilities in this area might include requirements that contracts for professional services be made directly with the city government and that planners report to the executive head of the government. In these ways planning can be encouraged to develop as a line department of local government.

3. The expanded 701 program as proposed here should provide the logical vehicle to coordinate federal, state and local plans at the local level of government on a continuing basis.

That planning should be coordinated is obvious. But the questions of by whom and with whom are frequently left unanswered. The present 701 program calls for coordination but leaves the costs and methods up to the local community.

At the local level there are at least six to ten groups and agencies which should be coordinated through the planning program. Outside the immediate community there are neighboring political bodies, the regional agencies, and the state. On the functional level there is coordination required among the various federal and state programs that are going on simultaneously with the local planning effort. This coordination is not just one meeting or even a one agreement proposition. It is a continuing demand on the program. The 701 program could provide the appropriate vehicle to stimulate and insure the necessary coordination.

The power to coordinate at the local level should not be lightly given, but used instead as an incentive for local initiative. By demonstrating its competence in the broader range of planning suggested here and by creating the essential administrative structure, a community could have conferred upon it the power to coordinate state and federal impact programs in its area of jurisdiction.

Through legislative mandate to review and advise, the planning process could be designated as the coordination agency within local government. This would be the logical reinforcement of the role now played by the more effective agencies. Furthermore, because much of the required coordination is with federal and state agencies, it is appropriate that continuing financial support be given the local agency to execute this function.

4. The products now associated with the 701 planning program should continue to be supported, but with modifications permitting more rapid preparation at substantially lower costs.

The 701 program in most cases has produced tangible products of value for the communities participating. Among these most generally are:

- A. Basic data particularly land use and population about the community is gathered into one useable document. The basic data report, though frequently overdone, is useful to a wide spectrum of local people for a variety of purposes, some of which are only marginally connected with planning itself.
- B. The plan document, often for the first time, has presented an overall statement of the major problem areas of the community. This in turn begins to force comprehensive thinking about the problems.
- C. Many codes and ordinances, particularly zoning and subdivision, trace their existence directly to the 701 program. Frequently codes are poorly enforced and sometimes for inappropriate objectives, but clearly the mere existence of the codes within the community is of value in obtaining development results better than would have been the case without them.

These products of the 701 planning program are desirable and should continue to be supported within the restructured 701 program. The main difference proposed is to simplify the comprehensive plan by substantially, but selectively, reducing the data inputs and analysis now required. A comprehensive plan for a small community has no way of predicting major developments and when they occur a static plan is of little value in reaching decisions. A more vital need of the local community is a set of basic development guidelines and materials by which to judge the merits of developing proposals as they occur. This, coupled with continuing, adequate professional advice, should better assist communities in planning for orderly growth.

5. Professional skills in a range of disciplines should be made available to local communities on a full-time or part-time basis with the emphasis on actual presence of the individuals in the community.

A most effective aspect of the 701 program has been the educational value of the contact between the planner and local officials and of the planner's role in helping resolve the day-to-day problems which require local decisions. Yet in those communities which undertake their planning program with outside assistance this benefit is not recognized in the 701 program directly. Funds are specifically excluded from what is generally called "housekeeping functions". In preparing the planning contract no mention is made of the amount of time the planner is to be physically present in the community. Since the contract calls for the production of plan documents alone, the planner usually spends a minimum of time actually in the community. This is a serious hindrance in obtaining the maximum benefit from the planning program.

Physical presence requirements for the professionals should be made a part of the planning program. They should be made available to assist on day-to-day matters referred to them for opinion and to develop a clear understanding of the planning functions among local officials. These objectives could be attained by required meetings and the maintenance of local office space.

Finally, the professional skills used almost exclusively within the 701 program to date have been those of the city planner. In the future a greater role for other professional groups -- sociologists, economists, fiscal and administrative experts -- may be required in order to achieve the broader concerns of the restructured 701 program proposed here.

6. The respective roles of the federal and state planning agencies should be redefined with the purpose of eliminating duplication of review functions, stimulating flexibility of planning, and speeding up the total process.

If the basic recommendation of this report is adopted in some form and planning as a continuing process is supported by annual 701 program funding, major changes will be needed at the state and federal levels of the program.

Procedure. The recommended procedure for implementing the program would be for each local community which elects to participate to prepare annually an application for submission to the State Planning Agency. This application would set forth precisely what the local community planning program intends to do during the grant year along with necessary supporting documentation as required. After the first year of the program a detailed statement of accomplishment would also be submitted so that a post audit check on performance can be maintained. The entire application would be developed according to criteria set forth by the individual states involved.

The state's obligation would be to insure the performance of the local community both quantitatively and qualitatively. The state would retain an adequate professional staff to monitor the work of the local community as a requirement for its participation nationally. The state would determine the eligibility of the work to be performed according to already established criteria and would determine the distribution of funds to the various communities according to an appropriate formula. To carry out this responsibility would in most cases require a substantial strengthening of the planning agency and this should become a prerequisite to the state's participation in the 701 program. Placing the full burden for review of the technical performance of local communities on the state, however, would raise some questions regarding the provision of state sponsored consulting services to local communities. This conflict of interest would have to be satisfactorily resolved.

The state in turn would be responsible for preparing an annual application for funds to the Department of Housing and Urban Development which would set forth the work to be accomplished in the coming year and a statement on the performance during the previous year.

The responsibility of HUD would be to monitor progress within the states to insure compliance with the federal criteria established and to allocate available funds on an appropriate predetermined formula.

Financing. The financing of this program would be by grants to the states by HUD and distributed through the states to local communities. The actual percentages of participation can be decided later, but it should be a principle that both local and state governments participate financially in the program in a significant way. For instance, the shares might be divided 40 percent federal and 60 percent state and local with each state left free to determine its share in accordance with its local resources.

Summary and Interpretation

The purpose of the revised 701 program would be to support continuing planning programs in communities under 50,000 population through annual grants in aid in order that the participating communities could retain necessary professional assistance and meet associated expenses in connection with:

- A. The development and modification of development plans for physical, social and economic development of the community.
- B. The preparation and modification of the legislative and fiscal basis for development planning.
- C. Advising local officials on all matters affecting the physical, social, and economic development of the community.
- D. Assistance in coordinating the projects and programs of federal, state and local agencies within the community.
- E. Assistance in coordinating the development plans of the local community with other political bodies outside the community, but within the community's sphere of interest.

- F. Instruction as necessary on the theory and practice of planning when a part of a total planning program.

The advantage of this suggested program, besides overcoming many of the technical deficiencies of the present program, is its emphasis upon the decentralization of control and responsibility while at the same time insuring that broad national objectives and policies are followed on a long-term, continuing basis.

This proposal is not a radical departure from the present 701 program. In fact it is a continuation of a trend already established. There has been a continuing evolution throughout the history of the 701 program since its inception in 1954.

Originally the program was designed to simply finance preparation of comprehensive plans for small communities. At the time the idea of a comprehensive plan for the physical development of a community was an acceptable concept to the planning profession and widely thought to be a useful end in itself. Since that date there has been a steady series of amendments, both legislative and administrative, to the program. Eligibility of communities has been expanded. The financial burden has steadily shifted away from the local communities and states toward the Federal Government. Most important, the role of the 701 program has been expanded from merely an isolated exercise in drafting "the comprehensive plan" to a more complex concept of coordination, education, and continuing planning assistance aimed at providing solutions to a much broader range of community problems. In part this expanded mix of activities has been accelerated by the proliferation of federal programs which require "planning" as a prerequisite. The 701 program has attempted to keep pace with the new demands and concepts. The major policy changes instituted in 1963 were steps in that direction.

The 1963 changes grew out of the growing concern regarding "package planning" and the lack of contact between planners and community decision

makers. These changes broadened the definition of a comprehensive development plan and made eligible coordination and educational activities with regard to plans. They established "the planner-in-charge" to improve professional quality and local contacts. These were steps in the right direction and the recommendations presented here are a continuation of this approach within a revised administrative framework.

The intention of the recommendations of this report is to continue the effort to make the 701 Urban Planning Assistance Program compatible with the best concepts of the planning profession and with local community needs and objectives.

Section II. PLANNING EFFECTIVENESS UNDER THE PRESENT PROGRAM

Section II. PLANNING EFFECTIVENESS UNDER THE PRESENT PROGRAM

The recommended new approach to 701 (Section I) is based on analysis of the effectiveness of the planning programs in 11 communities with population of 50,000 or less in the South and Southwest sections of the country. The purpose of this section is 1) to describe these communities and the process through which they were selected for study, 2) to evaluate the effectiveness of planning in each based on objective criteria and evaluation procedures, and 3) to identify the factors the analysis indicates are important to the success of a planning program. The findings are interpreted in terms of our recommendations for changing the direction and emphasis of the 701 program.

Selection of Communities for Analysis

Study Area

We were assigned the responsibility for evaluating the effectiveness of planning in HUD Regions III and V. These regions include the following 16 states:

| <u>Region III</u> | <u>Region V</u> |
|-------------------|-----------------|
| Alabama | Arkansas |
| Florida | Colorado |
| Georgia | Kansas |
| Kentucky | Louisiana |
| Mississippi | Missouri |
| North Carolina | New Mexico |
| South Carolina | Oklahoma |
| Tennessee | Texas |

Selection Criteria

To obtain a reasonable cross-section of the thousands of small communities in the study area, the following criteria were used to select the communities to be studied:

2. The official planning agency in each of the 10 states selected reviewed the regional office's list of communities for their state, based on their more direct and intimate knowledge of the communities and the planning program in each. Additions or deletions were made as necessary to obtain a representative cross-section of communities.
3. The complete list of communities as "approved" by the states was presented with our own recommendations for the approval of HUD's representatives.

The HUD-approved list of 11 communities (Table 1) meets the criteria originally established except that the Department representatives chose not to include a town with less than 2,500 population. McAllen and Edinburg, Texas, which were selected as metropolitan communities, were found to be typical independent cities and were so classified for purposes of the analysis.

The selected communities represent nine different states, with two each in Georgia and Texas. Six are in HUD Region III and five are in Region V. Three are integral parts of major metropolitan areas. Five of the independent cities are dynamic cities which have been recently impacted by economic change. The others are stable, slow-growing communities that have experienced only modest economic or population change in recent years.

Table 1. COMMUNITIES UNDER 50,000 POPULATION SELECTED
FOR STUDY OF PLANNING EFFECTIVENESS

| <u>Communities Located Within SMSA's</u> | <u>1967 Population</u> | <u>Economic Base</u> | <u>Form Of Government</u> | <u>Planning Services</u> | <u>701 Financing</u> |
|--|----------------------------|--------------------------|-------------------------------|------------------------------|--------------------------|
| Midwest City, Okla. | 40,000 | Military | City Mgr. | State/Local | Yes |
| Kenner, Louisiana | 25,000 | Diverse | Mayor | Consultant | Yes |
| College Park, Ga. | 28,000 | Diverse | City Mgr. | Metropolitan | Yes |
| <u>Dynamic Independent Communities</u> | | | | | |
| Hot Springs, Ark. | 35,000 | Tourism | Mayor | State/Local | Yes |
| Murfreesboro, Tenn. | 25,000 | Diverse | City Mgr. | State/Local | Yes |
| Cullman, Alabama | 12,000 | Diverse | Mayor | State | Yes |
| Rome, Georgia | 35,000 | Agri/Mfg. | City Mgr. | Regional | Yes |
| Wilson, N.C. | 35,000 | Agri/Mfg. | City Mgr. | State | Yes |
| <u>Stable Independent Communities</u> | | | | | |
| Natchez, Miss. | 25,000 | Diverse | Mayor | Consultant | ** |
| Edinburg, Texas* | 18,000 | Agri. | City Mgr. | Consultant | Yes |
| McAllen, Texas* | 35,000 | Diverse | City Mgr. | Consultant | Yes |

* While in the McAllen-Pharr-Edinburg SMSA, these cities are more typical of independent communities and have been considered as such for analytical purposes.

** Original comprehensive plan financed with local funds; revision financed through 701.

The Evaluation Approach and Effectiveness Criteria

The basic objectives of the 701 program from the beginning have been to: 1) establish the planning function as an integral and effective instrument of local government; 2) guide the orderly physical development of the community; 3) coordinate the plans and activities of governmental units engaged in activities that affect the development of the city; and 4) provide a continuous process through which the problems of the community can be systematically evaluated and resolved. The broad mission of the planning function, in short, is to provide within a comprehensive planning framework, information and analytical and review procedures that improve public and private decisions and thereby achieve a better community as well as the most effective use of public expenditures.

Effectiveness Criteria

It follows then that the evaluation criteria for this study of planning effectiveness should be designed to determine whether, in fact, the local planning function (plan and process) is achieving this set of purposes. Ideally, the local programs would be measured by specific and concrete accomplishments: the number of homes built; the number of accidents reduced; the amount of money saved. But planning being a staff function that exists primarily for the purpose of helping others to make more rational decisions, there is no way quantitatively to precisely measure its accomplishments. Planning as a function builds no bridges, clears no slums, and saves no money -- except indirectly and in ways that cannot be conclusively measured.

The formulation of the criteria will largely determine the results of any evaluation of planning effectiveness. A program with high marks for its organizational structure may fail a test of actual impact on community development. Measured in terms of local objectives, a program would be judged much differently than if measured by national objectives.

In our judgment, the most appropriate and objective approach for evaluating planning effectiveness is to determine how well it is influencing public policy and public agency decisions. Is it (the plan or the process) in the mainstream of the community's decision-making process? Is it recognized and accepted as a legitimate instrument for guiding and/or coordinating private and public development? Is the plan of value and is it instrumental in shaping specific projects and facilities? Are the actual plans and actions of public agencies consistent with the community's official plans and development policies?

The community analysis was structured to answer these questions about each of 12 specific policy and development criteria that were adopted to measure planning effectiveness. Analysis showed that in the communities studied the planning function has traditionally influenced these criteria to a greater or lesser degree. Eleven of the criteria are related to the local decision-making process; the other is related to the decision-making process of other governmental units (metropolitan, state, and federal agencies) whose actions affect the community.

Local Fiscal and Development Policies:

- Capital Improvements Programming
- Urban Renewal
- Economic Development

Adoption and Administration of Codes and Ordinances:

- Zoning
- Subdivision
- Housing and Building Codes

Local Public Facility Planning, Location and Construction:

- Schools
- Parks and Recreation
- Streets and Parking
- Utilities
- Public Housing

Plans and Actions of Other Government Units

Evaluation of Effectiveness

Attempts to develop an elaborate scoring system that would rate the effectiveness of the local planning program for each of the evaluation criteria were not satisfactory. The hard, specific data required to make these judgments were not always available and it was not, in fact, always possible even to determine whether planning was or was not influencing a specified factor. Therefore, a scoring system was adopted that simply indicates whether (yes or no) the planning function had an impact or otherwise influenced the specified criteria, without attempting to judge whether that influence resulted in good or bad decisions. If the "yes or no" determination could not be made, or was inappropriate, the factor was scored accordingly.

The overall effectiveness of the planning function in each community was judged by the number of recorded affirmative responses to the evaluation criteria. If determined to influence more than half of the 12 criteria, the program was judged to be effective; more than one-fourth, moderately effective; and one-fourth or less, ineffective. The classifications are as follows:

| | <u>Affirmative Responses</u> |
|----------------------|----------------------------------|
| Effective | 7 or more |
| Moderately effective | 4-6 |
| Ineffective | 0-3 |

The classification of a program as "ineffective" on the basis of these procedures must be interpreted with caution. The fact that a program is termed "ineffective" does not mean that the money spent to date was not worthwhile or that the program will not become effective at some future date. The results of this study clearly show that planning matures slowly in a hostile environment. Moreover, the cost of maintaining a program is so low compared to the capital investments it can influence, that a single major decision favorably influenced by planning can easily justify the long-term cost of the program.

Community Analysis of Planning Effectiveness

The evaluation of the effectiveness of planning in the 11 selected communities, using the above evaluation criteria, was based on a detailed analysis of the past and current planning program of each. The quantitative and qualitative inputs required for the analysis of each program were developed through field inspections, personal interviews, and review of specific plans and planning documents. The investigations were conducted by two-man teams which spent an average of one and one-half days, or a total of three man-days, in each community.

The core of the field investigations were interviews with a sample of local officials and citizens selected because of their involvement or interest in the planning process of the community. An average of 10 interviews were conducted in each community (Table 2). The interviews usually included the Mayor and/or City Manager of the city, other city officials including the City Engineer and School Superintendent, and the responsible planning professional if available. Whenever possible, the interviews also included persons outside the official structure such as realtors, bankers, and Chamber of Commerce representatives.

The interviews were generally structured by the use of a single, comprehensive interview schedule (Appendix B). The schedule was not used in its entirety in every interview, however, as many of the factual questions once answered did not need to be repeated and questions dealing with specific areas of subject matter were not applicable to each respondent.

In addition to the formal schedule an effort was made to cross check opinions on particular issues within the community and to explore background points in more depth. The general procedure was to open the interviewing in a particular community with fact-finding sessions with local newspaper people, the City Manager or Mayor and then to move on into areas of special interest with interviews with representatives of the various agencies.

Table 2. PERSONS INTERVIEWED IN 11 CITIES
SELECTED FOR EVALUATION

| | SMSA Communities | | | Dynamic Independent Communities | | | | | Stable Independent Communities | | | |
|----------------------|------------------|--------|--------------|---------------------------------|--------------|---------|------|--------|--------------------------------|----------|---------|--|
| | Midwest City | Kenner | College Park | Hot Springs | Murfreesboro | Cullman | Rome | Wilson | McAllen | Edinburg | Natchez | |
| Mayor | | 1 | 1 | 1 | 1 | 1 | | 1 | 1 | | | |
| City Manager | 1 | 1 | 1 | 1 | 1 | | | 1 | 1 | 1 | 1 | |
| Asst. City Manager | | | 1 | | | | | | 1 | | | |
| City Engineer | 1 | 1 | | 1 | | 1 | | | 1 | 1 | 1 | |
| County Commission | | | | | | | | | 1 | 1 | | |
| Other City Officials | | | 1 | 1 | | | 1 | | | 2 | | |
| City Council | 2 | 1 | 1 | 1 | 1 | 1 | | 1 | | 1 | 1 | |
| Planning Commission | 2 | 1 | 1 | 2 | 2 | 3 | 2 | 3 | 2 | 2 | 1 | |
| Present Planner | 1 | | 1 | 1 | 1 | | 1 | 1 | | | 1 | |
| Planning Consultant | 1 | 1 | 1 | | | 1 | | | | | 1 | |
| Urban Renewal | | | 1 | 1 | | | 2 | 1 | | 1 | | |
| School Board | | 1 | | 1 | 1 | 1 | 2 | 2 | | 1 | | |
| Newspaper Reporter | 1 | 1 | | 1 | 1 | | | 2 | 1 | 1 | | |
| Businessmen | 3 | | 2 | 2 | 2 | 1 | 2 | 1 | 1 | 1 | 1 | |
| TOTAL | 12 | 8 | 11 | 13 | 10 | 9 | 10 | 12 | 9 | 12 | 7 | |

The results of these studies, including an evaluation of planning effectiveness in each city based on the criteria defined, are detailed in individual community case studies in Appendix A to this report. Brief summaries of these case studies are used as the basis for the following overall evaluation of planning effectiveness.

A. Communities Located Within SMSA's

Three of the eleven communities selected for study (Midwest City, Kenner, and College Park) are located in major metropolitan areas. Edinburg and McAllen, Texas, while part of the McAllen-Pharr-Edinburg SMSA, have the characteristics of independent cities and are so classified for purposes of this study.

Midwest City, Oklahoma

Midwest City is in the Oklahoma City SMSA. It was started as a planned development in 1940 to meet the housing requirements of servicemen stationed at nearby Tinker Air Force Base and many of its residents are still employed or stationed at the base. The city has grown in size from one to twenty-two square miles, most of which were annexed to avoid being taken into Oklahoma City. One of Midwest City's major problems today is determining how to incorporate the existing development and the large annexed areas into a cohesive community structure.

The Midwest City planning program was determined to be influencing 8 out of the 12 criteria of planning effectiveness and was judged to be an effective program. The program was most effective in the area of public facility planning and the adoption and administration of the codes and ordinances. The planners were also heavily involved in the development and public presentation of the city's capital improvements program.

The success of the Midwest City program can be largely attributed to three factors: 1) a strong commitment on the part of the original developer of the community and public officials to a high quality of development;

2) the availability of continuing technical assistance over a number of years; and 3) a strong and stable economic base.

Kenner, Louisiana

Kenner, a suburb of New Orleans, is located between Lake Ponchartrain and the Mississippi River and includes the Metropolitan Airport. Since World War II, Kenner has grown from a small town oriented to the river into a middle-class bedroom community for New Orleans. Its major problems relate to providing services for new development and, because it lies below sea level, reclaiming swamp land for expansion.

Kenner's planning program was judged to be moderately effective, influencing 4 out of the 12 effectiveness criteria. The program has been most successful in the area of codes and ordinances (zoning and subdivision regulations). It has been least successful in influencing projects originating at the metropolitan, state or Federal levels which involve the community. However, despite its marginal success in terms of actual accomplishments, the program has successfully introduced, for the first time, the concept of community control over development. This is due primarily to the continuing technical services provided to the city by a consultant planner who has provided solutions to development problems and guided the decision-makers in controlling new developments.

College Park, Georgia

College Park is in Metropolitan Atlanta and, like Kenner, includes the Metropolitan Airport within its boundaries. It is an old community that has become an integral part of the metropolitan area, but as a typical bedroom suburb. The city is faced with severe land use problems because of continual expansion of the airport and the routing of a major expressway section.

College Park's planning program was judged to be ineffective on the basis of the evaluation. The program had influenced only 3 out of the 12 measures of effectiveness, none of which were of primary importance to the

city's development. The development of subdivisions is controlled by the Planning Commission, but little land remains undeveloped anyway. Even the zoning function is handled independently of the planning function. Most important of all, neither the planning process nor the city have any control over the expansion of the Atlanta Airport, its most important development factor.

Summary Evaluation

Of the three metropolitan cities, the planning function of one was effective, one was moderately effective, and one was judged to be ineffective.

These studies only confirm what has long been obvious: that small metropolitan cities are unable to plan effectively except within the broader context of the region in which they are located. Even when local planning services are provided by the metropolitan agency (as in College Park) there is no assurance that the development policies of the city can be reconciled with the policies of the broader region and its operating agencies.

The experience of these cities emphasize the growing need for better coordination of public agency plans and actions at all levels of governments. The coordination of metropolitan planning activities can be improved by:

- 1) requiring that plans for metropolitan cities that are financed through the 701 program be consistent with the adopted plans of the metropolitan agency;
- 2) not allocating funds to localities for regional and inter-city studies that are or should be the responsibility of the metropolitan agency (such as economic base studies); and
- 3) encouraging the use of the metropolitan planning staff by cities within the metropolitan area, the experience of College Park to the contrary notwithstanding.

B. Dynamic, Independent Communities

Of the eleven communities studied, five are independent communities which have had substantial growth rates or which have been otherwise impacted by economic change. Hot Springs, Murfreesboro, Cullman, Rome and Wilson are included in this category.

Hot Springs, Arkansas

Historically, Hot Springs has been a tourist and retirement center based on its numerous mineral baths and its illegal gambling. Gambling activities flourished until 1964 when it was brought to a halt by the State. This action, which almost destroyed the city's economy, emphasized the need for economic diversification and today the major concern of the city revolves around economic development questions.

The Hot Springs program had impacted or influenced 5 of the 12 established measures of effectiveness and is judged to have been moderately effective by the evaluation. It has been most successful in local public facility planning -- schools, streets, and utilities.

The significant achievement in Hot Springs' planning program cannot be measured only in terms of product achievements. From its inception the program has had to survive against a very vocal and bitter conservative group which caused the first Planning Commission to be disbanded. In spite of this, the program has managed to survive and is becoming very strong in the community. The state planning agency, by providing continuing planning services through very bleak and dismal periods has been chiefly responsible for this. Now strong local officials who recognize the value of planning support the program and have employed the half-time services of a professional planner. Planning is now an effective part of the decision-making process of the city government.

Murfreesboro, Tennessee

The independent city of Murfreesboro, thirty miles southeast of Nashville, is feeling the economic impact of the metropolitan area. A trade and service center formerly oriented to an agricultural economy, the city has in the past decade been impacted by the pressures of industrial development and urbanization. Its major planning problems deal with the provision of services and facilities to meet those pressures.

Murfreesboro's planning program, with 9 affirmative responses to the criteria, is one of the most effective programs in the eleven communities

studied. The program has been most successful in the area of local public facility planning -- schools, recreation, streets and utilities. Its principal weakness is its ineffectual position with respect to capital improvements programming.

Important factors that have made planning in Murfreesboro a success include: 1) the continuing assistance program of the state planning agency that nurtured the planning program for several years with a full range of technical services; 2) a strong chief executive who recognizes the need for a strong planning program; 3) the economic changes in the community that have forced the decision-makers to rely on the planning function for problem solving; and 4) the current availability of a full-time planning staff.

Cullman, Alabama

Cullman is a small regional trade center in north central Alabama, about 50 miles north of Birmingham. The economy of the surrounding area is oriented to farming, but Cullman has been experiencing moderate industrial growth since 1955. The town is unique as a Southern community because it has no Negro population. The community's development problems are modest and manageable.

Cullman's planning program is judged to be effective, with affirmative responses for 8 of the 12 criteria defined for evaluation purposes. The program has been most effective in the area of development controls -- the zoning ordinance and subdivision and building codes. The areas in which the program has had little or no success are in capital improvements programming and economic development.

Rome, Georgia

Rome, the second Georgia community, is about seventy miles northwest of Atlanta in gently rolling terrain in the foothills of the Appalachian Mountains. The city is making a slow transition from an agricultural trade center to a small industrial community.. Two of the city's principal problems are

economic development and a restructuring of an existing road system which requires the majority of the city's through traffic to funnel through the central business district.

Rome was judged to have one of the more effective planning programs among the cities that were studied. In 7 out of 12 measures the program has had an impact on decision and development actions. The ability to generate an urban renewal and public housing program in a generally conservative atmosphere speaks highly of the caliber of planning leadership in the community.

The adoption and implementation of codes and ordinances was an important first step in establishing the planning program and most of the day-to-day operations revolve around their administration. The principal failing of the planning program has been its inability to implement an on-going capital improvements program.

Wilson, North Carolina

Wilson is located forty miles east of Raleigh in the Piedmont Region of North Carolina. It is a well-known tobacco center with a large concentration of warehouses and processing operations. The tobacco industry is seasonal in nature and many persons are unemployed several months of the year. Among the city's problems is a declining central business district and a slow-moving urban renewal project five years old.

The Wilson planning program, with an impact in 6 of the 12 measures of effectiveness, is judged to have been moderately effective in shaping decisions and actions in the community. It has been most successful in influencing school and street planning, and in the adoption and administration of the zoning ordinance and subdivision regulations.

The program has had particular success in seeing that State Highway Department decisions on local highway locations have been consistent with local plans.

A principal weakness of the planning function has been its lack of participation in the planning of urban renewal and public housing projects. Neither has it generated an effective capital improvements program.

What success Wilson's planning program has achieved to date can be attributed largely to the continuing professional assistance provided through the state program.

Summary Evaluation

Three of the five dynamic, independent communities in the analysis were judged to have effective planning programs and two were judged to have moderately effective programs. As a group, these communities have made significant progress in integrating planning into the decision-making process of their respective governmental structures and there is clear evidence that planning is paying off in improved facility planning and in other ways.

The experience of these cities is clear evidence of the favorable impact the 701 program has had on urban planning in communities under 50,000 population throughout the South and Southwest sections of the country. With a single exception (Rome), planning was initiated and nurtured in these communities through the 701 local assistance programs of state planning agencies. Rome had a similar relationship with a dynamic regional planning agency which was assisted by 701 financing. Of the five communities, two (Rome and Murfreesboro) now have full-time staff assistance; another (Hot Springs) has a half-time staff; and Wilson and Cullman have direct and continuing access to the resources of state planning agencies. While these communities may have eventually initiated planning programs without 701 assistance, they almost surely would not have reached their present level of sophistication through the use of local funds alone.

The effectiveness of planning in these cities must be credited in large measure to the continuing professional services that have been available to them over the years. This supports our recommendation that the orientation of

the 701 program be shifted to provide a better balance between planning services and planning products and that day-to-day professional assistance be made an eligible item for 701 financing.

C. Stable, Independent Communities

The remaining 3 of the 11 cities studied were classified as stable, independent communities. Recent growth in these communities has been modest and their economies are relatively stagnant when compared to others in the study group. McAllen and Edinburg, twin cities in Texas, and Natchez, Mississippi, are included in this category.

McAllen, Texas

McAllen is in the Lower Rio Grande Valley, a depressed area with a large Latin-American population. It has a sizable winter tourist industry and functions as a retail trade center for the residents of several Mexican communities located just across the border. The major problems of the area include economic development and a susceptibility to flooding.

McAllen's planning program is judged to have been ineffective, and among the least effective of the communities studied. Out of the 12 criteria used for measuring effectiveness, only three were considered to have been influenced by planning. These three criteria related to street improvements, the extension and expansion of the utility system, and a cooperative effort with the Economic Development Administration to establish a free trade zone. The program's principal weaknesses relate to zoning and subdivision controls, which are ineffectively administered, and to capital improvements programming, which does not exist in the community.

The planning program in McAllen is in an embryonic stage. Since the preparation of the comprehensive plan by a consulting firm in 1960, the community has had no professional planning assistance to guide the program and to provide continuing assistance with day-to-day problems. The city has a strong, competent city manager who acts as his own planner, but who is strapped by the attitude of a conservative community and political leadership.

Edinburg, Texas

Edinburg is located seven miles north of McAllen and is about half its size. Its slowly expanding economy is oriented to extensive citrus farming operations with almost no manufacturing. The town has a large Latin-American population who work primarily in agriculture and have relatively low incomes. The major problems of the community include economic development issues and substandard housing conditions.

The planning program in Edinburg is judged by the consultants to be moderately effective. Of the 12 criteria used for measuring effectiveness, the Edinburg program has had an impact on 6. The program has been effective in establishing a capital improvements program, in the adoption and enforcement of zoning and subdivision controls, and in guiding the location of streets and utilities. It was used successfully to oppose the State Highway Department's proposed location of a major expressway. One of the program's major shortcomings has been its failure to participate in the planning of local urban renewal and public housing projects.

A major weakness of the Edinburg planning program is that it does not have continuing access to professional planning assistance. As in McAllen, there has been no effective follow-up by planning professionals since the Comprehensive Plan was completed by a consultant in 1961. The program's effectiveness can be attributed primarily to a strong, competent City Manager who has personally kept the planning process working, and who has had more freedom to operate than the City Manager of McAllen. His departure would be a serious blow to the program unless professional planning assistance were retained.

Natchez, Mississippi

Natchez, located on the Mississippi River, is noted primarily for its collection of ante-bellum mansions. The economy is static and the physical conditions in the town range from very good to very poor. Its problems are

physical, economic, and social, including a deteriorating CBD, limited employment opportunities, and a severe need for low income housing.

The planning program was judged to be ineffective by the consultants and among the least effective of all the communities studied. Of the 12 criteria tested, only 3 were being influenced by the program: the zoning ordinance, subdivision regulations, and street planning. The most successful element in the Natchez program has been the adoption and enforcement of an historic district ordinance.

The city's comprehensive plan was prepared in 1951 and updated in 1961. Both versions were prepared by a planning consultant who has been continually retained for more than 15 years, but whose limited time each month is concerned primarily with zoning, subdivisions, and the historic district ordinance. With only gradual economic and social change since before World War II, and without the pressures of growth to create development issues the community has concerned itself primarily with the preservation and restoration of its historic buildings of which it is justly proud. Planning will become a force in public decision-making when, and only when, the community recognizes and addresses itself to its manifold problems.

Summary Evaluation

These three cities are shown by this analysis to have a great deal more in common than their status as stable, independent communities. Two of the three are judged to have ineffective planning programs and the third is being held together by a competent and sensitive City Manager. The comprehensive plans of all three communities were prepared by consultants. Only one of the three (Natchez) has had the benefit of professional planning assistance since the completion of the comprehensive plan and his time in the community is limited to a single day each month.

The general ineffectiveness of planning in these communities contrasts sharply with the 5 dynamic communities which have been continually serviced by planning professionals since the completion of their comprehensive plans.

While this difference is explained partly by the differential in professional services, the role of community growth may actually be the critical variable. Planning in the dynamic city facing urgent growth problems may, in other words, be more effective because it has to be.

This conclusion supports our recommendation that the 701 program be made more flexible in order to meet the varying planning requirements of communities. It is clear that the problems of dynamic cities are different from the problem of stable cities and that the 701 program should permit, indeed it should require, that the planning program of each community be designed specifically to meet its individual needs.

The conclusion suggests, in addition, that any priority system for the allocation of limited planning funds recognize the lesser needs of stable, slow-growth communities.

On the other hand, the general ineffectiveness of planning in these communities, as judged by our criteria, does not mean that they should be no longer funded through the 701 program. As noted earlier, the savings from a single major decision influenced favorably by a planning program will probably justify its long-term costs. And an ineffectual planning program -- as in Hot Springs -- can be made effective almost overnight by changing community conditions.

D. Summary of Planning Effectiveness

The wide variations in the effectiveness of the planning programs in the 11 communities are compared in Table 3. Four programs, more than a third, were judged to be "effective", that is, they recorded affirmative responses to more than half the effectiveness criteria established. An equal number of programs were judged to be "moderately effective" and three were judged to be ineffective.

Table 3. SUMMARY OF COMMUNITY EVALUATION
OF PLANNING EFFECTIVENESS

| <u>SMSA Communities</u> | <u>Program Evaluation</u> | <u>Affirmative Responses 1/</u> |
|---|-------------------------------|-------------------------------------|
| Midwest City, Oklahoma | effective | 7 |
| Kenner, Louisiana | moderately effective | 5 |
| College Park, Georgia | ineffective | 3 |
| <u>Dynamic, Independent Communities</u> | | |
| Hot Springs, Arkansas | moderately effective | 5 |
| Murfreesboro, Tennessee | effective | 9 |
| Cullman, Alabama | effective | 8 |
| Rome, Georgia | effective | 8 |
| Wilson, North Carolina | moderately effective | 6 |
| <u>Stable, Independent Communities</u> | | |
| McAllen, Texas | ineffective | 3 |
| Edinburg, Texas | moderately effective | 6 |
| Natchez, Mississippi | ineffective | 3 |

1/ To total of 12 effectiveness criteria.

Analysis also shows significant differences in the effectiveness with which planning in these communities dealt with the individual development criteria used as the basis for evaluation. Affirmative responses recorded ranged from 2 communities for the capital improvements programming and public housing criteria to all 11 for subdivision controls. The number of affirmative community responses for all criteria are summarized and compared in Table 4 on the following page.

Table 4. RESPONSES TO EVALUATION CRITERIA OF PLANNING
EFFECTIVENESS, ALL ELEVEN COMMUNITIES

| | <u>Number of Cities With Affirmative Responses</u> |
|--|--|
| <u>Local Fiscal and Development Policies</u> | |
| Capital Improvements Programming | 2 |
| Urban Renewal | 4 |
| Economic Development | 4 |
| <u>Adoption and Administration of Codes and Ordinances</u> | |
| Zoning | 8 |
| Subdivision Control | 10 |
| Housing and Building Codes | 3 |
| <u>Local Public Facility Planning, Location and Construction</u> | |
| Schools | 4 |
| Parks and Recreation | 3 |
| Streets and Parking | 11 |
| Utilities | 7 |
| Public Housing | 2 |
| <u>Plans and Actions of Other Government Units</u> | 5 |

These variations in effectiveness can be partly explained by the criteria themselves. All the criteria were not appropriate in some communities either because a specific program did not exist or because it was not recognized as a legitimate concern of the planning function. It is also obvious that the criteria are not of equal importance in community development or in the planning process itself, and must be weighed differently in any statistical analysis.

Despite these qualifications, however, several important findings about the general effectiveness of planning programs that are established by the analysis have particular significance for the 701 program.

1. Planning in the communities studied was particularly effective in the area of zoning and subdivision controls. Planning is actually initiated in many communities through the adoption of these basic development controls, and the planning program continues as the administrative mechanism in most cities.
2. Planning has been particularly ineffective in the introduction of capital improvements programming into the local budgetary process. The comprehensive plan requirements of the 701 program include a capital improvements program. Only in Midwest City and Edinburg however, was the planning function considered to have influenced this important governmental concept, and in neither of these two cities is the program explicitly reviewed and updated annually as required to be most effective.

The failure of planning to do a better job in capital improvements programming can be partly blamed on the mediocre quality of the analysis found in most 701 plans. But a more important factor is that the city executives (the Mayor or City Manager) have not accepted the capital improvements program as a budgetary instrument, either because it is not understood or because budgetary decisions are based on political considerations that do not lend themselves to programming and budgeting processes.

The budgetary process is a pivotal point in government decision-making and planning must be an integral part of that process if it is to be of maximum effectiveness. To date, in the communities included in this study, planning has largely failed to achieve this goal. This record is not likely to be improved in small communities without a significant increase in the professional planning and other consulting services made available to the chief executive of the community on a regular and continuing basis as has been recommended.

3. Planning has been most effective in those areas that have traditionally been part of the city government structure, such as streets, utilities, and the zoning and subdivision controls cited above.
4. Planning has had only nominal influence on decisions in areas under the control of independent agencies or authorities. In fewer than half the communities studied did planning play a significant role in decisions about urban renewal, public housing, economic development, and schools. This strongly suggests that the planning function is not effectively coordinating the

activities of even local agencies whose decisions have great importance in the development of the community and supports our recommendation that the coordinating capability of local planning agencies be strengthened.

5. There is conclusive evidence that local communities are unable to control and are often unable to influence decisions by superior governmental bodies that affect the course of development within their boundaries. In fact, there is evidence that final decisions about highway locations and other important facilities are often made without prior consultation with the communities involved. Legislative or administrative requirements that the planning of facilities to be funded through Federal programs be reviewed initially with affected communities would be a major step toward the resolution of this problem. The availability of a strong planning mechanism through which these proposals can be systematically evaluated would greatly improve the city's ability to influence the decision to its own advantage, or at least to minimize its negative effects.

Determinants of Planning Effectiveness

The primary purpose of this study has been to determine whether or not the planning programs of small communities are effective. Simultaneously, we have tried to identify specific factors that influence or actually determine the effectiveness of a program.

The most obvious conclusion to be drawn is that every community is unique and that what is important in one may be unimportant in the next. There is clearly no single factor or set of factors that will insure for every community an effective program. Neither is there any single factor that can be said to be absolutely critical to the success of every program.

The analysis has confirmed, however, the importance of many factors that have long been correlated intuitively with planning effectiveness. Four factors of particular importance that bear on our recommendations for changes in the direction of the 701 program are more fully developed below.

Relevance of the Program to Community Issues

The relevance of the planning program to the issues of the community is an important factor in the determination of its effectiveness. The communities studied in this assignment often turned to planning and the 701 program because of a specific development issue and the program became effective if it made a contribution to the resolution of the issue. Programs not related to specific issues, either because the issues are not actually recognized by the community or because of program orientation, are generally ineffective.

Two case studies will illustrate the point. Planning was originally initiated in Hot Springs by the Arkansas state planning agency, although at the time there was little sense of urgency on the part of the community itself and subsequent events proved that the community was not "ready" for planning. The work of the State consultants proceeded without incident until the zoning and subdivision regulations were presented for adoption, at which time opposition formed and the planning program came to a halt. A court case against the Planning Commission eventually led to its dissolution. Several years later the State cracked down on the illegal gambling operations which flourished in Hot Springs and the loss of tourist trade caused serious economic problems in the community. In response to this specific crisis the city initiated a new planning effort. A new Planning Commission was appointed, a part-time planner employed, and this time planning has been effective.

Planning has not been effective when it has failed to be useful in dealing with critical local problems. The best example of this is provided by College Park, which was judged to have an ineffective planning program. Its failure can be attributed in large measure to its inability to deal with the problem of the expansion of the Metropolitan Atlanta Airport and the location of a major highway within the community. Because of these failures, planning has had a generally poor image among local officials and has not been effective in other areas either.

Planning is clearly judged by local officials by its ability to come to grips with immediate, pressing problems. The long-range value of plans and programs are seldom appreciated. The 701 program should be made more responsive to the need for day-to-day problem-solving capabilities through the explicit support of continuing professional assistance.

Planning in the Government Framework

The location of the planning function within local government is one of the important factors in determining whether or not planning will be effective. The Chief Executive of the Community, whether the Mayor or City Manager, usually has the power to make planning effective. This role is often reinforced in small communities by the Mayor's position in the "elite" or real power structure of the community.

The importance of this factor was shown by several of our case studies. Cullman, Alabama, initiated its planning program through the efforts of its Mayor who continues to take a vigorous role in the planning program. Cullman has the best and most rigorously enforced development controls and physical plans of all the communities studied.

Another example that illustrates the importance of executive participation was found in Edinburg where a strong City Manager was not only responsible for initiating the program but, acting as his own planner, is also responsible for its implementation. Edinburg is the only one of three "stable, independent" cities studied whose planning program was not "ineffective".

In Wilson, North Carolina, the City Manager serves on the Planning Board in an ex officio capacity and effectively wields considerable power both directly in the Planning Board and through his ability to decide which of the Planning Board's recommendations should be pushed before the Council. Wilson has one of four "moderately effective" programs in the group of 11 cities studied.

The Chief Executives, for the most part, recognize the benefits to be derived from planning and give it strong support in those cities faced with urban growth problems. They need the assistance of informed professionals in dealing with the city's day-to-day problems, preparing for bond issues, and the coordination of the activities of operating departments of the city. Several Chief Executives indicated that they were considering establishing full-time or part-time planning posts within the government, but cited a lack of funds as a reason for delay.

In light of these findings, this report recommends that the planning function be installed as closely as possible to the decision-making process centered on the Chief Executive. This can be done by providing in future 701 grants that the planner be required to report to the Chief Executive. This recommendation is not intended to eliminate the planning commission as the planning commission still can play a useful role as a form of citizen participation and as a sounding board for planning proposals.

Professional Planning Services

The quality of the professional services is clearly one of the important factors in the effectiveness of a community's planning program.

Plan Preparation. All of the communities studied had access to outside, professional planning assistance in the preparation of their plans. Of the 11 communities, five received professional services from a state planning agency, four from private consultants, and two from metropolitan or regional agencies. There was apparently no significant difference in the quality of the professionals provided by these sources. Most were young, dedicated men with Master's Degrees in City Planning who executed their assignments in a professional manner and produced reports of a generally acceptable quality.

Whether the effectiveness of planning is related to who prepares the plans (public agency or consultant) was not conclusively established by the study. Of the seven cities that used public agency staffs, one was judged

to have an ineffective program. Of the four cities that used private consultants the programs of two were judged to be ineffective. This may be a significant correlation, but there were factors in all of the "ineffective" communities unrelated to plan preparation or to the quality of the planning services that explain why the planning program has not been more successful.

The process through which the community plan is actually developed is intuitively known to influence its later effectiveness. The professional planner has an important and complex role to play in this process. Not only must he contribute a high level of professional expertise but he must also be politically astute, a sound administrator, and an effective salesman. The present 701 program is not consistent with the requirement that the effective planner perform these roles. With its heavy emphasis on producing planning reports, the program does not allow sufficient time for public relations and the development of implementation support. It does not explicitly allow the planner to participate in the urgent day-to-day problems which come before the community. Yet the ability to deal with these kinds of problems has been shown to be crucial in establishing the climate for overall planning effectiveness.

One of the recommendations of this report is that more professional planning time be funded to work on day-to-day problems and public relations, which of necessity call for a greater physical presence of the planner in the community. It is of particular importance to the success of the program that the planner be required to spend a sizable proportion of his total man-day budget in the community during the actual preparation of the comprehensive plan.

Quality of Planning Documents. There is no evidence from our studies that the slick, high powered, multi-color planning document has any relationship to the effectiveness of planning in the community. However, technical quality is essential not only to make the document useful but to establish the credibility of the entire planning program.

The quality of the planning documents evaluated for this study was on balance quite good. The overall appearance of the reports were of high quality without being flashy. The more recent reports reflect an improving technology of report production, graphics, and layouts which is impressive and commendable as long as the substance of the reports is equally good.

In terms of substance, the reports were found to have a strong reliance on secondary source data such as Bureau of the Census materials, much of it developed from larger geographic units and interpolated or extrapolated down to the community. It is apparent from reading the reports and from the interviews that a large part of the planner's time is spent on basic data collection. Much of the data is not really usable as predictive tools in the small community -- particularly in such areas as labor force, health statistics, geological studies, etc. -- and the analysis was frequently weak or nonexistent. All too often the sum total of what was produced through 701 grants consisted of a mass of background data, a comprehensive plan based on existing land use study and a population forecast, modified by rule-of-thumb standards relating to the provision of public facilities. The plan often had few direct links with the background data and little connection with the necessary implementation steps required.

The result of this approach is often the preparation of a plan which though technically acceptable is beyond the financial means and administrative capabilities of the city to implement. A frequent criticism of the plans in the communities was that they contained good ideas but were not realistic; that they concentrated on the long-range aspects of planning without sufficient step-by-step implementation procedures.

The single most apparent flaw in the planning documents produced under 701 grants and reviewed in this study was their failure to indicate what the community should do tomorrow and next year. The capital improvements and fiscal sections of many of the reports were poorly conceived and of

little practical value. They usually consisted of a listing of the projects called for in the plan along with a gross estimate of cost without meshing these proposals into a usable financial policy for the community.

One of our principal recommendations is that the emphasis on the production of long-range plans under 701, and particularly the collection of background data, be shifted in favor of a greater amount of professional time actually in the community. The plan remains an essential part of the planning process, however, and its importance is not basically changed by this recommendation. It is therefore important that their utility be improved. The indicated deficiencies in the current planning documents cannot be entirely eliminated as long as planning is performed by humans, but substantial improvements can be brought about by the above change in the 701 program and others that have been recommended in the report.

A primary benefit of the increase in professional time spent in the community would be the opportunity to test ideas and develop feasible solutions to problems with local officials who are directly concerned with and must implement the proposals once adopted. This would remove the plan from the "good idea" category and make it a useful, workable document.

Continuing Planning Assistance. The evaluation study revealed a strong correlation between planning effectiveness and continuing professional planning assistance. Every community except one which was judged to have an "effective" or "moderately effective" program has made planning a continuing process with the participation of professional planners. Murfreesboro, Midwest City, and Rome each have planners in residence. Hot Springs has employed a planner on a half-time basis. Kenner, Wilson and Cullman have arrangements for continuing assistance either through a consultant or a state local assistance program. Only Edinburg had a program that was operating effectively without periodic professional assistance, and the City Manager there was judged to be a good substitute.

One of the recommendations of this report is that the 701 program be modified to provide support for continuing planning assistance to small communities which will provide the physical presence of the planner in the city. It is probably impossible to establish full-time resident planners in each small community throughout the United States; there are not that many qualified individuals nor would a small community offer sufficient challenge to a fully qualified planner. However, the problem can be met by communities sharing the services of a planner, the use of consultants on a continuing annual contract basis, or the development of a "planning technician" who could respond to the day-to-day needs of the community and be supported by specialized consultants bringing additional expertise to the more difficult planning problems. In any case, the 701 program should develop a flexible framework within which to fund these alternative ways of providing continuing assistance to small communities.

Administration of 701 Program

The administration of the 701 program at the Federal and State levels has had a negative influence on the effectiveness of local planning programs. It is difficult to "prove" this conclusion because it is hard to provide specific tangible examples. The conclusion is based more on a feeling of frustration and concern that was frequently voiced during interviews at the regional level of HUD, with State administrators of the program and with people in local communities. Essentially the complaints centered in various ways on the total time to get local programs underway. Nearly everyone interviewed thought the time gap in processing 701 materials was excessive and caused problems at all levels.

Local Planning. Local planning programs were reported to have been delayed up to one year or more from the time of application to the time work was actually underway. This meant that the momentum generated by the submission of the original request for funds was often lost. When the original request for 701 funds was tied to an immediate action problem in

the community (as was frequently the case), the delay meant that valuable time was lost in developing proposed solutions. Sometimes local administrations changed during the waiting period which further hindered the planning program once it got underway.

In many of the local communities respondents expressed a general uneasiness about "Federal money". This reflected a feeling that somehow the local community would be trapped into doing something (generally unspecified) which the local community does not want to do. This is in fact a vague feeling that local objectives for the community are not totally in agreement with national objectives. As a result, a game is played whereby the community attempts to receive as much money as possible with the minimum commitment for specific actions. The 701 planning program was not cited as being a major factor in this fear, but the urban renewal program and the workable program both were frequently mentioned in these terms.

Another point voiced several times was the feeling that Federal money cut local initiative. This complaint was illustrated by Wilson, North Carolina which allowed its privately initiated downtown development program to die because a substantial group of people felt they were foolish to spend their own money when Federal money was available. It is obviously politically hazardous to urge the spending of local money when there are Federal programs available. This could be overcome with a procedure for communities to get some form of credit for monies spent directly or eligible projects.

State Planning Agencies: There is no particular similarity among the States as to where the 701 administrative function is located. In Texas it is in the Health Department; in Oklahoma in the Industrial Development and Park Department; in Arkansas in the Arkansas State Planning Commission; in Louisiana in the Department of Public Works and in North Carolina in a Division of Community Planning within the Department of Conservation and Development. These various agencies also have widely

differently. In Louisiana, North Carolina and Arkansas the planner in charge tries to stimulate communities in his State to enter the program. Others, such as those in Alabama and Mississippi, feel they should respond only when contacted by the community.

In Texas none of the four people administering the program are planners, but in most States a planner is in charge or planners are on the staff. Unless the State is playing a role in actually providing technical services to the communities the staffs tended to be small -- between two and five professionals.

Most of the States complained that they were understaffed and not able to give the field support that they thought desirable. They also felt they were not able to keep close enough check on the work of the consultants in the various communities.

One of the recommendations of this report is that a shift be made away from funding specific planning studies to providing continuing planning support through "block grants" to the States to be distributed to the various communities on an annual basis. To be successful, this will require a major overhaul of the State's administrative machinery. It will be essential to require professional competence within the State agency and a location for the planning administration agency at an appropriate level within State government.

The States generally view their relationships with the regional offices of HUD as friendly. This is not to say that they are satisfied with the way things are done. Their complaints centered on the great time lapses between the submission of project requests and approvals. They also expressed concern at the tendency of the regional offices to fail to respond promptly to questions and information requests. They cited instances where routine letters went unanswered for three to six months. Their problem is further accentuated because consultants seem to be in more direct contact with the regional offices and frequently receive information in advance of

the state agencies. This they feel puts them at a disadvantage when dealing with consultants.

Another complaint repeated several times was over the difficulties created by program memoranda and policy changes which carried a retroactive or immediate implementation element. This causes difficulty in revising materials already in the pipeline at considerable cost in time and money.

Beside the obvious need to simplify procedures and generally accelerate operations, the States felt strongly that there was not enough contact between the regional staffs and the State staffs. They would like to see the regional people visit State offices more and provide a field liaison service.

HUD Regional Offices. The regional offices generally reflected a desire for greater autonomy from the HUD office in Washington. They too expressed concern over the amount of time it took to obtain responses from Washington on various program matters. They felt that they should have greater control over setting budget amounts and be given the responsibility to waive various requirements when their local knowledge of the situation warrants. The regional offices indicated a desire to participate more directly at the State and local level of the program, but complained that they were too understaffed to do this at present.

The problem of coordination between Federal programs is becoming acute. There is a great need for establishing better machinery to coordinate programs both within HUD itself and with other agencies of the Federal Government. The local communities frequently voiced concern over the locational decisions made by other Federal agencies -- particularly the Post Office Department -- which were not done in consultation with the local communities. They cited the paradox of the Federal Government paying for them to plan and then totally ignoring their plans in making Federal investments in local areas.

This problem is crucial in the establishment of effective and meaningful local planning programs. This report recommends that a system be evolved whereby local communities that have demonstrated a competence in local planning be given a bigger voice in what other Federal Government agencies do in their areas. The 701 program is the logical vehicle to facilitate decentralization of the coordination function of Federal, State, and local programs to the local level.

Section III. PRESENT PROGRAM: RECOMMENDATIONS FOR IMPROVEMENT

Section III. PRESENT PROGRAM: RECOMMENDATIONS FOR IMPROVEMENT

Recommendations for a basic shift in the orientation of the 701 Program were outlined in the first section of this report. These recommendations reflect the principal conclusions derived from the overall study of planning effectiveness in 11 small communities in the South and Southwestern sections of the country.

We believe these recommendations are sound, responsive to the present and emerging needs of communities under 50,000 population, and workable. The recommendations would extend the 701 Program into an evolutionary new phase that builds on the solid foundation established through 13 years of operation. At the same time, we recognize that these recommendations require careful and thorough study before they can be implemented. We further recognize that the recommendations may not be accepted.

Accordingly, we have developed a set of specific recommendations for improving the 701 Program within its present structure that could be adopted more expeditiously and that would correct many of the administrative and substantive deficiencies of the program that were revealed by the community analysis and other research undertaken for the total study.

The Technical Content of the 701 Financed Plan Program

Evaluation of the documents prepared under the 701 Program has shown that there can be a substantial modification of materials requirements without affecting the value of the overall product. Specifically, the following changes are recommended:

1. Selectively reduce the data inputs required. Many of the present basic data reports contain large masses of assorted data gathered from secondary source materials which are presented without significant analysis and contribute little or nothing to the actual plan recommendations. There is a tendency to use

repetitive materials ("boilerplate") to a large degree. Part of the reason for this is the program requirement that a list of studies be completed without regard for the actual usefulness of a particular study in a community. At a minimum, professional resources are wasted in routine data collection instead of plan preparation.

It is recommended that greater flexibility be allowed in the selection of data inputs for the planning program and the actual components of the comprehensive plan. The program should be designed to meet the problems and issues of the specific community.

2. Accelerate Plan Preparation. At present, most planning contracts extend for 18 months to two years. The total time lapse may be appropriate (see point 3 below), but the length of time before the community obtains useful materials is frequently excessive. For example, there is no reason why the subdivision ordinance -- which is largely standard language anyway -- could not be provided within sixty days. The development plan could be available within nine months, especially if the revised approach to data inputs suggested above is followed, and the zoning ordinance within one year.

One of the reasons why this is not done now is that the payment schedule is set on a monthly basis throughout the life of the contract and the consultant has no incentive to compress the document production period.

3. Allow More Time for Follow-Up and Implementation. By accelerating the production of the planning products within the first year of the contract it is possible to develop contractual commitments of follow-up and continuing support. This would substantially assist in making the planning program effective in the local community. Far too often the professional planner leaves the program at the end of his contract or just when the momentum created by the presentation of the plan and supporting documentation is at its highest.
4. Broaden Financial Support for Studies of Special Problems. Local communities frequently turn to planning because of one or more particularly difficult local problems. Their ability to obtain useful professional advice for dealing with these problems often determines their receptivity

to the full planning program. Special studies are now permitted within the 701 Program, but the range of studies and the amount of financial support is limited and greater flexibility is recommended.

Improving Professional Services

There is no doubt that some poor and incompetent consulting has been done under the 701 Program. It would be almost impossible to eliminate it, but steps can be taken to improve the situation. Perhaps the biggest problem lies in the feeling of many of the best professionals in the country that they do not want to undertake 701 planning work if they can avoid it. Their complaints seem to rest in three main areas: 1) the restrictive scope of services called for in most projects; 2) the long time delays in getting work started after the community has selected their professional assistance; and 3) the extreme difficulties in getting paid, particularly the final payment which can take a year or more for processing. The administrative problems on processing 701 Program materials simply must be improved to permit consultants who have a choice of alternative work opportunities to select 701 contracts as an area of professional interest.

Making 701 work more attractive to the best professionals is only part of the problem solved. It is still necessary to put more pressure on the incompetents in the field. This can be done in several ways:

1. As a part of the planning contract there should be requirements for the physical presence of the planner in the client community. This could be in the form of some days for local data collection and interviews, so many meetings with local officials, so many meetings for educational purposes, etc. The physical presence of the planner is one of the important factors determining planning effectiveness in any case, but in the context of this recommendation, it also should assist in "exposing" incompetent professionals. It is one thing to be able to produce reports largely through "boilerplate" techniques, but quite another to meet with the client over a long period of time on a face-to-face basis.

2. The States should install sets of criteria for the approval of professionals participating under the 701 Program. This has been done in several States and should be extended. The only crucial point is that the criteria be properly drawn in recognition of the wide variety of professional skills necessary. Federal guidelines in this area could be of assistance.

3. The States should consistently monitor the 701 work from a professional point of view. This could entail setting up an evaluation team in each State to act as field representatives, attend local meetings, review reports, visit consultants offices and so forth.

Increasing Local Responsibilities

The local communities should be required to increase their sense of responsibility under the 701 Program. This is a difficult area for recommendations because the very nature of the local communities vary so greatly, but several points can be made.

1. Local financial participation should be increased. This participation could be a non-cash contribution in the form of services of the community's professional staff for data collection and analysis as well as office space, etc. One of the problems hindering planning effectiveness in some communities is the feeling that they are getting something for next to nothing. This places the consultant in the position of an advocate and the community as the "jury". This can be a particular problem when planning is undertaken only for the purpose of meeting the requirements of urban renewal or other Federal programs. A larger financial share and the commitment to contribute specified services to the program would more directly involve the local community in the total planning process and increase the effectiveness of the program.

2. As the planning ability of the local community is increased they should be given an increasing voice in the coordination of Federal and State programs and projects which affect the local community. The details of how this should be carried out and under what criteria

are not within the scope of this report, but the principle if developed would be a clear incentive for local communities to assume a greater responsibility for local problems.

Increasing State Responsibilities

The States have responded to the 701 Program in a wide variety of ways. Some States have set up large consulting organizations which actually do most of the planning work for local communities. Others have very small staffs assigned to a variety of State departments with little or no professional competence in the field of planning whose only function is to process applications for 701 assistance.

It is recommended that the States be asked to assume an ever increasing role in the 701 Program. The State should have the professional responsibility for review and evaluation of applications and content of 701 work. It should have considerable flexibility in assigning 701 funds to local communities according to criteria prepared by the State, but approved by HUD. In some cases it will take some time to bring the State planning agencies up to a satisfactory level of capability and a flexible approach on the part of HUD will be required during the interim period, but it should be made clear that the continuing participation of a State in 701 will be dependent on the State meeting its responsibilities under the program.

Some consideration should be given to the pros and cons of the State filling the role of the consultant to the local community. If the burden of responsibility for professional review and supervision is vested in the State and they act as the consultants as well, they would in fact be reviewing and evaluating their own work. There is also the question of whether the establishment of what amounts to a monopoly in planning services in a State is in the long run best interests of local planning. Several of

the States studied fall in this category presently. We have taken no position on these questions, but raise them for further consideration by HUD.

Recommendations at the Federal Level

This entire report is essentially a recommendation for change in the direction of the 701 Program. The various implications in terms of Federal procedures and legislative changes remain to be worked out if the basic principles advocated here are accepted. There is no need to repeat these recommendations with one exception. Regardless of what direction the 701 Program takes or even if it remains essentially as it is today the time factors involved in the review of applications must be accelerated.

The time of review of 701 applications was reported as frequently running up to one year or more. There are no technical reasons for this in terms of analysis. The reasons seem to lie with a general understaffing, duplication of review procedures at state, regional and Washington levels, and with overall program budget factors. The damage of these time delays is significant. The examples most often cited were: loss of local interest, turnover of local administration, and inability to obtain funds for professional assistance to deal with the crucial problems that stimulated the planning effort in the first place at the time they are needed. This problem must be solved if planning is to be more effective in the local communities coming into the program for the first time.

Other recommendations regarding the Federal role in the 701 Program include:

1. Changes in policy sent out as directives are frequently disruptive at the regional and State levels and more consideration of the necessary lead time is needed.

2. The planning requirements of various Federal programs both within and outside of HUD should be better coordinated to reduce the complexities of response at the local level.
3. Efforts should be made to reduce the overlap in Federally sponsored studies undertaken by various departments.
4. There is a need for increased personal contact between the policy-makers at the Washington level of HUD and the regional offices and between the regional offices and the States. The field representative idea used successfully in the urban renewal program should be tried in the 701 Program.

APPENDIX A

Community Case Studies

PREFACE TO APPENDIX A

The 11 community case studies in this Appendix provided the basis for evaluating the effectiveness of planning in the South and Southwestern sections of the country. The research procedures used in analyzing the individual programs are outlined in Section II of the main body of the report.

The actual evaluation of the individual programs reviewed in these case studies is also included in Section II.

The case studies are presented in the following order:

- A-1 Midwest City, Oklahoma
- A-2 Kenner, Louisiana
- A-3 College Park, Georgia
- A-4 Hot Springs, Arkansas
- A-5 Murfreesboro, Tennessee
- A-6 Cullman, Alabama
- A-7 Rome, Georgia
- A-8 Wilson, North Carolina
- A-9 McAllen, Texas
- A-10 Edinburg, Texas
- A-11 Natchez, Mississippi

Appendix A-1
COMMUNITY CASE STUDY
OF
PLANNING EFFECTIVENESS
MIDWEST CITY, OKLAHOMA

I. COMMUNITY CONDITIONS

Midwest City with 43,000 population is, in one sense, a "boom" town. It developed from nothing in the past 25 years and is now part of the Oklahoma City SMSA. Tinker Air Force Base, located adjacent to the City, is the largest employer of the residents, and has always been the chief economic mainstay.

In 1941 W. P. Atkinson, an Oklahoma City builder, gained control of farm land located nine miles from downtown Oklahoma City and adjacent to a site proposed for Tinker Air Force Base. This base was to become the world's largest air depot. Atkinson developed a permanent city housing 10,000 persons, complete with schools, churches, and shopping centers. Seward Mott, a city planner and engineer, was retained to design the new town. What developed was a tightly controlled subdivision catering to middle income people whose livelihood was tied to the air base. Aside from single dwelling houses, a few apartment buildings and a shopping center were built. The shopping center lay directly across from the main entrance to the air base along the major highway route into Oklahoma City. A town hall and off-street parking facilities were also provided and a street layout which excluded through traffic from the residential areas was designed. The developer and principal land holder of the town was Atkinson.

The original Midwest City developed in a one square mile area. From the beginning its average income was considerably higher than other cities. Good schools were provided and the air base proved to be a strong industrial base. There was no influx of minority groups. Today this part of the city is void of social problems normally associated with other towns.

Midwest City remained what could be described as a suburban bedroom community until the late 1950's. At that time Oklahoma City began an intensive drive to annex areas near to and adjacent to its city limits. Atkinson, still very influential in Midwest City, did not oppose the annexation but a political faction grew up to fight the central city's expansion. This was the first organized opposition to Atkinson. An era of what could be termed "anti-Atkinson planning" began in Midwest City. This was partly to stop the thrust of annexation and partly to provide a show of force against Atkinson and his development policies.

During the early 1950's, Midwest City had annexed and grown to include other subdivisions built by Atkinson. Up until this time these areas had been built either by Atkinson or under tight subdivision regulations controlled by Atkinson. The town had continued to develop in the spirit of the first development. The newness of the city has made it relatively free of substandard housing.

In a move to off-set Oklahoma City's drive to annex huge land areas, Midwest City annexed twenty-three square miles of adjacent land between 1957 and the early 1960's. These newly annexed areas gave an entirely new complexion to the town and created a myriad of new problems. The annexed areas had been part of the County and had developed without any land use controls. The population did not participate in the air base's employment and their incomes were much lower than those who lived in the original developed areas. They were mainly farmers and described generally as "a sub-culture". The population had suddenly become diverse, social problems introduced and a new political base created.

Physically, Midwest City can be described as two distinctive types: one, a tightly controlled subdivision development and the other a vast area of semi-developed land with a mixture of incompatible land uses. The original shopping district has not been controlled and the major east-west thoroughfare is predominantly strip-commercial in character.

Oklahoma City's boundaries have crept to the edge of the community's boundaries and Midwest City is an integral part of the SMSA. It is large enough now that part of its employment commutes into Oklahoma City. However, the majority still depend on the air base for employment.

Major Problems and Issues

- The City is divided economically, socially and physically.
- Over 60 percent of the population depends on Tinker Air Force Base for employment. Constant threats to close the base create an unstable situation.
- Well over half the land area is untidy, dispersed and mixed in land use. Controls were designed to meet standards of development of a different nature.
- Air base flight patterns cause land values to fall in certain areas.
- Apartments developed during World War II are an eyesore and placed poorly in the City. They do not qualify for urban renewal.

II. LOCAL PLANNING FUNCTION

The first square mile developed in Midwest City encompassed all the latest planning techniques available in the 1940's. Overall, the residential area is pleasing and well-planned, but there is an absence of sidewalks, parks and pedestrian ways. This is a reflection of the lack of available money during the war years. In spite of these deficiencies, the original part of Midwest City reflects that careful thought that went into its development.

Without a doubt Atkinson was the controlling force in Midwest City during the early years. During this time, Atkinson continued to develop land

outside the original one square mile and purchase choice development sites in adjacent but undeveloped countryside. Consequently, he controlled all choice building sites. This investment had an important effect on later planning efforts. As the town grew in the 1950's Atkinson's influence and control over development diminished. When Oklahoma City forced Midwest City to begin annexing in 1957, the City Council realized it needed outside planning help to regulate and control these new areas.

Lee Rogers, a University of Oklahoma planning professor and consultant, prepared the first long range plan in 1959. Rogers was particularly interested because of Midwest City's unique origins and because of its kinship to the English new towns. In Rogers' words, "All the traditional things were put in: zoning, subdivision regulations and the like." By the time the plan was presented, the city had grown from one to five square miles. Rogers has remained a consultant since that time.

In 1961 a full-time planner was hired who remained in Midwest City until 1965. He was succeeded by a former student of Rogers' from the University of Oklahoma. The plan was up-dated in 1961 to include the annexed areas.

III. COMMUNITY PLAN AND PLANNING DOCUMENTS

- A Plan for Development - Midwest City, Oklahoma, (1958)

The 1958 comprehensive plan was prepared by Institute of Community Development of the University of Oklahoma. The community plan includes sections on general background, population, land subdivision and public improvements, land use zoning, traffic, parking and streets, education and recreation.

The plan was well thought out and reflects the professional competence of the planning staff at the University. The planning principles that were incorporated in the study were basic in concept.

The zoning ordinance and subdivision regulations were adopted immediately. The plan did not anticipate the annexation activity which was to follow, and its effectiveness was therefore weakened. This was remedied in 1961 with a revision and addition to the 1958 plan to include these new areas in the plan.

IV. EFFECTIVENESS OF PLANNING PROGRAM

Local Fiscal and Development Policies

Capital Improvements Programming. No fiscal planning was done in Midwest City until the past year when a \$5.5 million capital improvements program was prepared. It included all key elements to the plan, including funds for a civic center, a recreation area, a hospital, and road improvements. The items were specifically tied to sites recommended in the plan. The civic center was to be tied to a new commercial center that would serve as the new business district of the town. All items except the hospital funds were defeated at the polls in August (1967).

Urban Renewal. There has been no urban renewal in Midwest City.

Economic Development. There have been no economic development policies formulated through the planning process. Consideration is now being given to diversification of industry in the event that Tinker Air Base should close, but the planning agency is not involved in these deliberations.

Adoption and Administration of Codes and Ordinances

Zoning. Zoning is the least understood of all issues in Midwest City. Six to eight percent of all land is zoned for commercial uses and the Council seldom refuses other commercial zoning proposals. The Council is split on zoning and what it should accomplish. Many officials feel that there has

been no material damage to the overall plan through spot zoning, which has been permitted only on two thoroughfares. Spot zoning became a political issue in the legislative body, and it was recommended that the Planning Commission be given more regulatory power to control it. When the Planning Commission has attempted to adhere to the plan, the Council often overruled them on political grounds. The plan has had a limited effect on these decisions.

Subdivision Regulations. The subdivision requirements, adopted in 1959, were modelled after those in Santa Clara County, California which Midwest City considers to be the best in the United States. These regulations also tried to reflect the high standard set by Atkinson in the initial development of the City.

The concept of "Neighborhood Planning" has been introduced to help control development in the undeveloped eastern area. The area was divided into six sections and a proposed neighborhood development plan designed for each. Present ownership lines were taken into consideration and each section was divided to show how the land could be subdivided to fit into the overall plan. Property owners are not forced to follow this plan but are required to come up with something better if they do not. There has been some degree of success particularly in road alignments and sewer locations. The city estimates it has been able to save over \$10,000 in road alignments alone. "Not a single time have home owners gone against this line of thinking -- this neighborhood planning. If it had not been for 701 planning Midwest City would be confronted with a lot more development problems than they are at present."

Housing and Building Codes. Housing and building codes were institutionalized with the adoption of the 1959 plan. However, they are only enforced on a complaint basis and are extremely difficult to enforce in the newly annexed areas.

Local Public Facility Planning; Location and Construction

Schools. The Superintendent of Schools has not used the plan. The school system covers parts of Midwest City, Del City, Oklahoma City and the unincorporated parts of the county. A plan in Midwest City would not be applicable for the entire area. He described his approach as "Planning for Action" versus the City's "Planning for the Long Range." The Board does its own planning and site selection based on where new development is actually taking place.

Recreation. One of the key issues defeated in the August capital improvements program was a recommendation for funds to acquire a 200-acre park in the middle of the City. There was not much hope of obtaining the acreage until the FHA decided not to insure mortgages in the area because of the Air Base's flight pattern. It had been designated in the plan as a proposed park before the FHA ruling. With defeat of the bond issues, the future of the park is uncertain.

Streets and Parking. The comprehensive plan dealt with the transportation system in some detail, especially in road alignment and street widening, and it has been very effective in dealing with these issues. An interstate highway route was located alongside the main east-west thoroughfares between the CBD and Tinker Air Base, but it took government property and the City had no part in the decision.

Utilities. Midwest City's water and sewer program was described as being one of the best in the state of Oklahoma. It resulted from two factors: one, a high standard set by Atkinson in the original development, and two, available 701 funds to do an adequate study for the future. Atkinson's early engineering work was praised and the City Engineer asserted that mistakes that normally make life difficult for a city engineer by developers were averted by Atkinson. The roads, drainage and water system, and houses were of high quality and have not created any expense to the City.

Public Housing. There is no public housing in Midwest City.

Plans and Actions of Other Government Units

Relationships between Midwest City and the Federal Government are excellent. The location of Tinker Air Base makes Midwest City an impacted school area. The City Council is extremely cautious in dealing with the Federal authorities. However, the relationship between Midwest and Oklahoma City since the annexation issue in 1957 has not been very good. Midwest City refused to join the Area Council of Governments (ACOG) for several years, and uses its membership as a veto power over ACOG decisions.

Summary of Findings

The table that follows summarizes these findings about the role of planning in public decision-making in Midwest City.

SUMMARY OF FINDINGS
INFLUENCE OF PLANNING IN DECISION-MAKING

MIDWEST CITY, OKLAHOMA

| | Influenced by Planning | | |
|--|------------------------|----|------------------------------------|
| | Yes | No | Not Known Or Not Appropriate |
| <u>Local Fiscal and Development Policies</u> | | | |
| Capital Improvements Programming | X | | |
| Urban Renewal | | | X |
| Economic Development | | X | |
| <u>Adoption and Administration of Codes and Ordinances</u> | | | |
| Zoning | X | | |
| Subdivision | X | | |
| Housing and Building Codes | X | | |
| <u>Local Public Facility Planning, Location and Construction</u> | | | |
| Schools | | X | |
| Parks and Recreation | X | | |
| Streets and Parking | X | | |
| Utilities | X | | |
| Public Housing | | | X |
| <u>Plans and Actions of Other Government Units</u> | | | X |
| Total Responses | 7 | 2 | 2 |

V. SUMMARY EVALUATION AND IDENTIFICATION OF KEY FACTORS

The planning function in Midwest City has made a significant impact and is judged to be very effective. Planning accomplishments can be broken into two main divisions: those resulting from the first plan of 1959, and those resulting from the updated plan of 1961 which was adjusted for the annexed area. The first plan maintained property values established in the 1941 Atkinson development and set standards for the City to follow. The updated annexation plan had value in dealing with development of the newly annexed area by extending the principles set in the first plan to the rest of the City. The real impact of the plan in this area remains to be seen.

According to local officials the plan has been followed "to a degree." Annexation activity erased the effectiveness of the original plan and left the city without any basis on which to make decisions. The 1961 update corrected this. It became evident that the council needed something to rely on. The updated plan was criticized because it "lacked the ability to get to the decision makers and have them follow the plan." However, it was agreed the plan is not the problem, but that decision makers cannot get together on items suggested in the plan. The consultant and planners have been invaluable in making the plan work as well as it has.

The high level planning goals in Midwest City had their roots in a strong City Manager and foresighted private developer. This alliance, until a few years ago, controlled the development of Midwest City, when a political turnover brought in a mayor who opposed planning. However, private and public planning operations were not disrupted due to the presence of a cooperative City Manager and a well-respected planner.

Special interest groups have a great deal of influence but look to the planning operation as a guide. Quite naturally, they have not always agreed with the plan's recommendations, but in general accepted the basic philosophy that planning is needed.

Most recently the Mayor has been one of the chief hindrances to a unified planning operation. The Mayor's opposition was not directed towards "planning" per se, but more as a weapon to fight political foes. The Manager and Planner have found themselves inadvertently aligned against the Mayor, and part of the Council.

Planning in Midwest City is at a difficult stage. Local officials are in favor of planning but feel it is a mistake to evaluate it in terms of "right now." According to community leaders, planning was making head-way in becoming accepted. However, a \$5.5 million capital improvements program, advanced by the City Manager and planner, was defeated in August (1967). Local officials are confident this program, which is based on the updated plan, will pass the next time it is presented to the public. Officials have generally accepted the "planning of a program," but day-to-day and month-to-month operations are very dismal and slow. The citizens, more than ever before, are beginning to look to City Hall, if not towards planning itself, as a solution to bringing the City together.

The major factors influencing Midwest City's planning program are considered to be the following:

1. A tradition of planning from the earliest development stages.
2. The availability of a State Agency, and a consultant to provide continuing planning.
3. The institutionalization of planning program in City Hall.
4. The presence of a Mayor, City Manager and Planner to carry out the planning program.

Appendix A-2

COMMUNITY CASE STUDY
OF
PLANNING EFFECTIVENESS

KENNER, LOUISIANA

I. COMMUNITY CONDITIONS

Kenner, a part of the New Orleans SMSA, is located in Jefferson Parish 10 miles west of New Orleans. The single largest employer in the city is the New Orleans International Airport. Additional economic activity is concentrated in wholesale and retail services serving Kenner and New Orleans. Kenner is a bedroom community and the majority of its residents commute to and from New Orleans. The average household income in 1960 was about \$5,800 and is currently estimated at about \$7,000 per year, reflecting the high salary of those employed at the airport and downtown New Orleans.

Before World War II Kenner was practically undeveloped but since then has experienced a very rapid rate of growth. The 1967 population was estimated at about 25,000, an increase from 17,040 in 1960 and 5,540 in 1950. The nonwhite population increased from 1,920 in 1950 to around 5,400 in 1967. Home ownership is very high in Kenner, rising sharply over the years due to the influx of people from the Central City to the suburbs.

The city limits of Kenner are fixed in three directions -- on the north by Lake Pontchartrain, on the west by the St. Charles-Jefferson Parish boundary and on the south by the Mississippi River. While there is adequate land for future growth any further extension of the city's boundaries must come through annexation of unincorporated areas to the east.

The topography of the land is flat and below sea level. The elevation and softness of the land creates construction problems and results in higher costs due to the necessity of having to use fill and/or foundation piles in building.

Because of its proximity to New Orleans there is no central business district or first-class retail center. There are, however, a large number of small shopping centers throughout the city -- food stores, dry cleaners, and branch banks -- which are located on major north-south streets. Two major east-west thoroughfares from Kenner to New Orleans -- Airline Highway and Veteran's Boulevard -- are devoted entirely to strip-type development. Traffic along these major thoroughfares is heavy.

The city is generally in good condition with the majority of the residents living in post-World War II housing. However, the original part of the community is old and physically deteriorating. In recent years, new development has taken place away from this area north towards the airport, and the older part has become obsolete. Unfortunately, little is being done or considered to rejuvenate this area.

Major Problems and Issues A

- The city is below sea level and susceptible to flooding
- Extensive strip commercial development along major arteries
- Population increases creating demands for public services

II. LOCAL PLANNING FUNCTION

Planning was started in 1956 with the creation of a Planning and Zoning Board. Its primary responsibility was to draw up a zoning ordinance for the city. This was the extent of planning until 1957 when application for 701 funds was made to the Louisiana Department of Public Works. With the approval and granting of funds, Dan S. Martin and Associates, Planning Consultants from New Orleans, was retained. Studies were made for a major street plan, a recreation plan, an annexation study, zoning ordinance, subdivision regulations, and street naming and property numbering ordinance.

Upon completion of the Master Plan, Martin was retained as a technical consultant on a part-time basis until 1962. The present planner was hired on a retainer basis and has provided through 701 funds an updated major street plan, a revised subdivision ordinance and a land use study.

III. COMMUNITY PLAN AND PLANNING DOCUMENTS

The Master Plan incorporates the following reports:

Annexation Study, includes a discussion on reasons for annexation, the selected areas, benefits and recommendations.

Street Naming and Property Numbering Ordinance, an ordinance establishing a uniform system for naming streets, numbering structures, and providing methods for enforcement.

Major Street Plan, includes a report and maps on the factors, standards, traffic movement and details on different types of areas (CBD, apartment area, residential, airport and parkways) and their implication on street design and traffic movement.

Subdivision Regulation, Zoning Ordinance, Land Use, and a Recreational Plan make up the remainder of the Master Plan.

These individual studies represent the Kenner Master Plan. Revisions or updating have produced revised studies for the Land Use Plan, subdivision regulations and the major street plan.

Publication of the plan formalized the use of planning principles as a method for regulating growth and problem solving. However, the plan lacked a thorough economic analysis, housing survey, and neighborhood analysis.

IV. EFFECTIVENESS OF PLANNING PROGRAM

Local Fiscal and Development Policies

Capital Improvements Programming. A capital program was prepared and recommended by the comprehensive plan but never adopted. The city operates on a year-by-year budget. Financial planning in the community is more along the lines of short or medium range, preventive or stop-gap measures.

Urban Renewal. Urban renewal for private redevelopment is not legal in the State of Louisiana.

Economic Development. The planning consultant has been involved in promoting economic development in Kenner in two ways. One, he has worked closely with community leaders in determining industrial potentials and consulting with the City on the types of industry suitable for development. And, two, the planner has assisted the community in the selection of a site for and the development of an industrial park. Both water and sewage have been extended to meet the anticipated needs of industrial plants expected to locate in the park.

Adoption and Administration of Codes and Ordinances

Zoning. The present zoning ordinance was adopted by the City as recommended by the plan. The ordinance has been used effectively to stop commercial encroachments in new residential development areas and has aided the City in controlling commercial clusters along major streets and highways.

Subdivision Regulations. Subdivision regulations were adopted originally as recommended by the plan. Those regulations have since been revised and further revisions are now being considered.

by the Council. The planning consultant has been partly responsible for the incorporation of higher standards into the regulation through these revisions.

Housing and Building Codes. Housing and building codes were recently adopted, but are unrelated to the planning program of the City.

Local Public Facility Planning, Location and Construction

Schools. The planning program has had no apparent impact on location of public schools within the City. The school system is operated by the Parish (i.e. County). The City has no control over the decisions of the Parish nor is it consulted on school location.

Recreation. The comprehensive plan included a recommended system of recreation facilities but no implementing actions have been adopted.

Streets and Parking. The comprehensive plan's recommendations for major streets have been used effectively in local street planning and have had little effect on the location of state and federal highways. While the City preferred that an existing east-west thoroughfare be used as the alignment for Interstate Highway 10, the State Highway Department selected a route which will bisect the city on the basis of broader regional objectives.

Utilities. The land use plan has greatly aided the City Engineer in identifying the future growth areas and future land use and enabled him to reach intelligent decisions in the location and type of sewer lines. The plan also aided in the location of the garbage treatment plant.

Public Housing. There is no public housing in Kenner.

Plans and Actions of Other Governmental Units

There is no official planning organization to coordinate local and regional programs in the New Orleans Metropolitan Area. In the absence of such a mechanism, Kenner has little or no influence over regional decisions that affect the City's development.

On the state level the State Highway Commission was criticized for their approach to locating Interstate Highway 10 without consulting the local community. The community felt that since they had adopted major street plans which were on record, the state should have utilized one of their major east-west thoroughfares as the Kenner portion instead of designating another east-west right-of-way through Kenner.

On the city-parish level there seemed to be little cooperation or coordination, except in schools and water which are run on a parish or district level.

Summary of Findings

The table that follows summarizes these findings about the role of planning in public decision-making in Kenner.

SUMMARY OF FINDINGS
INFLUENCE OF PLANNING IN DECISION-MAKING

KENNER, LOUISIANA

| | Influenced by Planning | | |
|--|------------------------|----|------------------------------------|
| | Yes | No | Not Known Or Not Appropriate |
| <u>Local Fiscal and Development Policies</u> | | | |
| Capital Improvements Programming | | X | |
| Urban Renewal | | | X |
| Economic Development | X | | |
| <u>Adoption and Administration of Codes and Ordinances</u> | | | |
| Zoning | X | | |
| Subdivision | X | | |
| Housing and Building Codes | | X | |
| <u>Local Public Facility Planning, Location and Construction</u> | | | |
| Schools | | X | |
| Parks and Recreation | | X | |
| Streets and Parking | X | | |
| Utilities | X | | |
| Public Housing | | | X |
| <u>Plans and Actions of Other Government Units</u> | | X | |
| Total Responses | 5 | 5 | 2 |

V. SUMMARY EVALUATION AND IDENTIFICATION OF KEY FACTORS

The position of Kenner as a bedroom community in a large metropolitan area has placed restrictions on the ability of the community leaders to implement an active planning program. The residents of the community still have strong ties to New Orleans and other areas they once lived in.

Overall, the planning program is judged to have been moderately effective in Kenner. The plan developed to combat the community's problems has been effective in setting guidelines for subdivision regulations but has been ineffective in dealing with larger and more complex issues. The city, practically vacant seventeen years ago, is content to continue to develop as a low density, middle-income community. Its future is secure in the knowledge that population pressures in the urban core (New Orleans Parish) are such that all available land in Kenner will eventually be subdivided and developed as residential areas.

Planning is used as a tool to implement subdivision regulations in the newer portions of the city and to enforce the zoning ordinance. Some effort was made to influence the location of the interstate highway, but this failed and the community leaders resigned themselves to the state selected location.

The metropolitan airport has not created any encroachment problems for Kenner as it has in College Park, Georgia, another city examined in this series. Policies regarding the airport and the interstate highway are independent of the local planning operation. Kenner has not related itself to these two important factors and no one was aware of any decisions being made concerning either. This only accentuated the fact that cooperation and coordination between the parishes, the central city or specific agencies like the airport and state highway authorities was totally missing. Attempts have been made to coordinate efforts between various regional agencies but they have generally had no effect on Kenner.

Politically, Kenner tends to be conservative and does not overly subscribe to the concept of planning. Community leaders are mainly concerned with enforcing subdivision regulations and planning for water and sewer extension.

Little evidence was available to indicate any concern for the low-income groups in the population and the socio-economic problems in this quarter. Urban renewal can be used in Louisiana only with the proviso that cleared land must be reused for public ends. As a result, Kenner has not addressed itself to urban renewal activity.

The impetus for the original planning services emanated from a strong mayor who saw the need for subdivision regulations and a zoning ordinance. However, even though the administration has changed and much of the day-to-day planning operation is handled by a planning consultant, the general philosophy towards planning has not changed. After an initial burst of planning activity little has been accomplished.

Major factors affecting the effectiveness of planning in Kenner:

1. Traditionally conservative nature of the area and its reservations toward planning, urban renewal, and public housing.
2. Lack of control over metropolitan growth pressures.
3. Availability of a professional planner to provide continuing planning assistance has tended to institutionalize the planning process in the community.
4. Lack of coordination and cooperation between Kenner and other government units makes effective planning difficult.

Appendix A-3

COMMUNITY CASE STUDY

OF

PLANNING EFFECTIVENESS

COLLEGE PARK, GEORGIA

I. COMMUNITY CONDITIONS

College Park, with a population of about 26,000 persons, is one of the few in-lying suburbs of Fulton County that has not been incorporated into the City of Atlanta. It developed as a high and middle income community whose residents commuted into Atlanta. Few industries located here and the town developed quite independently of Atlanta. The shopping district was small and served only local residents. At the turn of the century this pattern changed and Atlanta's boundaries now reach to College Park, thus making it indistinguishable from the rest of Metropolitan Atlanta.

Major industries located in the SMSA and the Atlanta Airport located inside the town provide College Park with its basic employment structure.

In 1960, 16.5 percent of the population was Negro, a relatively low ratio for Southern towns. Between 1950 and 1960 the nonwhite population increased from about 1,300 to 4,000. Industrial employment rose from 6,000 to 8,500, and family income increased from \$3,200 to \$5,800.

College Park's CBD is almost nonexistent. It originally developed around a suburban commuting station but with the advent of the automobile, shopping districts grew up in other parts of the town. At the same time the small airstrip located on the east side of town suddenly boomed into one of the nation's busiest jet airports. In short, what had been a quiet commuter's town at the end of World War II today finds itself integrally tied to one of the nation's most dynamic cities.

Major Problems and Issues

- Identification with and the relationship to Metropolitan Atlanta
- Expansion of the Atlanta Airport into the city boundary
- Weak tax base
- High rate of social problems stemming from an increase of low-income residents into the city

II. LOCAL PLANNING FUNCTION

A zoning ordinance was prepared for College Park in 1946 as its first step toward the use of planning as a development tool. After losing a zoning case in 1956, the city engaged the staff of the Atlanta Metropolitan Planning Commission for technical assistance in updating the earlier ordinance. A planning commission was appointed and a new zoning ordinance adopted in the following year.

Since that time, with the exception of 1964, the Metropolitan Planning Commission has provided technical assistance to College Park for an average fee of about \$5,000 per year. A comprehensive plan prepared by the MPC technical staff was adopted by the City Council in 1960. Over the years, the planners in charge have visited College Park frequently and have been present at almost all the monthly Commission meetings.

Since 1965 the MPC has administered the 701 program for College Park and, thus, has served in a dual capacity. In effect, this meant the MPC was supervising part of its own work, a relationship that will change at the end of this year.

In a new move to gain some element of control over its development, and to get a workable recertified program, Eric Hill and Associates has been retained by the City to update the 1960 plan. This is expected to be completed in late 1967.

III. COMMUNITY PLAN AND PLANNING DOCUMENTS

Aside from short, informal studies provided by the MPC which included studies on particular streets and work on special fiscal problems, the following planning documents have been prepared for College Park:

| | |
|------------------------------|--------------|
| <u>Land Use Plan</u> | adopted 1960 |
| <u>Neighborhood Analysis</u> | 1963 |

In addition, College Park has had the benefit of using all the documents prepared by the MPC from the Regional Planning Office.

These documents are of high professional quality, but general in nature and tone. Local officials rarely referred to them in their decision-making.

IV. EFFECTIVENESS OF PLANNING PROGRAM

Local Fiscal and Development Policies

Capital Improvements Programming. There is no capital improvements program in College Park, even though such a program has been recommended by the planning professionals.

Urban Renewal. There has been no relationship between the plan and an urban renewal project now in execution. This project has taken seven years to complete, and the workable program has not been recertified for five years. The main problems were in the enforcement of the building and housing codes and action is now being taken on both. After the workable program is approved, the City hopes to initiate additional renewal work.

Economic Development. College Park has no economic development policies program.

Adoption and Administration of Codes and Ordinances

Zoning. College Park has had a zoning ordinance since 1956 with little impact on developers. Variances are made by the Board of

Appeals, and the Planning and Zoning Commission has little influence on the Board's decision. College Park has many external forces acting on its development and zoning controls are not powerful enough to control them. Outside factions force zoning changes, often against the City's desire. The zoning board is slow in reacting to changes, and does not rely on the plan. There is a potential need for multi-family apartments near the airport, but the zoning ordinance has not dealt with this. The small downtown is a continuing unsolved problem -- and yet, the Board of Appeals continues to re-zone almost any request for commercial use.

Subdivision Requirements. The Planning Commission initiated, with the MPC planning staff, the subdivision ordinance adopted by the city in 1964. The regulations have little impact however, because most of the city is already subdivided and developed.

Housing and Building Codes. The plan has had little impact on code enforcement. As requirements for the workable program, a housing code was adopted in 1964 and a building code in 1965. However, these codes have not been enforced to any great degree and have caused problems in having the workable program recertified.

Local Public Facility Planning, Location and Construction

Schools. The schools are county operated, and the planning program's influence on school planning has been limited.

Recreation. No comprehensive recreation program has been designed for College Park.

Streets and Parking. An airport linkage to the Interstate Highway system was located through College Park three years ago. The City was consulted on its location but only after the Highway Department had its plans made. The planning program has not been involved in local parking solutions, but the staff of MPC has assisted in analysis of local traffic problems.

Utilities. No comprehensive utility program has been designed for College Park. A fire station built in 1966, against the recommendation of the planners, is in the path of Atlanta Airport's expansion and must now be removed.

Public Housing. The public housing program is regarded as one solid accomplishment on the local level. One hundred fifty-four new units are about to be completed to house Negroes relocated from an area being cleared under urban renewal. The project is built on a filled garbage heap in the airport flight pattern where FHA will not advance loans for private home building. The site was approved by the Planning Commission.

Plans and Actions of Other Government Units

Public officials in College Park felt little coordination had been established between the City and other jurisdictions. The relationship between College Park and the technical assistance staff of the Metropolitan Planning Commission is not very good. College Park feels the power of the MPC and sees the technical assistance program as being oriented towards a metropolitan plan rather than a plan for College Park. The overall planning standards of the MPC are generally higher than those of College Park.

Part of College Park's resistance to the MPC is a result of other governmental relationships. In recent years two important and unpredictable occurrences altered College Park's character and intensified its problems: the extension of the Atlanta Airport and the construction of an Interstate Highway on the eastern side of town. The airport expansion removed several hundred housing units and 2,000 people from College Park and the Interstate Highway caused severe land use problems. A second airport expansion, announced this year, will displace another 5,000 people.

In none of these cases, according to College Park officials, have the responsible agencies sought advice or recommendations from the local community. According to City officials, when the first expansion took place, the City was not contacted at all. The second expansion "came suddenly" and took the City by surprise. Airport officials said they contacted the City as soon as the FAA notified them, but the City felt not enough time was spent with the Airport or the MPC. Atlanta was seen as the culprit as it did not let College Park know what was going on. State legislation makes no provision for reimbursement for utilities, or for a tax digest on the airport. These expansions and "shocks" keep upsetting the town's plan and stability, and convinced College Park officials that other governmental units are uncooperative.

Generally, the Atlanta Metropolitan Planning technical assistance program was considered "absolutely essential" by College Park's leaders. Most of the people interviewed were aware of the problem College Park faces in order to survive as a separate political entity in the Atlanta area. Most, also, admitted they needed outside assistance to solve these problems. Thus, a small group attached to City Hall is beginning to rely on the planning process for the kind of help they need.

Summary of Findings

The table that follows summarizes these findings about the role of planning in public decision-making in College Park.

SUMMARY OF FINDINGS
INFLUENCE OF PLANNING IN DECISION-MAKING

COLLEGE PARK, GEORGIA

| | Influenced by Planning | | |
|--|------------------------|----|------------------------------------|
| | Yes | No | Not Known Or Not Appropriate |
| <u>Local Fiscal and Development Policies</u> | | | |
| Capital Improvements Programming | | X | |
| Urban Renewal | | X | |
| Economic Development | | | X |
| <u>Adoption and Administration of Codes and Ordinances</u> | | | |
| Zoning | | X | |
| Subdivision | X | | |
| Housing and Building Codes | | X | |
| <u>Local Public Facility Planning, Location and Construction</u> | | | |
| Schools | | X | |
| Parks and Recreation | | X | |
| Streets and Parking | X | | |
| Utilities | | X | |
| Public Housing | X | | |
| <u>Plans and Actions of Other Government Units</u> | | X | |
| Total Responses | 3 | 8 | 1 |

V. SUMMARY EVALUATION AND IDENTIFICATION OF KEY FACTORS

In College Park, planning, urban renewal and public housing are seen as the same program. One of the biggest problems is trying to sell the idea that urban renewal and public housing will be beneficial to the community. The public, generally, has accepted the idea that public housing and urban renewal are part of city policy. City officials feel this will make their task easier when the time comes to implement the new plan now being prepared.

The scope and nature of the problems and issues facing College Park makes the task of measuring effectiveness difficult. In general, the planning program has not faced up to the community's major issues. This is partly because the problems are too complex and partly because technical services were too limited and unsophisticated to offer direct solutions. This does not indict either the community leaders or the professional planning staffs involved because such issues as jet airport impacts, dislocation and land rearrangements resulting from interstate highway routes, and integrating small towns into a metropolitan area framework are issues yet to be addressed through national legislation.

The inadequacy of College Park's plan to handle its problems affected the community's attitude and hampered community participation in developing and carrying out a comprehensive plan. Radical and abrupt changes in the economy and land use structure over the past ten years created an element of uncertainty and doubt towards the validity of a long-range plan. Until the community settles and gains control of its own destiny the value of a long-range plan will be questioned.

Beyond this, College Park is not and never has been committed to the value of a long-range plan. It can only be speculated as to what influence a strong plan, approved by all the people, could have had on the decisions of higher governments to enlarge the airport or build the interstate highway. Most likely these decisions would not have been deferred; but a plan would have integrated these elements into the community structure with less expense to College Park.

In spite of the general feeling of instability, several local officials looked to planning as a solution to its problems. A zoning ordinance and subdivision controls were adopted, public housing and urban renewal programs were started, and some effort was made to coordinate programs through the Metropolitan Planning Commission.

The first planning attempts were attributed to "progressive leadership." When the zoning and subdivision regulations were adopted and the Atlanta Metropolitan Planning Commission was asked to provide technical assistance, College Park had a strong and active mayor. He was given credit for pushing these moves, but the City did not act until its back was against the wall. Both the local leadership and Planning Commission supported the mayor, but they assumed passive roles and did not actively support the plan.

The feeling of mistrust and frustration pervades College Park's planning attempts. Essentially, this stems from a feeling of mistrust in the local community as it deals with the MPC and from College Park's basically conservative nature. In 1964 College Park discontinued its professional liaison with the MPC because it felt betrayed over the airport issue. The conservative attitude is reinforced by the lack of control over these larger issues -- as a result, action on local issues like enforcing zoning and subdivision regulations are only token gestures towards planning.

Major determinants affecting planning in College Park:

1. Location and close proximity to Metropolitan Atlanta. Restraints were placed on College Park officials because of decisions made in Atlanta and Washington regarding the airport expansion and the location of the Interstate Highway.
2. Traditionally conservative nature of the community and its slow response to the concept of planning. The nature of the City caused a lack of participation on

the part of the Planning Commission and civic leaders. Few people understood the concept of planning or were willing to trust it.

3. A changing economic and social structure which few community leaders understood. This resulted in a "wait and see" attitude and reacting to rather than influencing decisions on major issues.
4. Inability of existing government programs to deal with major issues. The problems of the airport expansion, the Interstate Highway and the changing economic and social structure provided a nucleus around which the community could respond.
5. Participation of a strong chief executive. The determination of the mayor to involve College Park in planning.
6. Availability of Atlanta Metropolitan Planning Commission to provide technical planning service. Even though College Park and the MPC had difficulties, the availability of technical planning services aided the community.

Appendix A-4

COMMUNITY CASE STUDY

OF

PLANNING EFFECTIVENESS

HOT SPRINGS, ARKANSAS

I. COMMUNITY CONDITIONS

Hot Springs, located at the foot of the Ozark Mountains in Garland County, both benefits and suffers from the rough topography on which it is located. It benefits from the natural baths and scenic beauty that attracts thousands of tourists, which adds to the economic base, and it suffers because development is more difficult and expensive over the rough terrain.

Historically, its economy has centered around tourism created by baths and gambling; until recently, very little industry located in Hot Springs. In 1964 the city was hit by a crackdown on illegal gambling operations, and the squeeze was felt in all parts of the local economy. The magnitude of this impact is evidenced by two indicators: retail sales in 1967 were \$3.5 million below the 1963 level; the unemployment rate in Garland County exceeded the state and national levels from 1964 to 1966.

The main business district lies at the base of a hill and is the center of both the local business and tourist trade. Relatively little decentralization has taken place. Problems of a congested downtown and an outdated and old utility system reflect a long period of neglect in dealing with downtown's problems. With few exceptions, most of Hot Springs' major buildings, particularly in downtown, are deteriorating.

The close down of gambling operations was followed by a decline in tourism and a definite change has begun to take place in the economy of Hot Springs. Manufacturing employment which has almost been non-existent in Hot Springs is now equal to service employment and is expected to surpass it by 1968. New industrial plants presently under construction will

provide employment for 1,000 persons. The local power structure is aware of the need to diversify the economy and steps are being taken to accomplish this end.

Major Problems and Issues

- Changing from an economy based on gambling and tourism to a more diversified industrial base.
- A high percentage of Garland County residents are retired and demand a high level of social services.
- Basic physical structure of the city is in state of decay. Buildings are generally old and sewage lines below capacity.

II. LOCAL PLANNING FUNCTION

Planning started in Hot Springs in 1956 when the Garland County Regional Planning Commission was established with technical assistance from the University of Arkansas. The Commission was established to comply with the workable program requirement for an urban renewal project near downtown.

The Commission had political opposition almost from the beginning. There were no paid personnel and it received only adverse publicity. However, the University of Arkansas completed a comprehensive plan for the city and the urban renewal project was executed. The University kept a resident planner in the city and progress was made until time for adoption of the plan. At this point, the Garland County Property Owner's Association started a concentrated effort to prevent the plan's adoption. The Planning Commission meetings were attended by 100-150 members of the Association, who caused a considerable commotion when the Commission tried to adopt any part of the plan. In spite of this opposition, a zoning ordinance was finally adopted in 1963, three years after the completion of the plan. However,

the controversy over zoning intensified and opposition from the County grew. Finally, in 1963, the County judge -- under extreme political pressure -- dissolved the Planning Commission and rescinded the zoning ordinance.

At the time of this action, the city's first urban renewal project was nearing completion and another was in the planning stage. To meet the workable program requirements for the continuation of renewal, the city established its own planning commission early in 1966 and five new members were appointed. A half-time planner has since been employed and steps are being taken to revise the original plan.

III. COMMUNITY PLAN AND PLANNING DOCUMENT

Unfortunately, Hot Springs' plan was available only for review in the city. The Department of Housing and Urban Development library did not have a copy. The document was used while visiting Hot Springs, but the researchers do not feel in a position to review it here.

IV. EFFECTIVENESS OF PLANNING PROGRAM

Local Fiscal and Development Policies

Capital Improvements Programming. There has been no fiscal planning in Hot Springs as a result of the plan.

Urban Renewal. Two urban renewal projects have been completed or are in the planning stage. The city hall, convention center, bus depot, and two banks are located in a former slum residential area near downtown. A General Neighborhood Renewal Program covering all of downtown is now in the planning stage. The GNRP has been coordinated within the guidelines of the plan.

Economic Development. Economic development is currently an issue in Hot Springs with some attempts by the State of Arkansas to bolster the tourism trade and attract manufacturers to the area. This is not being coordinated with the city government or its planning program.

Adoption and Administration of Codes and Ordinances

Zoning. Zoning was finally instituted in 1963, but only after a bitter struggle. The original plan which called for a city-county zoning ordinance was completed in 1960, but the Garland County Property Owner's Association caused the Planning Commission to be dissolved and the zoning ordinance rescinded. A new ordinance adopted in early 1967, based essentially on the former ordinance, is administered independently of the planning program.

Subdivision Regulations. Regulations were adopted in February, 1967. They require developers to put in streets, curbs, gutters and utilities. Sidewalks may be required at the option of the Planning Commission. The planning agency was instrumental in getting the regulations adopted and is closely involved in their administration.

Housing and Building Codes. The city has adopted housing and building codes to meet the requirements of the workable program. The planning program had no influence in getting these codes adopted nor is it involved in their enforcement.

Local Public Facility Planning, Location and Construction

Schools. The School Board used the comprehensive plan to locate an \$8,600,000 high school and five elementary and junior high schools. The board specifically mentioned the traffic studies and utilities study as helping to determine proper locations for these facilities.

Recreation. The plan has not been used for new recreation facilities as the city makes use of extensive recreational areas operated by the National Park Service.

Streets and Parking. The parking study was not completed because the planner left for military service. The traffic study was used to influence the location of a new state highway and to install new traffic warning devices.

Utilities. The utility system in Hot Springs is old and overloaded. The utility study estimated the cost of renovating the system at \$20,000,000. To date, the city has not been able to finance such a large undertaking. Utility extensions have been made in accordance with the plan.

Public Housing. The public housing program has no relationship to the planning program.

Plans and Actions of Other Government Units

Relationship between the county and the city have been very bad. Dissident county residents forced the county judge to disband the planning program in 1963. The city has control of its own planning program, but one official felt planning in Hot Springs would not be successful until it becomes county-wide again.

The state consults with the city and its planning agency about the location of state highways through the city, but there is no evidence that the plan or program has influenced these decisions.

Summary of Findings

The table that follows summarizes these findings about the role of planning in public decision-making in Hot Springs.

SUMMARY OF FINDINGS
INFLUENCE OF PLANNING IN DECISION-MAKING

HOT SPRINGS, ARKANSAS

| | Influenced by Planning | | |
|--|------------------------|----|------------------------------------|
| | Yes | No | Not Known Or Not Appropriate |
| <u>Local Fiscal and Development Policies</u> | | | |
| Capital Improvements Programming | | X | |
| Urban Renewal | X | | |
| Economic Development | | X | |
| <u>Adoption and Administration of Codes and Ordinances</u> | | | |
| Zoning | | X | |
| Subdivision | X | | |
| Housing and Building Codes | | X | |
| <u>Local Public Facility Planning, Location and Construction</u> | | | |
| Schools | X | | |
| Parks and Recreation | | X | |
| Streets and Parking | X | | |
| Utilities | X | | |
| Public Housing | | X | |
| <u>Plans and Actions of Other Government Units</u> | | X | |
| Total Responses | 5 | 7 | |

V. SUMMARY EVALUATION AND IDENTIFICATION OF KEY FACTORS

As in Murfreesboro, another city examined in this series, the effectiveness of Hot Springs' planning program is best measured in terms of the planning process rather than product achievement. There are few tangible evidences that planning has had any impact in Hot Springs, yet the obstacles the program has hurdled to survive have been most impressive. The program is just reaching maturity and in our opinion the overall planning program at this time is judged to be moderately effective.

When the new program for the city was established, both the political and economic environment had changed. The city, recognizing for a long time the value of a long-range plan, finally was able to make the public realize the value of planning for the future. The task was made considerably easier because of the economic jolt the community had just experienced.

Since the establishment of the City Planning Commission, Hot Springs has gotten a good start on a new planning program. In addition to hiring a planner on a half-time basis, a new zoning ordinance and new subdivision regulations have been adopted. The adoption of these ordinances represents a turning point in the attitude towards planning in Hot Springs. A new framework for assessing the city's problems have been accepted by the public and a new feeling for the value of planning is evident.

In assessing achievements in planning, credit must be given to a few individuals who have kept pushing for a planning program in spite of much criticism. A sympathetic Mayor supported the program, but could not prevent the first planning failure. After the economy faltered, individual citizens began supporting planning and the Planning Commission began playing a much more important role.

The major factors influencing Hot Springs' planning program are considered to be the following:

1. A conservative and reactionary attitude inherent in a community made up of retired people who would not accept progressive planning.
2. A highly unstable economic and political structure
3. Realization by the community leaders for a need to strengthen and diversify the economic base.
4. The state planning agency which nurtured and held the program together over the years in the face of great adversity.

Appendix A-5

COMMUNITY CASE STUDY

OF

PLANNING EFFECTIVENESS

MURFREESBORO, TENNESSEE

I. COMMUNITY CONDITIONS

Murfreesboro, county seat of Rutherford County and a regional shopping center for a wide agricultural area, had a population of 19,000 in 1960. It has grown to approximately 26,000 by 1967. The population increase has largely been due to a recent surge of industrial development. In spite of the surge in industrial growth, the economy is still basically oriented to agriculture.

Before the industrial surge, Murfreesboro was a small scale municipal operation with a small budget. By 1967, the budget was about \$1.2 million, which has caused the city administration to change its orientation in dealing with traditional city problems.

Middle Tennessee State University which occupies 400 acres of land in the city limits, is an important factor in the community. The 1967 enrollment of 6,000 has doubled in the last ten years.

Of the total 1960 population about 15 percent were nonwhite. This is a decrease from 19 percent in 1950. The actual number of nonwhites rose by about 400 but the immigration of whites was far greater. Median family income rose from \$2,400 in 1950 to \$4,300 in 1960.

Murfreesboro's physical characteristics are much like those of other small automobile-oriented cities. Its central business district is declining. Strip commercial developments line the highway into the city, and small integrated shopping districts have developed in suburban locations. A

pre-Civil War courthouse dominates the town square and many of the buildings in the downtown are rather old and are of some architectural merit.

Major Problems and Issues

- The city is changing from an agricultural center to an industrially based community.
- The expanding economy has created demands for the schools and other public facilities.
- Twenty-four percent of all housing is substandard.
- The Central Business District is old and is threatened by shopping centers in outlying areas. Strip commercial development also has weakened the central business area.

II. LOCAL PLANNING FUNCTION

The city has had a contract with the Tennessee State Planning Commission since the late 1940's. During this time a state planner was in contact with Murfreesboro at least on a monthly basis plus other contacts as it became necessary and appropriate. The actual origin of the State involvement is vague but during this early period certain background studies were prepared for the community. In 1957 the first official plan was prepared by the State and adopted by the city. 701 funds had been used by the State staff to prepare various studies for the community such as land use analysis and projections, traffic and parking studies, neighborhood analysis studies, as well as a detailed future street and land use plan.

As Murfreesboro began to grow, the planning function changed. In 1963 a new planning commission was named and the position of Planning Director created. According to the Planning Director "planning took on a new role in Murfreesboro." At that time the City Council and the City Manager became aware of the value of a planning approach to problem solving. The Planning Director and Commission were asked with increasing frequency to study various problems and make recommendations on solutions to the Council.

In 1965 the Commission determined that a Comprehensive Plan was needed for the community and after reviewing previous work and evaluating the needs of the community the Commission requested the support of the City Council in this matter. The Council responded by increasing the planning budget to match Federal 701 funds for preparing a Comprehensive Plan and approved the use of consulting firms in doing this work. A contract was executed for 701 funds to prepare an Economic Base and Population Study. This study is reaching completion at the present time. A new request and application has been submitted for 701 funds to finance the remaining studies of the Comprehensive Plan.

III. COMMUNITY PLAN AND PLANNING DOCUMENTS

The following documents were prepared by the State Planning Agency in connection with the adoption of the Comprehensive Plan in 1957 and as a part of the continuing planning services.

Murfreesboro's Public Schools - A Survey and Plan, May, 1957

Proposed Revised Zoning Ordinance, October 1957

Land Use Survey and Analysis, November 1957

Housing Survey and Neighborhood Analysis, April 1958

Traffic and Parking, January 1960

At the time these studies were prepared they were of high quality and reflected a great deal of professional expertise. They were of real value to the community in terms of educating the Commission in the use of planning principles, as well as the development of a planning approach towards solving community problems. However, as these studies are now reviewed it is found that they are very inadequate and out of date and were prepared without the benefit of a thorough economic analysis and projection or population analysis and projection.

IV. EFFECTIVENESS OF PLANNING PROGRAM

Local Fiscal and Development Policies

Capital Improvements Programming. To date there has been no capital improvements program for Murfreesboro. The one and only point of disagreement between the Planning Director and the City Manager exists over this issue. According to the Manager the Council wanted the planner to submit a capital improvements program about a year ago but the Director felt that a land use plan, a community facilities plan and an economic base study were needed before a capital improvements program could be prepared. It has not been submitted.

Urban Renewal. Murfreesboro successfully executed one of the first urban renewal projects in the Southeast. The local share of the cost was financed by credits for a downtown street by-pass and a new City Hall.

The workable program has not been recertified since 1960. City officials felt the Federal Government was too strict on the requirements, especially in the code enforcement areas, they decided against further participation in the renewal program. The Planning Director and the City Manager have now successfully convinced the Council to resubmit the workable program for recertification and applications are being made for two additional renewal projects.

Economic Development. In order to make Murfreesboro more attractive for industry, city services are provided for outside-the-city location where lower taxes prevail. Local officials believe that local renewal and planning programs have been important factors in the city's industrial expansion.

Adoption and Administration of Codes and Ordinances

Zoning. The first zoning ordinance was adopted in the early 1950's. Overall zoning has been only moderately successful in Murfreesboro. However, the planner is involved in zoning decisions and because of

this the decision-making process is better coordinated. However, Middle Tennessee State University bought property across from its main entrance as a means of protecting its campus from commercial encroachment.

Subdivision Requirements. Subdivision regulations were adopted by the city in 1956. In 1964, as a result of pressure from the planner, provisions requiring developers to install curbs and gutters were added.

Housing and Building Codes. Murfreesboro has adopted the Southern Standard Building Code which is amended each year. The Housing Code was adopted in early 1967 to meet workable program requirements. Two code enforcement officers have been employed -- one to enforce the building code and one the housing code.

Local Public Facility Planning, Location and Construction

Schools. The school study in the Comprehensive Plan served the School Board in several ways: 1) providing moral support in long-range school planning, 2) aiding in school location decision based on the enrollment projections; and 3) introducing the concept of land bank reserves for school and recreation sites.

The plan has been most useful in the area of population shifts, especially in the Negro sectors. Two schools have been built in accordance with the plan and three expanded. Population and enrollment estimates developed in the plan were accepted and used.

Recreation. In Murfreesboro, recreation sites are incorporated with school sites. The plan has been used extensively as a guide in the location of recreation facilities.

Streets and Parking. The major road plan and parking studies for the CBD have been generally followed by city officials. The CBD by-pass which was completed with the first urban renewal project was initially proposed in the major road plan.

Utilities. The Land Use Plan has aided the city engineer in projecting sewer and water lines in developing areas. The engineering office has used the comprehensive plan as a guide but not for specific engineering recommendations.

Public Housing. During the 1950's Murfreesboro had a very active public housing program with four projects, two white and two Negro completed. This program is operated completely independent of the planning program.

Plans and Actions of Other Government Units

Since Murfreesboro is the county seat of Rutherford County and has served as both the county seat and the market place for county residents, there has been a traditionally strong link between the City and County. The Planning Director was named to serve jointly the City and the County planning manager. Two-thirds of his time is spent with the city and one-third with the County and one of his functions is to coordinate the activities of the two. This arrangement has worked satisfactorily except the Director now feels it is time for the County to obtain its own Director and release the Director for full-time work with the City. This is expected to take place in the near future.

Cooperation between these two local governmental units, the State Planning Agency and the Department of Housing and Urban Development is generally good, and a sound planning program is emerging.

Summary of Findings

The table that follows summarizes these findings about the role of planning in public decision making in Murfreesboro.

SUMMARY OF FINDINGS
INFLUENCE OF PLANNING IN DECISION-MAKING

MURFREESBORO, TENNESSEE

| | Influenced by Planning | | |
|--|------------------------|----|------------------------------------|
| | Yes | No | Not Known Or Not Appropriate |
| <u>Local Fiscal and Development Policies</u> | | | |
| Capital Improvements Programming | | X | |
| Urban Renewal | X | | |
| Economic Development | X | | |
| <u>Adoption and Administration of Codes and Ordinances</u> | | | |
| Zoning | X | | |
| Subdivision | X | | |
| Housing and Building Codes | | X | |
| <u>Local Public Facility Planning, Location and Construction</u> | | | |
| Schools | X | | |
| Parks and Recreation | X | | |
| Streets and Parking | X | | |
| Utilities | X | | |
| Public Housing | | X | |
| <u>Plans and Actions of Other Government Units</u> | X | | |
| Total Responses | 9 | 3 | |

V. SUMMARY EVALUATION AND IDENTIFICATION OF KEY FACTORS

The effectiveness of Murfreesboro's planning program must be examined in terms of the planning process rather than the product achievements. The planning program has developed through two distinctive stages. The initial stage, from the early 1950's to 1963 was a period of preparing background studies and guiding land development through zoning and subdivision controls. The second stage, from 1963 to the present, has been a period in which planning has become part of the City's long-range improvement program. During this period the program has been effective in establishing a continuing planning process but, to date, few tangible results are evident when examined on a product basis.

It became evident that the plan prepared in the early days of the planning program was inadequate to meet the real planning needs of the community because not enough attention had been given to population and economic growth factors. The first studies were of real value in educating and familiarizing the Commission and City Hall officials in the use of a new dialogue and approach to its problems. The realization that the first planning attempt did not get to the root of the City's problems resulted in the appointment of a new planning commission and the hiring of a full-time planner for the County and City.

Planning has taken on a new role in Murfreesboro with the acceptance of the planning process by the City Manager. The Planning Commission is asked with increased frequency to study various problems and make recommendations to the City Council and the planning operation has become a viable part of the city's decision-making process. The Council has responded by increasing the planning budget to update the earlier plan.

A feeling of confidence and aggressiveness is evident in Murfreesboro as it continues its "second stage of planning." The community leaders are

receptive and willing to receive new ideas and look to other governmental units for direction and guidance. The planning program is strong, but a great deal remains to be done.

In this context, planning in Murfreesboro has been very effective. A contract has been executed for funds to prepare an economic base and a population study is now reaching completion. The planner has attempted to apply planning theory to local problems and transfer the role of zoning problems and other operational issues to other departments. And, an attempt is being made to reinforce and strengthen the role of code enforcement department. The planner is expected to see that the current problems do not overshadow those of a long-range nature.

Achievements in "products" are not tangible in Murfreesboro. The zoning ordinance has been effective in some parts of the town, but not in others. A capital improvements program is yet to be designed. This is not because of political opposition but because the planner does not feel the time is right. However, as Murfreesboro moves from an agricultural county seat to a more industrialized town, plans and controls from subdivisions and utility systems prepared through the planning program are proving to be very helpful.

The important factors influencing Murfreesboro's planning program are considered to be the following:

1. Expanding economy of the County created problems in the community. County tax sales increased which influenced the City intensify its planning program and move into a new direction. Economic surge served as a catalyst.
2. State assistance program carried the planning program through its initial stages and created the atmosphere for a continuing planning process to become established.

3. Use of planning in the governmental decision making process.
4. Availability of a full-time, competent planner who recognized and distinguished for the Council the difference between day-to-day and long-range planning.
5. Ability of community leaders to recognize the need to adapt to a changing economic structure, and their willingness to accept and fund a planning program.
6. Ability and expertise of the City Planner to communicate planning theory to local leaders and introduce long-range planning concepts while dealing with day-to-day planning problems.

Appendix A-6

COMMUNITY CASE STUDY

OF

PLANNING EFFECTIVENESS

CULLMAN, ALABAMA

I. COMMUNITY CONDITIONS

Cullman, county seat of Cullman County, is located about 40 miles north of Birmingham in a rich agricultural district. Its present population of 15,000 has doubled from 7,500 in 1950. A large number of industries have located in Cullman since 1950, shifting the economic base from agriculture to manufacturing.

Cullman serves as a wholesale and retail trade center and has a large CBD that is in very good condition. The downtown area, and indeed, the entire town gives the impression of general prosperity. Unlike most of the south, there is no Negro population in Cullman. The town was settled by hard-working Germans who took pride in having no Negro servants or slaves. Many of the social problems of other Southern cities are therefore not present in Cullman and the city has been able to concentrate its resources on accommodating itself to the pressures of new growth.

Major Problems and Issues

- Increased demands for public services because of population and industrial expansion.
- Homogeneous, middle-class white community with few social problems.

II. LOCAL PLANNING FUNCTION

Planning was started in 1955 when the Mayor, who was on the State Planning Board, recognized Cullman needed outside help to meet increased demands being placed on it because of industrial and population expansion.

A Planning Commission was appointed and a part-time planner retained. The planning process was set quietly in motion in City Hall and no public meetings were held in the beginning. The Mayor and the Planning Commission solicited the interest of the community's biggest and most influential property owners in the development of a plan for Cullman and effectively neutralized any opposition that would have otherwise developed. The planning program was sold initially as a way of preserving the atmosphere of the town and of preventing the new growth from destroying Cullman's character.

The Alabama State Planning and Industrial Development Board was retained to prepare a comprehensive plan under the 701 Program administered by the agency. The plan was adopted in 1958. Until 1962 the Board's technical staff provided continuing planning services and since that time has provided "on-call" services.

III. COMMUNITY PLAN AND PLANNING DOCUMENTS

The following documents were prepared as part of the comprehensive plan in Cullman:

| | |
|---|----------------|
| <u>Major Street Plan</u> | November, 1955 |
| <u>Community Facilities Plan</u> | July, 1956 |
| <u>Public Works Program</u> | March, 1957 |
| <u>Long Range Land Use Plan</u> (Revised and extended) | June, 1958 |
| <u>Street Naming and Block</u> <u>Numbering System</u> | March, 1962 |

The documents are carefully thought out, detailed and explicit in nature. Generally, the services are oriented to engineering works, spell out detailed plans on accomplishing the tasks set forth in the plan.

IV. EFFECTIVENESS OF PLANNING PROGRAM

Local Fiscal and Development Policies

Capital Improvements Programming. There is no capital improvements program in Cullman.

Urban Renewal. Cullman has undertaken two urban renewal projects. The first was a clearance project adjacent to the CBD in which City Hall is now located. The second is a CBD conservation plan and is in the planning stage. Economic and physical problems of the CBD were identified in the plan and, presumably, the adoption of the plan had an impact on the decision to undertake the CBD renewal.

Economic Development. No organized economic development as a result of the planning process has taken place. Economic development activity has taken place through the private sector and the State of Alabama.

Adoption and Administration of Codes and Ordinances

Zoning. Without question zoning is extremely successful. Very little spot zoning is evident in the community and the plan is used as a guide in making zoning changes.

Subdivision Requirements. Subdivision regulations are strictly enforced and have successfully upgraded the quality of subdivisions being built. These regulations were adopted as a direct product of the comprehensive plan.

Housing and Building Codes. Housing and building codes are enforced very effectively in Cullman. A code enforcement office, employed by the city to enforce both the housing and building codes, was partly structured by the planning program.

Local Public Facility Planning, Location and Construction

Schools. The location of new schools has generally followed the recommendations of the comprehensive plan. The campus-type high school includes football and softball fields and a community swimming pool as recommended by the plan.

Recreation. The planning program has been responsible for developing a cooperative approach to recreation by the city and county governments. The county has a recreational park within the city which is operated jointly by the city and county and which was located in accordance with the comprehensive plan.

Streets and Parking. The recommendations of a traffic and parking survey completed as part of the comprehensive plan have been generally followed by the city.

Utilities. Planning for utilities has been extremely effective in Cullman. The plan was effectively used in the planning and design of a new sewage plant and a water reservoir.

Public Housing. Cullman's one public housing project was not influenced in any discernable way by the planning program.

Plans and Actions of Other Government Units

The city has an extremely good relationship with the State of Alabama and an equally good relationship with the Federal Government. Coordination between the county and the city has been good, particularly in the provision of services to industries located outside the city boundaries. The state's technical planning services arrangement has worked very satisfactorily in Cullman.

Summary of Findings

The table that follows summarizes these findings about the role of planning in public decision-making in Cullman.

SUMMARY OF FINDINGS
INFLUENCE OF PLANNING IN DECISION-MAKING

CULLMAN, ALABAMA

| | Influenced by Planning | | |
|--|------------------------|----|------------------------------------|
| | Yes | No | Not Known Or Not Appropriate |
| <u>Local Fiscal and Development Policies</u> | | | |
| Capital Improvements Programming | | | X |
| Urban Renewal | X | | |
| Economic Development | | X | |
| <u>Adoption and Administration of Codes and Ordinances</u> | | | |
| Zoning | X | | |
| Subdivision | X | | |
| Housing and Building Codes | X | | |
| <u>Local Public Facility Planning, Location and Construction</u> | | | |
| Schools | X | | |
| Parks and Recreation | X | | |
| Streets and Parking | X | | |
| Utilities | X | | |
| Public Housing | | X | |
| <u>Plans and Actions of Other Government Units</u> | | | X |
| Total Responses | 8 | 2 | 2 |

V. SUMMARY EVALUATION AND IDENTIFICATION OF KEY FACTORS

According to local sources, planning is held in high esteem in the community. An extremely positive attitude towards its accomplishments prevails. City Hall is run with extreme efficiency and is directly involved in the approach to planning problems. Few zoning variances, tight controls, and an effective public housing program reflect the city's willingness to use the planning process and sound planning principles in dealing with the community's problems.

Of all communities examined, Cullman had one of the most effective planning programs, in the judgement of the consultants, based on the criteria defined. Much of the credit for the successful program must go to the Mayor, who was able to recognize potential development problems and was able to organize community support behind a program to deal with them.

Cullman is a unique city and had an unusual climate for planning. It is small and started planning when it first began to develop from an agricultural to a more complex industrial community. It also had a cadre of dedicated people who wished to preserve the town's character and atmosphere. The structure of the town is homogeneous and essentially middle-class. Unlike a number of other communities, no major issues forced the town into planning, and planning was actually begun before major development mistakes were made. There are no Negroes in the city and the social problems normally found in the South are absent here.

In structuring a new planning program the community leaders assigned committees to study and make recommendations that were considered in the formulation of the plan. This was partly because of the relative size and scope of the problems and partly because of community interest and awareness. Without much difficulty such controls as zoning, subdivision regulations and code enforcement ordinances became part of the administrative division of City Hall. The Mayor has since turned over his initial role

as innovator to more energetic and efficient City Manager and City Engineer. Besides pulling the community leaders together, good administrators were hired who have carried out the policies set forth in the plan in an effective and efficient manner. As a result, there has been almost no organized opposition to programs endorsed by City Hall and presented in the plan.

In Cullman the planning process has produced an exceptionally good set of land use controls. The plan is carefully designed and the town's needs are well documented. The process through which the plan functions is tightly controlled and engineered by expert officials. Assistance is provided by the State Planning and Industrial Development Board on a continuing basis. What results is a well-oiled machine that has development policies under control.

Cullman's planning program raises some serious and unanswered questions. The program is judged to be extremely effective when viewed from the local point of view. The officials use planning and the plan in many decision-making situations. However, the goals of the community are not necessarily consistent with those of the "Great Society" or with broader and more complex national social goals.

In spite of the rather impressive performance on product achievement in Cullman, there is doubt as to whether an adequate machinery has been institutionalized for a continuing planning program to carry on. Also, there is doubt as to whether the existing program is flexible enough to respond to sudden changes in the town's economy or social structure. Long-range goals are not spelled out. The program has been institutionalized to the extent the existing City Hall machinery works towards a single planning purpose and it is only speculation as to what extent this machinery can be adaptable. However, as long as Cullman experiences moderate growth and the town maintains a relatively strong economic base, the existing planning machinery appears to be suitable.

The following key factors have influenced the effectiveness of planning in Cullman:

1. A relatively homogeneous middle-class community.
2. Moderate growth with no real economic problems.
3. A strong mayor who saw the need for planning and has institutionalized the planning process.
4. An alert community leadership which supported the mayor's programs.

Appendix A-7
COMMUNITY CASE STUDY
OF
PLANNING EFFECTIVENESS
ROME, GEORGIA

I. COMMUNITY CONDITIONS

Rome, the county seat of Floyd County, is located in northwestern Georgia, approximately 70 miles from both Atlanta and Chattanooga. At the center of a flourishing agricultural and forestry region, Rome has been long established as a manufacturing and commercial center. Textiles, mill products, chemicals, paper and electrical equipment form the backbone of the manufacturing sector.

The 1967 population of the city is estimated at 35,000, an increase from 32,200 in 1960 and 29,600 in 1950. This moderate rate of growth obscures important changes that have occurred in the economy as agricultural jobs have been replaced by industrial jobs. Personal income has been sharply increased and total purchasing power has been greatly expanded.

Rome is the regional center of the Coosa River Valley and serves a much broader market than is represented by its own population. Medical and other professional services, higher education, wholesaling and distribution, retailing and other regional functions are much stronger than in the typical city of Rome's size. The central business district reflects this strength.

In appearance, Rome is no better or worse than most other cities. Strip commercial areas and deteriorated structures line most of the city's principal highways. Most of the city's residences are in good condition though Negro and other low-income areas are in need of comprehensive treatment. One residential renewal project is underway.

Major Problems and Issues

- Need for new schools
- Strengthening of City-County relationships
- Serious traffic problems
- Need for expanded employment opportunities

II. LOCAL PLANNING FUNCTION

The Coosa Valley Area Planning and Development Commission (CVAC) serves as the planning agency for a 13 county region in which Floyd County and the City of Rome are located. The Commission was organized in 1959, with the support and financial backing of the Georgia Power Company and the 13 counties, to stimulate economic development in the Coosa River Valley.

The Rome-Floyd County Planning Commission was organized the same year as the CVAC. The Commission was to be responsible for comprehensive planning functions in both political jurisdictions. It is supported financially by the City and County on a 50-50 basis.

The CVAC employed a director of planning and a full-time technical staff. The Rome-Floyd County Planning Commission has, since its establishment, obtained technical services through CVAC and the 701 program. A full-time resident planner from the CVAC provides technical services to the Commission. His responsibilities range from coordinating the City and County plan with the regional agency to advising the Commission on local planning matters.

III. COMMUNITY PLAN AND PLANNING DOCUMENTS

The following planning studies have been prepared for the Rome-Floyd County Planning Commission since 1960:

Prepared with technical assistance from the Georgia Institute of Technology.

An Economic Base Study of Rome-Floyd County:

| | |
|-------------------------------|---------------|
| <u>Technical Report No. 1</u> | June, 1960 |
| <u>Technical Report No. 2</u> | October, 1960 |
| <u>Technical Report No. 3</u> | October, 1960 |

An Analysis of Existing Manufacturers, July, 1963

Economic Development Potentials, July, 1963

Prepared by the Rome-Floyd County Planning Commission technical staff:

Existing Land Use Analysis, April, 1960

Community Analysis of the Rome Urban Area, August, 1960

Prepared by the Coosa Valley Area Planning and Development Commission technical staff:

Community Facilities Plan, February, 1964

General Land Use and Thoroughfare Plan, January, 1965

Public Improvements Program for the City of Rome, September, 1965

Prepared by Eric Hill Associates, Inc. in 1966:

Economic Analysis, Central Business District

Traffic and Parking, Central Business District

Comprehensive Plan, Central Business District

Methods of Implementation, Central Business District

(Technical Supplement) Central Business District Study

In general these documents are above average in quality both in their technical substance and in their presentation. The Community Facilities and General Land Use and Thoroughfare Plans have been used quite extensively in day-to-day planning operations while others have served as general background studies.

IV. EFFECTIVENESS OF THE PLANNING PROGRAM

Local Fiscal and Development Policies

Capital Improvements Programming. The Public Improvements Program, completed in 1965, sets priorities, estimates costs, and identifies sources of financing for the city's projected capital improvement requirements for a 20-year period. However, the program has not been adopted for use by the city because, according to city officials, the program was not related to the active financial status of the community.

Urban Renewal. The Planning Commission, through background studies and meetings with city officials and private citizens, was effective in detailing the need and creating the community climate for the acceptance of urban renewal. The city was able to meet the necessary federal requirements through the efforts of the Planning Commission and in 1965 initiated the East First Street Urban Renewal Project.

Economic Development. The City-County planning program, coordinated with the efforts of the Coosa Valley regional agency, has favorably influenced economic development programming for the area through studies of the economy and its resource potentials. The total program is given much of the credit for the industrial expansion of Rome and the Coosa Valley region.

Adoption and Administration of Codes and Ordinances

Zoning. A zoning ordinance was adopted in the city of Rome in 1948 and was revised in 1965. The original zoning ordinance was largely ignored. However, the revised version is being strictly administered by the Planning Commission and Council, and local officials feel it has been used effectively. The planner is now directly involved on

the average in two zoning cases per month and the Planning Commission almost always accepts his recommendations as their own.

Subdivision Regulations. Subdivision regulations were adopted by both the city and the county as part of the original comprehensive planning effort. The subdivision regulations are strictly enforced within the city limits of Rome.

Housing and Building Codes. The Planning Commission was involved in the drafting and adoption of a minimum standard housing code for Rome and in developing an effective inspection program. The Planner actually designed the housing inspection program, then turned it over to the Building Inspector for implementation.

Schools. There has been no direct impact of planning on school locations or programming. School officials are beginning to use local planning services for population projections.

Recreation. Planning has had no impact on Rome's recreational program. The Recreation Department realizes the need for additional recreational facilities but recreational needs have a low priority in Rome.

Streets and Parking. The planning program was credited with having influenced the widening of a four-lane State highway in the north part of Rome and in aiding the city in convincing the State of the need for a downtown by-pass. Both these proposals were presented in the 1965 Land Use and Thoroughfare Plan. The 1966 CBD Comprehensive Plan has also been used to guide decisions on downtown parking requirements.

Utilities. The CVAC prepared a long-range community facilities plan for the city in 1965. The City Manager recognizes the value of the plan and has followed it within his limited financial resources. However, he has not actively pushed a bond issue or otherwise attempted

to implement the overall planning proposals. On this basis, the plan is judged to have had no impact.

Public Housing. The city has one public housing project and a recently completed elderly housing project. The planner assisted the Housing Authority in selecting the elderly housing site.

Plans and Actions of Other Government Units

To date, the planning program has affected the plans or actions of other government units only to a limited degree. The County, traditionally conservative, has adopted subdivision regulations, but has not accepted a zoning ordinance or building and housing codes. The planning program has been effective in establishing a line of communication between the city and the CVAC but the conservative nature of the County has acted as a determinant to long-range planning between the City and County.

Summary of Findings

The table that follows summarizes these findings about the role of planning in public decision-making in Rome.

SUMMARY OF FINDINGS
INFLUENCE OF PLANNING IN DECISION-MAKING

ROME, GEORGIA

| | Influenced by Planning | | |
|--|------------------------|----|------------------------------------|
| | Yes | No | Not Known Or Not Appropriate |
| <u>Local Fiscal and Development Policies</u> | | | |
| Capital Improvements Programming | | X | |
| Urban Renewal | X | | |
| Economic Development | X | | |
| <u>Adoption and Administration of Codes and Ordinances</u> | | | |
| Zoning | X | | |
| Subdivision | X | | |
| Housing and Building Codes | X | | |
| <u>Local Public Facility Planning, Location and Construction</u> | | | |
| Schools | | X | |
| Parks and Recreation | | X | |
| Streets and Parking | X | | |
| Utilities | | X | |
| Public Housing | X | | |
| <u>Plans and Actions of Other Government Units</u> | X | | |
| Total Responses | 8 | 4 | |

V. SUMMARY EVALUATION AND IDENTIFICATION OF KEY FACTORS

The main impetus for a local planning program in Rome resulted from an attempt to coordinate economic development activity on a regional level. In general, these goals have been moderately successful. However, the most important result of the efforts of the CVAC has been the institutionalization of the planning process on the City and County levels in the Coosa Valley Area.

Planning in the City of Rome is judged by the consultants to have been effective. The fact that the CVAC and the Georgia Institute of Technology were available to provide technical services to the 13 county area convinced city officials of Rome and Floyd County to participate in the planning program. From all indications the planning operation has not been as successful in the County, but this is beyond the scope of this analysis.

The City has adopted most of the planning proposals presented in the plan. The Planner is used continually by the City for special studies relating to local problems and has worked with the County on several of its problems. However, he has been unable to effectively coordinate the activities of the two jurisdictions.

Planning in Rome has had to work within the framework of a very conservative political atmosphere. The fact that the CVAC had strong political and financial backing helped sell the idea of planning on the local level. Much of the political opposition to the concept of planning was removed because most of the area's influential citizens were involved in the creation of CVAC and the subsequent establishing of the Rome-Floyd County Planning Commission.

Because Rome is almost completely developed, planning emphasis is related to problems of community improvement. A lack of funds hinders

planning progress in many respects, but steps are being taken to correct as many of the problems facing Rome as possible.

Major determinants affecting planning in Rome:

1. A strong City Manager who realizes the need for planning.
2. The leadership of CVAC in selling planning.
3. Strong backing by political and business leadership to planning techniques.
4. Full-time professional planning assistance.

Appendix A-8
COMMUNITY CASE STUDY
OF
PLANNING EFFECTIVENESS
WILSON, NORTH CAROLINA

I. COMMUNITY CONDITIONS

Wilson is located in the coastal plain region of North Carolina and is the county seat of Wilson County. Historically Wilson served as a commercial and government center for the surrounding rural area. Its major economic activity was the tobacco market. Wilson proudly claims to be the Tobacco Market Center of the World.

The seasonal nature of employment in the tobacco market has always presented a problem to the economic stability of Wilson. This combined with the fact that the rural hinterland served by Wilson has been decreasing as competing service centers have grown stronger has further put pressure on the Wilson economy. The town has fought back with moderate success mostly through efforts to attract new industry.

Today Wilson has a population of about 35,000. The nonwhite population represents 15 percent of the total. It could be described as a traditional southern town. It has many large expensive homes, some of which are now old and beginning to deteriorate. Others near the CBD are being converted into office and commercial uses. New expensive housing is being built to take their place. Large new subdivisions extend in disjointed clusters out from the older center of town and into the neighboring county blurring traditional political boundary lines. The Negro areas of the city are marked by substandard housing, public facilities and services. An occasional house of quality underscores the difficulty of outward mobility for residents in the area. The smallest Negro residential area intrudes into a middle income white neighborhood and is being redeveloped through urban renewal. The largest Negro neighborhood is across the railroad tracks from the lower end of the CBD.

The central business district is receiving strong competition from a new shopping center just outside the city limits. The structures in the CBD are generally old, many are in a poor state of repair, and over 35 stores are vacant. The stores for the most part are owned by absentee owners and the merchants have not been able to organize a sustained improvement effort. Some new parking lots were installed by the city on cleared land as a result of the CBD plan, but other improvements to be made by the merchants were never attempted. Now urban renewal is discussed as the means for restoring the CBD, but the new policies of HUD will delay this effort.

Major Problems and Issues

- Development of a diversified economic base
- Revitalization of the CBD
- Development of new low cost housing areas
- Continuing improvements in public facilities and services

II. LOCAL PLANNING FUNCTION

Planning was initiated in Wilson in 1957 to study a loop thoroughfare system proposal. This was done in conjunction with the League of Municipalities and many of the recommendations have been implemented. At about the same time, a study was undertaken by local people for improvement of the CBD. This effort resulted in the installation of parking lots, but initiative died out shortly after. One of the respondents said that the idea of getting "free" urban renewal money undercut the efforts of the group to get the merchants to participate.

The 701 Program was first utilized in 1960 and has been drawn on since for a number of studies. These studies were conducted by the North Carolina Division of Community Planning which has served in Wilson as the planning consultant for seven years. The Wilson Planning Board has been the agency in charge of planning, but the City Manager has in fact been

the strongest factor in planning decisions. He sits on the Board in an ex-officio capacity.

The Planning Board members interviewed felt they were gaining experience and becoming a better Board, but all expressed concern over the "hard" decisions they were called upon to make regarding proposals of friends and neighbors.

III. COMMUNITY PLAN AND PLANNING DOCUMENTS

A number of planning documents have been produced by the North Carolina Division of Community Planning:

- 1960 - Land development plan, population and economic study.
- 1961 - Revised zoning ordinance prepared and adopted.
- 1962 - Neighborhood analysis for workable program, community facilities studies, CBD proposals.
- 1963 - Capital improvements program.
- 1964 - Recreation study and traffic circulation study for CBD (performed by Wilbur Smith and Associates).
- 1965 - Guideline study for CBD, mostly architectural.
- 1966-67 - Updating of general plans, development of the population and economic base study.

Several of the documents are not available in Wilson any longer while others are considered to have had a significant impact. The zoning ordinance was adopted and the Neighborhood Analysis (done for the workable program) was considered to be excellent and useful as a data source. The Capital Improvements Program was prepared without adequate reference to the tax structure and to the priorities of the governing body and manager. The CBD studies, though extremely well presented graphically, had little impact.

Overall the planning documents represent sound professional work, but suffer from the basic problem of inadequate implementation procedures.

They reflect a lack of involvement with the priorities and realities of the governing body.

IV. EFFECTIVENESS OF THE PLANNING PROGRAM

Local Fiscal and Development Policies

Capital Improvements Programming. The capital improvements program completed in 1963 was based on the planner's analysis of requirements, but failed to contain specific recommendations for funding or implementation. As a result the study has been of little or no value.

Urban Renewal. The urban renewal project now underway was not influenced by the plan. The project has been underway for five years and land acquisition is now 75 percent complete. Wilson wants to initiate a second urban renewal project in the CBD, but it is unlikely that federal approval will be obtained under the existing policy guidelines. This project would reflect the recommendations of the plan. The urban renewal agency does meet with the Planning Board as a matter of routine, but the specific relationships between the two groups are vague.

Economic Development. Wilson is attempting to diversify its economic base by attracting new industry. They have been successful in obtaining the home office of a large tobacco firm and several other factories. Local people claim that the plan was one of the items specifically mentioned by the industries for their decision to move to Wilson, but there was no specific connection other than Wilson was "planning". A Technical Training Institute has recently been opened in order to prepare people for industrial jobs, but this has no direct connection with the plan. The recently completed economic study stresses the need for broadening the base of Wilson, but offers little in the way of specific steps to be taken.

Adoption and Administration of Codes and Ordinances

Zoning. The zoning ordinance was adopted by the city in 1962. It is effective for up to one mile outside the city limits. The original zoning ordinance was well conceived, but many of its provisions have been undermined by the granting of zoning variances. There is presently considerable interest in revising the zoning, especially around the CBD, but no specific time table for action is established. The Zoning Board and the Planning Board have little contact and view themselves as being "independent".

Subdivision Regulations. Wilson has subdivision regulations and enforces them effectively. There is considerable concern that subdivisions outside of Wilson's jurisdiction are not up to standard and yet will probably someday be annexed. Considerable attention is placed on obtaining proper water, sewer, and drainage installations in the new subdivisions. The professional planners working in Wilson have contributed to keeping subdivision review on a sound basis.

Housing and Building Codes. Wilson has operating codes, but mostly responds only to complaints. Planning has not been concerned with the codes.

Local Public Facility Planning, Location and Construction.

Schools. The planner has worked closely with school officials in regard to population projections and land use data. The proposals of the plan have had little direct effect on the school building program and some of the school sites purchased have not been recommended by the planner. The Atlantic Christian College is located in Wilson and is involved in an expansion plan. They have retained their own planning consultant who has recommended a pedestrian oriented campus that will involve the closing of some

existing streets. The city would like to cooperate and alternative traffic routes are being studied. The coordination between the city and college has been good to date, but the issue is not yet resolved. The city plan is a definite factor in the discussions.

Recreation. Wilson is particularly proud of its recreation facilities. A great deal has already been accomplished in this area and the plan has mostly recognized these facilities. Future recreation agency proposals, however, are not specifically coordinated with the plan.

Streets and Parking. The plans for traffic flow and CBD parking have been largely implemented in Wilson. This program shows the highest correlation with the planning program. This includes a one-way street system, a loop road, and several parking facilities.

Utilities. Wilson is in need of better public utilities. The State Board of Health has assisted in this area and new subdivisions are made to comply with standards. The planning program has had little impact in this area largely because of the weakness of the capital improvement program.

Public Housing. One public housing project has been developed in Wilson as an outgrowth of the urban renewal program. There is some difficulty in coordinating the relocation activities of urban renewal with the housing. As a result the housing has not always been available when required for relocation purposes. There is considerable interest in developing, through private initiative, but under a low income federal mortgage program, a 400 acre tract for Negro homes. This interest is stimulated by the recognition that the Negro citizens of Wilson have been seriously hampered in their efforts for better housing. Planning has not played a role in these events.

Plans and Actions of Other Government Units

Wilson officials generally felt that they were being well served by State agencies in general and that communication was good. The North Carolina Division of Community Planning has provided planning assistance for over six years through four different professional planners. Local reaction has been that these were dedicated and useful young men. The current planner assigned to Wilson views the situation with much less enthusiasm than the local people. He feels that planning is not accomplishing much in Wilson and that he is not "listened to". On the other hand local people feel the planner is doing a good job and is contributing. They feel he is "over eager" to get things done and much of his work is to "idealistic" for Wilson. One official indicated that they review the planner's recommendations and implement what they like, keep some things as long range objectives, and ignore the rest.

Other state agencies have also been well received in Wilson including the State Health Board and Highway Department. The latter accepted the road alignment proposed by the plan for a by-pass route.

Wilson views the Federal Government with suspicion and does not want to be "forced" into anything. Dealings with the Federal Government, particularly in urban renewal, have been slow and covered with red tape.

Inter-governmental cooperation with surrounding neighbors has not been too successful. There is considerable interest in organizing a small regional airport in Wilson, but none of the other areas will support the idea except on terms favorable to themselves. The Wilson County government is a particular source of problems as they do not have the same high standards of the city and city people feel they will eventually have to pay for the bad developments in the county through increased taxes.

Summary of Findings

The table that follows summarizes these findings about the role of planning in public decision-making in Wilson.

SUMMARY OF FINDINGS
INFLUENCE OF PLANNING IN DECISION-MAKING

WILSON, NORTH CAROLINA

| | Influenced by Planning | | |
|--|------------------------|----|------------------------------------|
| | Yes | No | Not Known Or Not Appropriate |
| <u>Local Fiscal and Development Policies</u> | | | |
| Capital Improvements Programming | | X | |
| Urban Renewal | | X | |
| Economic Development | X | | |
| <u>Adoption and Administration of Codes and Ordinances</u> | | | |
| Zoning | X | | |
| Subdivision | X | | |
| Housing and Building Codes | | X | |
| <u>Local Public Facility Planning, Location and Construction</u> | | | |
| Schools | X | | |
| Parks and Recreation | | X | |
| Streets and Parking | X | | |
| Utilities | | X | |
| Public Housing | | X | |
| <u>Plans and Actions of Other Government Units</u> | X | | |
| Total Responses | 6 | 6 | |

V. SUMMARY EVALUATION AND IDENTIFICATION OF KEY FACTORS

Planning can be considered either effective or not effective in Wilson depending on the view of the evaluator. There have been few directly related physical, economic, or social improvements which can be traced to the plan -- traffic and parking being one major exception. On the other hand, during the six years of planning in Wilson a climate of progress has replaced a feeling of "status quo". Wilson is now making efforts to deal with its problems in a meaningful way. For instance, they are just starting to face up to their obligations to minority groups. To be sure these are not aggressively being pursued, but they are in fact underway. More obvious effort and progress is being placed on economic growth and development and physical improvement. Planning has had only an indirect effect in this process to date. In fact planning is probably more of a result than a cause, but it is involved nonetheless. In that sense planning can be considered effective because it has survived. Today Wilson recognizes planning and is prepared to continue to support planning services (at a present annual rate of \$2,500 per year). The Planning Board is being consulted regularly.

The main stream of decision making is still outside of the planning process. The City Manager does not control the planner or Planning Board except by force of personality and as a result things which he does not agree with are left unimplemented. The City Manager probably more accurately reflects the "possible" in Wilson than the Planning Board.

The general public is not particularly involved in the planning process. This is primarily because of general apathy. The newspapers give planning oriented stories large coverage. For instance, the CBD plan proposals were presented in a full page spread with pictures, but there was little reaction. Public hearings bring out only objectors. There was little concern about the lack of public participation in planning among the officials in Wilson.

Overall planning in Wilson must be considered effective based not so much on what it has accomplished, but where it is today considering where it started.

Major factors affecting planning in Wilson:

1. Traditionally conservative community with a deeply entrenched power structure that is only now beginning to face up to the major issues facing the community.
2. The changing social and economic environment caused by the shift from rural to urban population and the need to broaden the economic base.
3. The obsolescence of the central city with respect to housing, commercial facilities, and public facilities.
4. The participation in planning of a strong City Manager with a firm understanding of what is possible in Wilson.

Appendix A-9
COMMUNITY CASE STUDY
OF
PLANNING EFFECTIVENESS
McALLEN, TEXAS

I. COMMUNITY CONDITIONS

McAllen, one of the larger cities in the Rio Grande Valley, is the principal city of Hidalgo County, and possesses more diversification in its economy than other cities. McAllen has a considerable amount of retailing activity and is easily the retail trade center of Hidalgo and Starr counties and Northern Mexico. The winter tourist business is an important factor in McAllen's economy, bringing in an estimated \$10,000,000 per year. Agriculture, oil and gas, and manufacturing are other major elements of the economy.

Physical conditions in all classes of structures range from excellent to bad. Development is almost exclusively in a northerly direction between irrigation canals. An expressway by-pass on the southern edge of the city has limited the city's growth in this direction. Overall, McAllen's position -- both economically and physically -- is among the strongest in the lower Rio Grande Valley. However, it has a large number of very poor residential areas, and a large number of Latin-Americans whose income level is very low.

The CBD is extensive and a new civic center gives an impression of prosperity. Strip commercial streets through the major parts of town detract from the overall appearance, as do the rather large areas of slum housing.

The 1967 population was estimated to be around 35,000, an increase from 32,000 in 1960 and 20,000 in 1950. McAllen is a free standing community but is part of the McAllen-Pharr-Edinburg SMSA.

Major Problems and Issues

- Forty percent of the population is of Latin-American origin. The majority of these have family incomes below \$2,500 per year.
- Twenty-five percent of all housing is substandard.
- There is a lack of industry locating in the Lower Rio Grande Valley. High unemployment rates among Latin-Americans, and a large portion of migrant workers create employment problems.
- The area is low-lying and susceptible to flooding.

II. LOCAL PLANNING FUNCTION

Planning was started in 1945 on the recommendation of the City Manager and a Planning and Zoning Commission was appointed. Early planning efforts were limited to zoning. Later some additional fragmentary planning was undertaken, but nothing of a comprehensive nature until 1960. At that time the City Manager thought the 701 program would be a "good deal for the city" and contacted the Texas State Health Department, which administers the program. This department rapidly approved the application and supplied a list of recognized consultants from which Caudill, Rawlett, and Scott was selected.

A full-time planner placed in McAllen by the consulting firm worked closely with a local engineer in developing the comprehensive plan for McAllen. Studies were prepared on transportation, the financial system, and public works and buildings. Advisory groups were appointed to discuss and evaluate each report before public hearings.

The Planning Commission operates with the City Council on "long-range" planning matters. Zoning is set aside in the Board of Exceptional Appeals and headed by a lawyer. Coordination between the two groups is nonexistent and the chairman of the Board of Appeals was not aware of the plan when interviewed.

Technical planning assistance was provided by the consultant firm. The resident planner remained in McAllen, first on a full-time and then on a part-time basis until the plan was adopted in 1961. No continuing planning services have been provided since.

III. COMMUNITY PLAN AND PLANNING DOCUMENTS

In preparing for the comprehensive plan five basic investigation reports were prepared. These were:

Two general background reports, including data on the approach, physical characteristics, economies, population and land use.

A major thoroughfare study including data on traffic and parking and a special documentation of the CBD.

A public facilities study including an analysis of utilities and neighborhoods.

And, an administrative report including the Zoning Plan, Subdivision Regulations and the Capital Improvements Program.

From these, the McAllen Comprehensive Plan was adopted in 1960.

The plan is well arranged, easy to read and attractively presented. In addition to presenting facts and figures about McAllen, it covers basic planning principles which can be applied to all communities. There is some similarity between McAllen's plan and Edinburg's, both prepared by the same consultant, but only in the presentation of basic planning principles.

Some of the outputs were used almost immediately, especially the transportation study, while others have hardly been used. A subdivision ordinance was never adopted. The plan was covered well by the newspaper during its development and to a lesser extent by television. What was called a capital improvements program was only a five-year city budget, and did not meet the requirements of a long-range capital program.

Two weaknesses of the plan were cited by local officials. An unforeseen expansion of the local airport will require the blocking of a newly built floodway. Neither did the plan anticipate the need for industrial land to attract industry.

IV. EFFECTIVENESS OF PLANNING PROGRAM

Local Fiscal and Development Policies

Capital Improvements Programming. There is no capital improvements program in McAllen. The comprehensive plan budgeted certain items over a five year period -- from 1960 to 1966 -- but no monetary values were placed on the items.

Urban Renewal. McAllen does not have an urban renewal program, even though many areas are in bad physical condition. Bond issues for renewal have been defeated three times.

Economic Development. Attempts are being made to encourage industrial development by establishing an international free trade zone. Effects so far have been negligible.

Adoption and Administration of Codes and Ordinances

Zoning. A zoning ordinance has been in effect since the late 1940's, but because of many exceptions, it has been largely ineffectual. The Board of Exceptional Appeals has ignored the plan and often grants variances and spot zoning amendments that go against the plan. Public attitude has permitted this procedure to exist for a number of years and nothing has been done to correct it.

Subdivision Regulations. The city does not have enforceable subdivision regulations. A builder is required to put in streets, sewer lines, and drainage systems, and gets some pro rata return on these costs when taps are made by home buyers. The political climate in McAllen is such that

subdivision controls are felt to be too restrictive to private enterprise. Realtors in McAllen, a very strong group, have opposed such issues as putting in sidewalks and provisions for open space.

Housing and Building Area Codes. There are none in McAllen.

Local Public Facility Planning, Location and Construction

Schools. Overall, the School Board has not used the plan to any extent. The Board normally acquires sites before going to the city for an opinion on its choice of location. The comprehensive plan recommended two separate senior high school locations -- one in the northwest and one in the southeast. The northwest school was developed as McAllen's only high school. The two-school concept was successfully opposed by the Latin-American community because it would have perpetuated de facto school segregation.

Recreation. Large quantities of land have been designated for recreational use in the plan but there have been no steps taken to purchase these lands for public use.

Streets and Parking. The transportation plan was used to help the city fight the State Highway Department in locating an expressway. The State wanted the expressway to go through the center of town in the outer edges of the CBD, but the City Manager was opposed to this location. He won the fight by twice defeating bond issues for the construction. The transportation plan was used to support his case.

Utilities. The acting City Engineer has relied on the plan for streets, water, sewage, and drainage. Many potential problems have been identified and solutions recommended. An outfall ditch south of Alamo and a major utility loop were cited as examples. Part of the recommended utility improvements have been completed including an outfall ditch that has alleviated flooding conditions in many parts of the town.

Public Housing. There is no public housing in McAllen. Public housing issues have failed twice at the polls. A local group has provided some low cost housing, but it does not meet the needs.

Plans and Actions of Other Government Units

The fact that McAllen is a very conservative city politically was discussed quite openly by officials interviewed. Resistance to federal programs is an established fact. Federal program participation is only used for those projects which are too large for the community to absorb, such as the airport, flood control and irrigation.

Coordination of activities and facilities between the county and the city has been sporadic. The county has cooperated on roads and drainage problems, but has not helped the city in plotting areas outside the city limits. Negotiations are underway to promote a joint economic development program among several of the Rio Grande Valley counties. The Economic Development Administration is working to set up an international trade zone in the area and is cooperating with McAllen on its location.

Cooperation with the Department of Housing and Urban Development is considered generally good. The City Manager thinks HUD has the highest caliber programs and that several HUD programs will ultimately be used in McAllen.

Summary of Findings

The table that follows summarizes these findings about the role of planning in public decision-making in McAllen.

SUMMARY OF FINDINGS
INFLUENCE OF PLANNING IN DECISION-MAKING

McALLEN, TEXAS

| | Influenced by Planning | | |
|--|------------------------|----|------------------------------------|
| | Yes | No | Not Known Or Not Appropriate |
| <u>Local Fiscal and Development Policies</u> | | | |
| Capital Improvements Programming | | X | |
| Urban Renewal | | | X |
| Economic Development | | | X |
| <u>Adoption and Administration of Codes and Ordinances</u> | | | |
| Zoning | | X | |
| Subdivision | | X | |
| Housing and Building Codes | | | X |
| <u>Local Public Facility Planning, Location and Construction</u> | | | |
| Schools | | X | |
| Parks and Recreation | | X | |
| Streets and Parking | X | | |
| Utilities | X | | |
| Public Housing | | | X |
| <u>Plans and Actions of Other Government Units</u> | X | | |
| Total Responses | 3 | 5 | 4 |

V. SUMMARY EVALUATION AND IDENTIFICATION OF KEY FACTORS

Even though over \$1,000,000 worth of public improvements have been built in accordance with the comprehensive plan, the performance of the planning process in McAllen is judged to have been only moderately effective. This conclusion is based on two reasons: 1) the dialogue of the plan is too far removed from the real issues facing McAllen and, 2) the plan has not become a part of the decision-making process.

McAllen, with its conservative political views, has not been ready for the full implementation of a planning program. However, the plan has made a contribution in certain areas. Most people knew about the plan and were generally in favor of its use. However, the concept of the plan as an instrument towards decision-making has not been accepted in McAllen. Someone as closely related to planning matters as the Chairman of the Zoning Board of Exceptions did not know a plan existed. He never consulted it nor the Planning Commission in ruling on zoning cases. When an area had been rezoned through exceptions, the plan would be changed to meet these uses.

Planning probably would never have gotten started unless the Manager had pushed for it. The Manager was largely responsible for the adoption of the first zoning ordinance twenty years ago, and he has been the only city official who has repeatedly tried to get an urban renewal and a public housing program started. While he has not been successful in establishing either a renewal or public housing program, other problems that traditionally concern city hall -- water, sewer, and drainage -- are well in hand and administered with a high degree of efficiency.

In short, McAllen's planning operation has been moderately successful in influencing decisions originated in the Manager's office. However, the Manager specified what he wanted before the plan was prepared and the planner complied with the Manager's wishes, and the general opinion in McAllen was the public projects carried out according to the plan would have been carried out anyway -- plan or no plan.

In short, the plan has not been used to influence decisions but as a supporting document for items of interest to City Hall. The Manager led the way in using the plan and the plan supports his programs. The Manager is a genius at planting his own ideas and convincing the public the ideas are theirs.

The most significant aspect of McAllen's planning operation is best discussed in what is not being done. The problem of airport expansion is now a problem for McAllen: neither the planner nor the Manager thought of it. Zoning controls are meaningless: the Planning Commission Chairman feels it is not his job to be concerned about zoning. And the problems of slum housing are not the concern of City Hall nor the local white-Anglo community because the Latin-American community was apathetic. As a result, little has been done except to program public facilities. This is partly due to the conservative political nature of the community and partly due to the illusionary feeling that the Latin-Americans are much better off and "happier" than is actually the case. While these people --who make up a major of McAllen's population -- are better off than their Mexican counterpart, they are in quite a poor condition in relation to the Anglo-American. McAllen's plan and planning apparatus is not geared to the needs of these people in any way. Urban renewal was defeated as recently as 1966, and the City Manager feels it does not have a chance to succeed in the future.

In general, the community suspects all federal programs and takes great pride in financing local projects on its own. It has a good revenue structure and has been able to finance many capital improvements without federal aid. Its revenue from oil and a toll bridge spanning the Rio Grande into Mexico permits it to remain independent, and it will only accept federal assistance on large-scale projects which it cannot afford alone. Otherwise it feels it can handle its internal problems and sees no need for subdivision controls, enforcing the zoning ordinance, or providing public housing.

The important factors influencing McAllen's planning program are considered to be the following:

1. Traditional conservative nature of the community and its feeling of independence established a difficult framework for planning. The city has been unwilling to adopt the codes and programs necessary to implement the plan.
2. Public apathy and lack of citizen participation in planning for the community.
3. A strong and competent City Manager responding to the attitudes of the community about the role of local government and local governmental programs.
4. Lack of continuing professional planning services to follow up the adoption of the plan in 1961.

Appendix A-10
COMMUNITY CASE STUDY
OF
PLANNING EFFECTIVENESS
EDINBURG, TEXAS

I. COMMUNITY CONDITIONS

Edinburg, a city of about 20,000 people and the county seat of Hidalgo County, lies in the Rio Grande Valley at the southernmost extremity of Texas. It is located about 10 miles north of McAllen, another case study in this series. Edinburg serves as a minor retail and wholesale center for the county, with a retailing structure similar to other towns this size throughout the country.

The mainstay of the economy is agriculture with heavy emphasis on citrus and vegetable production. Gas and oil production are also important but contribute little towards employment. The economy has changed little over the years and manufacturing employment has remained very low. Only 350 persons were employed in this sector in 1960.

Physically, Edinburg still retains the character of a small agricultural county seat which focuses around a court-house square. Pan American College, a college geared to promote Anglo-Latin studies, and two new architecturally distinctive buildings in the CBD are the pride of Edinburg.

In many respects, Edinburg has remained the step-child of more prosperous McAllen which lies between it and the Mexican border. Most of the people who teach at the College live in McAllen and commute. McAllen's larger retail service core is more attractive and dynamic and most of the rural population shops there instead of in Edinburg. But, Edinburg, like McAllen, receives a large percentage of Latin-Americans who first immigrate to the United States and the social problems created by this population are great. Edinburg has no outside revenues to off-set these social costs and, the community finds itself continually in financial difficulty.

Major Problems and Issues

- The community is located in a depressed area of Southern Texas.
- Two-thirds of the population is Latin-American in origin who find it difficult to find employment. The majority of these people are migrant workers who live in Edinburg only 6 months of the year.
- The majority of the housing is substandard.

II. LOCAL PLANNING FUNCTION

The first Planning and Zoning Commission in Edinburg was established in 1947 but was generally inactive until the late 1950's. During this tenure, the Commission adopted a zoning ordinance and subdivision regulations. These were generally disregarded and development proceeded on an ad hoc basis. In 1958, the City Council learned from an abortive attempt to develop a motel that private developers were no longer willing to invest in downtown Edinburg because of the deteriorating environment and economic instability. City Council began to consider planning as a solution.

As a direct result of this experience, the City Council employed a new City Manager with the ability and initiative to come to grips with its problems. As a first step, the Manager recommended that the City immediately participate in an urban renewal program. A poor Latin-American residential area was designated as a potential renewal project and cleared for a modest public housing project.

To meet the workable program requirements, the consultant firm of Caudill, Rawlett and Scott was retained to complete a comprehensive community plan under the 701 program. An elaborate set of background studies, including a plan for public facilities and a circulation plan, was prepared. The firm also developed, in collaboration with the City

Manager, a system of administrative controls and a capital budget. The plan was completed in 1961 and presented to the public for approval. At that time the program was essentially turned over to the City Manager who has administered it since.

There has been no continuing professional planning services in Edinburg since the adoption of the plan. However, the City Manager who is an extremely competent and capable person, has served as a "non-professional planner". To a large extent, the local planning function has rested primarily with him. The Manager has taken great care to involve the City Council and the major community leaders in the planning program. At the Manager's request, the Council named a citizen board to sponsor and study a capital improvements program to implement certain aspects of the plan. Thirty-five board members were divided into four subcommittees, each assigned to study a specific problem and to make recommendations for submission to the electorate in a bond issue. After a good publicity program the capital program was submitted to a vote and only one item failed to be approved.

III. COMMUNITY PLAN AND PLANNING DOCUMENTS

Three basic background studies were prepared for developing the comprehensive plan. These were:

Circulation Report. Including data on transportation facilities, parking, regional thoroughfares, right-of-way widths and traffic volumes.

Community Facilities. Including data on neighborhoods with 1960 and 1980 populations, a school plan, a public buildings plan, housing conditions data, water distribution plan, sewerage plan and a storm drainage plan.

Administrative Controls Section. Including a capital improvements plan, subdivision regulations and zoning maps.

On the basis of these studies Edinburg's comprehensive plan was adopted in 1961.

The plan and its supporting documents are the same high quality as those in McAllen. Edinburg's is heavier on content and not as elegant as McAllen's. It also has been used more. Practically all of the plan has been favorably accepted in the town of Edinburg. Urban renewal has been used in zoning matters, and traffic problems, street planning and utility planning have also proceeded in accordance with the plan.

Local officials considered the plan to be quite adequate, and to present a level of detailed analysis never available to Edinburg before. The plan is weak on economic development policies, but the capital improvements program is well documented.

IV. EFFECTIVENESS OF PLANNING PROGRAM

Local Fiscal and Development Policies

Capital Improvements Programming. In 1964 a five-year \$1.4 million dollar bond issue was passed by the Edinburg voters. The items carried included funds for municipal buildings, a hospital, an auditorium and expansion to the utilities system, all based on major plan proposals. Several of the specific projects have been built or are in the process of being built, some in locations recommended by the plan. The City Hall has been completed one block north of the recommended location. The new sewage treatment plant is nearly completed at the recommended location.

Urban Renewal. The Urban Renewal Director was generally unaware of the comprehensive plan and was totally unaware of the 701 program. Two projects have been started in Edinburg and both are in the execution stage. Both are residential, and rehabilitation has been the main concern. Part of one has been designated for industrial reuse.

Economic Development. There have been no significant economic development policies emerging from the planning process. Steps are being taken to participate in a regional economic plan for the Lower Rio Grande Valley.

Adoption and Administration of Codes and Ordinances

Zoning. The zoning ordinance was adopted in January, 1962, as part of the plan and has generally proved satisfactory. The zoning ordinance appears to be well thought out and serves the community well in its development areas. The plan recommended an ordinance with suggested review procedures along with a zoning use district map and a proposal to amend the older zoning ordinance.

The planning board has not approved any waivers or spot zoning requests although a few have been approved through appeal procedures. The board turned down a request for a small supermarket in a residential area, and forced the developer into a commercially zoned area. He enjoyed great success, commended the board for its decision, and publicized his support of zoning.

Subdivision Requirements. Edinburg had subdivision regulations prior to the plan and according to the city engineer they were good. However, the plan was a tremendous asset in getting developers to accept the regulations. Prior to the plan, it was difficult for the city to justify the need of a 50 foot right-of-way and developers balked. After the plan was adopted the city could support its requirements. Developers have generally accepted the regulations in the ordinance which require the developer to put in curbs, gutters and pavement, and to put up utility money which

the city uses to install water and sewer. Developers are reimbursed for bonafide taps onto the lines. Some developers have gone outside the city limits to escape these regulations.

Housing and Building Codes. Edinburg has on its books both a housing and building code as required by the workable program. However, because 53 percent of all housing is substandard the housing code cannot be realistically enforced and it took one and one-half years for the workable program to be recertified. The plan has had no impact in this area.

Local Public Facility Planning, Location and Construction

Schools. The school system has not used the plan to any great extent, either for population projections or school location. Several reasons were cited by the school superintendent:

- A junior high school site in the southeast part of the city turned out to be too expensive to acquire so a new site a couple of blocks away was acquired. It was better located in relation to the final location of a highway by-pass and less expensive. He explained that the school board is extremely reluctant to use eminent domain to acquire property and this policy eliminated the site recommended in the plan.
- Lincoln School was recommended for expansion in the plan but this did not materialize for two reasons: (1) the school population decreased markedly in the area and, (2) the by-pass location eliminated part of the area earmarked for expansion.
- The neighborhood school concept proposed in the plan is too expensive for Edinburg.

- Enrollment projections have proven unreliable. There has been a decrease in elementary enrollment rather than an increase as projected by the plan.

Recreation. Recreation areas are designated in the plan, but a lack of funds has prevented the city from purchasing large open spaces to hold in reserve.

Streets and Parking. The city used the plan effectively in a fight against the State Highway Department on a highway by-pass location. The Highway 281 by-pass was located on the east side of town, as presented in the plan, rather than the west side as recommended by the Highway Department. The final location was one block west of the recommendation in the plan.

Utilities. Utility planning has proceeded in accordance with the plan. The City Engineer uses the plan frequently, especially in laying out new outfall lines. The Engineer helped formulate the plan and his needs are well documented in the plan.

Public Housing. Only one low-cost housing program has been completed in Edinburg. The site was chosen before the plan was prepared.

Plans and Actions of Other Government Units

Several government agencies are involved in formulating programs for the Lower Rio Grande Valley, of which Edinburg is a part. These programs have not been implemented but whether Edinburg's plan will influence program decisions is speculative.

The city's comprehensive plan was instrumental in overturning the State Highway Department's decision on the location of Highway 281.

Summary of Findings

The table that follows summarizes these findings about the role of planning in public decision-making in Edinburg.

SUMMARY OF FINDINGS INFLUENCE OF PLANNING IN DECISION-MAKING

EDINBURG, TEXAS

| | Influenced by Planning | | |
|--|------------------------|----|------------------------------------|
| | Yes | No | Not Known Or Not Appropriate |
| <u>Local Fiscal and Development Policies</u> | | | |
| Capital Improvements Programming | X | | |
| Urban Renewal | | X | |
| Economic Development | | | X |
| <u>Adoption and Administration of Codes and Ordinances</u> | | | |
| Zoning | X | | |
| Subdivision | X | | |
| Housing and Building Codes | | X | |
| <u>Local Public Facility Planning, Location and Construction</u> | | | |
| Schools | | X | |
| Parks and Recreation | | X | |
| Streets and Parking | X | | |
| Utilities | X | | |
| Public Housing | | | X |
| <u>Plans and Actions of Other Government Units</u> | | | |
| | X | | |
| Total Responses | 6 | 4 | 2 |

V. SUMMARY EVALUATION AND IDENTIFICATION OF KEY FACTORS

The public, with minor exceptions, has accepted the major points of the city's comprehensive plan. The newspaper covers all Planning Board hearings and has been favorable to planning. Persons interviewed thought planning had been good for Edinburg, but several could not cite specific reasons to support their opinion.

The City Manager and City Engineer use the plan almost daily and follow its recommendations closely. The City Manager specifically mentioned using the street plan, zoning ordinance and the capital improvements program; the engineer used the water and sewer plan. No major deviations from the utility plan have taken place.

Even though there are few tangible accomplishments which can be attributed to Edinburg's planning program, the conclusion is that the program has been effective. This judgement is made chiefly in the economic and social context through which the planning program was established and operated.

Edinburg and the Lower Rio Grande Valley is undergoing a slow transition from an agricultural to a manufacturing based economy. However, its economic position is weak and the only recourse open to it is through Federal Government programs. Urban renewal, which has been very successful in Edinburg, is one of the strongest public programs the city has supported and indicates the community's willingness to participate in action programs. Urban renewal has been a well-publicized program and an energetic City Manager has pushed it as a solution to some of the problems facing Edinburg. Involvement in renewal forced the city to take steps to coordinate other programs into a comprehensive plan.

One criteria which can be used to measure the overall effectiveness of planning in Edinburg is the degree of community involvement and the educational benefits derived from citizen participation through the planning process. The involvement of the community in the passage of the capital improvements program serves as an example.

In Edinburg, a strong City Manager has played a vital role in the formulation of the plan and seeing it effectuated. The City Manager was able to involve the leadership of the community in renewal, and ultimately, in the planning process. In effect, this involvement introduced, for the first time, the idea that the community could take a rational, step-by-step approach to solve its problems. The issue in Edinburg is not whether the town wants renewal or planning, but the concern is how to finance the next phase. The budget is extremely tight and limited. When the County suddenly turned over the hospital to the City to operate with only one month's notice last year, the municipal budget was totally disrupted. Significantly, with the plan as a guide, the leaders did not panic but proceeded to readjust the budget.

It would be unrealistic to evaluate planning progress only in terms of product achievement in Edinburg. Generally the community leaders are aware of the planning process and are impressed with the plan's usefulness as a guide to solve its problems. It has adopted and enforced effective land use controls and attempts to avoid the development problems that occur in other communities.

Major factors affecting Edinburg's planning:

1. Lack of funds to solve major socio-economic problems.
2. Strong citizen participation and concern.
3. Highly competent City Manager kept process going in absence of continuing professional assistance.
4. Planning process has been institutionalized in local government.

Appendix A-11
COMMUNITY CASE STUDY
OF
PLANNING EFFECTIVENESS
NATCHEZ, MISSISSIPPI

I. COMMUNITY CONDITIONS

Natchez is located in Adams County in the heart of the Mississippi Delta country with roots firmly tied to the Mississippi River and the history of the pre-Civil War South. The Civil War and the development of improved modes of water transportation led to the economic decline of the city and Natchez remained a relatively stagnant city until the late 1930's. A minor economic revival in the late 1930's revolved around the growth of 1) the wood using industries, 2) the discovery of oil and gas, 3) the growth in its manufacturing base due to the rubber industry, and 4) the development of a small tourist business. The 1967 population is estimated at approximately 25,000 people, a small increase from 23,800 in 1960 and 22,740 in 1950. The racial composition of the population in 1960 was about 49 percent non-white and by 1967 has increased to about 52 percent.

Suburban shopping centers have recently begun to develop, dimming prospects for downtown revitalization. A lack of modern buildings and a shortage of parking is apt to intensify.

The physical condition of the city is unique in that many of the structures are old and of historical interest. They range in condition from excellent to very poor. In 1960, about 40 percent of the total housing stock was substandard. The overwhelming concentration of the substandard housing stock, 95 percent, is occupied by Negroes. The Negro ghettos are extensive and in extremely poor condition.

Major Problems and Issues

- Severe need for low income housing.
- Limited employment opportunities for Negroes.

- Central business district is deteriorating.
- Extensive areas of the city do not have water and sewer service.

II. LOCAL PLANNING FUNCTION

The concept of planning was introduced in Natchez in 1946 by the city engineer who developed a subdivision ordinance and tried to get regulations on pavements and street widths. At about the same time a planning and zoning commission was appointed. In 1950, Arch Winter, a planning consultant from Mobile, was retained to prepare a master plan for the community, financed entirely by local funds. The study covered street patterns, transportation facilities, land use, open space, rehabilitation and redevelopment plan and an historical district plan. The program also included a public improvement program, subdivision regulations and a zoning ordinance. This plan was adopted by the City Planning Commission and approved by the Board of Aldermen in 1951. The Daughters of the American Revolution supported part of the plan and encouraged an historical area to be designated.

In 1961, Mr. Winter updated his previous plan, this time with "701" funds. The Planning and Zoning Commission's decision to update the 1951 plan was based on the need to recoordinate the plan with the impact of the new highway bypass, a need for updating maps and to evaluate the pattern of growth which had transpired in the past 10 years.

The city now has a full-time planner who works in the City Engineer's office and who provides continuing planning services in the community.

III. COMMUNITY PLAN AND PLANNING DOCUMENTS

The 1951 Master Plan for the City of Natchez includes the following sections:

Development of the City, including illustrations and narrative on the past, and present growth, the effect of the terrain on the pattern of growth and the use of the land.

The Master Plan for Natchez, includes illustrations and narrative on streets, transportation, land use and zoning, open spaces and public buildings, historical district, and a rehabilitation and redevelopment plan.

Putting the Plan Into Effect, includes the recommendations and methods of implementation for the plan, including a public improvement program, suggested subdivision regulations, zoning ordinance and an architectural plan ordinance to protect the historic district.

The planning documents are oriented to physical planning, and little attention is given to the social or economic development. In this respect, the plan is weak.

Mr. Winter also furnished scale models and blow ups of the illustrations shown in the report for display in the planning director's office.

The 1961 revision of the comprehensive plan, except for a set of new maps, was a narrative report providing an extension of the original plan.

IV. EFFECTIVENESS OF PLANNING PROGRAM

Local Fiscal and Development Policies

Capital Improvements Programming. There is no capital improvements program in Natchez. The comprehensive plan of 1951 presented a list of items to be funded over a six year period, but no specific starting time was designated or monetary value placed on the items.

Urban Renewal. Natchez does not have an urban renewal program, even though many areas are in extremely poor physical condition and meet urban renewal requirements. The 1961 revised plan mentions renewal but on a local level rather than with federal participation.

Economic Development. Economic programs were not a part of the comprehensive plan. In July 1967, Natchez was designated as a growth center for ten counties in the area by the Economic Development Administration.

Adoption and Administration of Codes and Ordinances

Zoning. The zoning ordinance was adopted in 1951 as part of the comprehensive plan and was revised in 1963. The planning consultant was instrumental in getting the ordinance both adopted and revised and has played an important role in most zoning hearings.

Subdivision Regulations. These regulations were also adopted as part of the comprehensive planning program in 1951. The City's planning consultant consults with the City and Planning Commission on all subdivision applications.

Housing and Building Codes. The City has on its books a minimum housing standard code that has not been enforced, and is unrelated to the planning program.

Local Public Facility Planning, Location and Construction

Schools. In the area of school location there has been little coordination between the plan and the school board. Schools are run on a county-wide basis and utilize their own staff to recommend prospective sites. The Planning Commission feels little need to strengthen this aspect of its work or to interfere with the school board's operation.

Recreation. An elaborate recreation plan was adopted as part of the comprehensive plan but it has not been implemented. Only one park exists in Natchez and it lies within the Historical District. Most of the open space designated as recreational area in the plan is in private ownership.

Streets and Parking. The transportation plan is being used to persuade the National Park Service to extend a proposed National highway -- the Natchez Trail Parkway -- into the center of the City. The traffic plan has also been used as a guide in solving local traffic problems.

Utilities. The plan has not dealt with public utilities in a way that is useful to the City. There is no evidence that the planning of utilities is based on the city's comprehensive plan.

Public Housing. There is no public housing in Natchez.

Plans and Actions of Other Government Units

Federal program participation is at a minimum and the use of "701" funds was a departure from the norm. The only possible level of federal acceptance at the present time would probably be in the area of flood control administered by the U.S. Corps of Engineers. The conservative atmosphere has for all practical purposes shut off all dialogue concerning the utilization of federal programs.

Coordination between the city and the county should improve as a City-County Metropolitan Planning Commission to cover the city and an area of three miles in radius outside the city is being discussed. This will necessitate a reorganization of the present planning organization but it should resolve many of the problems of growth in the county.

Summary of Findings

The table that follows summarizes these findings about the role of planning in public decision-making in Natchez.

SUMMARY OF FINDINGS
INFLUENCE OF PLANNING IN DECISION-MAKING

NATCHEZ, MISSISSIPPI

| | Influenced by Planning | | |
|--|------------------------|----|------------------------------------|
| | Yes | No | Not Known Or Not Appropriate |
| <u>Local Fiscal and Development Policies</u> | | | |
| Capital Improvements Programming | | X | |
| Urban Renewal | | | X |
| Economic Development | | | X |
| <u>Adoption and Administration of Codes and Ordinances</u> | | | |
| Zoning | X | | |
| Subdivision | X | | |
| Housing and Building Codes | | X | |
| <u>Local Public Facility Planning, Location and Construction</u> | | | |
| Schools | | X | |
| Parks and Recreation | | X | |
| Streets and Parking | X | | |
| Utilities | | X | |
| Public Housing | | | X |
| <u>Plans and Actions of Other Government Units</u> | | X | |
| Total Responses | 3 | 6 | 3 |

V. SUMMARY EVALUATION AND IDENTIFICATION OF KEY FACTORS

Notwithstanding an impressive display of planning exhibits the conclusion is that the plan developed for Natchez has for the most part been ineffectual. The area is politically conservative, mistrusts the Federal Government, and is opposed to any form of "controlled" growth. This extends into a relaxed attitude towards subdivision regulations or enforcing the zoning ordinance. At present the city is over 50 percent Negro, but this group wields no political force. Consequently, despite an extensive Negro ghetto, the city has no urban renewal projects or public housing programs.

The few members of the community leadership that have accepted planning have done so only with a limited view of the planning concept. Political opposition is still strong, and it is difficult to divorce the Planning Commission from the Board of Aldermen as the more influential leaders sit on both. Overall, the Planning Commission has been unresponsive to most of the social problems in Natchez.

There has been little if any public dialogue concerning the plan and what it means for the city. In the case of the Historic District, the Pilgrimage and Natchez Garden Clubs acted as advisors to the Planning Commission. This represents the only cooperative effort of the public officials and the citizens of the city.

The existence of a plan and a planner in Natchez had little impact on public policy-making, except in establishing an architecturally historic district. The economy is static and yet no economic study has been made.

In Natchez, the question of values becomes a key issue. The planning document is oriented towards the physical aspects of the City, and no consideration had been given the economic or social structure either by the Planning Consultant or the local officials. While land was set aside for industrial use, this was more for recreation; while measures were taken to preserve the historical district, none were taken to obtain cooperation in upgrading the slums; and while federal funds were used for a new post office, none were requested for urban renewal or public housing.

Major factors affecting planning effectiveness in Natchez include the following:

1. An underlying mistrust of the Federal Government and the concept of planning.
2. A static economic base that is unlikely to change.
3. Lack of commitment on the local level to tackle the enormous problems created by a large Negro population.

APPENDIX B

Checklist for Local Interviews

CHECKLIST FOR LOCAL INTERVIEWS

COMMUNITY EVALUATION

PLAN PREPARATION

I. Origin of the Planning Process

A. Making contacts within the community

1. Chief Administrative Officer
2. Community planner or consultant
3. Planning Commission Chairman
4. Communication media
5. Representative of opposition
6. Person affected by plan-developer
7. Others

B. How did planning get started in the community?

1. Local awareness of need
2. Promotion by state local assistance program
3. Promotion by consultant
4. To meet workable program requirements
5. New unforeseen industrial expansion
6. May become part of metropolitan area
7. Meeting a crisis caused by catastrophe or other level of government
 - a. Highways
 - b. Defense establishment
 - c. Reservoirs
 - d. Universities

8. Part of metro area and must plan to survive.

II. Design of Study Program and its relationship to community conditions and problems.

A. Physical Description of Community

1. Within SMSA

- a. Central City
- b. fringe area
- c. suburb
 - i. residential
 - ii. commercial
 - iii. industrial

2. Outside SMSA

- a. Will become urbanized
- b. Resort town
- c. Agriculture center--prosperous or declining
- d. Industrial center --prosperous or declining

3. General physical condition

- a. Age of public facilities
- b. Condition of public facilities

B. Economic Climate

1. Main employment generators

- a. Industrial
- b. Commercial
- c. Agriculture
- d. Tourism
- e. Government

2. Rate of growth
3. Expansion possibilities

C. Social Characteristics

1. Population
2. Income
3. Education
4. Housing stock
5. Welfare and Health programs
6. Leisure opportunities

D. Relationship of Study Design to Identified Problems

1. What are the sources of planning goals, objectives and standards?
2. Was subject matter and scope of plan appropriate for the size and function of the community or planning area?

III. State Administrative Review of Application and Program

A. Was the state involved in the design of the study and in what ways?

B. Did the state accept the contract price?

C. What other changes did the state suggest or require?

1. Consultants
2. Scope of services
3. Time duration
4. How long did it take to get the state's approval? Was this reasonable?

IV. Federal Administrative Review of Application and Program

- A. How long did it take to get the regional office approval?
Was this reasonable?
- B. What changes took place in the city administration during the approval of the application?
- C. To what extent was the planning climate altered during the review period?
- D. Did the regional office make changes while the actual planning program was underway? What effects did this have in the community?
- E. Were the regional changes constructive?

V. Professional Responsibility For Plan Preparation

- A. Who was responsible for the actual planning work?
 - 1. Local staff
 - 2. Consultant
 - 3. State staff
 - 4. Other or combination
- B. How was the professional planning group picked?
 - 1. By the community
 - 2. Suggested or imposed by the state
 - 3. Other
- C. What were the qualifications of the professional planning group?
 - 1. Previous experience
 - 2. Professional staff

- D. How much time was spent in the community by the planning group? Was there a resident planner?

VI. Formulation, Participation, and Adoption of the Plan

- A. Were regular meetings held with community interest groups and neighborhood groups during the planning process?
1. In which phases?
 2. Were these established civic action groups or other groups not previously active?
 3. Were any of the new groups formed with help of city government?
- B. Did these discussions have any influence on development of plans? Did they ultimately aid acceptance of the plan?
- C. Were surveys or questionnaires or surveys used and how did they influence results?
- D. To what extent were local staff and other municipal officials involved in the planning?
- E. Were other governmental jurisdictions invited to comment on the various aspects of the plans and its possible implications?
- F. How did the planning staff conceive its role?
1. As a staff arm for the executive or council.
 2. As a lobbyist within local government for the public interest as a whole?
 3. As a lobbyist for politically inarticulate groups.
 4. Other

G. How were planning outputs communicated to the public?

1. Are summaries of studies, plans, land--use regulations, etc. available in laymen's language?
2. How are plans publicized?
 - a. Direct distribution
 - b. Hearings
 - c. Radio, television, newspaper
3. Are 701 provisions for educational activities utilized?
4. How is the public informed of specific decisions affecting their interests--highway location, proposed land acquisitions, etc.

H. Were various segments of the community satisfied with the plans and their implementation?

- a. What actions were taken by groups or individuals in opposition to the plan?

VII. Quality of the Planning Documents

A. Research and Analysis

1. How many documents are included in the plan? Is there a summary document if more than one?
2. Are all the elements of a comprehensive plan included?
3. Were the techniques appropriate for the level of information and analysis sufficient for immediate decisions, actions, and proposals? Is further detail

necessary?

5. Were the scope and level of detail of projections appropriate to the size of the planning area--also the level of detail in the proposals?
6. Were projections adequate in terms of subsequent events?
7. Were the stated problems supported by data and techniques of plan?
8. Were programs and tools available to the community adequate for the stated problems?
9. To what extent were findings, data, and information from outside studies of the community used in preparation of the plan?
10. Are the data and findings of the various segments of the plan useful for other related studies--transportation studies, regional economic development, marketing and so forth?

B. Planning principles

1. Are goals and objectives discussed--is there an indication that the public participated in this?
2. Are alternative choices considered for a comprehensive plan and the various elements?
3. Is the professional quality of the analysis of data satisfactory?

C. Appearance

1. Does the document flow smoothly from preliminary studies to goals and objectives, to plans, and to implementation?

2. Is the document well organized in terms of headings, sub-headings, and page lay out?
3. Could the average layman understand the data as presented as well as the conclusions and trends involved from them?
4. Is there too much or too little emphasis on "eye appeal"?
5. Are maps and charts used to illustrate the data and plans contained in the documents?
6. What is the quality of the graphics in terms of scale, color, and legibility?

PLAN EFFECTUATION

VIII. Availability and quality of continuing planning assistance.

- A. Has the planning function been institutionalized and expanded in scope?
- B. Is there a professional staff?
 1. Size of staff
 2. Backgrounds
 3. Salary scales
 4. Full-time direction
 5. Appointing Authority and responsibility
 6. Turnover
- C. What are trends in per capita expenditures for community planning?
 1. Have appropriations been reliable and expanding?
 2. Has the local share of costs been increasing?

D. What participation is there in Regional and Metropolitan planning associations and projects?

E. How are consultant services being utilized?

IX. Composition and Attitude of Planning Commission

A. What is the quantity and quality of personnel?

1. Size of commission
2. Background of numbers
3. Turnover of numbers
4. Location of function within government structure
5. Who is the appointing authority?
6. Was the commission formed in anticipation of 701?
7. What are the commission's functions?
8. What are the attitudes of numbers?
9. How informed are they on community problems?

X. Implications of Local Political Climate for Planning Success

A. What is the receptiveness of the political leadership to change?

B. How experienced are salaried officials?

1. What are the day to day relationships between the planning staff and other public officials?
2. Are key line personnel aware of planning service and documents?
3. Do officials utilize information supplied by the planning staff?

4. Do officials appreciate a more systematic identification of community problems, potentials, and objectives?

5. Do they feel planning documents are useful to them in their work?

C. Has public understanding of planning been enlarged?

1. Are planning documents, services, and personnel utilized by the public? How?

2. How is the level of community support for planning changing?

3. Is there heightened consciousness of development problems and issues?

a. Communication media coverage

b. Citizen listings of issues

4. Has greater interest been generated on development issues?

a. Have citizen action groups been forming and expanding their membership?

-Among influential segments of population

-Among formerly inarticulate groups

-Budgets, activity, membership

b. Has the intensity of public concern been increasing?

-How quickly do ad hoc groups form in reaction to specific issues?

-How many people attend hearings, vote on band issues, etc.?

-Is there greater private initiation and
sponsorship of civic projects?

D. Has the scope and time sense of community decision making
been enlarged?

1. Are distinctions made between long and short term impacts?
2. Is there sensitivity to trade offs and priorities?
3. To what extent are non-physical, social and economic
problems considered?
4. How subtly are the relationships among functional programs
and among social, physical, and economic influences identi-
fied and manipulated?
5. Is their recognition of direct and indirect benefits?
6. Are alternative courses of action suggested and considered?
7. To what extent is uncertainty recognized? How is it handled?
8. Is there awareness of staging and programming considerations?
9. Is the need for continuous planning adjustment recognized?

XI. Coordination of Planning With Other Government Units

- A. Has planning contributed to coordination among different levels
of government?
- B. Are outside sources of information utilized?
 1. From adjacent communities?
 2. From metropolitan, county, regional, and State planning
activities?
- C. Are conflicts identified and resolved?

1. To which governmental units or special districts are plans submitted for review?
2. What type of response is received?
- D. Are plans and development actions consistent with those of other jurisdiction?
- E. In what manner do external agencies communicate their intent to the community?
- F. What kind of guidance and services are provided by outside government agencies?

PLANNING IMPACT

The effectiveness of planning was measured in terms of:

- I. Is (or was) the plan and the planning process recognized and accepted as a legitimate instrument and mechanism for guiding and/or coordinating private and public community development?
 - II. Do (or did) individuals or agencies find the segments of the plan, and the planning process, of value in the development of specific project and facility plans for which they are responsible?
 - III. Are (or were) the actual plans actions of these individuals and agencies consistent with overall community plans and development policies?
- I. Local government policies, decisions, and actions
 - A. Administrative and Financial Policies and Programs

1. Capital budgeting

- a. Does the community have a capital budget?
- b. How often is it revised?
- c. Does it contain short and long range items?
- d. Is it supported by sources of financing?
- e. Was the capital budget proceeded by a fiscal analysis and capicity study of the communities resources?
- f. How are items selected for inclusion in the capital budget? Does each operating agency or department turn in yearly requests and how well are requests supported by information?
- g. Are priorities recognized?
- h. Does the chief executive officer recognize the budget as a useful tool? Does he use the budget to turn down requests?
- i. Is the capital budget related to the master plan?

2. Urban Renewal

- a. Does the community have an urban renewal project underway or is it contemplating a project?
- b. Was the project a result of the plan?
- c. What problems identified in the plan is the urban renewal project supposed to alleviate?

- d. Was the capital construction in the project considered in the capital budget?
- e. Does the project correspond to the plan?
- f. Has the urban renewal project been successful in terms of design, social impact, and attracting investment?

3. Economic Development Programming

- a. Have short range development programs been designed and implemented?
- b. Have industrial development projects been will designed and marketed successfully?
- c. Have new job opportunities been created?
- d. Were the programs a result of the plan?

4. Annexation

- a. Have unincorporated areas been annexed or incorporated or incorporated areas consolidated?
- b. Were these recommended in the plan?
- c. Have the annexed areas been merged into the master plan?
- d. What level of planning has been completed for the annexed areas?
- e. Did the city benefit from the annexation? In what ways?
- f. Has the city been hindered in its annexation policies? Why?

5. Tax Policies

a. Does the community have a tax policy or program that gives it any flexibility?

b. How does it finance capital improvements?

Bonds

Capital Reserve Account or Levy

Current Funds

c. Does it utilize program budgeting?

d. Has it overhauled its tax structure to make it as equitable as possible?

e. Does it make use of grant programs?

f. Have changes been made in assessments as a result of the plan?

g. Are developers required to provide streets and utilities?

h. Are the tax implications of zoning changes considered before adoption?

i. Is the tax policy coordinated with economic development programming?

j. How has tax policy affected the effectiveness of the plan?

k. Does the organization of annual budget submittals reflect planning considerations?

B. Adoption and Administration of Codes and Ordinances

1. Zoning and subdivision regulations
 - a. How consistent are they with planning?
 - b. How are they adopted and who administers them?
 - c. How prevalent are spot zoning and exceptions?
2. Building and Housing Codes
 - a. How flexible are they in content?
 - b. Do they incorporate performance criteria?
 - c. How flexibly are they administered?
 - d. Are violations enforced?
 - e. Have they had a positive impact?
3. Historic Controls
 - a. Have historic districts been created?
 - b. Have landmarks been purchased and preserved?
4. Environmental Controls
 - a. Does the community control burning of refuse and garbage?
 - b. Is there an active water pollution control law?
 - c. Are there noise, odor, and air pollution controls?
 - d. Are utilities required to be underground in new developments?
 - e. Are there signing and architectural controls?
 - f. Must industry and apartments provide sufficient off-street parking?

C. Public Facility Planning and Construction

1. Have the location and scale of major public investments corresponded to planning recommendations?

a. Schools

b. Parks and Recreation

-Have open spaces been created or preserved?

-Have new amenities been created?

-Have physical features of cityscape and landscape been enhanced?

-Have monies been expended on city beautification?

c. Streets and highways

d. Public utilities

-Have public utility locations been able to channel developments

e. Other public buildings

-Has the willingness to spend on civic architecture increased?

2. Have there been major deviations from the plan? What were the reasons?

a. Irrelevance of plan to changing community needs.

b. Political weaknesses of planning functions and planners within local government?

c. Strength of particularly influential groups or individuals?

3. Have specific project proposals been accepted and implemented successfully?

D. Social Planning and Programming

1. Are community problems, potentials, and objectives more systematically identified?
2. How adequate are the informational responses of the community for dealing with the problems confronting it?
 - a. What types of records and information are kept by the relevant city agencies?

-Vital statistics

-Tax and Assessments

-Ordinances and Minutes

-Building records

-Census information

-Deeds, atlases, area photos

3. Can improvement in social and economic conditions be attributed to planning?
 - a. Has the supply and quality of low income housing increased?
 - b. Has racial integration been advanced?
 - c. Are local officials more responsive to welfare needs?
 - d. Are education programs increasing in quality?
4. What indirect effect has the presence of planning had?

- a. What additional ideas did the consultant supply while completing his formal work?
 - b. Were these translated into development actions?
 - c. Has there been increased communication between the various elements of the community?
 - d. Has there been an increase in the receptivity to new ideas and the rate of innovation?
5. Has planning contributed to the coordination of actions within the operating agencies?
- a. Are line agency proposals reviewed by the planning staff? At what stage in their formulation?
 - b. Are interdepartmental conflicts identified and resolved?
 - c. Are agency actions consistent with overall development policy?
 - d. How do the planners feel about their relationships to key decision makers?

II. PLANS, DECISIONS AND ACTIONS OF OTHER GOVERNMENTAL UNITS

(Relate to part XI under plan effectuation)

- A. Has planning contributed to coordination among different levels of government?
- 1. Federal Grant
 - a. FAA
 - b. Post Office Department
 - c. Corps of Engineers
 - d. T.V.A.
 - e. E.D.A.

2. State Government

- a. Highway Department
- b. Economic Development
- c. Board of Education

3. County and Metropolitan Government

4. Other towns and Cities

5. Special Authorities

III. PRIVATE DECISIONS AND ACTIONS

A. Has planning contributed to the coordination of public and private actions?

1. Has planning promoted consensus on important development issues?

2. Has it provided a framework for private development decisions?

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