

League of Women Voters of Minnesota Records

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facts & issues

January 1972



☐ "... Governments are instituted among Men, deriving their just Powers from the Consent of the Governed, that whenever any Form of Government becomes destructive of these Ends, it is the Right of the People to alter or to abolish it, laying its Foundation on such Principles, and organizing its Powers in such Form, as to them shall seem most likely to effect their Safety and Happiness."

Declaration of Independence, July 4, 1776

#### CHANGE: THE NEED TO SHAPE IT

In the early 1900s, the city, the township or, in some cases, the county were effective self-contained governmental units. Local problems found local solutions. Community resources met community needs, and a citizen knew and recognized the extent of his and every man's responsibility within the boundaries of his community. Within the last thirty years, however, massive changes have occurred, especially in large metropolitan areas. Cities expanded outward in ever-widening circles, or grew along the major transportation routes. "Urban sprawl" developed around both large and small cities. Growth no longer coincided with traditional governmental boundaries. Instead, separate corporate areas and multiple service districts developed higgledy-piggledy, separately taxing and meeting specific community needs-for fire prevention, flood control, schools, mental health services. . .

schools, mental health services....
Citizens' lives became fragmented, as allegiances and responsibilities were divided. A family might live in one local governmental unit, send the children to school in a second, work in a third. No longer could it be said that the community was self-contained, self-sustaining. What happened in one governmental unit frequently affected another. Highway decisions were made "somewhere else." If the neighbor across the road decided to self his farm as a site for a new shopping center, the citizen on the other side was powerless—when "across the road" was in another city or village.

As this fragmentation of the "community" took place, the functions citizen was simultaneously subjected to another force. The sheer size and growing professionalism in government (less flatteringly called bureaucracy) left the average citizen feeling allenated, without control over his own life or over his own government. There was increasing emphasis on "experts," "reports," "analyses"—all necessary ingredients of an effective and well-run government—but where did such emphases leave the average man? When he

complained about garbage pick-up and a solid waste disposal engineer answered him with statistics, as far as he could see, his problem remained unsolved. And how could he talk to his alderman, who might represent 40,000 other people?

Today, most Americans who examine their feelings toward government would probably agree that they want to be its master, not its slave. They might also agree that the proliferation of levels and kinds of government, of taxing and service districts, is confusing. And most would agree that government is impersonal. A citizen finds it harder than ever to figure out who is in charge of what, who is responsible for what, and how he as an individual can exert influence.

The widespread feeling of lack of influence over public decisions as well as the inability of local governments to solve problems that spill over traditional jurisdictions provide increasing momentum to two approaches to solving overnmental problems. One would use regional arrangements to attack areawide concerns and to equalize the tax burden and delivery of services. The other would decentralize the decision-making process of government to allow citizen input into decisions that affect them and to bring services and government closer to the people.

These two approaches are not necessarily contradictory. Regional approaches need not foreclose simultaneous efforts at decentralization. Important to the effectiveness of both routes to change, however, is the early involvement of citizens in decision-making.

#### Why Regionalism?

Regional solutions can avoid duplication and thus provide more for the tax dollar. Many problems clearly lap over governmental boundaries. It is fairly easy, for example, to demonstrate the necessity for regional efforts to improve water quality. What happens to a river upstream affects the purity of water downstream. Individual municipalities, air though frequently bearing a significant share of clean-up more comprehensive attempt to distribute costs and responsibilities in a way that makes sense in both financing and citizen input.

In other cases, a regional approach is not so clearly seen. For example, operating schools has historically been a local responsibility, with local boards of education setting policy and local taxpavers "paying for what they get." Yet social consequences of unequal educational opportunities spill over boundaries. In nearly all states local property taxes bear the major burden of school costs, so that typically there are wide differences in per-pupil expenditures among school districts. Schools in areas with low perpupil property values do not have the resources to maintain first-class schools. It may be hard to convince citizens in areas with high property values that the social cost of neglecting other schools has outreach effect. The long-range price for everyone may be high.

There is growing recognition of the built-in effect on educational equality of the property tax as a major support for schools. The State Supreme Court in California in Serrano v. Priest, August 30, 1971, held that the California public school financing system, which relies primarily on local property taxes, results in wide disparities in school financing. Therefore, said the court, it violates the equal protection clause of the Fourteenth Amendment of the United States Constitution. If this or a similar decision is upheld by the U.S. Supreme Court, its effect on the use of the property tax for school financing would be revolutionary. But final resolution may take many years.

However school financing problems are finally resolved, education is a "close to home" issue, and the present thrust for community control of schools is a political reality to be dealt with. Not only the teachers but the community, the parents, and the pupils in their relations with each other contribute to the learning process. Choices are important and there is need for community involvement in the decisions that affect its children.

If consolidation into larger school districts to equalize resources takes place and/or education becomes largely state financed, we will need to restructure school systems to allow for both consolidation of some functions and decentralization of others. We will need to innovate, to use local people who have skills and talents. We will need to extend educational give and take beyond classroom walls and maintain community involvement and diversity.

Can we find ways to equalize resources, and to make government more effective and more accessible? How can we best structure regional approaches? citizen partici-

This publication was made possible by funds granted by Carnegie Corporation of New York. The statements made and views expressed are solely the responsibility of the author.

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The League of Women Voters of the United States 1730 M Street Northwest, Washington, D.C. 20036 Pub. No. 503 Price 40 c

costs, cannot go it alone. Cleaning up the river requires a pation? What kinds of obstacles are there to regional approaches? to community control? Can we find accommodations in existing institutions and governmental forces? What changes will best serve the dual purpose of involving citizens in decision-making and providing services efficiently and economically? What compromises may be needed?

#### REGIONALISM: RESTRAINING FORCES

However much we might like the status quo, change takes place. Institutions and governmental structures are either elastic enough to accommodate change or they must be replaced.

There is no permanent answer. A solution to one problem will often create others. When social, political, and economic changes take place, often quite unforeseeable problems arise. Yet both people and institutions, while they want remedies for the ills they see, are likely to resist change. Resistance arises from many sources and for different

#### **Turfs To Protect**

#### Minorities Fear Loss of Power

Core cities are in dire financial straits. More and more of the affluent and middle-income families now realize their dream of a house and garden, and live in the less crowded suburbs. Left behind are the blacks, chicanos, unskilled or semiskilled workers, the aged, Indians, and other minorities. Mostly poor, people in the inner city usually produce less per capita city revenue, although they pay a higher percentage of their income in taxes. More of them are unable to find work or are last hired, first fired-thus many are on welfare rolls. The very high population density in areas of the core city creates deterioration of public and private property, health and other problems.

In recent years, minorities, with justifiable aspirations for equal educational and employment opportunities, evenhanded justice and decent housing, have begun to develop political power. In some cities they have elected councilmen, members of the school board, even mayors. They are demanding quality education for their children, status, and recognition of their considerable contribution to American

Minorities have worked hard to achieve some political and economic power, in spite of formidable obstacles. Understandably they take a hard and suspicious look at citycounty consolidation or a regional arrangement. Advertised as a means to avoid duplication, equalize services, broaden the tax base, bring savings, is it really a ploy to dilute their hard-earned power?

Minorities have hard-won turfs to protect. Enlarging a city by annexation or city-county consolidation is likely to decrease their political effectiveness. To opt for this kind of change, minorities will have to be convinced that, in the new arrangement, their overall gains will offset some losses.

#### They Fear Decentralization, Too

Neighborhood groups, especially in core cities, may originally have developed to oppose governmental action-for example, to try to stop a freeway from disrupting their community; or to shape future action-to decide how their schools might better serve their children. They often then continue to work for a voice in decisions on programs that affect their lives.

Yet in even these relatively recent and rapidly growing movements, fears exist. What if efforts fail? Will there be reprisals? Will the area's concerns be even more neglected than before? And, because ethnic and racial neighborhoods are no more monolithic than any other, who will have leadership roles? Will we be better off with a community leader we do not like than with city hall control?

#### Officials Also Have Their Fears

No one relinquishes power easily. Political leadersmayors, councilmen, county supervisors-have risen to power through long party apprenticeship, interest in the community, hard work and/or their own or others financial investment. They also have turfs to protect. Even if a proposal for regionalism promises improved and cheaper delivery of services, consolidation may not look rosy to officials who stand to lose leadership roles. They may feel, sometimes with justification, that a regional arrangement is simply a power ploy.

Political leaders also are reluctant to grant powers to neighborhoods. Decentralization, other than in delivery of services, transfers some of their power and control over the spending of money.

Even with the best of intentions, local government officials and agency personnel often find working with neighborhood representatives a frustrating experience. It is timeconsuming. It may be disruptive. People from low-, middleand high-income areas alike are usually most concerned with day-to-day irritations, the immediate rather than the long-range. In low-income areas a backlog of neglected and unfilled needs does not develop sympathy for long-range objectives. And, too, selling phase 1 or phase 2 of a 10-year development plan designed by experts who do not live in the neighborhood is not likely to be accepted.

#### Community Doubts

There will be apprehensions among citizens generally about consolidation or community control. For example:

1 In the inner city, parents with intense interest and input in the schools will ask: If we are absorbed into an areawide structure, will our school again be the dumping ground for the least qualified, the most inexperienced teachers? Will we lose what we have gained? In plans for decentralization, will we really be allowed to decide? Are the promises for local control words without substance?

2 In the suburbs, people in the community whose tax money has paid for what they consider high quality schools or services will ask: Will the level of education in our schools be diluted to bring up core city levels? Will our tax money be used for the needs of others at our expense? Will our taxes increase?

3 In both the inner city and suburbs, employees of local governments will ask about metro arrangements: Will my job be eliminated? What about my pay? my status? my duties?

4 Citizens will have concerns about availability and visibility of public servants in a larger geographic area. They

may ask: Will the new officials with larger constituencies be people who will listen to me? Will I know them? Where will I voice my complaints or requests? How can I find out why the trash isn't collected, the road repaired, the street lights replaced? Who will be responsible?

In the cities where minorities are pushing for a voice in decisions, other citizens who have had a stronger influence on matters that affect them may ask: If part of my tax money goes to a "community controlled" school, why should it be spent at the whim of that particular community? Doesn't there have to be uniformity? What other demands will be made? It is often hard for majorities to recognize that lack of uniformity and inequality of treatment triggers neighborhood control movements or that they are imposing their judgments about how things should be on others with different values.

The citizen who is indifferent to all government, who knows little about how it works, who knows only that his taxes usually go up and is not really aware of what he gets in return, usually opposes change. He may also be disillusioned about previous promises that went unfulfilled. Will he perhaps be even worse off under the proposed change? Apathy, feelings of alienation, fears-arise in part from a feeling of powerlessness, a formidable obstacle to change.

#### Does "New" Equal "Good"?

A new party, a new mayor, a new political figure sometimes tries to make a reputation by changing the old or casting it out wholesale. The citizen, whether disillusioned or hopeful, should take a hard look at whether or not a proposed "reform" is simply change for change's sake. He should not reject it out of hand simply because it is new. He should, of course, look at not only the savings in money that may result but also the possible social costs.

These are not always visible. There are many instances of changes whose results were not exactly as foreseen. Sometimes they were made with very good motivationsfor efficiency, tax savings, or making a task easier

For example, in our cities the police squad car has replaced at least in part the patrolman on the beat. Two policemen on wheels, it was argued, could cover more than twice as much ground as two patrolmen on foot, respond to calls more quickly, travel over an area more often. But did the relationship between citizen and police suffer from erosion of personal contact? from the policeman's not being as familiar with the people or the makeup of an area? Could part of the increase in crime rate be traced to the advent of the squad car? Many communities have now put more police personnel back on foot patrol, using them in combination with squad cars. But it may be difficult now to regain confidence on both sides.

Again, in the building and proliferating of freeways and 4-lane highways, we are learning that in solving some problems we have created others. As we have tried to alleviate traffic jams through more and better freeways and multilane highways, we have shortened the time from home to job, thus encouraging people to live farther from their work. Soon the new roads, too, have become overcrowded and traffic jams restored. And why? Because we have not looked at the problem of transportation in its total perspective. We have not tried other solutions in tandem-better mass

transit, for example—to decrease the accelerating demand for roads and bridges. We are just beginning to develop special lanes for buses and bloycle paths to discourage the one-person-in-a-car traffic. Moreover, we have not always considered what a road does as it displaces people, divides a community, or creates a ghetto. The expressway usually goest through a low-income section of a city, uses land that might better be set aside for open or park space, increases air and noise politution.

In short, we have not always weighed side effects and peripheral social costs against immediate gains. Experts and scientists, too, can have tunnel vision. Ideas from citizens with a variety of backgrounds and experiences are essential. The problems affect them. They have a personal as well as a community stake in the solutions.

#### OPTIONS IN REGIONALISM

Even in the days when we were primarily an agricultural society, we recognized that some problems were national in scope, some statewide, some local. As we have become a largely urban, technological, mobile society, our problems and their solutions have not fallen so easily into neat three-level governmental classifications.

Unfortunately, even though problems may be foreseen, too often we begin trying to solve them after the fact. We then make crisis decisions, trying to keep up rather than look ahead.

Some accelerating problems are recognized as having nationwide implications that require federal assistance (e.g., discrimination against minorities, transportation, housing supply). Others need regional attention; still others local or neighborhood solutions. Even with the best will and effort possible, a single community or local government doesn't have the resources to cope with problems in part generated elsewhere, or whose lack of solution may affect a very broad area. But removal of decision-making farther from citizens can have side effects, can increase feelings of isolation from government. Citizen input can and must be built into regional arrangements.

One community's efforts in cleaning up the air may be utile—the problem is not confined to the city limits. Yet what each citizen and each local governmental unit does can ameliorate or intensify it. Social as well as physical problems also spread beyond boundaries; health, land use, recreational, welfare, and educational problems cannot be solved by one governmental unit. Lack of adequate resources in one city for attacks on social list creates a spill-over affecting other communities. Often the result is repression, wall-building, isolation—destructive reaction rather than constructive regional or teamwork approaches.

There is no overall blueprint that will fit every region, or every problem. Local structures and traditions vary, Perhaps the best way to decide which problems best lend themselves to regional solution (or to decentralization or both) is to involve government officials and employees, and a wide range of citizens and citizen organizations, in all areas that will be affected.

Any group, even a small one, can develop ideas. What are the problems? Which can be best approached on an area-wide basis? by the local government? by a combination? Other groups, in other ways, may be working on similar

approaches. Good communication with other groups—a wide variety of other groups whose members express a whole range of opinion—is an asset. Coalition around an issue, working to get something of common concern done, is a beginning. If the coalition works well, other broad arrangements may follow.

Some regional arrangements will be available only if state legislation or state constitutional change takes place. It such pre-steps are necessary, then exploratory meetings will have developed not only understanding of the need for such changes but a nucleus of people who will work to get them.

To determine which regional approach is best for a particular community, it might be useful to look at some of the arrangements that already exist.

#### City-County Consolidation

#### Unigov

An example of a recent, partial city-county consolidation is indianapolis-Marion County in Indiana (Unigov), which began January 1, 1970. Overlapping jurisdictions between county and city had become increasingly complex and frustrating to the citizen. Indianapolis, the central city, county seat, and state capital, has a population of about one-half million, and outside it in the county over a quarter million people live. The county contains 3 cities, 20 towns, 9 townships, 11 school districts, a variety of special districts.

A 100-page-long state law established Unigov. It provides that the mayor be the chief executive of the citycounty government. The new city boundaries extend to the county line. There are now 6 departments, all answerable to the mayor: administrative, parks and recreation, public works, metropolitan development, public safety, and transportation.

The city of Indianapolis is about 25% black, the area covered by Uniqov about 17% black—an apparent dilution. According to Mayor Lugar, in an interview reported in Nation's Cities. November 1969, the black community was sharply divided on establishing Unigov. In Indianapolis, the 9 city councilmen, nominated by wards, had been elected at-large, in the combined council of 9 city councilmen and 3 county commissioners, operating until November 1971, 2 were black. In Unigov there are now 29 councilmen, 25 elected from single-member districts, 4 at-large. In the November 1971 election 4 blacks were elected from districts and one at-large—5 out of 29 members. Mayor Lugar made Unigov a campaign issue and won handliy with nearly 68% of the

Some problems were sidestepped: school districts are not affected because school consolidation was a highly controversial issue; some county offices required by state constitution remain; 3 small communities, from 10-15,000 in population', are excluded because they did not favor Unigov, although their citizens are eligible to vote for Mayor, 4 at-large and 1 district councilman; police and fire services have not been extended to all areas in order to minimize the tax impact of these services on suburbs and to avoid offending the county sheriff and volunteer firemen.

Unigov came about by state legislation, not referendum. A large task force of citizens and businessmen, the League of Women Voters of Indianapolis, and lawyers drew up the proposals and lobbled for the necessary state legislation. The bill with some legislative changes was signed into law in March 1969. In the 1971 legislature, a 3/4 vote of the council to transfer funds from one budgeted area to another was changed to 2/3, weakening a kind of veto power a minority political party might be able to use.

After two years of operation, certain trends are emergingmodernization of personnel service and a management training program; installation of a telephone complaint system; decrease in the 1971 budget (and in properly taxes) \*\*, consolidation of city-county legal services with subsequent savings; improvements and expansion in park functions. However, a large number of taxing units still remain as a layer outside Unipor functions.

#### Nashville-Davidson County

Nashville-Davidson County, Tennessee, required first a constitutional amendment allowing consolidation of city-county programs, then legislation in 1957 to implement it. In 1962, the voters approved a charter. Part of the push for consolidation came from a county judge, now Mayor Briley, who saw in the court structure problems of authority and jurisdiction between county and city. After his election as mayor, he spearheaded merger efforts.

Nashville-Davidson, unlike Indianapolis-Marion, now has a police chief and consolidated schools. Mayor Briley feets that people consider improved schools the greatest benefit. He also reports that the property taxes are lower; however, users pay service charges for new water mains and sewer lines. The city-county has developed a number of area parks, possible because of one county-wide legislative body and planning staff.

As in Indianapolis, the black community was divided, the majority in opposition. After the 1971 council election, 5 of the 45 members are black. The 1970 census figures indicate that the population of Nashville-Davidson is 17+% black. A proportional representation would be 7 or 8 black council members.

#### **Urban County**

Metropolitan Dade County, Florida, includes Miami and 26 other municipalities, and a large unincorporated area in which 60,000 people live. A home rule charter for the county was adopted in 1953. The elected commission appoints the county manager and county attorney, director and attorney for the airport, and approves appointments of department heads recommended by the manager. Some services are consolidated under Metro Dade and others operated by the 27 individual municipalities. Most of them maintain their own fire and police services, for example. There is a minimum standard for a variety of services. If the municipality does not meet it, the county can provide the service, but has rarely used this power.

Part of the problem that fed to the creation of Metropolitan Dade County was that Miami did not wish to provide

services in the unincorporated areas—for example in the 1940s it turned its city hospital over to the county. A kind of federation of local governments, not a consolidation of city-county government, resulted.

#### Metropolitan Council of the Twin Cities Area, Minnesota

In 1967, the Minnesota State Legislature created a regional agency for a seven-county area with over 300 local units of government, including Minneapolis and St. Paul. Two features of the Metropolitan Council are unusual. One is that, although the governor appoints the 14 council members and the chairman, representation is on a one man, one vote basis. Appointees come from legislative districts in the seven-county area.

The second is the council's function-by-function approach to areawide services. In the enabling legislation, the council's charge was to plan for orderly development of the area with some specific assignments: sewers, solid waste disposal, highway planning, parks and open spaces, and others.

The council's answer was to determine where there was agreement on which area problems. Then, came decisions on how to carry out the areawide functions.

The council is funded by federal planning grants, grants for specific contracts and a \$.7-mill tax on property in the metropolitan area. The Metro Council reports to the legislature every two years; from its report, legislative proposals arise.

The council reviews and can suspend all long-term plans of independent single-purpose agencies, reviews planning and zoning changes and can suspend action for 60 days—but the municipality may proceed after the review and hearing period. Like many areawide agencies, it reviews applications of area government agencies for federal funds.

In July 1971, the Minnesota legislature enacted a unique piece of legislation. It provides for a metro-areawide pooling of some of the growth in the commercial and industrial property tax base.

Forty per cent of the net growth in industrial and commercial property values will be pooled in a single seven-county pool. Each local government, including school districts, will share in this revenue according to need—computed by per capita assessed valuation for each local governmental unit. The lowest per capita valuation will receive the highest portion of the pool base and the highest per capita valuation, the lowest portion. In 1972, this shared "growth" base is expected to represent about 2 percent of the area's total tax base, but because it is computed on commercial and industrial growth, it is expected to rise to 25 per cent by 1985.

This legislation permits land-use decisions on considerations other than need for local revenue, since the entire area will have a share in tax proceeds of any industrial or commercial growth potential.

This Metropolitan Council is a rather unique approach to regionalism. It does not consolidate the governments in the area into one nor operate as a federation. Its responsibility is related to regional planning, it receives its mandate from the state legislature, and its members are appointed rather than elected.

<sup>\*</sup>The law permits exclusion of communities of over 5,000 population, except first-class cities (a state classification that includes only Indianapolis). One other community has now annexed enough area to qualify.

<sup>\*\*</sup>Industries in Marion County have been persuaded to pay a surtax on sewage to help finance pollution control.

#### Council of Governments (COGs)

The National Service to Regional Councils reports more than 600 regional councils of one kind or another. Their funding is derived from federal, local, and state sources, the federal government overall the largest contributor. Of the regional councils, from 300 to 350 are Councils of (local) Governments (COGs). Officials elected to serve in local governments-mayors, councilmen, etc-represent their governments: that is, voters do not elect their representatives specifically to serve on COG's. For this reason, it is difficult to make local officials accountable for their actions on COG's: they really are not elected or defeated on the basis of their COG performance. Voting in the Council may be proportional, based on populations of the component governments, or one vote per local unit.

COG's vary considerably in their purposes, generally serving as forums to discuss common problems, agree on policies for solutions, implement these decisions through the local governments, and coordinate federal, state, and local programs. They lack power to tax, legislate, or administer.

Because certain applications for federal funds must be approved by areawide planning units. COG's often perform this function. In fact, many of them came into existence as a result of such grant requirements. Most have small professional staffs, and are funded from federal and/or state grants and contributions from the composite governments. amounts determined by population or formulas including other factors.

#### Other Cooperative Systems

Many other arrangements for coordinating services have developed-contracting between local governments for services, sharing of equipment and facilities, joint action and funding-especially in such areas as water and air pollution problems, library and park services. In Virginia, overlapping of functions is avoided by "independent" cities, which provide both city and county services and to which the counties have no responsibility.

Transfer of financing from a lower to a higher governmental level-from local school district to the state, for example, or from city to county or multicounty arrangements for library services-does not and should not foreclose community input. Decisions on how the local school or the library services best meet the needs of the commmunity or neighborhood should and can be influenced by the citizens served.

What is good for one community may not be appropriate, workable, or politically feasible for another. As awareness increases for the need for regional approaches to problems that either cannot be solved by municipalities alone or require coordination on a broader base, other regional solutions may well develop.

#### OPTIONS IN DECENTRALIZATION AND COMMUNITY CONTROL

Action for neighborhood control more often generates around an immediate issue: an urban renewal plan is going to displace homes, decent low-income housing is not available, police-community relations are poor. At first it may be an unorganized, or at most an ad hoc, group but it may develop into an ongoing neighborhood organization. Decentralizing decision-making powers do not often come from those already in power; it comes as a response to some kind of pressure from citizens.

Decentralization has two major purposes: one, to achieve citizen control over, or input into, governmental activities that affect them; two, to bring government and services closer to the people so that citizens with problems can get help more easily. Either or both may be the goal.

#### School Decentralization

Several cities have experimented with decentralization of schools. The New York state legislature enacted a law that provides for dividing the New York City school system into 30 to 33 local community school districts. The community school boards can hire and establish the salary of a district superintendent, recommend school sites, select textbooks from prepared lists, contract for repairs and maintenance up to a prescribed limit

The National Education Association Identifies at least 29 city school systems with decentralization and community involvement in decision-making.

The Woodlawn Organization in Chicago is an example. Part of the Chicago public schools, it has within its jurisdiction two elementary schools, an upper grade center, and a high school. The school population is almost entirely black. The local board provides for maximum citizen participation at the policy-making level and can hire and fire personnel and initiate, recommend and review school projects. It is currently made up of 10 representatives from the Woodlawn Organization, 4 from the University of Chicago, and 7 from the Chicago Board of Education.

In June 1971 the Los Angeles Board of Education completed action on school decentralization proposals, mandating school-community advisory councils. New councils cannot be wholly appointed and must include all segments of the community, including high school students. Other school systems have initiated similar approaches.

#### **Neighborhood Designs**

In 1969, the Los Angeles City Charter Commission proposed a new design for city government. Los Angeles covers 464 square miles-it's a long way to city hall in many cities in terms of alienation, but in L.A. it's a long way in terms of geography! The commission proposed allowing formation of "neighborhoods" via initiative petition, which would define the boundaries (population parameters to be 5.000 to 30,000), and be signed by at least 5 percent of the registered voters there. Then an election would be held. If 30 percent of the registered voters participated and a majority of the vote was in favor, a neighborhood could be established. The elected board would be advisory and could appoint one full-time neighborman. His salary, clerical staff, and office expenses would be funded from the city's general fund. Institutional relationships between neighborhood and city hall were unspecified to allow for flexibility.

However, this proposal, not popular with city officials, who felt too much power would go to neighborhoods, nor with community organizations that wanted more power, lacked enough support to incorporate it in the charter proposal.

#### Branch City Halls

Los Angeles, however, has had branch city halls since the 1920s for putting regular city services in field offices. Currently it has eleven with over one thousand full-time civil service employees. Services include building and safety. street maintenance, sanitation, planning. Six of the 15 Los Angeles city councilmen have offices in branch city halls.

In some cities, a certain amount of authority is invested in the "little city hall"-it can make decisions about public works programs or deployment of work crews to suit its particular neighborhood.

#### Multiservice Centers

Multiservice Centers emphasize human resources programming and have developed largely through Office of Equal Opportunity grants. The Chicago Multiservice Centers include a large Urban Progress Center, six Outposts, and five small Centers. Since their beginning in 1965, these centers have serviced several million cases, coordinating or performing actual services: feeding poor people; providing employment services; handling complaints; helping in legal aid, vocational training, Head Start, youth, health programs through information or referrals.

#### Neighborhood City Halls

These are combination multiservice and branch city hall centers. The emphasis is on improving communication, increasing effectiveness of services, and reducing neighborhood tensions. Generally they are low-budget operations. Houston, for example, uses three mobile trailers. Atlanta, with good rapport with its Community Action Program (CAP), for its four centers uses one-room offices in three CAP buildings and in the model cities headquarters. Howown visibility.

Boston has 14 little city halls, initiated in 1968. About 7,000 requests-complaints and questions for informationcome in each week (9,000 during voter registration periods). On the basis of the requests, some procedural changes in government services have been made.

Most of these patterns, except in the decentralization of schools, do not involve citizens in direct decision-making except through the channel of electing city councils and mayors. Often, however, the needs identified through complaints do make some impact on future decisions.

#### Citizens Advisory Commissions

Mayors, city councils, or other local governmental bodies may set up citizens advisory commissions or councils, usually for specific problem areas like planning, police\* or fire services, health or recreation programs. Some of these can be so appointed or selected as to represent various segments of the community or specific groups-young people. minorities-or, according to the purposes of commissions. interest groups-environmentalists, business, labor, etc. The

governing body can even set up procedures for their election from neighborhoods. In some suburban areas, especially those with relatively homogeneous populations, such advisory bodies have been used for a long time and have often

The reasons for their creation vary. A mayor or council may want to create an impression of seeking citizen views. either by appointing a body to propose what the mayor or council wants or to defuse citizen concern or pressures. On the other hand, the ideas of citizens representative of the community may really be wanted.

How effective an advisory body is in terms of its influence on policy, however, does not necessarily depend on the purpose for which it was created. With good leadership, an advisory commission can not only reflect the community's wishes but can also build widespread support and thus make ignoring its recommendations difficult, even if its appointment in the first place was to delay or forestall change.

However, an advisory commission by its very name has no control per se.

#### **Development of Neighborhood Groups**

We are witnessing the growth of many kinds of groups that want a piece of the action. Black, chicano, Indian, women's liberation, young people, welfare rights, anti-war movements are well known. Growing in visibility and activism are the ethnic groups-the Poles, Italians, Puerto

Most of such groups coalesced around feelings of discontent, of powerlessness, of loss of identity-an inability to affect decisions. These movements have value for identifying and defining issues, giving them visibility, and in some ever, the city government feels that it thus loses some of its cases bringing about concern for problems and even successful solutions

> An example of an organization that grew from a hot issue is the three-year-old Pennsport Civic Association. It began in southeast Philadelphia near the waterfront, in a neighborhood with no historical identity, unlike most other areas in the city. It is a working class neighborhood, largely Irish but with some other ethnic groups. Its coordinating efforts. aided by a settlement house, arose from opposition to expansion of a slaughter house operation. The community wanted to get rid of it entirely-and did.

> Opposition to a new expressway provided the next cohesive ingredient. PCA is now recognized as an organization, operates with federal funds under an urban renewal project, has paid staff from the neighborhood (except the local area coordinator).

PCA\* had a hard time getting recognition. It was shunted from one official to another, from agency to agency. But it has arrived as a viable entity.

Sometimes neighborhood groups form to preserve, rather than to change, the character of a community. Neighbors, Inc., is such an organization in Washington, D.C. It has tried to keep whites from moving out of the area as blacks began to move in. Its purpose is not to discourage or impede the moving in of blacks but to develop and preserve a truly integrated neighborhood.

<sup>\*</sup>Advisory Commissions or citizen review boards have been the major avenues to creating better police-community relations. In addition, community and other pressures have resulted in efforts to recruit more personnel from minority groups.

<sup>\*</sup>The neighborhood had to choose a name for itself-and chose to recognize William Penn in its name because he landed there.

Diversity does not preclude participation in bringing about change—it can be a strong positive factor. It can lead to recognition of and appreciation for differences, a moving away from stutifying efforts to achieve uniformity. It can result in effective participation of citizens in movements to bring about social and political change in which the richness of diversity is preserved and institutions and solutions made more acceptable or pertinent.

Often quite disparate, seemingly antagonistic, groups can be brought together in new and alternative ways of looking at problems. Newsweek, November 8, 1971, reports a "strange alliance" that developed in Jones County, Mississippi-a coalition of blacks and whites. About 200 timber haulers struck a wallboard company, because of a change in payment for hauling logs by weight instead of volume. Unable to buy food stamps, and with the company upping its deliveries by rail, the haulers turned to Charles Evers, black mayor of Fayette, for help. Finally, Mayor Evers proposed that the haulers, black and white, turn to the NAACP (National Association for the Advancement of Colored People). NAACP doled out money-checks from \$15 to \$40, depending on family size, to 192 recipients. Eightyfour whites, some of them once Klansmen or sympathizers, promptly paid out \$4 for membership in the NAACP. Shared economic hardship was the impetus for the "strange alliance," which may go far toward dissolving old racial hatreds.

#### CHANGE MEANS GIVING AND GETTING

#### Transfer of Power and Accountability

Approaches to either regional arrangements or decentralization must look at whether or not transfer of power is needed. If it is, how is it to be accomplished?

Even a cursory look at history indicates that power transter or redistribution results from confrontation or pressure. Sometimes it comes about by agreement—but even then it is usually triggered by pressure, most often by organized groups. Those successful in achieving changes in allocation of power need not represent a majority of the people; they may capitalize on a widespread discontent, operate from a powerful base (money, influence, threat), move as a coalition of several often apparently disparate groups around a commitment to a single goal, or gain their goals because of potential gains to the establishment to offset some loss of power.

In a representative government in which those elected are held accountable for their actions, it is obvious that, in either regional arrangements or community control, pinpointing accountability for decisions must be an overriding consideration. For example, in the two areas on which most of the current movements for community control-police and schools-have focused, the ultimate responsibility for the larger community (the state, the county, the city, the school district) lies with those officials who can be held responsible, who can be retained or removed from office on the basis of performance. In a city, for example, if each neighborhood had the power to determine its own priorities in law enforcement-so that in one neighborhood speeding offenses would be low on the list and in another high-chaos and inequitable treatment of citizens might be the result. On the other hand, some determinations about priorities in spending could well be made within the neighborhood. And these kinds of neighborhood decisions might lead to some innovative uses of funds.

The presence of neighborhood representatives on an overall policy-making board for police-community relations, for administrative and personnel policies, or for local control in some of the administrative decisions in schools, for example, can be constructive and positive. However, the "neighborhood" representatives should, of course, live in the area affected. Often the whole purpose of citizen input is defeated when minority or agency representatives live elsewhere. (Citizen input may be lost, too, if neighborhood groups become over-involved with their own structural and operational concerns. Divisive trends may develop, fragmenting the neighborhood and, in the ensuing maelstrucconcern for both the interests of the city and of the neighborhood my disappear.)

#### What Part Can Citizens Play?

Institutions change very slowly. Whether citizens seek regional patterns or decentralization (or both), change will probably come about through bargaining—a quid pro quo. A community or its elected officials may see the need to give up some local autonomy for a broader tax base, a more realistic approach to a regional problem, more efficient services, savings in money, or additional services. Or a local government and the community may see the advantages in more citizen participation and allocate some powers to neighborhoods. Such granting of limited powers may well be the cement that strengthens the whole city governmental structure.

It is well to remember that in the United States many innovative proposals have come from citizens rather than from city governments—e.g., recreation projects, community education activities, youth programs, new kinds of training programs, environmental clean-ups, resident-controlled health centers, new bus routes, ideas for improving transportation services. Many neighborhoods have developed leadership, improved the accountability of public officials, and reduced apathy.

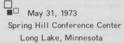
While citizen participation can produce problems, annoy city officials and technocrats, and sometimes seem wasteful of time and effort, the benefits are clearly worth it. When citizens feel their voices are really heard, they become increasingly involved and the whole community benefits. However, citizens certainly cannot run their local governments by voting on every issue nor can elected officials addicate their final decision-making responsibilities.

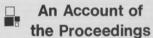
But one way or another, change must come—not simply for the sake of change—but because the problems that faced citizens and government in the 1900s are not the same problems that face us now in the more crowded and complex 1970s. Regionalism and decentralization may well be the solution to some of today's governmental problems. In tandem they can, on the one hand, pull together more resources to attack an areawide problem, and, on the other, they can identify and knit together the interests of the smaller community. Today's experiments in regional approaches and community control, attempting as they do to draw citizens back into the fabric of government, will surely enrich the tapestry of American experience.

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Conference on Innovations in Government The Conference on Innovations in Government ande possible by a grant from the League of Women Voters Education Fund from funds given by the Carnegie Corporation of New York. The statements made and views expressed are solely the responsibility of the Council of Metropolitan Area Leagues.







League of Women Voters
Education Fund

Council of Metropolitan Area Leagues



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- Mr. Wheelock Whitney, Former Mayor of Wayzata. Businessman

# WORKSHOP MODERATORS

- Mr. Eugene Franchette, Executive Director, Metropolitan League of Municipalities
- Dr. John S. Hoyt, Jr., Program Director, Systems Development, University of Minnesota
- Mr. Ron Kaliszewski, Assistant Director, State Planning Agency
- Mr. Kenneth Wolfe, Former State Senator

#### ABOUT THE CONFERENCE . . . .

In 1972, the League of Women Voters Education Fund embarked on its Metropolitan Project, an exploration of ways to improve government in urban areas. The Council of Metropolitan Area Leagues (CMAL) was one of 27 Leagues that conducted surveys in their communities.

The idea for this conference grew out of our survey, which showed the need for more conversation and better understanding among the people in our seven county area. CMAL decided to provide a neutral forum where the innovations in government that have been proposed and realized in the Twin Cities Metropolitan Area could be praised or criticised - or even damned - and perhaps understood.

To assure far reaching discussion, CMAL invited people of diverse backgrounds, interests and responsibilities: state legislators, members of the Metropolitan Council, county and local officials, members from a wide range of citizen groups, representatives from the news media, and plain, ordinary, non-affiliated citizens.

This booklet is an attempt to distill the essence of the day-long discussions into a few short pages. Because certain points and counterpoints emerged and kept recurring, they are grouped according to subject matter and are seldom in chronological order. Speakers are identified when possible. Since there were four concurrent workshops with similar subjects discussed in each, generally the ideas expressed in the workshops have been summarized.

#### SETTING THE THEME . . . .

Ann Thomas, Chairman, Council of Metropolitan Area Leagues

Democracy is not a spectator sport. The need for a planning society is based on freedom of choice that requires widespread involvement and maximum knowledge and understanding. People need access to information to determine which of the possible "futures" is most attractive to them, to devise plans, to set goals and priorities and from them be able to derive programs of action.

There has been some suspicion of planning, due partly to the fact that we have not done well in understanding alternatives and that we lacked concepts, methods and tools to do an adequate job. This is rapidly changing, and goal setting will probably be carried out on a basis of participatory democracy - open to various shades of opinion, to dissent, to creativity.

It will require means for continuous feedback to enable testing and evaluation. The most important means of involving citizens will be the establishment of active and dynamic goal-setting programs. Citizen involvement is needed so politics will serve the public interest. This is not to suggest that the volunteer is a romantic alternative to the elected politician and formal government. In a vigorous society they are complementary, like left and right hands. If individuals care, then political leaders and government eventually begin to care.

Self government has survived and prospered for nearly two centuries in America because individual citizens had confidence in their own judgment and in their own ability to advance the public interest.

#### LOCAL VIS-A-VIS METRO. . . .

Nan Waterman, League of Women Voters National Board

In the summer of 1972 Leagues of Women Voters in 27 metropolitan areas asked citizens about the structure of their governments and sought their opinions about trends toward further decentralization of government, or, conversely, more regional government.

The results of that survey led us to believe that all citizens wanted quality services. Many people also care very much about the organization of their governments. They too want quality services. But given the choice between good service from a regional government or poor service from a village covernment. They would vote for the latter.

Despite this strong attachment to small government we have to face the inescapable fact that some services must be carried out and some activities regulated on a regional basis.

#### Dr. Arthur Naftalin, University of Minnesota

I'm an unmitigated, unreconstructed, all-out supporter of the metropollitan approach to our problems. I take this position against my own personal experience in having served at the state level, and having seen the problems that the state has in dealing with local problems. I take this stand also against the background of my having served for eight years as mayor of Minneapolis. When I was mayor the problems we as a city faced were no longer susceptible to municipal control or municipal decision. The people who came to city hall and to my office day after day wanted things that I had nothing to do with as mayor.

The environmental problem, the energy problem, the airport problem, the solid waste problem, the transportation problem, whatever you care to mention. These are problems that are not exclusive or remote or isolated to the individual municipalities. The only way we can deal with them is on some kind of coberent, rational, sensible regional basis.

We live in a society in which an individual has a relationship to the extent that he brings to that society some degree of specialization, and

#### Dr. John Borchert, University of Minnesota

The topic I have been asked to address seems to imply that there might be a problem in preserving the integrity of local governments within a metropolis. By local governments I mean counties, municipalities and towns, although all of these cannot possibly be "local" in any precise use of the language. Hennepin County has more people than ninety per cent of the metropolitan areas of the United States; some of the municipalities have fewer people than any of the so-called neighborhoods in Minneapolis or St. Paul. So, if Columbia Heights is a "local" government, Minneapolis surely is not; if Minneapolis is, then Columbia Heights is redundant.

Integrity of these units, I take it, is the outward, observable coherence and strength with which they appear to operate organizations or institutions. If the measure is growth of buildings, equipment or bureau-ocracy, we can count more than 220 units with more than 50,000 employees. Thus local government appears to be thriving in this metropolitan setting. The concern that might be more important is preserving the integrity of governmental functions at some scale other than "local."

There are two levels at which government cannot now easily respond to real needs as they are understood by substantial numbers of citizens. One is the local community or neighborhood - areas with local spirit and cohesiveness that comprise only a small fraction of the population and area of their local government.

The other is the scale at which a number of important public services cross local government boundaries: transportation, health, welfare, education, employment and manpower services, power, water samply, law enforcement and pollution abatement. These services are required by clients or vehicles which move freely all over the metropolitian area; deal with criminals who do likewise, criss-cross the region with pipes, wires and roads; or draw upon streams and air which transcends the local dominions.

Even at these "non-local" levels, the Twin Cities record to date is not bad. There is a high level of participation in public affairs, vigorous downtowns, comparatively low crime rate, amenity living, a relatively high level of maintenance, successful and continuing efforts to bring jobs and opportunities to the surrounding rural region, a comparatively high level of public services, and a median income level that ranks very high among the nation's metropolitan areas.

We could all be more comfortable if we understood why the metroolis has those characteristics, because then we could be more certain of what we have to do to keep them. How do we go about managing the metropolitan community? For I think it is from such an examination that it becomes clear what the role of a regional council must be in this matrix of existing, functioning, thriving local governments.

#### THE TROUBLE WITH METRO . . . .

#### Wheelock Whitney, businessman, former Mayor of Wayzata

My assignment was to discuss what might be done to keep the communications pipeline open in metropolitan government. I don't want to let it go at that. For what is clogging the communications pipeline is not the problem - it's merely a symptom.

Six years ago, in 1967, when the Metro Council was established, I along with many others was delighted by this concept of metropolitan government, and it seemed to me, at least on paper, to be an excellent problem solver. However, as I look back over the six years I am extremely disappointed in what's resulted.

The Metropolitan Council is not working. The Council seems to be increasingly aware of its role as an experiment in the eyes of the nation's planners, and has been increasingly up-tight in its attitude toward criticism. The result is a tendency toward preoccupation with technical aspects of its programs, but with insufficient effort spent selling its programs to the people it is meant to serve.

The Council does not maintain close enough contact with local units of government on the overall plans for the physical development of the metropolitan area and the means of implementing those plans. I believe that one of the reasons for the communications problem between the Council and local government can be traced to an "identity crisis." Local governments are reluctant, and afraid of losing their individual identity.

In addition, there is a lack of understanding not only of the Council's goals, objectives and priorities, but of its responsibilities and authority as well. The best communications system in the world won't solve the task at hand if you don't have clear objectives, fixed responsibilities and the ability to make decisions.

I've been disappointed for a number of reasons. One is that the legislature seems to feel threatened by a metropolitan level of government and isn't willing to fix responsibility and give the necessary authority to the Metro Council for fear of losing its own power.

A second reason is the frustrating delay in decision making - citizens expect the Council to make difficult decisions and thus solve problems faster. You all know the old management axion that says "no deA third reason is that the Council is diverting from its original game

#### FROM THE WORKSHOPS . . .

The Metro Council has been criticised for acting too fast, too slow, too much, too little. It is a dictator; it is ineffective. Many criticisms are generalizations which can take either point of view. Some comments:

- People are suspicious of government generally and are particularly so of a level as remote as the Metro Council has been.
- Many of the concerns which take much time at all levels of government don't reflect the real needs of the people.
- Conflict in setting priorities has led to differences in approaches to problems. Is the Council's concern mainly people and social problems or the physical features of the metro area? Should it meet social needs or guide physical development?
- The Council has made many decisions before proper guidelines were set. Though an effort has been made to complete an overall Guide Plan, pressures from the federal government, the state legislature and local citizenry have forced the Council into areas it was reluctant to enter.
- The amount of material coming from the Council is of such magnitude that local officials can't keep pace. Many decisions are made without proper input from the local level.
- "Identity" is another problem. The local official has little problem identifying his constituency - not true on the metro level. Should the Council member represent the best interest of all the people in the metro area, or should he represent the municipal and county officials, or should he respond to the legislature, or to the people who live in his district? To whom is he accountable? To whom should he listen before making decisions? To whom is he responsible? Would an elected Council help resolve this ambiguity has
- The Council has the added problem of a constituency that does not identify with it. Each person views the Council from his own point of view his prejudices, his economic interest, his base of power. How can the Metro Council respond to an electorate that does not identify with the Council as a vital source of governmental power?
- The metro level is a superfluous layer of government that can provide services no better than the existing ones; it is too detached from the average citizen. As one workshop participant put it: "Metro

approach is an alien attitude. Locals will solve local problems. Big government is not good government. It is unconstitutional and a tool through which the federal government is attempting to dictate to the people - by federal dispersion of the people - by federal disposs and metro. Local control is needed in a complex world. The welfare state is a real threat. People will lose the people - by open solved in a complex world. The welfare state is a real threat. People will lose the people will so and and pass it to an elite, and we lose checks and balances."

#### YES, BUT . . .

#### Dennis Dunne, Metro Council member

The push into new areas comes from federal and state. Metro is forced to assume responsibility for decisions it is not prepared to make - health, for example. It should set guidelines before being forced to act. The work load is too much. The Metro Council was not meant to be a maxi city council making day to day decisions.

#### Joan Growe, State Representative

The appointed Metro Council can make unpopular decisions that the local official avoids.

#### David Graven, Council member

It's not that the Metro Council hasn't done anything. We have made decisions about airport siting, about sewers, and so on. It's just that the decisions are unpopular. The basic problems of this area are not partisan but geographical.

#### Todd Lefko, Citizens League

We are also seeing a reflection of the process of evolution. At the beginning there were all those problems to be solved, and a lot of people with the real for wanting them solved at the Metro level. We heard a lot from them. Now what they wanted is somewhat accomplished, and we are starting to hear the detractors, who disagree with the unpopular aspects of the decisions.

#### Arthur Naftalin

There is one thing that keeps escaping us, that the Clitzens League has emphasized again and pagin and that needs to be stated over and over: The Metropolitan Council is essentially a policy making body. It does not displace any of the seven counties; it does not displace any local government. It does not displace the Metropolitan Airports Commission or the Metropolitan Transit Commission. The effort to bring them under the control here is to get some kind of unified policy direction, some measure of coherence.

#### Donald Dayton, Council member

The Metro Council bill wasn't perfect, but if you look back and think what a unique idea in the country it was at the time, you can't be unhappy that the legislature was unable to define metro impact. In the future the legislature will probably begin to define what is of metro timpact and the Council will continue to turn down what it feels is not.

## WELL WHAT'S WRONG WITH LOCAL . . . .

#### Wheelock Whitney, former Mayor of Wayzata

I believe that one of the reasons for the breakdown of communications between local government and the Metropolitan Council is certainly not the fault of the Council. It can be traced to an identity crisis. Local governments are afraid and almost paranoid - of losing their individual identity. How well I recall . . . when I proposed that we have a merger of 4 municipalities - Wayzata, Orono, Long Lake and Minnetonka Beach. I was Mayor of Wayzata at the time. Everybody said, "My, what a wonderful idea". There were editorials, people called and wrote. Everybody thought it was a good idea, that is everybody except the people who lived in Wayzata, Orono, Long Lake and Minnetonka Beach. They thought it was the worst idea they ever heard. I went around and I tried to talk to each individual community. And I heard it again and again, "We'll lose our identity".

I used to stand up there and say, "Let me ask you some questions. When there's Navarre? How about Crystal Bay? How about Mills? How about How about How about Hamel? Do you know where those places are?" Everybody knew where those places were, absorbately 100% of the people. I would then say, "There isn't one of those places that is a municipality. Hamel is in Medina. The Kenwood are is in Minneapolis. Navarre is part of Orono. Minnetonka Mills is in Minneapolis. Navarre is part of Orono. Minnetonka Mills is in Minnetonka Wills in Minnetonka Wills in the Minneapolis in the Minne

It didn't make any difference about the logic, about having four police chiefs, four fire departments, four lawyers, four planning commissions, four councils: I would point out to them that every city would benefit from getting better service, but they would not think about anything except that maybe it was a big power play, or that they would lose their identity. All of them would have benefitted financially except Wayzata.

I don't think identity should be tied to incorporation, geographic boundaries or governmental units, either. It's a kind of a feeling, identity is - the feeling of belonging with a group.

But people need services, and they need the kind of services that can best be provided by a metropolitan or an area-wide level. It didn't take me long when I was Mayor of Wayzata to learn that there are problems that just can't be solved at the local level. Transit, sewage, parks, airports, mosquito control, these are a few. We all know them.

My biggest problem came about Lake Minnetonka. Everybody was up in arms about the pollution. "What are we going to do about it? Well, let's all get together and talk about it. That's a good starting point", they said. Well, there are thirteen municipalities, roughly, that have property on Lake Minnetonka. So we all got together and for the first half hour everybody was saying what an awful thing it is that this beautiful lake is being polluted. And the second thing was that we had to do something about it and we all agreed on that. So we said let's give our ideas about what we're going to do about it.

... The head of our sewerage plant gave a great rundown on the sewage treatment in Wayzata, how good it was and how we weren't polluting the lake at all. Then the man from Excelsior did the same thing. Then someone from Mound stood up, and pretty soon the people were saying, "Listen, if you think you are going to force us to get a sewer, you are crava". And we got nowhere in terms of solving the problem. I remember saying that night, "All right, someone has to come in and tell us what to do and when to do it by, and then maybe we'll get the job done." Happily, the Metropolitan Sewer Board—the Metropolitan Council—a larger unit, did come in and solve our problem and everybody feels ohay about it. We just couldn't do it ourselves. And had we tried to go it alone I think to this day nothing would have been done. And it is for these reasons, that in order to solve the problems before us, that local governments must find a way to cooperate with each other.

#### Ron Kaliszewski, Assistant Director, State Planning Agency. . . .

Many times there is a psychological balance in a question that goes behond mere logic, such as a village police department in Shoreview, when it was cheaper and more efficient to have Ramsey County perform the function. Some people want to be free to let dogs run or burn their leaves.

#### Todd Lefko, Citizens League . . . . .

Is the question delivering services or local control? Power to go broke is not power. We are wed to anachronisms of illogical boundaries. Changing relationships ignore artificial boundaries. Where does the citizen and his needs fit in? Is an arbitrary local unit necessary without the ability to meet needs? Power is not tradition, but reality. What should the relationship be at the various levels?

#### Dr. Arthur Naftalin, Professor of Public Affairs . . . . .

We tend to think that if the village hall is near where we live, that we are going to get better service, or more for our tax dollar. The truth is that by and large the small units of government are not as responsive as the larger ones, because the smaller units can't do very much.

#### Dr. John Borchert . . . . .

We are meeting the local problems by pushing them up to a higher level and then saying that this is what we don't want to do. We pass the

#### Nan Waterman, National Director, League of Women Voters . . . .

In the urban communities of today there are numerous mini-communities tied together because of ethnic background, customs and traditions, skin color, life styles and other factors. I predict that similar sub-societies will exist in the future. . these are the dynamic force which makes the metropolis function.

One of the difficulties of our time is that these sub-societies which add so much vitality to the metropolitan area have been institutionalized governmentally, through the creation of liny villages, iomships and municipalities. There are values, of course, in small government. Citizens who live in small municipalities believe they have direct and easy access to the officials who administer their government. They believe, and probably with justification, that they can influence public decisions. However, an overemphasis on the local unit tends to obliterate the broader view, and tends to inhibit the development of a sense of metropolitan community. One of the greatest challenges facing politicians and citizens today is to develop a system which strikes a balance between the best of local and the best of regional government.

Many remedies have been prescribed, such as dividing cities into neighborhoods, creating one big city to govern the entire metropolitian area, combining the two remedies of regionalism and decentralization into one happy mix which would solve all the problems and silence all the criticism. The point I want to stress is that textbook solutions do not meet the needs of real people, in real situations, in real metropolitan areas.

The problems of how best to govern urban areas promise to be with us for some time to come, unfortunately, and the dimensions of the task will grow larger.

#### FROM THE WORKSHOPS .....

There are some local conflicts and forces which are adding to the difficulties of a metropolitan approach to solving problems:

- The battle for the tax dollar. The need for municipalities to be economically solvent, regardless of their tax base has made local economic interest the prime factor, rather than meeting local needs.
- This same economic battle has led to polarization of suburb versus city, each attempting to preserve its interests but not its re-
- Prejudice and lack of a feeling of responsibility has left many social problems unsolved.
- 4) There is lack of effort by local units to present a unified view

to the Council. Local officials lack willingness to cooperate even if cooperation would provide better service to the community.

5) The local official refuses to abdicate any power regardless of the consequences.

6) Local officials feel there are needs which can be uniquely local.

#### WHAT TO DO ABOUT IT?

Arthur Naftalin . . . . .

I must make my theme against a national background. It is implicit that this metropolitan area's relationships must be understood in a national context. We have at least five tiers of action in this nation. We are not going to solve our problems except as we are prepared as a nation to make major commitments of resources and financing.

We cannot solve the problems we face if what we have is a national government in retreat, state governments which are pretty much hobbled by lack of resources in their competitive relationships, and local governments which are pretty much paralyzed in dealing with their critical problems.

The national government must require, under the states, that it undertake to reconstruct local governments on a viable, meaningful basis. This is where we come to sub-state regionalism, this is where we come to the Metropolitan Council.

This leads to community involvement. I believe we must find ways to begin to shape regional programs, and then use cities and the counties to implement them. We must make it mandatory, not just at the will of the community. The cities can demand and provide leadership in shaping up what is needed. The point is that there are these five interacting levels, and when we talk about community involvement or citizen participation, I am suggesting that any one level can affect the work of the other levels, and that they ought to do so.

#### Nan Waterman . . . . .

While I am not advocating tearing up and recreating all local governmental jurisdictions, I am advocating a serious look at what needs to be done. When it becomes uncomfortably clear that citizens believe themselves remote from the power to govern themselves and to change things, then it is clear that the time has come for a reconstruction or reforming of the system of representative decision making.

What we need is a joining of forces, to establish a true urban coalition--one which has concern and feelings about the future of the metropolis. I don't believe it's necessary that we have complete agreement about the reasons for developing a regional consciousness. We I think the really crucial decisions in the next decade will be in land use. Many policy decisions can be and should be left to local officials, but they should be held accountable for the regional impact of their actions.

#### John Borchert

There are now a large number of plans and operations carried out by private firms, public agencies, local governments. None of these agents plans for the others. Some are not even attending to their own planning needs and should be encouraged to do a better job.

There is still comparatively little coordination of these plans. There is some monitoring and evaluation of the performance of these different agents carried out by various private groups and public agencies. But it is desultory and uncoordinated.

The role of the regional council must be to monitor and evaluate performance against the plans of the individual agencies and firms and against the comprehensive plan of the council itself.

Plans of all of these groups must be prepared, each with full and current knowledge of the others. The plans must be carried out by the firms, individuals and agents who are responsible for day-to-day operation of each of the metropolitan facets of the community.

The basic need is for coordinated planning, monitoring and evaluation.

#### Wheelock Whitney . . . . .

We know something's wrong with the Metropolitan Council, so let's discuss some of the things that need to be done. We must face out problems head on. We must believe in ourselves and our ability to cope and succeed. We must find a way to sharply reduce the time lag between a good idea and the positive action to implement it.

First the legislature must be willing to decide who will have the ultimate decision making authority in our system of metropolitan government.

Second, the legislature must also decide which functions belong to which levels of government.

Third, if the legislature does establish the authorities and functions within the Council, the Council must design goals and objectives for the development of the metropolitan reas so they are clear, usable, and understandable. The Council must again set as its prime responsibility the preparation of the Metropolitan Development Guide for which purpose the Council was established.

A fourth suggestion is that local government can realize new strength through cooperation and consolidation.

And finally, my fifth suggestion. . . If the Legislature isn't willing to take action on these matters. . and let's put some time frame on this, say by 1977. . . . the Metropolitan Council should be abolished and we should start over.

#### Al Hilde, Mayor of Plymouth. . .

Specific suggestions for local-Metro harmony: 1) Control workload, 2) Locals should monitor Council as watch dogs, 3) Better forum for communications--fcac to face, not on paper, 4) Better quality of communications--local laison.

#### FROM THE WORKSHOPS . . . .

There is a need for more person-to-person contact with Council members. A more regular and formalized structure is needed for an exchange of views before policy is made.

The staff is making many decisions which should be coming from the Council. There should be an effort to control the quality of staff output, and to assure its responsibility and approachability.

The Council needs to increase its visibility, to stimulate public identification with it, and to sell itself and its benefits to the people. The quality of communication needs to be improved, not the quantity.

The responsibilities and priorities of the Council need to be clarified by the legislature.

There should be a clearer definition of "Metropolitan impact".

#### WHO'S SPEAKING TO WHOM? ■□

#### Nan Waterman . . . . .

There seem to be two ways of looking at the problem. First, how can the citizen communicate with his government? And how can government officials communicate with him?

The 1960s and early 70' could be labeled the era of the citizen, although there are signs of a shifting emphasis at present. We heard a lot about the duty of government to be representative and accountable to everyone. . Even though this meant compromising the sacred values of efficiency and economy.

#### Kenneth Wolfe, former State Senator. . . .

If I had waited for the electorate to tell me what to do, it would never have gotten done. Most ideas start with the elected officials. The electorate must become better informed. They can't make a good input

#### Frank Pucci, Mayor of St. Louis Park . . . . .

People are not really all that responsive. The elected official has to go out and educate the people. Responsive officials and a responsive electorate require it.

#### Bruce Nawrocki, Mayor of Columbia Heights . . . . .

Communicating with people you are supposed to represent is a genuine problem. My method was to be available. People complain about spending, but no one comes to budget meetings. However, had the budget meeting been a closed session, people would have banged down the doors. People have to be given the chance to be heard and to blow off steam. It makes a difference.

#### Wheelock Whitney . . . . .

That's true of all levels--people want you when they want you. But when you want them, they aren't there--school board meetings, for instance. It's hard to think what's right when you talk about availability.

#### Donald Dayton, Metropolitan Council member . . . .

How available is the Metro Council member? Some people on the Council are extremely busy on other things. I am retired. I think the figures will show that attendance of council members is very good. We started taking meetings on tour. In Blaine there were about eight people. In West St. Paul an enormous crowd turned out. The first item on the agenda was a landfill down south, and after that all but about seven got up and left. We haven't been successful in turning out an audience.

One of the most frustrating things in the Council public hearings is that we tend to get the disagreers, no matter what the subject is. We get very little constructive thought. The people who agree with the chapter or guide tend to stay at home. Everything you hear, almost, is against what you are doing. You can get a very distorted point of view.

#### John Chenoweth, State Senator . . . .

There are different levels of constituency. We should be communicating more with county boards, city councils in the metro community. The problem is some part-time people with more than full-time responsibility. This is not the only issue we have to deal with, and the local officials, too, are dealing on a part-time basis. I have very little time to communicate with local officials once we are in session. You get

locked in, become a prisoner of the system. At this level, it has to be done by groups, such as the League of Municipalities. If we had a full-time legislature, we would have a substantial improvement in the process of understanding. Not all the problems would go away, but more would be accomplished. Progress would be faster. Also, the press is essential in the field of communication.

### PARTING THOUGHTS . . .

Nan Waterman . . . . .

Citizens are the touchstone of a democracy. We may attend seminars and study about the perfect system of government, but that system won't work unless it meets the crucial test of acceptance by the people.

Arthur Naftalin . . . . .

If you ask what's feasible in the way of Metropolitan Council or regional government, I'll tell you right now, nothing is feasible. Sity five to seventy percent of the American people like things the way they are and they're not very much for reform. Those of us that know the nature of the problems have an obligation to speak out loudly and clearly. Not that we know the answers, but at least to generate attention to some possible approaches. What the Metropolitan Council has got to do and what the state legislators have to do, is to do what's necessary to meet and deal with these regional problems as effectively as they can.

Wheelock Whitney . . . . .

We must develop priorities - establish goals - assign responsibilities - set time tables, and most importantly, have the courage to act.

Arthur Naftalin . . . . .

Leadership, by and large, runs from its responsibilities. Leadership is not prepared to talk in terms of what is needed for this nation. To do this, leadership must be prepared to govern against the grain of what seems to be the prevailing popular view. Any damn fool can read the Gallup poll and decide where the center is. It isn't winning the election that counts, it's what you're prepared to do with your professional leadership that's important. It's amazing how the public, how the followers, will begin to respond to leadership. The special interest groups turn out troops by the score. The time has come for us to somehow generate troops.

John Borchert . . . . .

Opportunity is virtually unlimited. We are participating together in one of the most interesting and significant experiments in the history of the Western World - seeking an understanding of what to regulate, when and where and how far to regulate without violating the precepts of western society.



Published by the
Council of Metropolitan Area Leagues
September 1973

# Community Service Clearinghouse

# EXCHANGE

APR 3 1973

A Newsletter of the Community Service Clearinghouse Moorhead State College, Moorhead, Minnesota 56560 (218) 236-2944

NO. 4

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APRIL, 1973

SUMMARY REPORT ON FERGUS FALLS AND CROOKSTON MEETINGS

# Development Commissions In Regions 1 And 4 Now Organizing



The Minnesota State Planning Agency and area higher educational institutions recently hosted information meetings in Fergus Falls and in Crookston concerning the organization of regional development commissions in Regions 1 and 4. Each meeting attracted approximately 200 public officials and other community leaders.

The meetings were called to review the purpose and functions of regional development commissions as set forth in the 1969 Regional Development Act, to acquaint public officials and other community leaders with the steps leading to formation of the regional commissions, and to examine the operation of existing regional commissions, in Minnesota and elsewhere.

Governor Anderson established regional development commissions in both regions following receipt of resolutions for local units of government which represented a majority of the population in each region. Region 1 contains 94,579 persons. The population of Region 4 is 185,376.

Local units of government in each region selected representatives to the commissions in March. Each regional development commission will consist of one commissioner from each county board, one mayor or councilman from each county representing municipalities under 10,000 in population, one township official from each county, and two school board members from the region. In addition, cities over 10,000 in population each have one representative (Fergus Falls and Moorhead in Region 4). The Fargo-Moorhead area Council of Governments also is represented on the Region 4 Commission,

James Solem, director of the Office of Local and Urban Affairs in the State Planning Agency, described a regional development commission as "an intergovernmental management tool." He regards it as "an organization controlled by elected local officials to engage in a process of planning, program development, program coordination, hopefully program evaluation and to have some impact on resource allocation decisions at a scale that makes some sense in terms of the way in which problems exist." (See "Solem Points to Purpose of Commission") He also noted some of the ways in which state agencies are beginning to decentralize their planning activities through cooperation with regional development commissions.

Solem paid special tribute to Eugene Abbott, grants coordinator in Polk country, and Byron Schmid, director of the Community Service Clearinghouse at Moorhead State College, for their efforts leading to establishment of the regional commissions. The efforts of Lois Mann, formerly of Feraus Falls:

(continued on next page)

Robert Anderson, Battle Lake; Oliver Hoplin, Glenwood; Robert Hertzenberg, Breckenridge; William Haskins, Alexandria; James Dahmen, Fergus Falls; William Smith, Morris; Richard Nord, Wolverton; Stephen Collins, Moorhead; Emil Marotzke, Detroit Lakes; and Sherman Mandt and Jared Smalley of Concerted Services also were noted.

John Morse and Burt Teig, community planners with the Office of Local and Urban Affairs, outlined the steps which will be followed in organization of the commissions. (See "Organization Steps Outlined") Members of the regional commissions were selected in March. Both commissions are expected to hold their first meetings in April.

The Fergus Falls and Crookston audiences also viewed a film on the organization and operation of regional development commissions in Texas. The film illustrated some of the types of activities in which regional development commissions engage. Richard Pearson, executive director of the Headwaters Regional Development Commission (Region 2), and Allan Balavance, resource development specialist with the Arrowhead Regional Development Commission (Region 3), also described planning activities of their respective commissions.

Afternoon speakers considered several of the challenges facing the new regional commissions in Regions 1 and 4. In Crookston, William Sliney, area extension agent for community resource development, sketched recent population shifts in Region 1 and underscored the problems of employment and adequate income, Pierce MacKay, executive director of the Agassiz Health Planning Council, discussed ways to coordinate the planning activities of the regional development commission with other multi-county planning agencies. [See "Meetings Emphasize Need to Coordinate Planning Activities" Educational problems of higher education were presented by Willard Kottke, dean of Instruction at Northland State Junior College, while Ron Kaliszewski, assistant director of the Office of Local and Urban Affairs, described financial assistance which is available to regional development commissions. [See "Financial Resources Identified"



Burt Teig, State Planning Agency, Oliver Hoplin, Glenwood mayor; Arnold Johnson, Grant county auditor; and William Smith, Morris city manager



Emil Marotzke, Rural Minnesota GEP; and Steven Collins, Min-Dak Health Planning Council

In the Region 4 meeting at Fergus Falls, Emil Marotzke, executive director of Rural Minnesota CEP and chairman of the region's Ancillary Manpower Planning Board, portrayed a number of major regional needs with special reference to manpower planning. He emphasized that the regional development commission will have the responsibility to establish priorities among regional needs, priorities which will determine the regional use of limited federal resources. Russell May, director of Continuing Education and Regional Programs at the University of Minnesota in Morris, identified resources which the higher educational institutions can make available to the regional commission (see "May Identifies Educational Resources" and Steven Collins, executive director of the Min-Dak Areawide Comprehensive Planning Council, discussed the coordination of planning efforts within the region [see "Meetings Emphasize Need to Coordinate Planning Activities" As at Crookston, Kaliszewski noted the various types of financial assistance which are available to a regional development

Mayor Barbara Donoho of Fergus Falts and Stanley Sahistrom, provost at the University of Minnesota Technical College in Crookston, welcomed participants to the respective meetings. Mrs. Lois Mann, former area extension agent for community resource development, and Erman Ueland, chairman of the Fertile school board, concluded the sessions. Al Croone, director of University Relations at the University of Minnesota in Crookston, and Byron Schmid presided at the Crookston and Fergus Falls meetings.

The meetings were sponsored by the Minnesota State Planning Agency in cooperation with area higher educational innistrations. These included Northland State Junior College, the University of Minnesota Technical College and the Community Service Clearinghouse at Moorhead State College, in Region 1 and Concordia College, Fergus Falls State Junior College, the Community Service Clearinghouse at Moorhead State College, the University of Minnesota-Morris and area vocationaltechnical institutes in Region 4.

#### ORGANIZATION STEPS OUTLINED

Community planners from the Office of Local and Urban Affairs outlined the steps by which regional development commissions will be organized in Regions 1 and 4. The presentations were made by John Morse at the Crookston meeting and by Burt Teig at Fergus Falls. Morse and Teig will maintain liaison between the respective regional commissions and the Office of Local and Urban Affairs.

Both Morse and Teig noted that only a few communities petitioned for creation of a regional development commission immediately following enactment of the Regional Development Act in 1969. The Pennington county board and Thief River Falls in Region 1 and the Otter Tail county board in Region 4 adopted resolutions in November, 1969. Fergus Falls followed suit in November, 1970. Only after the 1971 Legislature modified the 1969 Act did other units of government take action on establishment of a commission.

Douglas county, Alexandria and Glenwood adopted resolutions in 1971. Beginning in May of 1972, however, several units petitioned for a commission. These were Barnesville, Brandon, Breckenridge, Clay county, Detroit Lakes, Diiworth, Evansville, Miltona, Morris, Osakis, Pelican Rapids, Perham, Pope county and Wilkin county. Governor. Anderson established the commission in Region 4 on February 2, 1973, when over 55% of the population of the region was represented by petitions.

In Region 1 the petitioning process occurred much more rapidly. Twenty-one units of government adopted petitions, primarily last December and January. These were Ada, Alvarado, Argyle, Beltrami, Crookston, East Grand Forks, Grygla, Kitton county, Lancaster, Marshall county, Middle

River, Newfolden, Norman county, Oslo, Perley, Polk county, Red Lake Falls, Roseau, Twin Valley, Viking and Warren. When the Governor created the commission on February 8, 1973, more than 74% of the population was represented by petitions.

Membership on the regional development commissions was selected in March. The Region 1 development commission will initially be composed of 23 elected local officials. In Region 4 the number of elected local officials will total 32. Members are selected according to the following formula:

Basis of Representation	Region 1 Total	Region 4 Total
1 county commissioner from each county	7	9
1 mayor or councilman from each county (representing municipalities under 10,000		
in population)	7	9
1 township official from each county	7	9
1 mayor or councilman from each city over 10,000 in population (Fergus Falls		
and Moorhead)	-	2
2 school board members from		-
the region	2	2
1 representative from each of council of governments		1
TOTAL	26	32

#### MEETINGS EMPHASIZE NEED TO COORDINATE PLANNING ACTIVITIES

Several persons at the meetings asked how the existing functional agencies, in such concerns as health planning and criminal justice planning, would relate to a regional development commission. [An insert in this issue of the CSC Exchange Identifies most of the functional planning and service agencies in Regions 1 and 4.]

Steven Collins, executive director of the Min-Dak Areawide Comprehensive Health Planning Council, and Pierce MacKay, executive director of the Agassiz Health Planning Council, addressed this question. Collins emphasized that a regional development commission "has the potential to provide a comprehensive planning structure that is urgently needed to coordinate the various functional planning activities and provide for a systems approach to future development." Both he and MacKay noted that a regional development commission should build upon rather than duplicate the planning efforts of existing functional agencies.

In his morning presentation, James Solem, director of the Office of Local and Urban Affairs, stated that in other states the functional agencies worked hand-in-glove with regional development commissions. He claimed that "the role of the regional planning commission should be to provide leadership and linkages between functional planning efforts and the regional development commission . . . and, in fact, one of its main responsibilities should be to develop

functional planning capability in a variety of other agencies and organizations within the region."

MacKay indicated that the Agassiz Health Planning Council has an arrangement with the Headwaters Regional Development C mission (Region 2) whereby the Agassiz Council performs the health planning for the Headwaters Commission. He felt that this model could be followed with other functional agencies within a region.

Collins urged that board chairmen of functional agencies, such as the Min-Dak Health Planning Council, should serve on the regional development commission in order to insure close planning coordination. Agency chairmen might be made public interest members of a commission or they night serve in an advisory capacity to the commission. In either case they could serve as chairmen of the commission is functional task forces. Staffs of the functional agencies and the regional development commission should maintain close working relationships.

It became evident at the meetings that if planning duplication is to be avoided (one of the purposes of a regional development commission), the regional commission must establish procedures for utilizing the planning efforts of the functional agencies. Whether this means an absorption of functional agencies by the regional development commission or simply the development of effective liaison between the agencies and the commission, as suggested by MacKay and Collins, must be decided by the regional commission.



Ron Kaliszewski, State Planning Agency; Pierce MacKay, Agassis Health Planning Council; William Sliney, UM; and Willard Kottke, Northlands State Junior College

#### HIGHER EDUCATION SEEKS COMMISSION PARTNERSHIP

Russell May, director of Continuing Education and Regional Programs at the University of Minnesotar-Morris, identified a number of resources which the institutions of higher education in Regions 1 and 4 can make available to the development comissions. He listed faculty consultant services, community-based research, data and information, public affairs programs and conferences, and continuing education elasses.

Concordia College, Fergus Falls State Junior College, Moorhead State College (Community Service Clearinghouse), the University of Minnesota-Morris and the area vocational-technical institutes have recently been expanding their capabilities for community service in Region 4. This process has been aided financially by community service grants awarded by the Minnesota Higher Education Coordinating Commission under Title 1 of the federal Higher Education 4. of 1965.

Under the current grant, these institutions propose to establish a planning partnership with the regional development commission in Region 4. Through this partnership, educational resources can assist in the solution of community and regional problems, It should be emphasized that the necessity for and particular use of specific educational resources and approaches will be determined primarily by the planning priorities of the regional commission.

The partnership between the commission and higher educational institutions can be developed in several ways, Informal interaction between community service personnel and commission members and staff is one way. Another way might be the placement of community service-oriented faculty members, along with other citizens, on functional advisory task forces of the commission. As an example, faculty members with expertise in environmental problems could serve on a task force concerned with solid waste management. These faculty members could communicate the resource needs of the task

force to the higher education committee which, in turn, could tap resources in all of the institutions of higher education. Through the commission-higher education partnership, the educational institutions can help develop and maintain a computerized data bank. They also can cooperate in publication of a regional commission newsletter.

The committee from the cooperating higher educational institutions, which will guide development of educational resource involvement with the regional development commission, is composed of Roger Spilde, chairman of the Economics and Business Administration Department, Concordia College; Clarence Heine, dean of Instruction, Fergus Falls State Junior College; Byron Schmid, director of the Community Service Clearinghouse, Moorhead State College; Russell May, director of Continuing Education and Regional Programs, University of Minnesota-Morris; and Floyd Hanson, coordinator for adult distributive education in several of the area vocational-technical institutes. Schmid is chairman of the committee at the present time. Beginning this summer, May will coordinate the development.

When the regional commission is fully organized and staffed this summer, the primary staff services for educational resource development for commission planning needs will be provided by May, Hanson and a yet unnamed area extension agent for community resource development. May, who began his work at the University of Minnesota—Morris in mid-January, has a full-time position which is devoted to regional programming activities. Hanson is involved in adult distributive education programming also on a full-time basis. The area extension agent for community resource development, who will facilitate use of University of Minnesota resources in the region, will begin his or her work at Morris in late spring or early summer. Additional educational services also are available from Concerted Services, staffed by Sherman Mandt and Jared Smalley.

In Region 1 Northland State Junior College, the University of Minnesota Technical College at Crookston and Moorhead State College can provide resource assistance for the regional development commission. These institutions, however, have not yet developed patterns comparable to those formed by the cooperating institutions in Region 4.



#### MEMBERSHIP OF REGIONAL DEVELOPMENT COMMISSION IN REGION 1\*

County	County Commissioner	Municipalities (under 10,000)	Townships	School Board & Public Interest Member	
Kittson	Floyd Sanner	Joe Bouvette	William Gatheridge	School Board	
Marshall	Dale Zutz	Lee Selnes	Ervin Strandquist	Ralph Hvidsten (Stephen) Harvey Tripp (E. Grand Forks)	
Norman	Sy Strand	Clayton Hastad	Morris Steen		
Pennington	Odin Hanson	A. E. Jacobson	Albert Koop	Public Interest Members	
Polk	Oris Moen	Harold Thomforde	Loren Stortroen		
Red Lake	Irving Beyer	Vaughn Thorfinson	**		
Roseau	Wayne Juhl	John Reese	Donald Landin		

<sup>\*</sup>Public interest members are to be added after adoption of bylaws.

#### MEMBERSHIP OF REGIONAL DEVELOPMENT COMMISSION IN REGION 4\*

County	County Commissioner	Municipalities (under 10,000)	Municipalities (over 10,000)	Townships	School Board, Council of Govern ments, & Public Interest Member
Becker	Cecil Bergquist	Kent Freeman		Don Schattschneider	School Board Nelis Lorentzen (Detroit Lakes) James Q. Nelson (Morris)  Council of Governments Robert Chrissis (F/M COG)  Public-Interest Members
Clay	Virgil Tonsfeldt	Conrad Lee Johnson	Dwaine Hoberg (Moorhead)	Lawrence Sherman	
Douglas	Arthur Henneman	Raymond Stich	Manual Control	John Pomerenke Pomerenke	
Grant	Leland Pederson	William Nelson		Richard Swift	
Otter Tail	Andy Leitch	Fillmore Trites	Barbara Donoho (Fergus Falls)	Arnold Hemquist	
Pope	Granville Walburn	Oliver Hoplin		Harry Klyve	
Stevens	D. L. Dosdall	Don Frank		Lowell Simpson	
Traverse	Leslie Aukes	Gerald Folstrom		Albert Deal	
Wilkin	Howard Dawson	Keith Zarling		John Friederichs	

<sup>\*</sup>Public interest members are to be added after adoption of bylaw

<sup>\*\*</sup>Township chairmen of Red Lake county will select their representative on March 31.

#### SOLEM POINTS TO PURPOSE OF COMMISSION

by James Solem

The whole purpose of the Regional Development Act of 1969, the whole purpose of forming a regional development commission, is to provide you, the elected local officials, and the people of the region with an important tool or mechanism to get done what you think ought to be done in the region. There are a lot of different ways that one could describe the purpose of the regional development commission. I call it an inter-governmental management tool. Some people say that sounds like a lot of bureaucratic jargon. What do you mean by that?

There are an enormous number of units of local government within this region and within this state. Minnesota used to be first in the number of local governments in the country. We're not first any more because we consolidated school districts. But, we're still in the top ten. In addition, there are a multitude of federal agencies and federal programs. Each one of these local governments, federal agencies and federal programs, state agencies and state programs has certain kinds of resources to help deal with whatever a particular problem might be. In some cases there are more than 15 different agencies that presumably are responsible for doing the same thing. Not all of them have money any longer, but at one point in time there were an infinite number of places one could go to get help and assistance. That's a confusing, contradictory, conflict-ridden mess and there's no question about it!. But, this is the nature of our federal system.

To deal with this confusion, we must develop some capability out here that you control, that you manage, that you direct—to help you deal with the rest of the system. And that's what a regional development commission will do for you if you use it right and make it serve your purposes. It will help you deal with the rest of the system. It will help you get from the rest of the system the kinds of things you need to facilitate the growth and the development of this region. The whole purpose is to create an organization controlled by elected local officials to engage in a process of planning, program development, program coordination, hopefully program evaluation, and to have some impact on resource allocation decisions at a scale that makes some sense in terms of the way in which problems exist.

A regional development commission is not an organization to operate programs and provide services. There are an infinite number of agencies, organizations, and local governments that can provide services and manage facilities. We don't need any more "producing" kinds of units. That's not the purpose of a regional development commission. We've tried very hard in this state to make certain that regional development commissions don't get into the business of operating programs and providing direct services. But they ought to be in the business of evaluating the needs of an area and determining the capabilities of existing organizations and agencies to provide services and manage facilities. Where there is a need, they can help organize a response to that particular need, redirect resources, and maybe help put together organizations and agencies in new ways to do a better job of getting done what needs to be done. What a regional development commission can do is make the job of the mayor of Barnesville or the mayor of Fergus Falls or the superintendent of schools in Detroit Lakes or a county commissioner in Douglas county

The purpose of a regional development commission is not to put local government out of business. The Regional Development Act doesn't give it that kind of authority. Anybody who knows anything about state and local government knows that the Legislature is the only place where the powers and duties and responsibilities of local government are changed. It's always been a mystery to me how anyone could come to the conclision that an organization controlled by elected local officials, which is what a regional development commission is, is going to do anything to work to the long-term detriment of local government,

Now there are some things happening at the state level that I think are going to be important and will have a significant impact on this region and on all of rural Minnesota, Governor Anderson and the Legislature are engaged in a serious effort to decentralize and reorganize state government. Now that's a nice phrase and people have been running around and saying for years they're going to decentralize or reorganize. But the fact is that LEAP (Loaned Executives Action Program) has produced a major, really massive study of the organization of state government, Agencies like the Department of Public Welfare, the Department of Natural Resources, the Pollution Control Agency, the Department of Corrections and all of the large service agencies of the state have been examined by a group of business leaders who have recommended that the services, functions, and responsibilities of state agencies should be decentralized. As a result, there will be a massive change in the organization of the agencies of state government.

The social service area is a good example of what is happening. The Commissioner of Public Welfare has requested authority and funds in the next blennium to engage in a process of decentralization of social services. Through a regional social service planning process, the Public Welfare Department and regional development commissions will engage in a joint effort to determine the human resource problems, priorities and service requirements of a region. This close program planning and program development linkage between regional development commissions and state agencies will, in the next few years, reform our whole social service delivery system. The only way decentralization can happen is if there is some kind of an organization in out-state areas with which state agencies and federal agencies can work. That tool is the regional development commission.

You've heard a lot about an umbrella kind of a planning agency. One of the objectives of a regional development commission is to provide a focus for the kind of planning and program development and program evaluation that goes on within a region in areas such as health planning, criminal justice planning, developmental disabilities, environmental management and transportation planning. There are something like 19 or 21 federal programs that have some kind of regional planning involved in them now. It's impossible for a county commissioner or a mayor or a township officer to know what's going on in each and every one of these special, particular individual programs. A regional development commission can bring together all of the kinds of planning capabilities that exist within this region. You don't have to bring them all together in the same building, but if you can get them working together in joint program planning, if you can get them all sharing the same data base, all sharing the same assumptions about what's happening within the region, then you can strengthen your hand as elected local officials in dealing with the rest of the system.

There are great resources available to you in this region. There are all kinds of professional people with great skills, great understanding of this region and its problems. Many of them are here today-institutions of higher education and others. But they're scattered all over. There is no mechanism to bring them together, to put together a critical mass of capabilities for you to deal with the rest of the system. That's one of the ways in which a regional development commission ought to be used.

In his Budget Message the Governor recommended a biennial appropriation of \$800,000 to help fund regional development commissions. I think that says something about the commitment of state government to the success of your new commission and your endeavor. We're going to abolish the two-year limit on state support for commissions and make state support a permanent kind of thing. The State Planning Agency will use whatever "701" planning funds it eventually gets from HUD for support of regional development commissions. The State Planning Agency and the Office of Local and Urban Affairs are prepared to give you as much help, as much assistance as you want. We re prepared to help get you other kinds of resources that you need to make a regional development commission successful.

\*Solem is director of the Office of Local and Urban Affairs, Minnesota State Planning Agency. This article is a condensation of his presentation at the Fergus Falls and Crookston meetings, February 28 and March 1, 1973.

#### FINANCIAL RESOURCES IDENTIFIED

Several funding sources for operation of regional development commissions were explained; at the conferences. Ron Kaliszewski, assistant director of the Office of Local and Urban Affairs, noted that the specific budgetary need of a commission will be determined by program needs and priorities. He said that budgets might range from \$50,000 -\$60,000 and unwards.

Funds available to a regional development commission are used for planning, research, reviewing of plans and applications, and coordinating the planning activities of other units of government and organizations within a region. It can be used to pay salaries of staff, rental of office space and expenses of commission members.

There are three primary funding sources: local, state and federal. The 1969 Regional Development Act authorized regional development commissions to levy a tax up to one-half mill on taxable value within a region. A commission certifies its levy request to the county auditor (comparable to school district certification) following adoption of a commission budget. A one-half mill levy in Region 1 would generate \$37,438 in revenue (1971 taxable value). In Region 4 \$63,414 could be raised in this way. (As a result of recent changes in determining taxable value, the Minnesota Department of Taxation has directed that only one-third of the one-half mill rate levy can be applied to taxable value.

Local units of government, in addition, may contribute services or other in-kind match. For example, in certain instances, land use planning efforts of local units of government can be used by a regional commission for federal match purposes.

In his Budget Message to the Legislature, Governor Anderson recommended a biennial appropriation of \$800,000 for regional development commissions. The 1971 Legislature appropriated \$150,000. If the funds are appropriated, each regional development commission is likely to receive between \$30,000 and \$50,000 per year from the State Planning Agency.

The State Planning Agency also is encouraging state agencies to provide funds to regional development commissions for planning assistance which is requested by state agencies. For example, if the Pollution Control Agency were to request a regional development commission to provide comprehensive planning assistance for solid waste management, water planning or sewage planning, it might be expected to furnish financial assistance to accomplish the task.

A final source of funds is the federal government. Although the Nixon administration is reducing or eliminating various categorical grant programs, the President has asked the Congress for \$110 million in "701" HUD planning funds for FY74, an increase of 10% over the current year. This is the major source of federal assistance for most regional development commissions.

The 1969 Regional Development Act specifies that, in addition to "701" funds, regional development commissions are authorized to receive EDA (economic development) and criminal justice planning funds. The Governor also can authorize commissions to receive funds from the Office of Economic Opportunity and for comprehensive health planning, man-power planning, R&BD, and other multi-county planning and development programs.



#### MAY IDENTIFIES EDUCATIONAL RESOURCES

by Russell May \*

Region 4 has all five types of higher educational institutionsa state college in Moorhead; a private college, Concordia, in Moorhead; a junior college at Fergus Falls; area vocationaltechnical institutes in Alexandria, Detroit Lakes, and Moorhead; and the University of Minnesota at Morris. These institutions are now cooperating in the development of educational resources in our area. The programs that result are



not going to be the product of one single institution; that will no longer work. The five educational systems must operate together if the interests of the region are to be served.

It is our desire to make the rescores of our institutions available to the regional development commission. As I see it, the function of our institutions is to help provide the necessary information and resources to the com-

mission so that the commission can make its decisions on the basis of reliable information. Our function is *nat* to make those decisions. We have resource experts in water, solid waste, land planning-just about any area that you can think of—in our five types of institutions. These faculty resources can be involved in the work of the regional commission.

Our institutions have five primary types of resources which can be used by the regional development commission. These are faculty consultant services, community-based research, data and information, public affairs programs and conferences, and continuing education classes.

The most obvious resource is consultant services by the faculty. The five institutions in Region 4 are developing a faculty resource file, which contains information on the community service expertise of faculty members. Later this year we anticipate that we will have in operation a cleaninghouse with information on all of the faculty resources that are available to the region. It will then be possible to call one central location in the region and order to receive a consultant or a group of faculty members to work on an issue or to provide information on a particular concern which you might have. In this cleaninghouse we will arrange for that resource person to meet the particular need of the requesting community or of the regional development commission.

Another resource that we have is community-based research. One of the questions I heard earlier today was, "Somebody said solid waste treatment. Should the commission be concerned about that?" Certainly we can't answer that question on the basis of what we think. What's the basis for it? What's the need? What's the cost? These are the types of questions on which we need to have research before we start answering basic policy questions. Out faculty members can help provide the regional commission with that type of research data.

A third area is data and information services. After one does research, what happens to it? The Twin Cities Metropolitan Council employs staff just to keep tabs on data and research results. When the Metropolitan Council brings a problem to a state agency, it doesn't say, "We think." The Council supports its case with facts and data, with the results of research. And there's no reason why Region 4 cannot develop a data base of existing materials which can be available to the regional commission. This data base can be developed and maintained by our higher educational institutions, Right now, for example

our institutions have access to MAPS (Minnesota Analysis and Planning System), a data storage and retrieval center located at the University of Minnesota, MAPS contains over 19,000 pieces of information on each county in the state.

We need to use publications like the West Minnesota Profile, which has information on all of the counties in Region 4. We need a means of communicating this information through formats like the Communicator which Byron Schmid and Lois Mann published bi-monthly last year, Perhaps our institutions can cooperate with the regional development commission in publication of a newletter. We stand ready to help.

Public affairs programs and conferences are a fourth type of resource. Today's program, sponsored by our five cooperating institutions and the Minnesota State Planning Agency, is one example, Last October the Community Service Clearinghouse at Moorhead State College sponsored a census data users conference. In December the state college hosted the Governor's Conference on the Rural Development Act of 1972. Over 1,400 persons from across the state participated in the meeting. On May 3 in Alexandria, the University of Minnesota at Morris is conducting a conference on the aging in rural Minnesota. During April and May there will be nine programs which will consider the small town in Minnesota. These meetings will be held in Morris, Wheaton, Elbow Lake, Benson, Breckenridge, all around the area, Also in May our institution will cooperate with St. John's University in sponsorship of a training program for local planning commissions designed to improve their capacity for planning.

The fifth and most obvious resource is continuing education classes. We've been in that business longer than anything else, I suppose. Many people only want a class if they can get credit for it. Others only want classes if they can be held in their community. Many of these needs are easily met. The same is true for in-service training programs. Our business is to help in the region because it's our region too.

\*May is director of Continuing Education and Regional Programs at the University of Minnesota — Morris. This article is a condensation of his presentation at the Fergus Falls meeting. February 28, 1973.



State Senator Roger Moe in discussion

#### COMMISSIONS TO NAME PUBLIC INTEREST MEMBERS

One provision of the Regional Development Act which raised a number of questions at the meetings relates to commission membership. The formula in the Act which determines commission membership establishes an initial commission membership of 23 elected local officials in Region 1 and 32 officials in Region 4. However, in addition, the Regional Development Act also specifies that commissions shall consist of "citizens representing public interests within the region including members of minority groups to be selected after adoption of the by-laws of the commission." These "citizens representing public interests" should not be confused with "special interests."

In the Headwaters Regional Development Commission (Region 2), four citizens, other than elected local officials, serve on the commission. They are selected to represent concerns of minorities, labor, commerce and industry, and agriculture and forestry. Seventeen citizen members erve on the Arrowhead Regional Development Commission (Region 3) representing the interests of health, human welfare, crime, mining, commerce and industry, communications, minorities, tourism and recreation, environmental quality, agriculture and forestry, transportation, community action, and labor, Jerry

Jubie, who represents commerce and industry on the commission, currently is serving as chairman of the Arrowhead Commission.

These citizen members are full members of the regional commissions. The elected local officials, however, who constitute the initial membership of the commissions must determine which public interests will be represented. The public officials select citizen members after adoption of the by-laws.

As mentioned earlier in this issue, the suggestion was made that the regional commissions may want to consider naming board chairmen of functional planning agencies as citizen members. The 19 functional agencies, which have been identified in Region 4, relate to seven types of public interests; in Region 1, the 14 agencies cover eight public interests. The citizen members also can serve as chairmen of advisory committees or task forces.

In addition to citizen membership on regional commissions, the Regional Development Act provides that a commission "may appoint advisory committees of interested and affected citizens to assist in the review of plans, programs, and other matters referred for review by the commission." In this manner a commission can strengthen the policy-making of its members and the professional planning of its staff with the input of interested citizens from throughout a region.



John Morse and James Solem, State Planning Agency; and Stanley Sahlstrom, UMC provost

#### SOME QUESTIONS AND ANSWERS REGARDING THE ORGANIZATION OF A REGIONAL DEVELOPMENT COMMISSION\*

- My county (or village) did not ask the Governor to create a regional development commission. Are we part of the regional development commission? Do we have representation on the regional development commission?
  - The answer to both questions is yes. The Regional Development Act provides that the regional development commission shall be created for the entire region. This means that even though some counties and municipalities did not ask for the creation of a regional development commission, they are still part of the regional development commission and they have representation on the regional development commission in accordance with the Regional Development Act.
- Is the regional development commission required to hire staff?
   No, however, it is difficult to imagine a regional development commission functioning without staff.

- Who determines the chairmen of the commission?
   The chairman of the commission is selected by the members of the commission.
- How long do these members of the commission serve?
   The length of terms is provided for in the by-laws of the commission;
- Do the members of the commission receive any salary?
   No, however, the members of the commission are to be reimbursed for reasonable expenses in amount and manner to be determined by the commission.
  - \*Reprinted from "Organizing a Regional Development Commission: Some Questions & Answers," prepared by the Office of Local and Urban Affairs, Minnesota State Planning Agency, in February, 1973.

#### NEW PUBLICATIONS AVAILABLE

Four recent publications have special significance for future development in western Minnesota. These reports are *must* reading for community leaders,

Two of the reports, Recent Trends-Future Prospects: A Look at Upper Midwest Population Changes (\$2) and Minnesota's Future: Where Will People Live? (\$1), have been prepared by the Upper Midwest Council. The reports are available by writing: Upper Midwest Council, Federal Reserve Bank Building, Minneapolis 55480 (612-373-3724).

Recent Trends-Future Prospects provides an overview of changing population characteristics in the Upper Mickwest (Minnesota, North Dakota, South Dakota, Montana, north-western Wisconsia and Upper Michigan) based on the 1970 Census. The study examines migration, age, realsi, income, educational and employment characteristics of the population, It also classifies urban areas according to types of service centers and gives 1970-1985 population projections for all communities over 2,000 in population.

Minnesota's Future is the report of a special committee of the Upper Midwest Council which was selected to study what effect governmental practices and/or policies have had on the pattern of population distribution and growth in Minnesota. The report recommends that specific policy guidelines be prepared for future population distribution and growth patterns in the state.

Public College Enrollments in Minnesota's Changing Population Pattern, 1970 - 1985 has been issued by the Center for Urban and Regional Affairs at the University of Minnesota. The report is available, without cost, from: University Relations, S-88 Morrill Hall, University of Minnesota, Minneapolis 55455 (612-373-2126). Public College Enrollments describes statewide trends in numbers of high school graduates, college-age population and enrollment in Minnesota's public post-secondary educational institutions. It notes the geographical variation of potential student populations and campus enrollments as well as the flow of students from each country to each campus in 1970. The report also projects enrollment for each campus for 1975, 1980, and 1985. The study concludes with a number of policy recommendations.

The final report, Financing Public Services in West Minnesota, is a study of the government's role in financing social services and economic growth in a 14-country area in western Minnesota (all of Region 4 plus the counties of Norman, Hubbard, Wadena, Todd and Big Stone). It details the governmental economy of the area and analyzes its primary functions in terms of the flow of public funds in the multi-country area. The study also estimates and examines the area wide impacts of federal and state government on the area.

Financing Public Services may be obtained, without cost, by writing: Professor Wilbur Maki, Department of Agricultural and Applied Economics, 326-C Haecker Hall, University of Minnesota, St. Paul 55101 (612-373-0947).

The CSC Exchange is a periodical publication of the Community Service Clearinghouse at Moorhead State College. The director of the Community Service Clearinghouse and editor of the CSC Exchange is Dr. Byron L. Schmid. Communications should be addressed to: Community Service Clearinghouse, Moorhead State College, Moorhead, Minnesota 5656 (218-236-2944).

COMMUNITY SERVICE CLEARINGHOUSE Moorhead State College Moorhead, Minnesota 56560

Non-profit Organization PERMIT NO. 23 Moorhead, Minn. 56560

MARY ANN MC COY, PRESIDENT LEAGUE OF WOMEN VOTERS OF MINN. 555 WABASHA ST PAUL MN 55101

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The Community Service Clearinghouse is updating its mailing list of public officials and community leaders in Minnesota Regions 1 and 4. If you wish to remain on the mailing list, please return this card with your name and address. Thank you!

Name:	-
Address:	
Post Office: _	

# REGION 4 FUNCTIONAL PLANNING AND SERVICE AGENCIES

#### ANCILLARY MANPOWER PLANNING BOARD

Purpose: To coordinate the planning of federal and state manpower programs in the region

Counties Served: Region 4--all counties

Contact: Ancillary Manpower Planning Board, 819 Lincoln Ave., Detroit Lakes 56501 (218-847-9205); Emil Marotzke, Chairman

#### CENTRAL MINNESOTA HEALTH PLANNING COUNCIL

Purpose: To provide for the comprehensive planning and development of health resources and facilities in the region

Counties Served: Region 4-Pope; others-all counties in Region 5 and Benton, Chisago, Isanti, Kanabec, Mille Lacs, Sherburne, Steams and Wright

Contact: Central Minnesota Health Planning Council, 405-1st Ave. So., St. Cloud 56301 (612-253-2930); David Sauer, Executive Director

#### CLAY-WILKIN OPPORTUNITY COUNCIL

Purpose: To devise and conduct programs aimed at the elimination of poverty Counties Served: Region 4–Clay and Wilkin

Contact: Clay-Wilkin Opportunity Council, Box 127, 521 Main Avenue, Moorhead, 56560 (218-233-7514); Dennis Heitkamp, Executive Director

#### CONCERTED SERVICES IN TRAINING AND EDUCATION

Purpose: To make maximum use of federal manpower training and education through coordination of programs and agencies for full development of community resources.

Counties Served: Region 4-Otter Tail; others-Hubbard, Todd and Wadena

Contact: Concerted Services in Training and Education, 306 Jefferson Street South, Wadena 56482 (218-631-4334); Sherman Mandt, Coordinator; Jared Smalley. Assistant Coordinator

# FARGO-MOORHEAD-DILWORTH-WEST FARGO METROPOLITAN COUNCIL OF GOVERNMENTS AND PLANNING COMMISSIONS

Purpose: To foster cooperation among units of government in the F/M metropolitan area in the development of comprehensive metropolitan plans which provide solutions to metropolitan problems

Counties Served: Region 4-Clay; North Dakota-Cass

Contact: Fargo-Moorhead-Dilworth-West Fargo Metropolitan Council of Governments and Planning Commissions, 510 - 4th Ave. No., Fargo 58102 (701-237-5385): Francis Chichester, Coordinates

#### LAKE REGION REHABILITATION INDUSTRIES

Purpose: To provide training for area residents handicapped by mental illness, physical impairment or alcoholism

Counties Served: Primarily northwestern Minnesota

Contact: Lake Region Rehabilitation Industries, 201 North Whitford, Fergus Falls 56537 (218-736-5668); James Wolfe, Director

#### LAKELAND MENTAL HEALTH CENTER

Purpose: To provide comprehensive services to the mentally ill, mentally retarded and alcoholic in the region

Counties Served: Region 4--all counties

Contact: Lakeland Mental Health Center, 126 Alcott Avenue East, Fergus Falls 56537 (218-736-6987); Roy L. Anderson, Director

#### LITTLE CROW COMMUNITY ACTION COUNCIL

Purpose: To devise and conduct programs aimed at the elimination of poverty Counties Served: Region 4--Pope; others--Kandiyohi and Swift

Contact: Little Crow Community Action Council, Courthouse, Room 212, Willmar 56201 (612-235-0850); Merle Hodgson, Executive Director

#### MAHUBE COMMUNITY COUNCIL

Purpose: To devise and conduct programs aimed at the elimination of poverty Counties Served: Region 4-Becker; others-Mahnomen and Hubbard Contact: Mahube Community Council, 518 Summit, Box 747, Detroit Lakes 56501 (218-847-9253); Delmoure Hultgren, Executive Director

#### MIN-DAK AREAWIDE COMPREHENSIVE HEALTH PLANNING COUNCIL

Purpose: To provide for the comprehensive planning and development of health resources and facilities in the region

Counties Served: Region 4-Becker, Clay, Douglas, Grant, Otter Tail, Stevens, Traverse and Wilkin; other Minnesota counties-Big Stone; North Dakota counties-Cass, Ransom, Richland, Sargent, Steele and Trail!

Contact: Min-Dak Areawide Comprehensive Health Planning Council, P.O. 915 811-16th St. So., Moorhead 56560 (218-236-2746); Steven Collins, Executive Director.

#### NORTHWEST DEVELOPMENT CORPORATION

Purpose: To develop full-time and supplemental employment opportunities in northwestern Minnesota through consulting and economic development services

Counties Served: Region 4--all counties; others--Regions 1, 2, and 5

Contact: Northwest Development Corporation, 114 South Main, Crookston 56716 (218-281-5832); James Shortridge, Director

#### OTTER TAIL-WADENA COMMUNITY ACTION COUNCIL

Purpose: To devise and conduct programs aimed at the elimination of poverty

Counties Served: Region 4--Otter Tail; others--Wadena

Contact: Otter Tail-Wadena Community Action Council, Box L, New York Mills 56567 (218-385-2900); Roy Isaacson, Executive Director

#### REGION C ADVISORY COUNCIL ON CRIME PREVENTION AND CONTROL

Purpose: To assist criminal justice-related agencies in the area in upgrading their programs and law enforcement capacity

Counties Served: Region 4-Becker, Clay, Douglas, Grant, Otter Tail, Stevens, Traverse and Wilkin; others-Big Stone and Norman

Contact: Region C Advisory Council on Crime Prevention and Control, 115-3rd Ave. W., Alexandria 56308 (612-763-6487); Tony Skrbek, Executive Director.

#### RURAL MINNESOTA CONCENTRATED EMPLOYMENT PROGRAM

Purpose: To provide comprehensive manpower services for the accomplishment of permanent, full-time employment for unemployed and underemployed area residents

Counties Served: Region 4-Becker and Otter Tail; others-Beltrami, Cass, Clearwater, Crow Wing, Hubbard, Mahnomen, Morrison, Todd and Wadena

Contact: Rural Minnesota CEP, 819 Lincoln Avenue, Detroit Lakes 56501 (218-847-9205); branch offices in Bemidji and Brainerd; Emil Marotzke, Executive Director

#### SOURIS-RED-RAINY RIVER BASINS COMMISSION

Purpose: To study and plan for a joint, federal-state basis for the optimum development of water and related land resources of the Souris, Red and Rainy River basins in Minnesota, North Dakota and South Dakota

Counties Served: Region 4-Clay, Wilkin and Traverse and parts of Becker, Otter Tail, Grant and Stevens; others-northern Minnesota, most of North Dakota and parts of South Dakota

Contact: Souris-Red-Rainy River Basins Commission, Holiday Mall Professional Center, Moorhead 56560 (218-233-1919); H. A. Hendrickson, Chairman

#### USDA RURAL DEVELOPMENT COMMITTEE

Purpose: To make available to community leaders the combined resources of the agencies of the U.S. Department of Agriculture for rural resource development.

Counties Served: Region 4-all counties

Contact: USDA Rural Development Committee, Trunk Highway 27 and 17th St., Wheaton 56296 (218-563-8616); Lloyd Zimbtick, Chairman

#### VIKING-LAND, USA

Purpose: To promote tourism, industrial development, and medical recruitment in northwestern Minnesota

Counties Served: Region 4—Becker, Clay, Douglas, Grant, Otter Tail, Pope, Stevens and Wilkin; otters-Clearwater, Kittson, Mahnomen, Marshall, Norman, Pennington, Polk, Red Lake and Widena

Contact: Viking-Land, USA, Box 545. Battle Lake 56515 (218-864-8181); John Krier, President

#### WESMIN RC&D (Resource Conservation and Development) PROJECT

Purpose: To expand economic opportunities by developing and implementing a plan of action aimed primarily at the orderly conservation, improvement, and utilization of the area's natural resources:

Counties Served: Region 4--all counties; others--all counties in Regions 5, 6E and 6W

Contact: WesMin RC&D Project, 317 Nokomis, Alexandria 56308 (612-763-4733): Darol Melby, Coordinator

#### WEST CENTRAL MINNESOTA COMMUNITIES ACTION

Purpose: To devise and conduct programs aimed at the elimination of poverty Counties Served: Region 4—Douglas, Grant, Stevens and Traverse; others—

Contact: West Central Minnesota Communities Action, P. O. 397, Elbow Lake 56531 (218-685-4486); William Cox, Executive Director



(Prepared March 1973 by the Community Service Clearinghouse, Moorhead State College, Moorhead, Mn. 56560 (218-236-2944); Dr. Byran L. Schmid, Director)

- 14. What is a work plan?

  Answer: A work plan is a statement prepared by the Commission which indicates the work which the Commission will undertake. Typically, work programs are prepared in detail for the next year and in somewhat more sketchy form for the 3 to 5 year period. The work program would indicate where the efforts of the Commission would be sepent, what research would be carried out and what staff would be needed.
- 15. Isn't the Regional Development Commission just another level of government? Answer: No. The Regional Development Commission is actually an association of units of local government working together to do things cooperatively on a regional basis.
- 16. Doesn't the power to tax make the Regional Development Commission another level of government?

  Answer: The Regional Development Commission does not have the power to tax. The Regional Development Commission certifies a budget to the county and the county levies the tax which cannot be more than one-half mill. (As a result of a change in assessment practices, this is now 1/6 mill.) This the same procedure that is followed by other the same procedure that is followed by other the same procedure that is followed by the state; for example, Soil and Watter Conservation Districts, Watershed Districts, Regional Mental Health Programs.
- 17. How much will it cost for a Regional Development Commission?

  Answer: This question really has no answer. The amount of money necessary to adequately fund a Regional Development Commission will depend upon those activities which the Commission feels it is necessary to carry out. The actual cost will depend upon decisions made by the Commission. Decisions such as: what activities do we want to become involved in, how large a staff do we need to carry out those activites, how long will it take to do those things that are necessary.
- 18. Why is if necessary to have Regional Development Commissions? Answer: Regional Development Commissions are necessary if we want to strengthen units of local government and have more participation by units of local government in regional participation of the participation of an order to qualify cities, villages, townships and countless for federal grants.
- 19. Why must we organize a Regional Development Commission? Answer: There is no requirement that any region within the state must organize a regional

- development commission. If the local elected officials within a region feel that it would be advantageous to have a Regional Development Commission, then they can ask the Governor to create one. There is no requirement that every region have a Regional Development Commission.
- 20. What powers does the Regional Development Commission take away from local government! Answer: None. The Regional Development Commission actually gives local units of government and local elected officials greater powers. The Regional Development Commission does not take any powers away officials to participate in reviewing a variety of activities that they might not otherwise know about or be able to influence.
- Doesn't the Regional Development Commission have the power to Zone land?
   Answer: No. The Regional Development Commission does not have the power to Zone land. Only units of local government – townships, villages, cities and counties – have the power to Zone land.
- 22. Can't the Regional Development Commission prevent a village from getting a federal grant?

  Answer: The Regional Development Commission is responsible for reviewing and commenting on applications for federal grants. It cannot veto an applications for federal grants. It cannot veto an application for a federal for making the grant has the final decision. Conceivably a negative comment by the Regional Development Commission could influence the federal department's decision. In this situation, however, it is possible that punds, the grant would be a misuse of federal unds.
- 23. Can't the Regional Development Commission force townships to consolidate? Answer: No. Townships can only consolidate in accordance with the state law. The Regional Development Commission has no power to force townships or any other units of government to consolidate or change their boundaries.
- 24. Won't the Regional Development Commission eventually replace units of local government?

  Answer: If is extremely unlikely. Local government has a strong tradition in Minneosia governments are on the Regional Development Commission. In view of this it is unlikely that units of local government in Minneosia would ever be climinated. Additionally only the Legislature can make decisions about the government.

The preparation of this booklet was financed in part through a planning great from the Department of Housing and Urban Act, Section 701, 68 Stat. 640, (1994) the National Housing Act, Section 701, 68 Stat. 640, (1994) administered by the Office of Local and Urban Affairs, Minnesota State Planning Agency.

SOME TIONS AND ANSWER

QUESTIONS AND ANSWERS
ABOUT THE

MINNESOTA REGIONAL DEVELOPMENT ACT



MINNESOTA STATE PLANNING AGENCY • CAPITOL SQUARE BUILDING ST. FAUL MINNESOTA SSIGI. • PHONE INCO 290-2001

- 2931

AUGUST 1973

#### SOME COMMON QUESTIONS REGARDING THE REGIONAL DEVELOPMENT ACT

Following are some commonly asked questions regarding the Regional Development Act and Regional Development Commissions. These questions have been answered as briefly as possible. All answers are based upon the Regional Development Act as amended by the 1973 Legislature.

Why was the Regional Development Act

Answer: There were many reasons the Legislature felt a law such as the Regional Development Act was necessary. Following are some of the more important ones:

(a) To enable those parts of the state that desired regional planning and development to have a state law within

which to work. (b) To guarantee local elected officials the

opportunity to participate in regional decisions. (c) To create a state law that would enable

multi-county organizations to qualify for federal grants.

- What is a Regional Development Commission? Answer: A Regional Development Commission is an organization consisting primarily of local elected officials who are responsible for planning and encouraging cooperation on a regional basis. It is authorized by state law to accept grants from certain federal programs and to carry out certain multi-county endeavors.
- How is a Regional Development Commission Answer Counties and municipalities pass resolutions asking the Governor to create a Regional Development Commission. When the

Governor has received resolutions from counties and municipalities which contain a majority of the population in the Region, the Governor, by law, takes the action to create the Regional Development Commission.

Who serves on a Regional Development Commission and how are they selected? Answer: The membership of the Regional Development Commission is specified in the law as follows:

(1) one member from each county board of every county in the development region; (2) one additional county board member

from each county of over 100,000 population:

(3) one member of a town board of supervisors from each county containing organized towns:

(4) one additional member selected by the county board of any county containing no townships:

(5) one mayor or councilman from a municipality of under 10,000 population from each county selected by the mayors of all such municipalities in the county: (6) one mayor or councilman from each

municipality of over 10,000 in each county;

(7) two school board members elected by a majority of the chairmen of school boards in the development region;

(8) one member from each council of

governments:

(9) citizens representing public interests within the region including members of minority groups to be selected after adoption of the bylaws of the commission; and

(10) the chairman who shall be selected by

The members are selected by their own groups. For example, the mayors select the mayor or councilman from each county who represents selects their own member; and so forth,

How is the first chairman selected? Answer: The first chairman is selected by the members of the commission. He need not be a member of the commission. He serves for one year. Succeeding chairmen are elected from the which the first chairman is selected is determined by the members of the

6. What powers does the chairman have? Answer: The chairman presides at all meetings of the commission and the board of directors. He appoints all employees of the Commission subject to the approval of the Commission itself. He is responsible for carrying out all

Who decides how large the staff will be and what the budget of the Commission will be? Answer: The Commission is responsible for preparing the budget. The budget, of course, determines how many staff positions will be available. Therefore, the Commission is also

8. What powers does the Regional Development Act give to the Governor? Answer: The Governor, or State Planning Officer as he is referred to in the Regional Development Act, is responsible for creating the Commission after he has received resolutions from units of local government

representing a majority of the population within the region. In addition, the Governor calls together the membership classifications for the purpose of having them select their membership to the Regional Development Commission

Who prepares the commission by laws? Answer: The commission prepares the bylaws. This will take place before any staff is hired. The State Planning Agency does not have a model set of bylaws.

10. What powers does the Board of Directors have? Who is on the Board of Directors?

Answer: The Regional Development Act merely says that the Commission shall provide for a Board of Directors in the Commission of Directors is determined by the Commission in its bylaws. The duties and powers of the Board of Directors are determined by the Commission in its bylaws. The manner of selecting the Board of Directors is also determined by the Commission in its bylaws.

11. What powers does a Regional Development The Regional Development review applications and plans; and to do research. The Regional Development Commission does not have any power to adopt laws or to enforce its recommendations.

12. How is a Regional Development Commission

Answer: The 1973 Legislature appropriated \$800,000 for the 1973-75 biennium. This appropriation is for the purpose of making grants to Regional Development Commissions. Each Regional Development Commission must submit a work program acceptable to the State Planning Officer to be eligible for the state grant, Regional Development Commissions are given the authority to prepare a budget and to certify the budget to the auditors of counties within the region. The auditors are required to levy, not to exceed 1/2 mill (1/6 mill under current assessment practices) for purposes of running the Regional Development Commission. The Regional Development Commissions also are authorized to receive federal grants for multi-county planning and development purposes.

13. Who approves the budget for the Regional Development Commission?

Answer: The commission itself adopts the budget after it has notified local elected officials within the region and held a public hearing with regard to the budget.

June 21, 1974

Arthur Naftalin School of Public Affairs 909 Social Science Building University of Minnesota Minneapolis, Minnesota 55455

Dear Art:

Some general comments on the "Symposium on Metro Growth Strategies":

- 1. A major need in implementing orderly growth processes in the Twin Cities is to make all segments of the population feel the need and to get agreement on how the costs, human and financial, can be fairly shared. Metro Council with its excellent job of advisory committees and other outreach techniques is already talking with the kind of people that normally go to seminars at the university. The problem is to get the talk to reach the leapfrogging builder, the metro-fringe farmer, the poor central city resident about to be bypassed, those who will be the majority voters when the Metro Council becomes elective, etc. I think that by stressing the conflict areas that can be anticipated and need to be faced, the seminar may do a better job of involving these missing ingredients.
- 2. I would second Fran Naftalin's suggestion about tying in with Metro College for possible credit. There is increasing interest from our members in getting college credit for the work they do for the League of Women Voters. Being able to offer the possibility of credit would be an advantage.

Specific topic suggestions:

- 1. Where will the poor go? Who is going to house them?
- 2. My property rights and the right to a profit. Do  $\underline{\text{they}}$  have the right to take it away?
- 3. Tax policy and growth.

Solutions to planned development talk about tax incentives and disincentives, yet tax experts say this is bad tax law. Green spaces tax laws are strongly questioned. How do you hold agricultural land? In metro growth planning who is representing the national-international priority for agricultural production?

- 4. Where do the highways go?--is it a decision too important for the experts?
- 5. How many city halls must we have? When can we no longer afford so much governing? Are they all needed? and yet the multiplicity

Arthur Naftalin June 21, 1974 page 2

of citizen-neighborhood groups indicate an obvious felt need for more government that is truly responsive. If the Metro Council becomes elective, can the voter become informed? -- will special interest money dominate? (The Citizen League's work on campaign financing is looking at this.)

6. Public school educational decisions, can we afford our schools? Should something be done about the school district patterns, some with declining enrollments, some with rapidly expanding needs? Hope you may find these comments useful.

Sincerely

Elizabeth Ebbott Vice President League of Women Voters of Minnesota

EE:jm

cc: Liz Ebbott, Mary Ann McCoy, Ann Thomas

#### LEAGUE OF WOMEN VOTERS OF MINNESOTA

August 26, 1974

Ms. Elena C. Van Meter, Staff Specialist Research and Projects The League of Women Voters Education Fund 1730 M Street, NW Washington, D.C. 20036

Dear Ms. Van Meter:

In response to your letter of August 6th, I shall be pleased to accept Nan Waterman's invitation to attend a training conference to discuss the Metropolitan Government and 21st Century Projects, November 12 and 13, at Illinois Beach State Park.

At Mrs. Waterman's suggestion, I forward to you the names of presidents of six of our local Leagues in Minnesota for your consideration in selecting four local Leagues for invitations to attend the conference:

Anoka - Claudia Jagelski, Rt. #1, Elk River, MN 55330 Crystal-New Hope - Gini Mortenson, 9301 - 47th Ave. N., New Hope, MN 55428

Moorhead\* - Mary Davies, 1001 S. 10th St., Moorhead, MN 56560 New Brighton - Judy Hove, 1600 - 23rd Ave. NW, St. Paul, MN 55112 St. Louis Park - Mary Richards, 5740 W. Lake, St. Louis Park, MN 55416 St. Cloud\* - Dee Halberg, 514 - 6th Ave. S., St. Cloud, MN 56301

Starred Leagues are in counties beyond the contiguous area of the 7-County Twin Cities Metropolitan Area in which the other four Leagues are located.

I shall await further word about preparations for the conference.

Very sincerely,

Mary Ann Mcoy President League of Women Voters of Minnesota



MAM/m Copies: C. Cushing, Field Service Janski, Organization Chairman, KWVUS

# The League of Women Voters Education Fund

1730 M Street, NW Washington, DC 20036 (202) 659-2685

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Peggy Lampi

August 6, 1974

Mrs. Mary Anne McCoy League of Women Voters of Minnesota 2312 Lake Place Minneapolis, Minnesota 55405

Dear Mrs. McCoy:

The League of Women Voters Education Fund has received permission from the Carnegie Corporation of New York to use the small balance remaining to extend the outreach of the Metropolitan Government and 21st Century Projects through a training conference to present and discuss the work done in these two projects. I am writing at the request of Nam Waterman, who is on vacation, to invite you, or someone you designate to represent the Minnesota State League, to attend this conference, to be held November 12 and 13, at Illinois Beach State Park.

Nan would also appreciate it if you could recommend six local Leagues that you think might be interested and would benefit from the conference, from which we would select and invite representatives of four local Leagues.

At the conference, one session would be devoted to an explanation and discussion of the Cincinnati and Indianapolis Metropolitam Projects, in which procedures were set up which are enabling neighborhood groups, in cooperation with the city budget staff, to identify their neighborhood priorities and to have those priorities considered during the budget-making process. We plan to focus on techniques —— how to initiate such a budget project, how neighborhood groups develop priority lists and introduce them into the budget-making process, how to monitor the budget-making process —— plus a thorough discussion of some of the "do's and don't's" learned by the people who have been involved in the projects in the two cities. (The Cincinnati and Indianapolis projects are described more fully in Projects: The Extra Dimension, pp. 6-8, enclosed).

Other sessions of the training meeting would be devoted to the 21st Century Project, with the experience of the San Diego League serving as a model. This spring the San Diego League, under the auspices of the Education Fund, sponsored a meeting at which innovative techniques and materials that had been developed in consultation with staff of Pacific House and Western Behavioral Sciences Institute were used to identify alternative futures for San Diego. Invited to the meeting were community leaders, members of the League and other organizations and government officials of San Diego, plus representatives from several California local Leagues.

The San Diego meeting materials and the process set up for their use were developed originally by Dr. Peter L. Shoup of Western Behavioral Sciences Institute, and Weyerhauser Corporation staff for use in corporate long-range planning. The Weyerhauser Foundation was so impressed that they have further developed the materials and are encouraging their use by private and governmental institutions. At the present time, under the leadership of Governor Dan Evans, the state of Washington is using the process as part of their Washington 2000 program. The process utilizes a series of trend and event forecasting exercises plus discussion and feedback to demonstrate to participants what the likely results of their forecasts would be and what their own forecasting says about their organizational capability for strategic planning.

We are inviting to the training meeting state and local league leaders from seven states in the upper midwest where league leadership is strong, plus state leaders from four other states that are known for their receptive attitude toward innovative ideas. Although Nan asked me to assure you that attendance at the meeting carries no obligation, we are hoping that the presentations at the conference will inspire the invited league leaders to go back to their communities and initiate similar projects in influencing the budget, or looking at alternative futures.

I hope that you or a representative will be able to attend this conference. We will, of course, pay travel, lodging, meals and other expenses connected with the meeting.

Sincerely yours, Eleva C. Van Meter

Elena C. Van Meter, Staff Specialist Research and Projects

# Minnesota AGRICULTURAL ECONOMIST

# Minnesota's Regional Development Planning

By K. William Easter, Harald R. Jensen, and Robert Hoppe\*

REGIONAL DEVELOPMENT PLANNING met with rural opposition when the Governor ordered pilot planning areas and economic regions to be delineated in 1967. And rather than speeding up the formation of regional commissions, the 1969 Regional Development Act increased the opposition. However, resistance declined when 1971 legislative changes extended more representation to townships. These changes also eliminated the governor's authority to unilaterally order formation of such commissions or to appoint the first chairpersons. Before a regional commission can now be formed, the governor must receive petitions from counties and municipalities representing more than 50 percent of the region's population. After a petition is received and a regional commission is authorized, this commission must develop and

\*Associate professor, professor, and research specialist, respectively, Department of Agricultural and Applied Economics. The authors thank Lois Mann, State Extension Agent for Community Planning and Development, for her statement on the West Central Minnesota Project; Gordon Rose, Program Director of Project VII, Agricultural Extension Service, for his description of the Agricultural Extension Service's role in regional planning; to John Borchert, Director, Center for Urban and Regional Affairs (CURA), for his statement on CURA; and to John Hoyt, Program Director, Computer Systems, Institute of Agriculture, for his statement on Minnesota Analysis and Planning System (MAPS).

adopt bylaws to guide its operation. Otherwise, it cannot receive full financial support from the State Planning Agency (SPA).

During its formation, each commission is assigned a staff person from the SPA. This person helps the commission organize. He also provides information and makes the commission aware of technical help available from the SPA. This assistance is particularly important before the appointment of the commission's executive director and staff.

The years since the Governor and the Legislature took action have been "a time to get organized for action." This issue of Minnesota Agricultural Economist describes this "organization for planning" period, suggests alternative ways in which the University of Minnesota can support regional development planning, and describes some of the university's supporting projects.

Organizing for regional development

Before 1973, only 4 of the 13 regions had established commissions which, in turn, had established bylaws. In 1973, 6 additional commissions had developed bylaws. Now the remaining three regions have framed their bylaws (see figure 1 next page). In addition, all but one of the commissions have hired or are hiring an executive director and staff.

Thus, most of the regions are just now able to function as a planning body. They have limited staffs but high expectations. With strong support from the SPA, the Governor's Office, and the State Legislature, the commissions have excellent opportunities to operate as

effective supporting arms of local governments.

The regional commissions provide a functional framework for: collecting and classifying planning data; coordinating planning activities; coordinating federal and state programs; unifying local resources to resolve problems that can be more effectively tackled at regional rather than at local levels; and providing a framework for intergovernmental cooperation, planning, and action.

The newly established regional commissions are now defining their goals and obstacles. These obstacles cover a wide spectrum. Only a few are mentioned here: inadequate transportation; inadequate housing and public services; and lack of land use regulations.

The four earlier established regional commissions are already regional clearing houses for federal programs. All the commissions are concerned about their roles in local governments. They have unique opportunities to fill service gaps and help provide more effective government. However, they must identify these gaps and define their roles in helping meet the needs of the people.

The regional commission's role in helping resolve community issues and problems

A definition of a regional commission's purpose is vital. It can begin with agreement of what is desired in that region by 1980 or 1985. The next task may be even more critical to a commission's success. It's the identification of key regional issues with which the commission believes it should become involved. Examples may be rural health services, intraregional trans-

portation, and land use and develonment. These issues can be altered as needs and commission priorities change, Generally, regional issues, i.e., those involving two or more counties, will be "high priorities." Local issues (county or smaller) may be of concern to the commission, particularly when these issues have adverse or disturbing effects on other parts of the region. In these instances, the commission may be able to handle the issues most effectively by encouraging action by local governments.

The next step is equally important. This is defining the commission's role in resolving a given issue. Clearly, the commission will have unique opportunities to address regional issues, but these opportunities will vary from issue to issue. For example, the commission may define rural health services as an important issue. This issue may have several parts or problems such as: lack of transportation between towns in the region; and a shortage of doctors. The commission may organize a pilot project using school buses for intertown transportation. It may also encourage centrally located medical offices to serve two or three towns. It could advertise in urban areas to recruit doctors

Problems may have to be specifically defined before the commission's role is clear. There may be a three-stage process: issues; problems; and role.

At times, it's best to provide local people and governments with only facts or a broader perspective.1 At other times, a role as coordinator of local governments may be appropriate. The commission may "clear" the way for intergovernmental cooperation by stressing common interests. It can also be an intermediary between local governments on one hand and

1Ideas on the roles of the regional commission came from a study of the lack of coordination among local governments in Ylvisaker, Paul N., Intergovernmental Relations at the Grass Roots: A Study of Blue Earth Country, Minnesota, to 1956, Intergovernmental Relations in the United States, Research Monograph Number 7 (University of Minnesota, 1956) p. 167.

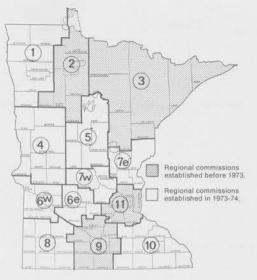


Figure 1. Minnesota development regions

state and federal governments on the other. As a representative of several local governments, the regional commission can deal with the state legislature and agencies better than could a single local government.3

Suppose the commission identifies poor roads as a specific problem of intraregional transportation. This could be partially solved by upgrading the region's highways. However, not all highways can be improved because the Highway Department has limited funds. Unfortunately, each local government will want the closest highway improved. The commission could play an educational role. Since the Commission consists of representatives from local governments, it could gather

\*The list of roles mentioned here is not necessarily complete. Other roles may also be useful.

information better than could any local government. It could collect data about present highway use, Highway Department decision criteria, and similar information. Presenting these data to local people and groups may facilitate a com-

As another example, the commission may want to attack the land development issue. A specific problem could be the lack of adequate governmental control over land use. Here, the commission could be the coordinator. Since undesirable land use is likely to shift from counties that enact rigorous zoning to counties with more lenient laws, fairly standardized zoning ordinances could stop such shifting within the region. The commission could aid local governments in coordinating zoning ordinances.

Finally, what if adequate recreational facilities are a problem. but funds are available from state or federal agencies? The commission could be an intermediary. It could discuss the problem with local governments and then apply for assistance on behalf of the whole region.

The commission will need to define issues and then problems before it can determine what role to play in community affairs. The regional commission can play a variety of problem-solving roles, This flexibility exists because the commission is an unique body made up of representatives of local governments from the entire region. Thus, it has an opportunity to educate, coordinate, and represent its region.

Supporting role of the University of Minnesota

The University of Minnesota has and can continue to play a valuable supporting role in Minnesota's regional planning and development. It can play this part because it is funded, staffed, and equipped to carry on research and education activities. Through research, problems within the state are identified, data important to the solution of problems are assembled and analyzed, and alternative possible solutions are evaluated. Through resident and extension teaching, the University instructs and brings Minnesota's people information from studies and research. Thus through research, teaching, and the distribution of information, the university can help regional commissions coordinate and plan.

Several of the university's programs and projects (all in different stages), are described here to show the university's role in regional planning and development. These efforts include projects in west central Minnesota, in Region 6 E; and programs of the Agricultural

Analysis and Planning System (MAPS): and the Center for Urban and Regional Affairs (CURA). Research for regional development and planning in 6E

Extension Service: the Minnesota

This project began in November 1973 and is described in three parts. The first phase is compiling descriptive materials on the region's economy and helping identify problems. Only secondary sources of data and existing studies are used. An important part of this phase is the interactions among university staff, the regional commission, and interested community people.

An example from the first phase is a review of state and county population projections for Region 6E.3 When population figures for the region's four counties were combined, one projection indicated a substantial decline, while another showed a marked increase. On the other hand, population projections were fairly consistent from county to county. Projections for McLeod suggested future population increases, while the projections for Kandiyohi and Meeker suggested stable populations. Only for Renville County did the projections suggest continued decline.

Population projections also indicated that Region 6E will become increasingly urban. By 1985, urban populations in Kandivohi and Mc-Leod Counties are expected to be larger than these counties' rural populations. In addition, population distribution by age groups is likely to change. The projections indicate fewer people under 19 years old but slightly more people 65 years and older. Such shifts may mean excess school capacity, particularly in the rural schools, and a need for more local facilities for older people. An increase in the 20-39 age group was also projected. This suggests a larger work force and the need for growth in regional employment opportunities.

An analysis of change in Region 6E employment between 1960 and 1970 highlights agriculture's declining share 4 In contrast manufacturing of durables and nondurables exhibited a substantially increased share of employment. Within the agricultural sector, there was a general shift out of dairy

3Robert Hoppe, Population Projections for Region 6E, mimeograph, Department of Agricultural and Applied Economics, University of Minnesota, 1974.

<sup>4</sup>K. William Easter and Harald R. Jensen, A Profile of Minnesota Development Region 6E, mimeograph, Department of Agricultural and Applied Economics, University of Minnesota, 1973.

into eash grain and livestock production. Continuation of the current price situation will encourage further shifts into corn and soybean production.

The second phase will be problem-related work. It will provide data and analyses of alternative solutions to problems such as rural transportation and land use planning. Some of this work may be short term to provide the quickest possible information. Again, a continuing interaction between university staff and the regional commission is important so that information will be relevant and used as soon as needed.

The final phase-several years in the future-will involve a farger economic model for the region. The results of the problem-related work will be an input to this model. Hopefully, the model will enable the regional commission and other community members to answer questions about possible impacts of projects and activities on the region's employment and in-

For example, what will be the impact of the new sugar beet plant on the region if the price of sugar stays at current levels? Alternatively, what will be the impact if sugar legislation is altered and the price of sugar beets changes by 25 percent? Since the sugar legislation expires Dec. 31, 1974, this question may be very important.

In summary, this project's research staff are a resource for the regional commission. The staff will help the regional commission gather data and information on the region's economy and identify and analyze problems. Hopefully, this research will help the region's people better understand what changes are feasible and what efforts and resources will be needed to improve their living levels,

Planning and development assistance in west central Minnesota

West central Minnesota counties have been involved in developmental issues and research for several years. Two programs, initiated in the mid-sixties, were rural development pilot programs for the nation. These programs were the West Minnesota Resource Conservation and Development Project (RC & D) and the Concerted Services in Training and Education Program

The west central region-more recently identified as Region 4ranges from the Red River Valley farmland on the west to the resort area of the central Minnesota lake region. Problems of outmigration. lack of services, and underemployment have become major concerns to the once thriving communities. Changing transportation patterns have shortened travel time to larger cities but have bypassed many villages and hamlets.

With the additional resources of federal programs and personnel, people in Todd, Wadena, and Otter Tail Counties began to organize community groups, to identify problems, to set priorities, and to seek answers and alternative solutions. In spring of 1969, about 75 local businessmen and farmers met in Wadena with University representatives to discuss local problems and seek university assistance to resolve these problems.3

The Center for Urban and Regional Affairs (CURA) and the Institute of Agriculture responded. Dr. Wilbur Maki from the Department of Agricultural and Applied Economics developed research projects in the 14-county area. This area included what was originally Region 4 plus the Concerted Services Counties (Todd and Wadena) now in Region 5. The first project was a detailed study of the region's industries. This project was followed by a study on financing local government (reported in University of Minnesota Agricultural Extension Service Bulletin 509-1973) and a study of health services for the elderly in Wadena, Todd, and east Otter Tail Counties,

During this time, CURA placed a research coordinator at Fergus Falls to be a field contact for university faculty. The research coordinator worked with representa-

5West Central Minnesota has also been one of the first and most active rural comprehensive health planning regions. It became one of the leading national examples for rural comprehensive health planning. With the help of the State Planning Agency, it has documented the health-related needs of the tives of the region's colleges and assisted in a Title I Higher Education Act Consortium concerned with community services. As part of the Title 1 project, regional development meetings were held throughout the region, a regional newsletter was published, and a citizens' regional advisory group was organized. As a result of this pilot project, a regional college consortium still exists. It works with the regional commission and includes University representation 8

As the University of Minnesota-Morris developed, faculty involvement in regional planning increased. Recently, a Center for Community Services and Regional Affairs was located on campus and funded through Continuing Education and Extension. This office is shared with an Area Community Resource Development agent. The combination brings a strong complement of university extension resources to western Minnesota.

Agricultural Extension Service's role in regional planning

The basis for current and future relationships between the University of Minnesota Agricultural Extension Service and the regional development commissions rests upon extension's long tradition of working with rural people and with community organizations and local governments. This tradition includes assisting in the analysis of individual and community needs and conducting educational-informational programs aimed at meeting those needs. Establishment of regional commissions provided an additional means to coordinate extension programs with those of public and private agencies. Most recently, a guidelines statement has been prepared in conjunction with the SPA. It describes the Agricultural Extension Service's relationships with the regional commissions.

"The University has also been netive in providing studies for the Souris Red-Rainy River Basin Commission. In partnership with the North Dakota State University, the staff of the Department of Agricultural and Applied Economics at Minnesota have completed a series of economic research studies for that commission.

At the state level, the administration of the Agricultural Extension Service maintains a continuing liaison with state and federal agencies which work with and through regional commissions. The focus at this level is to keep agencies informed of extension's programs and activities.

District extension directors are encouraged to meet with the executive boards, chairmen, and executive directors at least once a year. In addition, district extension directors are the administrative contact between regional commissions and the Agricultural Extension Service. Programmatic fiaison between the Agricultural Extension Service and regional commissions is provided by the area Community Resource Development (CRD) agents. These agents are responsible to the district extension directors. Area CRD agents help coordinate county extension programs and programs of the regional commissions. They also inform the commission about programs and resources which may complement commission activities. Emphasis is placed on maintaining close working relationships between area CRD agents and executive

directors of regional commissions. County extension staff must understand the purpose and organization of regional commissions and must communicate with their county's representatives on their region's commission. Where appropriate, county extension programs should be coordinated with those of regional commissions. County extension staff may serve as resource persons and ex officio members of commission committees when this is appropriate.

State extension specialists may work with area CRD agents and county extension staff to meet educational needs and requests of regional commission staffs, committees, and local people. They may also relate to regional commissions by providing technical information and by suggesting specific research needs to colleagues in the Uni-

Center for Urban and Regional Affairs

The Center for Urban and Regional Affairs (CURA) currently

supports three projects directly connected with the regional commissions. It has completed several other projects.

In selecting and evaluating these projects, CURA assumes that, in its early years, a regional commission's major role is to coordinate, monitor, and evaluate the multitude of federal, state, and local government services affecting its territory. Coordination needs extend to the activities of neighboring local governments within the region, state programs which overlap the region, and relationships with adjoining regions. Regulatory powers, enforcement authority, and related detailed operational planning will continue to be local and state functions. The main power of the commissions depends on their comprehensive knowledge of local governments' and agencies' plans and actions and the consequences of those actions. Hence, the commissions' initial functions will concentrate on information and analysis as well as standardization of the regional data base which, for the most part, already exists in scattered and unrelated sources. As they evolve, commissions may eventually assume operating responsibilities for some regional programs, especially ones which may emerge in the future.

In 1972, CURA organized and carried out a study of over 300 state and federal programs which affect Region 2.7 For each program, the study shows the service center from which the program operates, the area served, and the other programs to which it is functionally related. An analysis indicates the gaps and overlaps in areas served both geographically and functionally. The project was sponsored by the SPA and carried out by faculty and students from the university and Bemidii State Col-

\*Public Programs and the Role of Public Programs and the Role of the Regional Commission. Minnesota the Regional Commission, Minnesota Development Region Nine, Prepared Development Region Two. Prepared for the Minnesota State Planning for the Minnesota State Planning Agency by the Center for Urban Agency by the Center for Urban and Regional Affairs. University of and Regional Affairs, University of Minnesota, Minneapolis, and the Minnesota, Minneapolis, December Urban Studies Institute, Mankato State College, March 1973.

A second study, refining and enlarging the techniques and procedure of the first, was completed for Region 9 in early 1973." This one served the same purposes and was carried out by students and faculty from the University of Minnesota and Mankato State Col-

As a result of these two projects, the SPA and CURA have subsequently expanded the inventory and analysis to cover all Minnesota development regions. Emphasis is placed on those newly organized. The statewide study-to be published this spring -will be accompanied by a manual designed to help use the study to identify regional problems and priorities.

A continuing CURA programthe Minnesota Land Management Information System (MLMIS)-is currently emphasizing development of a method to assign suitability and priority rankings for different broad classes of land development to any given 40-acre parcel or combination of parcels, Rankings are based on selected site and location characteristics. The project is in its pilot stage, and it is being tested in the Arrowhead Development Region 3. Work is being done by students and faculty the Agricultural Extension Service in cooperation with staff of the State Planning Agency and the Arrowhead Regional Commission. The system's second pilot applieation is scheduled for Region 9.

Also in Region 3, a pilot program has been initiated to standardize and computerize county building permit data. Although this is routine in one sense, the task is complex both conceptually and technically because of the need to organize a very fragmented data base on the one hand and to develop regional planning applications on the other. This work

involves faculty and students from both the Twin Cities and Duluth campuses and staff of the Arrowhead Regional Commission. In addition to the 1972 and

1973 studies on Public Programs and the Role of the Regional Commission for Regions 2 and 9, CURA has helped complete other projects, including: detailed updating of the lakeshore development study in both Region 3 and Region 9,9 a study of land requirements, land resources, and zoning needs around the periphery of the new Voyageurs National Park, 18 and various studies of transportation and housing in Region 11.11

The Minnesota Analysis and Planning System (MAPS)

An important input into any planning unit such as regional commissions is data and information, MAPS is a good source. Knowing "how many" often provides better decisionmaking for individuals, businesses, and state and local government; and that's what the Minnesota Analysis and Planning System (MAPS) of the Agricultural Extension Service is all about.

A county board or regional commission wants to apply for a federal grant. However, it needs to know facts about population change,

<sup>9</sup>Lakeshore Development in the Arrowhead Region, 1967-73. Arrowhead Regional Development Commission and University of Minnesota Center for Urban and Regional Affairs, forthcoming.

10 Land for Development Adjoining Northern Minnesota's National Recreational Corridor (MLMIS Report Number Two). Pamela G. Rusch. John R. Borchert, and George W. Orning, 1972.

11 New Homes, Vacancy Chains, and Housing Sub-Markets in the Twin City Area. John S. Adams. Office for Planned Residential Development & Housing Research, Center for sity of Minnesota, Minneapolis, Minnesota. August 1973.

"Catching Up:" Bus Operations and Potential in the Twin Cities Metropolitan Area. Russell B. Adams, Scott R. Dickson, and Aaron R. Isaacs. A report of the Program in Urban Transportation.

business income, number of unemployed, and average size and income of farms. MAPS can help them.

A computer-based data system was needed. This resulted in the formation of MAPS in the spring of 1967 to serve extension and its clientele. The initial objective was to investigate the feasibility of providing extension with a pilot, prototype, county level data file as the base for a statewide information system.

The first 2 years, a part-time staff of four extension faculty members-assisted by a systems consultant and contractual support from the Data Center's Division of Control Data Corporation-engaged in this research and development effort. Considerable encouragement and direct data base support was provided by the Information Systems and Services Division of the Economic Development Administration (EDA), U.S. Department of Commerce. EDA provided a large initial county level data base for the MAPS program and full support of its information system programs. Initial funding also provided for the purchase and installation of the University Control Data Corporation 6600 Computer. This facility has been important to the development of a generalized storage and retrieval file management system know as Owick Owery. Since February 1969, MAPS has functioned as an operational information system providing data services to a broad range of clientele. These clientele are within the Agricultural Extension Service and the university as well as in state, local, and federal governments, other educational institutions, and private industry.

In 1971, there were about 400 users of MAPS services. They were located in many Minnesota counties and in a dozen other states. As of 1974, requests for data services have been received from over 1,500 governmental, educational, and private enterprise clientele from each of Minnesota's 87 counties: from 24 other states; and from a broad spectrum of Minnesota state

In January 1971, MAPS became an operational Summary Tape Processing Center for the 1970 Census of Population and Housing. It has provided data services from the Census Tapes throughout the Upper Midwest, MAPS provided the data base for the court-ordered Minnesota legislative reapportionment and helped the court verify its redistricting plans. Working closely with the Metropolitan Council and with the State Planning Agency, MAPS has made detailed census data available on an extensive basis for Minnesota, its regions, its counties, and its cities, townships, and villages.

MAPS conferences for Census Data Users have been attended by over 540 people, including representatives of many states. MAPS User Seminars are designed to increase the accessibility to the MAPS data base to individuals from within the university and from other organizations. These are usually conducted six times each vear, Registration is limited to 20 individuals per seminar. In 1973, with seven seminars, 140 persons representing 61 different organi-

You can get more information about the MAPS program and the data services you need by writing to: MAPS, 415 Coffey Hall, University of Minnesota, St. Paul; Minnesota 55101.

Issued in furtherance of cooperative extension work in agriculture and home econo-

mics, acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of

Agriculture, Roland H. Abraham, Director of Agricultural Extension Service, Uni-

Prepared by the Agricultural Extension Service and the Department of Agricultural

and Applied Economics. Views expressed herein are those of the authors, but not

necessarily those of the sponsoring institutions. Address comments or suggestions to

Associate Professor John J. Waelti, Department of Agricultural and Applied Econo-

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## Minnesota ACRICULTURAL **ECONOMIST**

Agricultural Extension Service University of Minnesota

NO. 556

JUNE 1974

Agricultural Extension Service Institute of Agriculture University of Minnesota St. Paul, Minnesota 55101

Roland H. Abraham, Director

313-1604

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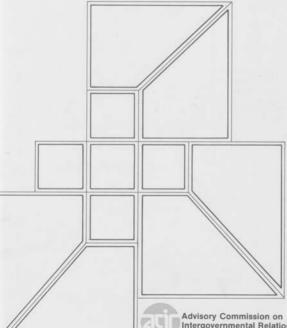
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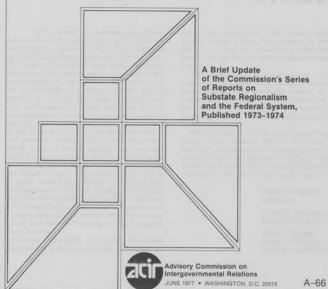
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# Regionalism Revisited: Recent Areawide and Local Responses



Advisory Commission on Intergovernmental Relations JUNE 1977 • WASHINGTON, D.C. 20575

## Regionalism Revisited: Recent Areawide and Local Responses



### **Preface**

CIR's interest in substate regionalism dates back to 1961 and its report entitled, Governmental Structure, Organization, and Planning in Metropolitan Areas. This concern continued over the years with studies of municipal annexation, alternative approaches and voter reactions to governmental reorganization in metropolitan areas, metropolitan water supply and sewage disposal, Federal statistics for metropolitan areas, local and areawide performance of urban functions, Federal impacts on local organization and planning, special districts, social and economic disparities between central cities and suburbs, interlocal agreements and contracts, metropolitan councils of governments, balanced growth policies, and commuter taxes. Then, in 1973 and 1974, the Commission issued a six-volume study of substate regionalism which built on these earlier reports, and went on to probe more recent Federal, state, and local developments in this area. Finally, the Commission extended its substate regionalism recommendations specifically to the field of transportation in a report adopted in December 1974 and entitled, Toward More Balanced Transportation: New Intersovernmental Proposals.

Substate regionalism is a rapidly developing phenomenon in the United States. As was pointed

out in the Commission's 1973 volume entitled, Regional Decision Making: New Strategies for Substate Districts, this type of regionalism is solidly established. Yet, its characteristics continue to change rapidly.

This brief update of the trends in substate regionalism is offered as a means of helping to keep ACIR's readers reasonably current on this subject. Significant changes have occurred in the past three to four years which carry meaning for implementation of the Commission's policy recommendations.

The information in this report was compiled largely from existing sources by Bruce D. McDowell, senior analyst. Given the scope of this updating effort, no original research was undertaken. The Commission doubtlessly will return to this subject with new research in the future.

Robert E. Merriam Chairman Wayne F. Anderson

Wayne F. Anderson Executive Director

David B. Walker Assistant Director Structure and Functions

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## Chairman's Introduction

n total, our American governments spent nearly \$576 billion in 1976, 34% of the gross national product. This is up from \$97 billion and 26% in 1954. Clearly, government is a growth industry. After excluding foreign aid, defense, and social security payments to individuals, about \$350 billion was spent by the nation's governments in domestic programs and activities. This' amount was divided almost equally between the Federal government and the states and localities.

About 75% of the American people today live in metropolitan areas, those agglomerations of population created by transportation or job opportunities, or other factors. Most of these metropolitan areas are governed today by a host of balkanized local governments, archaic remnants of a past when a simpler economy and society made it tolerable to isolate government services into small independent—and sometimes conflicting—fief-doms.

Over the years scholars have proposed alternative solutions for the nation's burgeoning areawide (or regional) needs: city-county consolidation; metropolitan government, whether one-tier
or two-tier; annexation; even statehood. But in the
170 years since the city of New Orleans and
Orleans Parish marked the first major consolidation, there have been but 25 city-county consolidations. There are only a handful of metropolitan
entities, from Dade County in the Maimi area to

the Twin Cities Metropolitan Council covering Minneapolis and St. Paul, and few effective nonmetropolitan regional entities.

Other than these scattered examples, there has been a total resistance to the concept of even limited governmental authority to deal with urbanized problems of both metropolitan and nonmetropolitan areas.

Recognizing these dilemmas, in 1973 ACIR forged a new approach to this complex problem: The Commission said, "accept the facts of life about annexation and metropolitan government and consolidation, and find a mechanism which will achieve important results without intolerable political breakage." This proposed policy included needed actions by the Congress, the President, governors, state legislators, and local officials, but it represented—in the Commission's view—a doable, workable set of actions. The metropolitan area and substate regional program developed includes the following steps:

- activate the state-created substate districts—then only on paper in many states—through state legislation and gubernatorial action;
- confer legal status on these districts as an agency of local government;
- 3) require by state law that all local govern-

ments within the district belong to it;

- specify that at least 60% of the district membership be elected officials of general purpose local governments:
- provide an optimal one-person, one-vote procedure;
- designate the district as the A-95 review agency—with the power to "resolve" local differences;
- provide state funding, at least in part, of the district;
- 8) require that state capital improvements and local programs affecting the region (i.e., waste disposal) be reviewed:
- give the district a policy role over all multijurisdictional special districts; and
- authorize the district to assume an operating role (when the majority agree) in areawide activities such as solid waste disposal, transportation, sewage treatment, water supply, and so on.

At the Federal level, ACIR recommendations for substate districts have been spelled out in legislation introduced by Senator Magnuson and Congressman Ashley.

In addition to recommending implementation of its substate regional strategy (umbrella multijurisdictional organizations), by Federal, state, and local action. ACIR urged the states to provide a fuller range of local and areawide governmental reorganization options, and to develop and apply a more systematic set of policies with respect to the drawing of local government boundaries and the assigning of local and areawide functions. In making this evaluation and pursuing these needs, the Commission proposed that each state create its own ACIR (roughly equivalent to the national one). In addition, the Commission suggested that each state should have a local government boundary commission to help simplify and rationalize the "just grew" patterns of municipal, county, and special district jurisdictions which currently exist and continue to proliferate.

ACIR also urged the local governments to do all in their power to build their own capacities for planning, managing, and delivering their services more efficiently, effectively, and equitably. This would make them better able to discharge their own local responsibilities and to realize the benefits obtainable through areawide cooperation—including the ability to meet areawide needs which

simply cannot be realized by individual localities acting alone. The Commission noted that local governments should seek to understand, to participate in, and to guide the activities of their regional councils and other areavide units.

Finally, ACIR strongly urged regional councils and other areawide units to use every means at their command to become more open, capable, and sensitive in the way they carry out their activities. Only by being open, accessible, and politically accountable, will these areawide units gain the understanding and political acceptability essential to their effectiveness. By showing extraordinary sensitivity to the intergovernmental nature of areawide activities, and to the existing lealousies engendered by separateness among local governments, state agencies, and Federal programs, pitfalls could be avoided and cooperation enhanced. And finally, the Commission noted that technical capability is essential, that regional councils are badly in need of creating a more substantial record of actual accomplishments, and that improved effectiveness and efficiency of services within their regions need to become demonstrated benefits resulting from regional council activities. This can be done, ACIR suggested, only with highly competent staff and practical approaches to problem solving through the regional program.

It is high time to get on with these tasks. The nation cannot afford to equivocate any longer. Resources are being wasted by boundary, jurisdictional, and program frictions which need not exist, and areawide needs simply are going unmet for the lack of effective regional units authorized to meet them. If local governments fail to solve these areawide problems, state and/or Federal authorities surely will step in to meet essential needs.

To further discussion and debate about these ACIR proposals (which some have considered weak while others have characterized as socialistic), I asked the staff to prepare this up-date, relating "new" developments in our metropolitan areas and other substate regions. As the report indicates, not enough has happened. Accordingly, I urge officials at all levels of government to take this issue even more seriously and to move now toward the goals set forth in ACIR reports and suggested legislation.

Robert E. Merriam Chairman Chapter 1

# **Background**

Regional governmental arrangements arise when (1) governmental functions or problems do not coincide with existing governmental boundaries, and (2) public policies and/or programs are planned and/or operated at the regional level. These two conditions have been met frequently in the United States, and the result is that regional organizations abound. Some are found in multistate regions, encompassing major river basins or economic development areas larger than any single state, but smaller than the whole nation. Others are in substate regions, covering interrelated communities encompassing two or more local government jurisdictions in one or more states, but smaller than a whole state. Metropolitan areas (typically averaging about 90 local governments) are examples of substate regions, but multicounty nonmetropolitan regions also are common within states. This report deals only with the substate regions.

Regional planning for metropolitan areas has roots which go back at least to the 1920s in the United States, and multijurisdictional special districts and authorities for providing services which transcend the boundaries of individual local governments have an even longer history. Local initiatives as well as state legislation and new Federal aid programs increasingly have provided interjurisdictional, even areawide, adaptations of governmental planning, decision making, and service delivery programs. The pace of these changes increased as the rapid urban growth of the last several decades spilled haphazardly across local

Nevertheless, recent changes in substate regionalism still embody significant cross currents. While substantial strengthening of substate regional activities has occurred in some respects, skepticism, uncertainty, and even-opposition to these new ways of dealing with regional problems often are exhibited also. This report briefly documents the changes which are taking place.

#### ACIR's Three-Part Approach to Substate Regionalism

The continuing evolution of substate regions recounted here is measured against ACIR's policy recommendations adopted in its 1973-74 series of substate regionalism reports1 and its 1974 report on transportation.2 These recommendations suggest a three-part approach. The first part calls for strengthened regional councils in multijurisdictional areas where no other areawide unit of general purpose scope exists;3 the second recommends state authorization of local government reorganizations to create areawide local governments (or, at least, simplified and more effective patterns of local government within regions) through such techniques as annexation, incorporation, consolidation, or transfers of functions:4 and the third calls for state policies and programs which would more carefully and equitably assign local and areawide responsibilities among the units created under the first two parts of this strategy.3

The strengthened regional councils would be present in most regions, since those areas are multicounty already and highly unlikely to be transformed by the establishment of an areavide regional government achieved through county mergers. These regional councils would be federated bodies, responsible only for areavide planning and such areawide services as the existing cities and counties might ask it to perform. Their planning function, however, would be backed up

by substantial "review and conform" powers over activities of regional significance. Their strength would come from new state legislation and newly unified Federal policies governing those programs which support substate regional organizations and activities.

The local government reorganization and modernization part of ACIR's approach is particularly applicable to those substate districts or regions encompassed by a single county. In such cases -of which there are now about 100 in the nation's metropolitan areas - city-county consolidations, or transfers of areawide functions from cities to the county, can provide an areawide government where the state legislature or the voters of that area determine this to be the best approach. Such reorganizations, as well as the modernization of existing subregional local governments to make them more capable, may be the best means of performing local functions satisfactorily at the local level and reducing the number of activities and responsibilities which need to be dealt with interjurisdictionally by the strengthened regional councils recommended by ACIR Areawide local governments and effective local governments below the regional level both need home rule powers and organizational forms which provide for unified executive or administrative leadership and clear accountability to the electorate. Where an areawide local government is established through city-county consolidation or transfers of functions, it would replace the otherwise required regional council.

The importance of an assignment-of-functions policy and program, as part of ACIR's approach to substate regionalism, centers in part around the need to define regionalism itself. A growing body of literature emphasizes the advantages of performing certain functions very locally - using even smaller and more directly responsive and accountable units than many of the larger of today's existing local governments. This is a significant counter-trend to the one creating the areawide units focused upon in this report, but these two trends are compatible. The case is made simultaneously for areawide (regional), local (city and county), and sublocal (neighborhood council) units to work side by side, sharing some functions and having relatively exclusive responsibilities for others. Where an activity does not have substantial impacts beyond the borders of an individual neighborhood or locality, and where a unit at that

level has the capability to perform satisfactorily (or to contract for adequate performance by others), the activity should remain there - even in the most intertwined metropolitan areas. The mere existence of a region with recognized areawide concerns, then, does not suggest necessarily that a single unified government for the whole area is the best arrangement. Regional, local, and neighborhood responsibilities need to be sorted out. ACIR recommends that the states use criteria of economic efficiency, fiscal equity, political accountability, and administrative effectiveness to accomplish this sorting out, and that the states establish boundary commissions and state ACIR's to involve appropriate state and local officials in the process.

#### New Challenges to the Regions

As recently as 1973 and 1974 when the Commission was completing its reports on substate regionalism and transportation, it was still believed that population was shifting disproportionately to the urban and metropolitan areas of the nation. Yet, it still was apparent that regionalism was needed in nonmetropolitan areas just as in metropolitan areas. The needs of these two types of areas clearly were somewhat different. The emphasis in metropolitan areas was on dealing with rapid growth and coordinating the diverse and sometimes conflicting activities of multiple governments, many of which were highly capable and better staffed than the areawide unit itself. Regional issues in nonmetropolitan America, on the other hand, tend more often to be related to population decline, economic stagnation, and the lack of local governmental capabilities to confront these issues effectively by themselves. In contrast to the situation in many metropolitan areas, the regional staffs in nonmetropolitan areas frequently possess greater professional, planning, and managerial expertise than the smaller individual local governments - and often these regional capabilities are the only ones available to the public in such areas. Most of EDA's economic development programs and Appalachia's local development work is carried out through nonmetropolitan regional districts, and Federal aid project reviews and comments (through OMB Circular A-95) depend upon them also.

Now, in the last two years, a new element has

been added. It has been revealed that since 1970 nonmetropolitan areas have been growing at a faster rate, on the average, than the metropolitan ones.7 So, many of these areas now are confronted increasingly with growth prospects with which they may be even less capable of dealing than were the metropolitan regions in the past. Some of this new growth is merely the exurban spillover from metropolitan areas, where commuter patterns have begun to extend beyond the bounds of metropolitan areas as currently defined. But much of it appears to center around even more explosive factors such as large scale recreation and retirement communities and major new investments in the energy field, such as large new power plants in pristine territories and the opening of new mines for the high priority extraction of needed energy resources. The "Energy Boom Town" is a phenomenon now being documented in the literature with varying degrees of horror and panic as the environmental and human problems connected with them are revealed.8 All this tends to strengthen the case for substate regionalism in nonmetropolitan areas.

Meanwhile, the social and economic disparities between central cities and suburbs in the nation's metropolitan areas, which the Commission first began measuring in 1965, continue to be of grave concern. In a new report just completed,9 the Commission analyzes these disparities with the aid of newly available data from 1972, 1973, and 1975. The figures document that many central cities have passed their peak population and are now characterized by residential decline. In the East and Midwest, where cities generally are unable to expand their boundaries, the central cities are becoming smaller and smaller portions of their total metropolitan areas, and their residential densities are reducing as the amount of residential land is reduced by shifts to other uses and by abandonment. While many major central cities in the past enjoyed a clear per capita income advantage over their surrounding jurisdictions, this was reversed quite generally by 1973; only in the South and West, where central city boundaries have expanded greatly during recent decades, were such advantages still significant. With respect to economic activities, the 1963 to 1972 trend shows that central cities which are unable to expand their boundaries have become less the locus of manufacturing activity in urban America and more the locus of other economic activities.

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They also are experiencing greater unemployment. This, of course, affected the Northeast and Great Lakes cities more than their counterparts elsewhere. Moreover, retail trade volume in the major metropolitan areas grew much slower in the central cities than in the suburbs - dropping below half in most areas outside the South. Finally, despite the new Federal program of general revenue sharing, per capita non-school taxes of central city governments rose at a faster rate during the first three years of this program (1972-75) than the counterpart taxes of their overlying county governments in all regions except the South. This was true even though per capita general revenue sharing funds went to central cities in substantially greater volume than to counties and other governments outside the cen-

While all the implications of these new figures are by no means clear, they do indicate that central city-suburban disparities continue to grow in important respects, despite variations between East, North, South and West. Such disparities present a major challenge to be grappled with by areawide bodies in metropolitan regions throughout the nation.

#### Growing Numbers of Metropolitan Areas and Local Jurisdictions

As the nation continues to grow, more urban places reach metropolitan size. <sup>10</sup> The 243 metropolitan areas recognized in 1970 increased to 267 by 1972 and encompassed 69 percent of the nation's population. By 1975, the number of metropolitan areas had grown to 276, encompassing about 75 percent of the nation's population. In addition, by 1975 metropolitan areas had grown together to such an extent that 13 urban population concentrations were designated as standard consolidated statistical areas, each containing over 1,000,000 people. Thus, population growth continues to bring changes in boundaries even at the "areavide" level.

New area delineations for statistical purposes frequently precede political recognition of the need for governmental boundary changes, and this can cause consternation in the regionalism movement. For example, official modifications of the standard metropolitan statistical area (SMSA) boundaries in Minneapolis-St. Paul and Washing-

ton, DC, recently added areas beyond the recognized boundaries of their regional organizations. As a consequence, legislation (HR. 14274) was introduced in the 94th Congress to assure that SMSA boundaries will not necessarily affect the administration of Federal aid programs. Nevertheless, regional boundaries continue to present a moving target. While the boundaries of designated substate districts and regional councils stabilized somewhat in the mid-1970s, they probably never can be considered completely unchangeable.

The study of substate regionalism has been hampered by inadequate jurisdictional data in the past. The five-year Census of Governments has left evaluators guessing about the number and characteristics of local governments in the intervening years, and completely ignored the "quasigovernmental" category into which most substate regional organizations have been assigned in the past. Now, however, the need for sending general revenue sharing checks to local governments has produced annual tabulations of counties, municipalities, townships, Indian tribes, and Alaskan native villages. In addition, the regular Census of Governments scheduled for 1977 will include the first official survey of the broad range of substate regional organizations created by state action and by Federal aid programs. Previous surveys of such organizations by others have covered only one type or another, or have been done unofficially with a return rate of 25 percent considered good. The most ambitious inventory previously undertaken was the one administered by the U.S. Department of Agriculture, Economic Research Service,11 but it was limited to five types of development districts, and was abandoned after a few years. Now, along with the addition of substate regional bodies to the Census of Governments, it can be hoped that the Mid-Decade Census of Population (authorized to begin in 1985) will add significantly to the regular data available for evaluation of substate regions.

#### Scope of this Update

From the foregoing, it can be seen that the settlement patterns which create the need for substate regional approaches continue to change, and the statistical measures of these changes gradually are improving. This report briefly summarizes readily available information about the

changing governmental response to areawide needs. While it was not possible to perform new research for this quick update, enough information was available from continuing ACIR research and other sources to clarify recent trends in (1) the continuing development of regional councils and other similar areawide bodies, and (2) the related processes of modernizing local governments and shifting functions to and from them. The following two chapters deal with these interrelated topics.

#### **FOOTNOTES**

- Advisory Commission on Intergovernmental Relations, Substate Regionalism and the Federal System, a six-volume series, Washington, DC: U.S. Government Printing Office, 1973-1974.
- <sup>2</sup>Advisory Commission on Intergovernmental Relations, Toward More Balanced Transportation: New Intergovernmental Proposals, Report A-49, Washington, DC: U.S. Government Printing Office. 1974.
- Advisory Commission on Intergovernmental Relations, Regional Decision Making: New Strategies for Substate Districts, Report A-43, Volume I, Substate Regionalism and the Federal System, Washington, DC: U.S. Government Printing Office, 1974.
- \*Advisory Commission on Intergovernmental Relations, The

- Challenge of Local Governmental Reorganization, Report A-44, Volume III, Substate Regionalism and the Federal System, Washington, DC: U.S. Government Printing Office, 1974.
- <sup>5</sup>Advisory Commission on Intergovernmental Relations, Geersmental Functions and Processes: Lecal and Areawide, Report A-45, Volume IV, Substate Regionalism and the Federal System, Washington, DC: U.S. Government Printing Office, 1974.
- "County mergers occasionally do take place, but they cannot be counted as a major source of reform. The latest activity of this sort was the merger (effective January 1, 1977) through popular referendum of Jackon County, South Dakota, (population 1,531) with the previously "unorganized" county of Washabaugh (population 1,389). The Jatest previous county merger (also in South Dakota) was in 1952. See National Crisic Review, January 1977, pp. 38–30.
- "Brian J. L. Berry, "The Counter Urbanization Process: Urban America Since 1970," in Bryan J. L. Berry, Editor, Urbanization and Counterarbanization, Vol. II, Urban Affairs Annual Reviews, Beverly Hills, CA: Sage Publications, 1976, pp. 17-21.
- \*See, for example, U.S. Department of Housing and Urban Development, Rapid Growth from Eurryy Projects, Washington, DC: U.S. Government Printing Office, 1976.
- \*Advisory Commission on Intergovernmental Relations, Treads in Metropolitum America, Washington, DC: U.S. Government Printing Office, February, 1977.
- 10A "Standard Metropolitan Statistical Area" is defined by the U.S. Office of Management and Budget as an urban area of over 50,000 population together with the county or counties within which it is located.
- <sup>11</sup>Edward J. Smith, Jack Ben-Rubin, and Robert C. Peak, Status of Multi-County Planning and Development Districts, processed, looseleaf, updated several times between August 1972 and June 1975 when the activity was terminated for budget reasons.

# **Regional Councils**

Regional councils and similar areawide bodies, below the state but above the level of any single unit of municipal or county government, continue to grow in number and take on increasingly important functions. Much of this measured progress has come through the improvement of some statewide systems of substate districting. Yet, the ever changing influence of Federal programs has continued to be very significant over the past four years. This chapter examines these two dynamic forces in substate regionalism, and ends with two illustrative cases which contrast state and Federal roles in strengthening regional councils.

#### Recent Substate Districting Developments

Since 1972, when ACIR found 40 states with officially delineated statewide systems of substate planning and development districts, the number of such systems has risen to 45. In the same time span, the number of districts rose from 488 to 530. Most significantly perhaps, the proportion of such districts having officially designated and functioning areawide organizations jumped from 56 percent to 95 percent. Furthermore, almost all of these operational bodies now are receiving either Federal or state financial assistance, or both, and most serve the A-95 Federal aid review and comment clearinghouse function.<sup>1</sup>

As significant as these numbers are, it is just as important to look at what is going on within some of the states, especially those where the most progress is being made. For example, Utah's substate districting system, which was established in 1970 and 1971, became a significant part of the state's growth management process by middecade.2 Each of the state's seven regions has an active multicounty association of governments (AOG), and the leaders of these organizations make up the Governor's Advisory Council on Local Affairs. The AOG's and the Office of State Planning Coordination are the state's A-95 clearinghouses. Despite a relatively well developed state planning process, much of the state's planning begins with local initiatives which feed up through the AOG's and the Governor's Advisory Council on Local Affairs. This process has established a very effective intergovernmental coordination process which was launched and carefully nurtured by former Governor Calvin Rampton.

Florida provides another innovative case study. Laws enacted in 1973, 1974, and 1975, plus substantial follow-up action by the governor and various units within his administration, have created one of the best integrated local-regionalstate planning and growth management processes in any state.3 Within this system, multi-county planning bodies have been established for each of the state's ten regional planning districts, and they have been given review authority over local land development decisions having regional impact. The legislation established deadlines for comprehensive plans to be prepared by the regional planning bodies as well as by all local governments. The state will prepare plans for those areas not meeting these deadlines, and may review and alter local land development decisions where regional impacts and state interests have not been properly accommodated.

In 1973, California established regional as well as state coastal zone planning and land use regulation commissions. This was done by voter initiative. These regional bodies, although having boundaries different than other areawide bodies, actually have exercised land use permit controls since 1973, and contributed substantially to the state's coastal zone plan which now has been adopted by the legislature. With its adoption, local governments are expected to manage developments within their borders in conformance with the plan.<sup>4</sup>

Finally, Colorado established, by executive order in 1974, a new state planning system based on 13 existing planning and management regions, as a means of decentralizing state government operations in a coordinated way. This illustrates how substate districting can be used for state administrative purposes as well as for meeting areawide needs at the local level.

To these examples of positive state action leading to actual or potential improvements in substate districting can be added stories of state legislative and local efforts which have not yet succeeded. For example:

- The merger of several existing areawide agencies in the San Francisco Bay area under a directly elected or partly directly elected governing body has been under serious consideration in the California legislature for several years.
- In Minnesota, direct election of the governing body for the Metropolitan Council of the Twin Cities was one of the options considered in 1967 when that body was originally established, and it still receives serious consideration in the legislature each year despite narrow defeats each time.
- In 1975, a bill was introduced in the Michigan legislature (HB 5527) which would have reconstituted the Council of Governments for the Detroit area, specifying that each local government in the area must be a member, and that the governing body would be composed half of elected officials from these local governments and half of directly elected metropolitan representatives. Its planning powers would be strengthened immediately, and a three-year study would follow to consider possible revisions in the way areawide service are delivered. The bill received hearings and will continue to be considered at future ressions.

The affairs of regional councils and substate districts clearly are not without problems. Most of them still are established voluntarily, and there are still instances where local governments refuse to join or withdraw their support after having been a member. In addition, only about eight of the 45 districted states have assigned to some or all of

their substate district organizations substantial authority for review of state aid programs. Still, the figures and examples cited above demonstrate that substate regionalism not only is here to stay but is growing rapidly toward near universal coverage of the nation. State actions by the legislature, by the governor, and by state agencies have spurred this growth.

#### Federal Influences

Specific Federal programs which encourage substate regional organizations and activities continue growing in number and changing their shape. At the same time, Federally established processes for coordinating these programs with each other — and with the planning processes at local, regional, and state levels — have become somewhat better established — at least in form, if not in substance. Nevertheless, these Federal programs and processes do not always pull in the same direction. And, there is still no effective Federal policy of consistency toward substate regionalism, even though Part IV of OMB Circular A-95 states this goal (see later discussion of this circular).

#### **Programs Supporting Substate Regional Activities**

As Table 1 shows, there are 32 Federal programs (as of 1976) which hold substantial significance for substate regions. This compares with 24 such programs in 1972. These programs encompass two general purpose ones — the Federal aid review and comment process (A-95), and intergovernmental personnel grants (IPA) — plus 30 others which serve a range of specific functional purposes including community and economic development, environmental protection, transportation, social services, and protective services.

In comparing this new list of Federal programs with the Commission's 1972 list,<sup>5</sup> five programs have been deleted from the 1972 roster, while 17 have been added. The deleted programs are:

HUD —new communities; phasing out.

USDA —water and sewer planning

grants for rural communities; no longer in the Catalog of Domestic Assistance.

USDA —water and waste disposal systems grants for rural communities; no significant areawide requirements.

USDA — rural development planning grants; never funded.

USDA —rural industrialization loans and grants; no significant areawide requirements.

The 17 new programs are:

FDA

GSA

HUD —Section 8 housing, requires an areawide housing assistance plan and offers bonus grants for areas committed to fair

share housing programs.

—Community development block grant (and, the subsequent court case in Hartford, Conn.), encourages an areawide housing assistance plan.

-The technical and planning assistance programs of the seven Title V economic development commissions. These funds can be used for the administrative support of substate districts. These economic development commissions include: Coastal Plains. Four Corners, New England, Ozarks, Upper Great Lakes, Old West, and Pacific Northwest. In addition, it is understood that California and Hawaii soon will apply for single state Title V commissions for their states.

—Surplus property program, permits state and local governments to acquire Federal property no longer needed before it is disposed of on the open market. Under recently revised rules, governmental units below the state level receive first priority, and regional councils are eligible.

# Table 1 FEDERAL PROGRAMS SUPPORTING SUBSTATE REGIONAL ACTIVITIES Existing as of December 1976

		Federal	Discre- tionary or Formula	Block or Cate- gorical	Types of	Areav	vide	State Role	Interstate Areawide
Catalog Number	Program Name	Agency			Areas*	Agency	Role		Agencies
Com	munity and Economi	ic Developmer	nt						
14.203	"701" Planning Assistance	HUD	Discre- tionary	Cate- gorical	Both	APO1	Recipient	Nonmetro Channeling	Required
14.156	Section 8 Housing	HUD	Discre- tionary	Cate- gorical	Both	APO1	Housing Plan/Hous- ing Bonus Allocation	None	Required
14.213 14.219	Community Development	HUD	Mostly formula	Block	Both	APO1	Housing Plan	Channels small urban discretion- ary funds	Required
11.302	Economic Development Planning Grants	Commerce/ EDA	Discre- tionary	Cate- gorical	Both	EDD2	Planning/ Project Concur- rence	Planning	Allowed
23.009	Appalachian Local Develop- ment District Grants	ARC	Discre- tionary	Cate- gorical	Both	LDD3	Planning/ Project Concur- rence	Planning/ Project Con- currence/ Channels Funds	Discouraged
	Title V Economic Development Commissions								

28.002	Coastal Plains Technical and Planning Assistance	Coastal Plains Regional Commission	Discre- tionary	Cate- gorical	Both	Varies	Planning/ Demon- stration/ Training	Planning/ Project Concur- rence	Allowed
38.002	Four Corners Technical and Planning Assistance	Four Corners Regional Commission	Discre- tionary	Cate- gorical	Both	Varies	Planning/ Demon- stration/ Training	Planning/ Project Concur- rence	Allowed
48.002	New England Technical and Planning Assistance	New England Regional Commission	Discre- tionary	Cate- gorical	Both	Varies	Planning/ Demon- stration/ Training	Planning/ Project Concur- rence	Allowed
52.002	Ozarks Tech- nical and Planning Assistance	Ozarks Regional Commission	Discre- tionary	Cate- gorical	Both	Varies	Planning/ Demon- stration/ Training	Planning/ Project Concur- rence	Allowed
63,002	Upper Great Lakes Technical and Planning Assistance	Upper Great Lakes Regional Commission	Transfer 4	Cate- gorical	Both	Varies	Planning/ Demon- stration/ Training	Planning/ Project Concur- rence	Allowed
75.002	Old West Technical and Planning Assistance	Old West Regional Commission	Discre- tionary	Cate- gorical	Both	Varies	Planning/ Demon- stration/ Training	Planning/ Project Concur- rence	Allowed
76,002	Pacific North- west Technical and Planning Assistance	Pacific Northwest Regional Commission	Discre- tionary	Cate- gorical	Both	Varies	Planning/ Demon- stration/ Training	Planning/ Project Concur- rence	Allowed
10.414 10.901	Resource Con- servation and Development Loans and Grants	USDA/ FHA/SCS	Discre- tionary	Cate- gorical	Non- metro- politan	RC&D Com- mittee	Planning/ Project Con currence	None	Discourage

# Table I (cont'd.) FEDERAL PROGRAMS SUPPORTING SUBSTATE REGIONAL ACTIVITIES Existing as of December 1976

Catalog		Federal	Discre- tionary	Block or Cate-	Types of	Areawide		State	Interstate Areawide
Number	Program Name	Agency	or Formula	gorical	Areas*	Agency	Role	Role	Agencies
THE .	Surplus Property	G5A	Discre- tionary	Cate- gorical	Both	Varies	Potential Recipient	Review/ Potential Recipient	Allowed
Envir	onmental Protectio	n							
66.001	Air Pollution Control Pro- gram Grants	EPA	Discre- tionary	Cate- gorical	Both	Varies	Varies	Determines Legal Re- sponsibili- ties for Con- trol Programs	Allowed
66,027	Solid Waste Planning Grants	EPA	Discre- tionary	Cate- gorical	Both	208*** Agency	Varies	Planning	Allowed
16.426	Areawide Waste Treatment	EPA	Discre- tionary	Cate- gorical	Both	208 Agency	Planning/ Project Concur-	Designates Areas and Areawide	Required
	Management Planning Grants						rence	Agencies/ Responsible for Rest of	
								State	
11.418	Coastal Zone Management Planning Grants	Com- merce/ NOAA	Discre- tionary	Cate- gorical	Both	Up to the	Governors	Recipient	Discouraged
Trans	portation								
20.103	Airport Systems	DOT/FAA	Discre-	Cate-	Metro-	MPO4	Planning	Project	Required
20.103	Planning	DOTTIAN	tionary	gorical	politan	WILCO.	Advice	Concurrence	Required

20.205	Highway Program	DOT/FHWA				(in urbar	n areas only)		
	Interstate		Discre- tionary	Categori- cal with Transfer- ability to Transit	Metro- politan	MPO4	Planning/ Project Concur- rence	Recipient of Federal Funds	Required
	Primary		Formula	Cate- gorical	Metro- politan	MPO4	" "		*
	Secondary		Formula	Cate- gorical	Metro- politan	MPO4	* *	* *	*
	Urban		Formula	Cate- gorical	Metro- politan	MPO+	* *	Channels Planning	"
				with Trans- ferability to Transit				Funds for Large Urban Areas	
20.500 20.505	Urban Mass Transportation	DOT/ UMTA							
20.507	Planning, Capital and Operating Grants	CMITA	Discre- tionary and Formula	Cate- gorical	Metro- politan	MPO4	Planning/ Project Initiation	Project Concur- rence	Required
=	Rural Transit Assistance	DOT/ UMTA	Discre- tionary	Cate- gorical	Rural	Varies	Varies	Varies	Allowed
Soci	al Services								
13.210	Comprehensive Public Health Services	HEW	Formula	Block	Both	HSA <sup>3</sup>	Planning/ Project Concur- rence	Planning/ Project Concur- rence	Encouraged
13.284	Emergency Medical Services	HEW	Discre- tionary	Cate- gorical	Both	Varies	Feasibility Studies and Operating Expenses; HSA Review	Recipient	Discouraged

# Table I (cont'd.) FEDERAL PROGRAMS SUPPORTING SUBSTATE REGIONAL ACTIVITIES Existing as of December 1976

Catalog		Federal	Discre- tionary	Block or Cate-	Types of	Area	wide	State	Interstate Areawide
Number	Program Name	Agency	or Formula	gorical	Areas*	Agency	Role	Role	Agencies
13.633	Special Programs for the Aging	HEW	State Discretion	Block	Both	AAA <sup>6</sup>	Varies	Basic Recipient by Formula/ Planning and Project Approval	Discouraged
13.754	Title XX Social Services	HEW	Formula	Block	Both	Varies	Varies	Planning/ Project Concurrence/ Recipient	Discouraged
17.232	CETA (Man- power)	Labor	Discre- tionary	Block	Both	Consor- tium of Govern- ments Encour- aged**	Planning and Action	Balance of State Program Power	Allowed
49.002	Community Action	Community Services Admin.	Discre- tionary	Block	Both	CAA**7	Planning/ Project Concur- rence	Designates CAA's	Allowed
Prote	ective Services								
10.662	Rural Com- munity Fire Protection	USDA/ Forest Service	Discre- tionary	Cate- gorical	Rural	Varies	Varies	Recipient/ Legal Project Negotiations	Discouraged

16.500 16.501	Law Enforce- ment Planning Grants	- Justice/ LEAA	Formula and Discre-	Block	Both	Substate L.E. Planning Regions	Planning Advice	Planning and Fund Allocation	Allowed
Ger	neral Purposes								
-	Project Notifi- cation and Review Process (A-95)	ОМВ	NA	NA	Both	Areawide Clearing- houses		State Clearing- houses	Required
27.012	Intergovern- mental Per-	CSC	Discre- tionary	Cate- gorical	Both	Varies	Varies .	Review	Allowed

<sup>\*</sup>Metropolitan, nonmetropolitan (or rural), or both.

<sup>\*\*</sup>These agencies may not be areawide, but they frequently

span two or more local jurisdictions.

<sup>\*\*\*</sup>As this report went to press, administrative regulations were being drafted for this program which threw into question the type of areawide agency.

Areawide Planning Organization Reconomic Development District Rocal Development District Rocal Development District Reterropital Planning Organization Health Systems Agency Areawide Agency for the Aging Community Action Agency

According to the National Association of Regional Councils, several regional councils - particularly those in the West and South - have benefited.

Commerce - Coastal zone management. encourages the state to develop their programs through regional planning bodies.

UMTA

HEW

HEW

CSC

-Rural transportation assistance, makes substate regional bodies eligible for an application preparation role and permits them to be potential recipients of project implementation funds.

-Special programs for the aging, encourages areawide planning through area agencies on the aging.

HEW -Social services, allows areawide social services planning. USDA/FS -Rural fire protection, allows rural communities having

populations under 10,000 to join together in cooperative projects. Substate regional bodies are eligible applicants for such joint projects.

-Emergency medical services stipulates that substate regional bodies are eligible for planning and operating

-Intergovernmental personnel program, includes substate regional bodies as possible eligible recipients for discretionary grants under which training and other activities may be funded.

In addition, five programs in the 1972 list which were consolidated into or superseded by new programs in the new list are encompassed within those programs. These are:

HUD - the water and sewer facilities and open space grant programs were consolidated into the community development block grant.

HEW - the regional medical and comprehensive health planning programs were merged with the comprehensive public health services program. EPA

-the water quality management planning grants were replaced by the areawide waste treatment management program.

Of the 32 programs on the new list, eight require an areawide approach even in interstate areas. These are:

HUD -701 planning assistance. HUD -Section 8 housing.

HUD -Community Development block grant.

DOT/FHWA-Highway programs in urban areas.

DOT/UMTA-Mass transportation programs in urban areas,

DOT/FAA - Airport systems planning in metropolitan areas.

EPA -Areawide waste treatment management planning, and

OMB -Project notification and review process (A-95).

One program has increased its insistence on an areawide approach since 1972:

FPA

-The solid wastes management program was revised by Congress in 1976 and expanded into a much larger program patterned upon the Section 208 water pollution program enacted four years earlier. Under this new format, state and areawide plans are to be prepared, and there is substantial legislative history to the effect that the Section 208 water planning bodies should be utilized for the areawide planning.

Three major legislative changes, since 1972, have substantially increased the decision-making roles of the designated regional planning bodies in their respective roles.

DOT - the urban highway and mass transportation programs both require that projects be included in the plan and program prepared by the designated metropolitan planning organization (MPO) before they can be eligible for Federal funds. - the areawide waste treatment management (water pollution) program also requires projects to be included in the regional plan and program before they become eligible for Federal assistance.

Two programs, on the other hand, have regressed in their insistence on an areawide approach since 1972:

Labor

- the comprehensive employment and training assistance program (CETA) now relies primarily on individual local governments, either singly or in consortia, (or the states in non-urban areas) rather than on the former comprehensive areawide manpower planning system (CAMPS). HEW

-the former comprehensive health planning program which was based largely on substate planning districts similar to those in use in many other Federal aid programs, has been replaced by health systems agencies which frequently service totally different areas - the whole state. special health services areas based on minimum and maximum population criteria, or the balance of the state after subtracting special areas. Interstate areas have been split.

as well as metropolitan areas within a single state.

All this suggests a continuation of federally encouraged substate regional efforts, encompassine a widening range of specific functional areas, but with erosion of the regional role in a few programs and some strengthening innovations in a few others.

#### Coordinative Processes

Turning to federally sponsored coordinative processes, the foremost among these at the regional level is the OMB Circular A-95 and its Federal aid review and comment process. This process initially grew out of the reviews required in individual programs in the early 1960s, and later a relatively broad physical development program review was instituted by the Demonstration Cities and Metropolitan Development Act of 1966. A governmentwide review policy was called for by Title IV of the Intergovernmental Cooperation Act of 1968, requiring state and local governments as well as specific civil rights, environmental, and other groups to be notified of proposed Federal aid projects and given an opportunity to review and comment on them before they are acted upon by the appropriate Federal agency. Designated regional planning bodies perform this notification role and pass local reviews on to the Federal agency along with the regional body's own comments. This process provides an opportunity to coordinate federally assisted regional programs with each other and to coordinate local applications for Federal aid with regional planning.

Since ACIR's 1972 survey of regional A-95 clearinghouses, a number of changes have occurred in this process. First, the number of such clearinghouses has increased from 452 to about 500. As a result, nearly the whole Nation now is blanketed by such bodies. In addition, the nuber of Federal aid programs covered by this coordinative process has doubled from about 100 programs to more than 200. The physical development undertakings which once predominated now have been substantially balanced by social service programs and, most recently. Federal licensing and permit programs have been added. Moreover, those Federal agencies which administer programs subject to this process now must develop their own regulations for implementing A-95. Federal agency compliance with the requirements of this OMB circular were once quite spotty, but compliance now is fairly widespread. This result was spurred initially by a court case in Texas a few years ago,6 and has been further reinforced by more recent cases in Oregon and Texas.7 These cases have upheld the right of an areawide clearinghouse to review projects before the Federal agency acts. To improve Federal agency compliance even more, OMB now requires the Federal regional councils to oversee departmental activities under the circular within their regions. And finally, communications in the A-95 process have been improved by requirements (1) that the clearinghouses append local comments to their own when communicating with the Federal agencies, (2) that Federal agencies notify the clearinghouses in writing of their reasons whenever they take action at variance with the clearinghouses' comments, and (3) that better reporting back to the state and local governments be provided for each project actually approved for Federal financial as-

To the more sanquine observers with a sense of history, these actions add up to a substantial record of improvement in the A-95 process over the past four years. The clearinghouses now are virtually all in place and familiar with the process, and the paperwork is flowing relatively routinely. What remains to be accomplished, very largely, is a fuller realization of the potential for applying well though-out and officially adopted regional policies through this process; too often the A-95 reviews and comments have been provided on an ad hoc project-by-project basis, with little relation to the comprehensive planning process.

The more skeptical observers of this clearinghouse function, along with their hardboiled program (and occasional central management) allies, view these developments differently. While conceding some ostensible improvements in the communications and program coverage areas, these critics argue that the end result is largely a "papermill process" with little real impact on the flow of funds or on interprogram coordination. They contend that the areawide reviews vary widely in quality, are performed by bodies which lack authority, and often reflect a tendency to approve all projects of member governments. They stress the weakness and pro forma role of the state clearinghouses and cite the failure of most states to convert the process into a tool of state planning and budgeting, viewing it merely as a necessary step to be taken to get Federal grant funds. Some in this group also emphasize that federally inspired efforts to achieve coordinated mmanagement improvements at the substate level through a process like A-95 are bound to produce non-substantive, shamlike results, unless basic local and regional structural problems are simultaneously attacked by both the states and Federal government. The critics, then, still need to be convinced, and the record to date has done little to diminish their skepticism.

The above analysis of Circular A-95, of course, deals only with Part I of the circular. Part IV also is of considerable importance to regional councils, since it requires maximum feasible use of the same geographic boundaries for areavide Federal aid programs in the same area, and coordination among any different regional agencies in the area which may have been established either for purposes of individual Federal aid programs or for other related purposes.

ACIR's 1972-73 examination of substate regionalism found that the boundaries of the then existing substate districts officially designated by the states for regional planning purposes were adhered to by only about one-third of the federally encouraged areawide units operating within these districts. It also revealed that the state-recognized planning organizations in these official substate districts were utilized by the Federal programs only about one-sixth of the time. In other words, Federal aid programs typically were creating overlapping and separate regional planning areas and organizations. The A-95 program was better than most in this respect, but still not outstanding. About 45 percent of the nonmetropolitan and metropolitan A-95 clearinghouses designated by the Federal government were the same organizations which the states recognized officially for regional planning purposes.

Though no comprehensive updating of these figures has been done, random evidence indicates continuing difficulties in successfully implementing Part IV of Circular A-95. A 1975 internal HUD survey of its 701 planning units, EPA's 208 areawide waste treatment management planning bodies, and DOT's metropolitan transportation planning organizations (MPO's) found that two-thirds of the then designated 208's and a little over three-fifths of the MPO's had received 701 planning funds in FY 1974. Put another way, in a third or more of the possible opportunities to utilize.

the same regional unit, the DOT and EPA sponsored areawide bodies were separate and distinct bodies from the 701 HUD aided units, which generally are multipurpose regional councils. On another federally aided regional program front, a 1975 ACIR survey of the regional planning units (RPUs) established by 43 states pursuant to the Safe Streets Act of 1968 found, overall, that 57 percent of these units were created specifically and exclusively for areawide criminal justice planning purposes. This suggests somewhat more separatism in 1976 than was found in a 1970 poll—where 30 of the 45 states then utilizing RUPs had added their functions to those of existing areawide multipurpose bodies.

A draft report by the General Accounting Office, which is expected to be released early in 1977, documents the need for substantial improvements in Part IV of the circular and its administration. Too many different boundary designations and separate organizations still are involved in planning for and administering areawide Federal aid programs in the same regions. Substate districting efforts have not ended the separatist tendencies of program specialists. Confusion and duplication continue, while program coordination suffers.

Another coordinative process important to substate regionalism is joint funding. The loint Funding Simplification Act of 1974 formalizes and legislatively underpins OMB's experimental Integrated Grant Administration program under which several interrelated grants are awarded with a single contract and administered by a single lead Federal agency. Regional planning organizations have been the prime beneficiaries of this effort. While these funding packages may be difficult to initiate, their administrative and program coordination advantages can be substantial once the contract is approved. New regulations for joint funding became effective in 1976 in response to the 1974 act, and OMB is considering further guidance to the Federal Regional Councils in promoting use of this technique and overcoming the reluctance of individual agencies to participate. Devices being considered include OMB distribution to the FRCs of draft interagency agreements which establish common elements among various programs and publication in the Federal Catalog of Domestic Assistance of a list of programs suitable for joint funding.

On another front, the Federal Regional Councils have become a participant in the substate regional

drama since publication of ACIR's substate regionalism reports. Their roles, both in A-95 implementation and in joint funding administration, are new. Moreover, the number of Federal agencies incorporated into the FRCs has expanded steadily. Yet, recent studies by the Government Accounting Office® and by ACIR 10 both document a considerable gap between the promise and performance of these units. Presently they are even looser confederations than most of the areawide councils of governments. While the Federal agencies belonging to them are specifically designated, actual levels of participation are determined voluntarily, and FRC decisions are not binding. In addition, FRCs have no independent staff; they are served by designated employees of the participating departments and agencies, normally serving part time. Thus, substantial improvement is needed in FRCs before effective Federal field coordination of areawide programs can be expected.

OMB Circular A-85 provides still another opportunity for strengthening consistent Federal approaches to areawide coordination. Under it, state and local governments, including regional councils when appropriate, may comment upon and attempt to influence new administrative regulations for Federal aid programs before they become final. This consultation process takes place before the draft regulations are published officially in the Federal Register for the general 30-day comment. Thus, A-85 provides additional time for reactions and an opportunity for face-to-face meetings if desired. Federal agency compliance with this process is improving, and the communication opportunities, (rather than the potentials for red tape and delay) are receiving greater attention. Nevertheless, efforts to circumvent this circular still arise much too frequently and, communication problems persist. In addition, the state and local governments generally have not availed themselves of the opportunities provided by this circular as fully as they might. It should be noted, however, that the National Association of Regional Councils (NARC) has participated better than most others in this process. When regionally oriented changes are proposed in regulations. NARC is notified and nearly always responds.

Finally, DOT, EPA, and HUD have joined together with NARC to pioneer in a new areawide coordinative process known as Regional Capital Improvement Programming (RCIP). Individual programs of these departments now require

specific programming of projects on a multivear and annual budgeting basis. These programs include urban transportation (highways and transit). waste treatment facilities, and housing assistance. The povelty of RCIP is that is brings these separate functional programs together into an integrated capital improvements program related to the comprehensive development plan for a region. The case for including housing in this process though it extends the process substantially beyond capital improvements by encompassing rent subsidies - has been strengthened recently by certain court cases, especially the Hartford case,11 in which fair sharing of housing responsibilities among central city and suburban communities is required on an "expected to reside" basis as a prerequisite for receipt of community development block grants. The RCIP process has been tried out and found workable by a handful of metropolitan and nonmetropolitan regional councils.12 and the Appalachian Regional Commission is trying the concept on a much broader scale which would tie together statewide and areawide action programs throughout its 13-state jurisdiction. Yet, whether the nation is at the threshold of installing such a process on a still broader scale clearly is a debatable question.

#### Continued Confusion vs. Unified Regional Policies

These various Federal activities affecting the coordination of areawide programs demonstrate a continuing Federal ambivalence toward substate regionalism. The goal of a coordinated set of regional activities is set forth in OMB Circular A-95 and in the legislation upon which it is based. But separate programs still go their separate ways, and A-95 lacks effective means of implementation. While officials of HUD, DOT, EPA, the Economic Development Administration, the Appalachian Regional Commission, and other Federal agencies have been developing interagency agreements to foster common program elements and common areawide agency designations, HEW's health planning, Labor's manpower planning, and Justice's Safe Streets planning programs have created larger numbers of separate regional organizations recently than they did in the past. Overall, it is not clear whether these conflicting trends have led to more or less use of a single "officially recognized"

regional planning organization by the Federal areawide programs in its area. Perhaps the 1977 Census of Governments or the recently launched OMB survey of the A-95 clearinghouses will answer that question.

On the fiscal front, Federal grant programs continue to provide the lion's share of support for these substate regional bodies - whether multi-or single-purpose. Very few regional councils have their own financial base. Most of the Federal funds upon which they rely are in the form of discretionary project grants exhibiting wide variations in amounts and availability from year-to-year. Most recently, HUD's Section 701 funds have been substantially reduced and redirected from general planning to specific land use and housing topics, while EPA has added a major new source of temporary planning funds. A recent study for the Congressional Budget Office has documented the uncertainties and difficulties - both administratively and financially - engendered by these types of grants when no special arrangements are made for advanced funding.13 Thus, in addition to the competition from other federally supported regional organizations and their voluntary-advisory underpinnings in state law, regional councils face the continuing challenge of funding instability.

Part of this difficulty, of course, relates to the failure of most states to provide adequate financial support for their substate districting organizations. Compared to the early seventies, things have improved somewhat on this front with three-fifths of the states now providing some financial assistance to their districting organizations. Yet, the overall figure came to only \$12.6 million in 1976, and five states accounted for one-third of this total. The upshot is that regional councils have great difficulty maintaining a stable and well balanced comprehensive planning program. Program priorities are distorted almost annually as the various Federal aid programs ebb and flow.

To ameliorate some of these districting problems, Senator Warren Magnuson and Representative Thomas Ludlow Ashley introduced in the 94th Congress the proposed Intergovernmental Coordination Act of 1970 (S. 3073 and H.R. 14990). This measure would achieve many of the goals found in Recommendations 1 and 5 of ACIR's 1973 report entitled Regional Decision Making: New Strategies for Substate Districts, by providing for the —

1) use of the state's substate districts for

administration and coordination of federally aided areawide planning programs;

 eligibility of a single areawide planning agency in each substate region for all federally aided areawide planning programs — through waiver of divergent Federal aid requirements concerning the composition of areawide planning bodies;

composition of areawide planning bodies;
3) melding of all federally aided areawide
planning programs in each region into a
single coordinated work program;

 consistency of Federal aid projects in each region with areawide development plannine:

 gubernatorial agreement on, or OMB designation of, the boundaries of interstate metropolitan areas;

6) joint funding eligibility for all areawide Federal aid projects;

 authorization to spend areawide and statewide planning funds from any Federal aid program for support of the A-95 review process;

8) review of federally required state plans as well as proposals for Federal land acquisition, disposition and use — by the governor, areawide planning agencies, and local governments:

 biennial reports by the President on the administration of this act — in conjunction with the President's National Growth Report; and

10) OMB rules and regulations appropriate for the effective administration of these rules

The Commission has supported this bill in letters to both sponsors, to the appropriate Congressional committee chairmen, and to OMB. The measure has been reintroduced in the 95th Congress. But 'early passage and the subsequent achievement of a uniform Federal policy on substate regionalism will not be easy.

#### Two Illustrative Cases

This chapter has shown the benefits of, as well as the deficiencies in, state actions and Federal policies and programs relating to substate regionalism. While these two forces sometimes work together in

shaping the nation's regions, greater effort by one or the other in a given area can make that higher level government the primary influence in that area. For example, the GAO draft report on Federal planning assistance to regional bodies, cited earlier. found that in Atlanta where strong state legislation had channeled most Federal aid programs to a single organization (the Atlanta Regional Council), significant program coordination was achieved. On the other hand, it found far less coordination in Sacramento, Portland, and Seattle where the state role was much less prominent. Such differences can be seen even more clearly by comparing the statedominated approach in the Twin Cities Metropolitan Council (Minneapolis-St. Paul) with the federally dominated scene in the Puget Sound Council of Governments (Seattle, WA) region.

#### Twin Cities Metropolitan Council

This substate regional organization was established in 1967 by special legislation. The members of its governing body are appointed by the governor from districts within the region. Its legislation has been amended almost annually so that this council now has policy and budget control over the areawide special districts in its area, performs the functions of an areawide housing authority, and may require conformance of municipal, county and school district plans with its areawide development guides whenever there is a question of metropolitan significance. Although the council's structure diverges from the typical council of governments format now required by most Federal aid programs, the council has worked hard and succeeded in attaining recognition for most Federal aid program purposes. Its governmental advisory committees resemble COG boards of directors, and the openness of its operations and provisions for citizen participation are probably the foremost in the nation.14

This innovative process of involving political leaders and the whole community throughout the planning process has opened much of the work done by professional planners to public scrutiny. The council's comprehensive development policies were prepared over a two-year period from 1973 to 1975. Up until August of 1973, when John Boland was appointed chairman of the council, the planning had progressed in a fairly standard way, with planners doing their research and analysis, with planners doing their research and analysis,

and recommending a plan after they had completed their work. But with the appointment of the new chairman by the governor, the process became one with much more outside involvement. The policy-making council members themselves divided up into committees and began to meet weekly with the staff. Every week the staff had to produce a document to be discussed which would focus sharply on policy issues. This substantially changed the nature of the planning that was done. It changed the planners' writing style from one heavily laden with jargon, to one more understandable by laymen. It reoriented attention from undue concern with methodology and technical matters towards deeper analysis of policy impacts - what does a suggested policy do politically, economically, and socially? It also riveted attention upon the practicality of implementing what was suggested. With citizens and press looking on, the planners and politicians debated their assumptions, findings, and policy options.

The powers of the Metropolitan Council, and the planning process it has adopted, go well beyond the requirements of Federal aid programs. This has been possible because the citizens of the area and their political leaders wanted an effective process, and the state legislature provided it. The severe water pollution crisis which created the Metropolitan Council in 1967 has been surmounted, and the Twin Cities area ranks near the top of the list among good places to live in the United States,15

#### **Puget Sound Council of Governments**

The story has been quite different in the Seattle, WA, area. In the fall of 1975, three of the four counties in the Puget Sound COG withdrew their memberships, and the fourth threatened to do so on January 1, 1976.16 They charged that the organization was staff dominated, more responsive to Federal requirements than local needs, not returning adequate benefits for dues paid, and providing inadequate representation for counties. By the end of the year, the Northwest Federal Regional Council told the local governments in the Puget Sound area that they would have to come together again in a single regional agency by June 30, 1976, or face the loss of certain Federal funds and the A-95 responsibility.17 By August 1976 the local governments had negotiated a reorganization

of the COG which gave cities and counties equal representation, reduced the size of the staff, reoriented more of the work program toward local concerns, and maintained required Federal aid planning.18 The three counties which had withdrawn were back in the fold by September. 19 What this case study suggests is that where a state has left COG membership on a voluntary basis and where dissatisfaction and self-interests build to the point of membership withdrawal, local dependence on Federal grants requiring a regional approach still can be significant enough to force localities into agreement on how they will cooperate regionally.

The overall regional council and districting record suggests that neither of these case studies is necessarily typical. The former, after all, represents the most creative example of state leadership on the regional front that the recent record can provide. And the latter demonstrates a show of Federal muscle that usually is hidden and untested. Both reveal a purposiveness which the overall record suggests is lacking more often than not at both of these higher levels of government. Ambivalence after all has been the prime general trait of the Federal and state policies regarding substate regionalism. In large part, this stems from the political inhibitions at these levels (as well as constitutional constraints from the Federal vantagepoint) regarding local government powers and prerogatives. Yet, increasingly over the past 15 years, some local governments themselves have confronted the regional challenge at the grass roots, and these efforts will be the focus of the next chapter.

#### **FOOTNOTES**

The updated figures referred to here are from a compilation by the Council of State Governments published in the following companion volume to the President's 1976 Report on National Growth and Development; Council of State Governments, State Growth Management, Washington, DC: U.S. Department of Housing and Urban Development, May 1976, pp. 39-43. Of the 530 delineated substate districts, in the new CSG count, 502 (95 percent) have operational organizations, and 492 (93 percent) have state and/or Federal funding.

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# Related Local Government Modernization And Functional Shifts

The pattern of local government in the United States continues to change: These changes concern numerical changes among the different types of local units, the structure and size of these units, and the functions they perform. Fragmentary data on these shifts are presented here. A more definitive update will have to await the 1977 Census of Governments.

These local shifts are important to substate regionalism for several reasons. Obviously, if local governments become areawide through consolidation, merger, or annexation, or if an existing areawide unit (such as a county or an areawide servicing district) is assigned responsibility for all significant areawide functions, then there will be little or no need for a regional council type of organization in the area. It is apparent also that the larger and more competent the local governments in an area are, the fewer will be the tasks assigned to the areawide regional council. Thus, substate regionalism should be viewed within the context of prevailing patterns of local government.

#### The Number of Local Governments

Reports from the Office of Revenue Sharing in the U.S. Department of Treasury show that the number of counties (as expected) remains almost steady, while the number of municipalities has grown each year by something less than 100 units.1 Unpublished data of the governments division, U.S. Bureau of Census, indicate that there were 99 new incorporations in 1973 throughout the nation, 65 in 1974, and 62 in 1975. In addition, there were three new city-county separations in the State of Virginia during 1975. These were Manassas, Manassas Park, and Poquoson, all of which became independent cities (not included in a county). This brings the total number of independent cities in the nation to about 40.

The number of city-county consolidations now stands at 25. In 1975, the City of Anchorage and the Greater Anchorage Borough in Alaska consolidated. In the same year, the Nevada Legislature passed a consolidation bill for Las Vegas and Clark County, but the latter was overturned by a Nevada state court in 1976. Thus, the net gain in 1975 was one. In the 1976 November elections, two proposed city-county consolidations in Montana went before the voters: Butte-Silver Bow County and Anaconda-Deer Lodge County. Both were approved.

Some minor mergers also continue to take place. In the St. Louis area, Mary Ridge Village and St. Ann City merged, with St. Ann being the surviving unit. In addition, Pellam Village and North Pellam Village (in the State of New York) consolidated on June 1, 1976.

While these mergers were being approved, others were being turned down. In 1974, all five consolidation plans which went to referendum were defeated (in the areas of Portland, OR: Sacramento, CA; Durhan, NC; Evansville, IN; and Charleston, SC). In 1975, the merger of Salt Lake City and Salt Lake County was turned down by the voters in a March referendum, while the Ashland and Frankfort areas in Kentucky turned down city-county consolidations in the November elections. The consolidation of Missoula and Missoula County, MT, and Tallahassee and Leon County, FL, failed at the polls in 1976.

Studies of consolidation or two tier governmental reorganizations have been underway in the last few years in the following areas, among others: Rochester, NY; Tampa-St. Petersburg, FL; Denver, CO; Portland, OR; South Lake Tahoe-El Dorado County, CA; and Seattle-King County, WA. Despite all the studies and the votes taken, the actual number of consolidations remains small - with the earlier one-out-of-four success rate still pretty much holding.

Special district growth, on the other hand, has

continued at its traditionally rapid rate. The 23,886 such units identified by the Bureau of Census in 1972, has now passed the 25,000 mark, according to a preliminary count prepared by the governments division in preparation for the 1977 Census of Governments.

Overall, then, counties have experienced no numerical growth; municipalities, a modest hike; and special districts, a significant expansion. On the consolidation front, modest growth continues.

#### City and County Modernization Efforts

Municipalities continue to annex territory, while county governments continue to modernize. Both cities and counties continue to be granted new home rule powers and to adopt new and more effective forms of organization.

With respect to annexation, unpublished data from the governments division of the U.S. Bureau of Census record major annexations during 1975 in Houston, TX (involving a population of about 20,000), and over 10,000 each in Lynchburg and Roanoke, VA. Nationally, such action in places over 2,500 people encompassed a total population of 300,000 in 1974, when 800 square miles were annexed, and 220,000 people in 1975, when 500 square miles were annexed. As was pointed out earlier, most of the annexations have been taking place in the South and West, and this is clearly reflected in the central city-surburban data analysis compiled by ACIR in 1976.2 Where major annexations have taken place, the health of central cities in terms of revenue base, employment, and retailing is much better than where this option has been foreclosed or unused. This, of course, highlights a major differentiating factor between the cities of the Northeast-Midwest and their counterparts elsewhere.

Despite continuating annexations, none have occurred since the Commission's substate regionalism report which have been massive enough to create de facto areawide governments. In fact, in Virginia where city annexations in the past have encompassed whole counties, the legislature placed a moratorium on such activities-as well as on new county charters and municipal consolidation and chartering.3 Thus, it appears that annexation may help more in maintaining healthy central cities in limited portions of the country than in providing areawide governments either there or elsewhere.

Turning to home rule powers, charters, and local executive leadership, at least half of the states granted greater home rule to their local governments between 1970 and 1975. Two of the best examples are Pennsylvania and Montana. In 1972, Pennsylvania legislation authorized home rule for both counties and municipalities, and initiated the convening of 118 local government study commissions to write charters or choose among optional forms of government for their localities. Montana's new 1972 constitution initiated a similar but even broader effort.

In the Pennsylvania case, 88 of the local study commissions had reported by early 1975, recommending home rule charters in 68 cases and optional plans in 13.4 By that time, 34 home rule charters and seven optional plans had been approved by the voters, however, all of the county proposals were voted down.5

In Montana, all of its 126 municipalities and 56 counties were subjected to study. As a result, 32 changes in the form of local governments were completed as the process ended in 1976. In addition to the two successful city-county consolidations cited earlier, 15 municipalities adopted home rule while 11 others changed their form. Also, four counties adopted a new form of government and two chose home rule.\*

The modern forms of local government to which increasing numbers of units are turning nationwide are the council-manager, mayorcouncil, or elected chief executive forms. Over 90 percent of the municipalities now have one of these forms of organization, while about 17 percent of the counties (representing a population of about 60,000,000) do. Among municipalities, the number having planning agencies responsible to the chief executive office has increased significantly over the last ten years, and about half of those over 50,000 now have some elements of a program budgeting system.

Another indication that counties increasingly are becoming urban service providers is that 76 of these units qualified for community development block grants from the Federal government in the first year of this new program. This required that they be empowered to undertake eminent domain. urban renewal, and publically assisted housing programs. Two important questions, still unanswered, are: how many of these modernized county governments exist in the some 100 single county SMSA's, and how many of these have taken on the areawide functions needed by those areas?

#### Transfers of Functions

The functional assignment question has major significance for substate regionalism. After all, it is the mismatch between the geography of certain functions and the geography of local jurisdictions that gave rise to substate regional developments in the first place. As county governments modernize. and where their boundaries approximate those of the real regions, they constitute prime candidates for delivering areawide services without creating a new level of government. This can be accomplished either through county home rule or 29 transfers of functions from municipalities to counties. In multicounty areas, functions would have to be transferred to a strengthened regional council. a multipurpose servicing authority or some other form of multicounty unit above the county level.

According to a new ACIR survey 40 percent of the 3,300 municipalities responding indicated that they had either assumed a new function or transferred one or more functions to another level of government.7 The survey covered the period 1965 to 1975 and found that the most commonly transferred functions were (in order of frequency of transfer) solid waste collection and disposal, law enforcement, public health, sewage collection and treatment, taxation and assessment of property. social services, building and safety inspections, and planning. The favorite recipients of these transferred functions were counties and special districts. However, in the case of social services, the shift was most often made to the state. The three principal reasons cited for making these transfers were achievement of economies of scale, elimination of duplication, and lack of facilities and equipment. Responses to other survey items indicated that 45 percent of the municipalities believed that functional tranfers had increased the need for modernized county government, and most felt that existing subcounty special districts and multicounty regional service agencies and councils of governments or regional planning commissions were needed in addition to reformed counties. Transfers to councils of governments were per-

Despite this recent transfer of functions activity, and the plans of another 12 percent of responding municipalities to make additional transfers in the ensuing two years, few states have systematically studied the functional assignments among their various levels of government. One state which has is Maryland. In 1975, the Maryland Commission on the Functions of Government issued a report covering its three-year study of all the major functions of government in the state, except public education. Substate districting was covered, along with a very wide range of financing, health, licensing, public safety, planning, and development activities.

Among other recommendations, the Maryland commission proposed (1) minimum health service standards ensured by the state, (2) multijurisdictional water and waste water treatment coordination accompanied by state responsibility for the non-Federal share in funding facilities, (3) regional detention centers, (4) a more integrated local-regional-state planning process, (5) nonduplication of environmental permit and inspection requirements among state, local and regional agencies, (6) zero-based budgeting, and (7) a clearer division of tax bases.

Overall, the potentials for a clearer delineation and more creative sharing of functions remains largely untapped, because the pattern of functional/fiscal assignments still is the product of ad hoc, largely crisis conditioned actions in practically all of the 50 state-local servicing systems.

#### **FOOTNOTES**

Department of the Treasury, Office of Revenue Sharing, Annual Report, Washington, DC: U.S. Government Printing Office, March 1,1794, pp. 16-17. Department of the Treasury, Office of Revenue Sharing, Payment Summary, Estiliament Printing Office, July 30, 1973, p. 168. Department of the Treasury, Office of Revenue Sharing, Payment of the Treasury, Office of Revenue Sharing, Payment Summary, Estiliament Printing Office, July 30, 1973, p. 168. Department of the Treasury, Office of Revenue Sharing, Payment Summary, Estiliament Printing Office, July 30, 1976, p. 469. The township data in these reports fluctuate considerably, probably because of GRS eligibility rules rather than formal dissolution or creation of townships. Therefore, they are not used here.

<sup>2</sup>Advisory Commission in Intergovernmental Relations, Treals in Metropolitan America, Report M-108, Washington, DC: U.S. Government Printing Office, February 1977.

"Virginia Legislature Delays Annexations," National Civic Review, April 1975, p. 195.

"Pennsylvania Charter Score," National Ciric Review, April 1975.

\*One was approved subsequently.

\*Advisory Commission on Intergovernmental Relations, State
Actions in 1976. Washington, DC: U.S. Government Printing
Office 1977.

Advisory Commission on Intergovernmental Relations, Pragmatic Federalism: The Rassignment of Functional Responsibility, Washington, DC. U.S. Government Printing Office, July 1976, pp. 63-65.

\*Maryland Commission on the Functions of Government, Report of the Maryland Commission on the Functions of Government, 5 Volumes, Annapolis, MD: July 1975. Chapter IV

## Conclusion

#### The Range of Conflicting Strategies

This regional council-substate districting-local government reorganization record has tended to produce five schools of thought regarding the future structure of substate governance. One group (the public choice theorist) adopts an even more pluralistic approach than exists most places now. They call for more flexibility in setting up special districts, in establishing interlocal agreements, in achieving functional transfers, and in contracting with the private sector. It applies a "free market" approach to public services, wherein a wide range of diverse units is viewed as the best means of meeting the governmental needs of our citizenry in the most accountable, economical, and efficient way which can be devised at any given point in time.

At the other extreme, are the consolidationists who see a full scale, local-regional merger as the best governmental means of achieving fiscal equity, efficient delivery of services, political accountability, and administrative professionalism. They point to Jacksonville, Nashville, and Indianapolis in support of their argument. While none of these examples constitutes a complete merger of all the local governments in the areas, they do represent substantial improvements over past fragmentation.

The city-county federation and state-supported regional council case studies, however, suggests a third alternative. Its adherents see in the two-tier or three-tier federation approaches a more politically feasible.

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yet appropriate way of sorting out areawide from purely local functions and powers, and of achieving an accountable, yet more acceptable, and administratively sensible approach to substate reorganization. The records of Dade County and Twin Cities' Metropolitan Council in areawide programs are cited to bolster their claims.

A fourth group rejects the claims of each of the previous three on grounds that the pattern and problems of substate governance are so varied that no single structural approach is adequate to cover them all. This band argues that the states should authorize various solularary reorganizational approachs, and that the Federal government should support whatever structural reforms might emerge from the resulting local option process.

Finally, a fifth group of pragmatists focuses on the absence of an authoritative, accountable decision maker at the regional level, and is willing to settle for any reorganizational option (one, two, or three tier) that meets this deficiency. The diversity of the existing substate governance arrangements is fully recognized by this group, and varying local and regional traditions and problems are acknowledged. Hence, they stand flexible on reorganizational forms, but firm on their goal of achieving everywhere a responsible, responsive regional governing unit. In essence, this is the ACIR view-point

On questions of tactics, the reform groups divide further. Most of them recognize that the role of the states is critical. However, some would largely "leave it to the locals," viewing state intervention as an irritant or a political impossibility. At the same time, they would urge enactment of an omnibus state measure that would authorize a range of reorganization alternatives with procedures for establishing metropolitan study commissions and with a requirement for popular refer-

enda. Others argue that the states always have had the legal authority, and now have some pressing motives, for taking strong action. Further fragmentation on the regional and local levels only pushes more controversial issues to the state level for settlement, they claim, and the burdens on the political and judicial branches of state government already are heavy enough. Paralleling the strategy of the first group, they feel that the states should take no action regarding specific reorganization proposals in any of their substate areas. But, they do sanction the mandating of a process that would

permit restructuring according to local needs and preferences, and they call for a state constitutional or statutory enactment that would require every metropolitan and nonmetropolitan area to undergo a reassessment process on a decennial or other regular basis. Major, minor or no reorganization recommendations could result from the study commission's efforts; and even if one of the authorized reorganization alternatives were proposed, the electorate still would have the final say. This approach, they point out, represents a sensible regional adapation of a provision of Montana's new constitution.'

Others, of course, advocate direct state or Federal intervention. They believe that it is essential to mandate reorganizations as the only sure means of effecting needed structural changes. Voluntarism, local option, and even a mandated process are ineffective, according to this view. Only a head-on confrontation at the state level with the real problems that disrupt metropolitan and nonmetropolitan areas will suffice; failing this, the Federal government must act. The avenues of Federal leverage are all in place, they point out, thanks to the expansion of regional aid programs. Concerted Federal initiatives involving a combined "carrot and stick" strategy probably would make the needed state action more likely to occur.

#### Facing Up to the Facts

In judging these various approaches to the future structure of substate governance, certain facts and forecasts must be confronted.

First, estimates of future population growth suggest (1) expansion of the existing metropolitan peripheries in expanding urban areas, (2) relative or even absolute declines in older urban areas, and (3) dynamic growth in some nonmetropolitan areas accompanied by continuing erosion in others. Despite such differences, areawide servicing difficulties will continue to be generated in each of these regional situations.

Second, intergovernmental fiscal transfers, especially from the Federal government, are and will continue to be critical in meeting the cost of areawide services. With these transfers

have come—and probably will continue to come—requirements for better regional institutions and coordinating procedures. Sometimes these are of a general purpose nature, but more frequently they have had a special purpose character.

Third, metropolitan areas will continue to differ greatly from each other: by size, by county composition (unicounty vs. multi-county), by numbers of municipalities and special districts, by state jurisdiction (intrastate vs. interstate), and by economic base (growing vs. stabilizing and even declining). The same can be said of nonmetropolitan areas.

Fourth, changes in county boundaries are hardly ever included in reform proposals for substate districts; without such changes, the reformed county can be a viable areavide option for only a minority of metropolitan areas, though it still can serve as a vital subregional "building block" in the remaining majority.

Fifth, analysis of servicing assignments suggests that some functions are areawide, some are more local, some are shared, and some are candidates for upward transfers (usually to the states, but sometimes to the Federal government).

Sixth, the very nature of most social services and income maintenance programs suggests that higher levels of government, rather than individual localities or regional units, must bear their fiscal burden; strongly redistributive programs are difficult to launch in any political setting, but the evidence suggests that local or even regional units are unlikely to be successful.

These half dozen findings and forecasts tend to place the earlier views about substate governance in perspective. They suggest the need for avoiding single formula solutions. They suggest that regionalism in one form or another is here to stay, dealing with continuing challenges of an areavide nature. They suggest that the fiscal facts associated with local and areavide government services are a crucial dimension of this development,

and that these are unlikely to change much. They suggest that certain activities already are regional or should be; that others are local and will continue to be, regardless of governmental reassignment efforts; and that still others, especially in some human resources areas, should be neither local nor regional, except perhaps in their implementation. Finally, they suggest a fear of general governmental power and a preference for, or at least a tolerance of, technocratic power in creating substate organizations.

Regarding this last inference, it does no harm to compare the United States with foreign countries having similar metropolitan challenges. In Canada and West Germany, among the Federal systems, and the United Kingdom, France, and Sweden, among the unitary ones, this democratictechnocratic ambivalence has not been as prominent a problem. Perhaps more than anything else in their respective political traditions, in contrast with our own, is their lesser reluctance to authorize the use of government authority. In the U.S., as various authorities have noted, the scope of governmental power has expanded without an accepted political philosophy to explain it. Instead, we have steadily resorted to quasi-governments. Independent regulatory commissions, school districts, and special districts are but part of this deceptive design whereby public activities are "kept out of politics." The substate regional challenge has underscored the fact that areawide functions of government often have been turned over to technocrats who have not been open and accountable in discharging their public responsibilities. Greater involvement of elected public officials through general purpose regional bodies could help to overcome this problem in the same way it already is helping at the city and county levels. Real reform, however, is contingent on the degree to which this is really understood and accepted by the electorate.

#### The Commission's Response to the Substate Regional Challenge

Divergent views, then, have emerged over the appropriate future structure of America's substate governance systems, and divergent tactical approaches have been adopted even among those who agree on the need for reform. This probably is

inevitable, given the existing and emerging functional, fiscal, and institutional challenges that confront most metropolitan and nonmetropolitan areas. Yet, more and more, it is at the regional level where the nation's future intergovernmental relations are being fashioned. As this brief report and its weightier six-volume predecessor indicate, most of the major issues facing the system are there: Should government be further centralized by expanding the roles of state and Federal units, or should it be decentralized through effective local modernization, regionalization and neighborhood involvement? Should the coordinative responsibilities of general purpose governments be encouraged, or should special purpose units each continue to be allowed to "do its own thing?" Should greater popular control be introduced to keep the administration of programs accountable, or should bureaucracies continue to be insulated from politics? Should local government fragmentation continue, or should the present pattern of numerous small local units be simplified? Should the abundance of special purpose governmental programs be maintained, or should program consolidations be effected? Can needed governmental changes be achieved incrementally, or is dramatic reform the only workable means of realizing significant change? These are critical issues, and their resolution clearly will affect the future course of American federalism in major ways.

The ACIR has confronted these issues and adopted a series of recommendations designed to resolve them.2 The latter are rooted in an awareness of the dynamic and positive features revealed in the recent substate regional record and a conviction that the ambiguities of Federal, state and local policies, programs and attitudes concerning this topic should not be allowed to last much longer.

As stated at the outset, the Commission's policies add up to a three-part strategy designed to curb most of the current confusion in areawide districting activities, to link substate districting with local governmental modernization efforts, and to relate functional assignment efforts to both. In the Commission's judgement, districting reform should be considered as a basic part of a comprehensive effort to bring greater effectiveness, efficiency, and accountability to governmental operations at the areawide as well as at the local levels. Local government reorganization and the systematic reassignment of responsibility for performing various substate functions, in turn,

should be viewed as complementary, perhaps more long term, efforts to bring sense to the substate regional scene.

#### The Strengthened Regional Councils Recommendations

When the Commission took up the thorny substate districting issue in 1973, it concluded that what is missing in all but a few metropolitan and nonmetropolitan areas is a multi-purpose regional unit capable of linking areawide planning with program implementation, and of coordinating authoritatively the diverse activities of separate unifunctional substate districts. In short, it sought a politically viable unit-roughly comparable to the Twin Cities model-that could serve as an effective and responsible regional decision maker.

This judgment prompted adoption of a reformed regional council strategy as the focal point of the Commission's regional districting reform proposals,3 and nothing that has transpired since that time undercuts the foundations of this position. The Commission's approach now is incorporate in an ACIR model "Statewide Substate Districting Act" and in the Magnuson-Ashley Bill (the proposed Intergovernmental Coordination Act) discussed earlier.

Once launched, the strengthened regional councils called for would occupy a prime position at the substate regional level. While their functions would be heavily intergovernmental, they would be classed as agencies of local government. All general purpose local units would be required to be members of, and make financial contributions to, their regional council, and at least 60 percent of the governing board would consist of local elected officials appointed by their respective governments. Moreover, every state agency dividing the state into regions for its own planning, administration, or service delivery purposes would be required to conform these boundaries to those of the officially designated substate districts and to rely on the regional council for assistance and guidance unless the agency could demonstrate that compliance would be detrimental to the accomplishment of its purposes. Since the regional council would be responsible for certain decentralized state programs and activities, and would receive substantial state financial assistance, the governor would be empowered (a) to select a modest number of officials to represent the state on its governing board, and (b) to override its policies if they conflicted demonstrably with state policies or the policies of another regional council.

The authorizing state legislation would require that the council use a dual voting system. Although the one-government, one-vote principle would apply to most issues, the council's bylaws would specify the circumstances under which any local member could bring a population-weighted voting procedure into effect, and would fix the formula to be used in determining the number of votes to be cast by counties and cities.

The strengthened regional council would possess most of the functions of existing councils of government, such as areawide planning, interlocal communications, research, and technical assistance. But unlike most of them, it would not have to do battle with other regional bodies for Federal and state areawide program assignments, local official participation, and public visibility. Instead, it would serve as the authoritative umbrella agency for its region. Flowing from a series of Federal, local, and especially state actions, it would be empowered to:

- · encourage joint problem solving among counties and cities, and provide such technical assistance and services as these units may singly or in combination seek;
- · adopt and publicize regional policies and plans, along with a program for their implementation:
- · develop planning and programming inputs into the planning and budgeting process of their state:
- · assume basic responsibility for implementing all Federal and state supported areawide planning, programming, coordinating, or districting programs;
- · resolve differences between certain state agency and local government programs and projects that encroach upon adopted regional policies and plans:
- · act as the policy board for all independent multijurisdictional special districts, thus converting them into subordinate units: and

· assume direct operating responsibilities for regional functions upon the affirmative vote of a majority of local members representing at least 60 percent of a district's population.

The ACIR's strengthened regional council strategy clearly relies on the raw materials now at hand at the substate level. But it goes far beyond the status quo, in all but a few regions, in its quest for an effective overarching agency that can deal with the growing demand for decisive decisionmaking in those programs and policies that necessarily are and should be areawide. As currently constituted, most councils of governments and regional planning bodies have not been equal to the tasks thrust upon them. They have become classic examples of organizations with responsibilities which far surpass their authority to carry them out. The problems which regional bodies are 35 expected to solve typically are those which local jurisdictions, the states and the Federal government have found too difficult to manage, vet the powers to resolve the situations are denied to the region. Thus, past failures at the regional level should have been expected, and future ones surely remain in store for these bodies unless they are given greater authority.

#### A New Reorganization Agenda

These proposals for strengthened regional councils are but one component in the Commission's overall substate regional strategy. Local and areawide governmental reorganization also very obviously must be dealt with, given its actual and potential regional impact.

In the third volume of the earlier series of reports, the Commission explored the relationship between its substate districting strategy and its continuing concern with local governmental modernization and areawide reorganization. Experience on the modernization front was probed, and proposals relating to local and areawide governmental reform were adopted.4 Again, nothing has occurred since 1973 to invalidate those proposals. Moreover, in the Commission's opinion, its strengthened regional council strategy and proposals for general local government reform still are fully complementary. Both areas need attention if the structure and functions of units below the state level are to be brought to a point where they can cope with the citizen's current and future servicing needs in a more efficient, effective, and accountable fashion than now prevails generally.

This is not an "either/or" situation, then. However, the recommended policies apply differently depending upon the size and jurisdictional complexity of the various regions. In some large substate regions the strengthened regional council would be the only politically feasible areawide reform proposal-either now or in the future. Yet, governmental modernization at the subregional level would still be possible and needed to facilitate many of the regional council's difficult assignments. In other smaller and less complicated areas, the council might be only a short range response to the immediate problems of mushrooming districts, while areawide governmental reorganization efforts emergence-to the point that some type of areawide local government might eventually supersede it. In a few substate regions, an areawide local government now exists, and no regional council would be necessary. Obviously, the many differences among substate regions as to size, jurisdictional complexity, political attitudes, and servicing problems bar any flat generalizations as to the specific relationship between regional council and local governmental modernization proposals.

At the same time, four points need to be underscored.

- all substate districts need an authoritative regional decision maker, whether a strengthened regional council or an areawide local government;
- all but a tiny minority of these areas require a strengthening of their existing subregional local units;
- most of them confront major difficulties attaining areawide governmental reform in the near future; and
- all of the interstate metropolitan areas face unusually difficult hurdles in terms of all the normal reorganization alternatives —with only the strengthened regional council or multipurpose servicing authority serving as conceivable options.

These basic facts provide the connection between the regional council and local governmental modernization parts of the Commission's threepart substate regional strategy. To follow-up this strategy ACIR's program for local and areawide governmental reform includes a modernization agenda with a half-dozen broad, but interrelated goals.

First, this agenda seeks to place the clear sanction of state statutory authority behind a set of enforceable standards relating to municipal incorporation, local governmental reorganization, and annexation.

Second, it recommends that states establish local government boundary commissions to apply these standards on a case-by-case basis and to assume a continuing responsibility in such matters as modification of substate district and county boundaries and the dissolution or merger of special districts and non-viable general local governmental units.

Third, it includes a packet of nine reform proposals geared to revamping the structure of county governments, to sorting out and reconciling county and municipal servicing responsibilities, and to defining a state role that is supportive of better county planning, transfers of functions, and service mergers.

Fourth, it urges state enactment of permissive legislation authorizing five different regional home rule options—multicounty consolidation, city-county merger, the modernized county, and multipurpose regional service corporation, and conversion of a regional council into a general purpose government. The distinctive features of each of these governmental options are designed to meet the special problems of differing types of substate regions. Adoption of any one, however, could only come about by popular referendum.

Fifth, it provides for the establishment, where lacking of broadly representative, permanent state advisory commissions on intergovernmental relations to probe and propose changes in the structure, functions, finances, and relationships of lower tier, middle tier, and state governments.

Finally, it urges the Executive Branch of the Federal government and the Congress to adapt Federal policies and programs in a way that accommodates state and local efforts to reorganize governments at the substate regional and local levels.

#### A New Approach to Functional Assignments

When deliberating on the servicing component of this substate regional strategy, the Commission

focused on the general finding that the present pattern of functional assignments at the state, areawide, and local levels is largely a patchwork product of uncoordinated, separate actions taken by all levels, including the Federal government. To achieve a more consistent and logical determination of responsibilities and to round out its strengthened regional council and local reorganization proposals, the Commission in early 1974 called upon the states to enact legislation creating an ongoing assignment of functions policy and process.<sup>2</sup>

This process would begin with the formulation of general servicing criteria-such as economic efficiency, fiscal equity, manageability and accountability-to help provide more balanced and systematic answers to a range of assignment questions. It then would proceed to the tough task of hammering out classification standards on a function-by-function basis. These standards would be designed to help sort out the levels of government and responsibilities which should go together. The Commission urged that a state-local unit, preferably a state ACIR, be assigned the sensitive job of developing these criteria and classification standards. In addition, this broadly representative unit would be empowered to issue "intergovernmental impact statements" on Federal, state or local proposals involving significant changes in service assignment responsibilities; and, in light of its research, it would recommend specific functional reassignment policies to appropriate decisionmaking bodies.

#### In Retrospect

To sum up, the Commission believes its threepart substate regional strategy is as relevant and sound today as it was in 1973-74. Practically all of the trends identified in the earlier period have continued, and the more recent developments recounted in this volume only underscore the strategy's continuing relevance. Substate districting continues to evolve. DOT and EPA efforts to achieve stronger, more authoritative regional planning units have added a new dimension to the unfolding drama. The great difficulties of voluntary councils of government in assuming these new roles are apparent for all to see. A counterpoint effort by counties to assume a broader regional role has emerged. And the increasing importance of special districts as regional service providers, and as determiners of urban development, is still very much a part of the substate regional scene.

For these and other reasons, the Commission commends its findings, recommendations, and draft bills to policy-makers at all levels as well as to the public at large. While they may be controversial, they are—after all—reformist rather than standpattist in their thrust. Above all, they are geared to meeting—not covering over—the existing and emerging functional, fiscal, and institutional needs in the Nation's metropolitan and nonmetropolitan areas.

#### **FOOTNOTES**

The results of this provision are summarized in Chapter III.

Advisory Commission on Intergovernmental Relations, Regional Drition Making: New Strategies for Subdate Districts, Report A-43, Vol. L. October 1973; Greenmental Fustions and Processes: Izeal and Armsulfe, Report A-45, Vol. IV, February 1974; The Challenge of Load Governmental Rengentiation, Report A-44, Vol. III, Washington, DC: U.S. Government Printing Office, February 1976.

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"Advisory Commission on Intergovernmental Relations, State Ligislative Program, "Part 2. Local Government Modernization," Washington, DC: U.S. Government Printing Office, November 1975.

# ACIR State Legislative Program\*

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\*Any of these suggested bills may be ordered from Advisory Commission on Intergovernmental Relations, 726 Jackson Place, N.W., Washington, D.C. 20575.

# **Appendicies**

- A. Contents ACIR State Legislative Program, Part II, "Local Government Modernization."
- B. Index of Major Topics Substate Regionalism and the Federal System, five volumes, 1973-74.
- C. Substate Regionalism Recommendations of ACIR

**Index of Major Topics** 

# Substate Regionalism and the Federal System

(Single copies of one or more of the following five volumes may be ordered from Advisory Commission on Intergovernmental Relations, 726 Jackson Place, N.W., Washington, D.C. 20575. Multiple copies may be ordered from Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.)

Vol. 1 Regional Decision Making: New Strategies for Substate Districts. (Report A-45).
 Vol. 11 Regional Governance: Promise and Performance. (Report A-41).
 Vol. III The Challenge of Local Governmental Reorganization. (Report A-44).
 Vol. IV Governmental Functions and Processes: Local and Areawide. (Report A-45).
 Vol. V A Look to the North: Canadian Regional Experience. (Report A-46).

(Volume and page references appear below as Roman and Arabic numerals, respectively.)

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C.2. Recommendations from The Challenge of Local Governmental Reorganization, Substate Regionalism and the Federal System, Vol. III.

C.3. Recommendations from Governmental Functions and Processes: Local and Areawide, Substate Regionalism and the Federal System, Vol. IV.

C.4. Recommendations from Toward More Balanced Transportation: New Intergovernmental Proposals.

#### C.1. Recommendations from

Regional Decision Making: New Strategies for Substate Districts, Substate Regionalism and the Federal System, Vol. I

Recent developments relating to special districts and authorities, Federally encouraged districting programs, State-mandated substate districting systems, regional councils and similar bodies, as well as the A-95 review process, clearly have generated a marked increase in activity at the substate regional level. Some of this activity has been constructive; some of it, confused; and most of it, without a clear sense of overall regional purposes. The five recommendations that follow are geared to ending the confusion, strengthening the bases for developing a balanced perspective on regional goals, and making existing areawide efforts even more constructive.

#### INTRASTATE DISTRICTING MECHANISMS, PROCEDURES, AND PLANNING

Recommendation I. The Federal Role: A Uniform, Comprehensive Policy

The Commission finds that the national government, in fact, has assumed a prime role, especially during the past decade, in substate regional planning, programming, coordination, and institution-building developments both in rural and urban areas within the States. It believes that most of these efforts, along with new ones even now on the horizon, are likely to continue. Yet the Commission is aware of the adverse effects on State and local governments as well as on substate regional instrumentalities that have arisen from the overlap, inconsistencies, and absence of concerted purpose and policy among the existing two dozen Federal programs with an areawide thrust. Hence . . .

The Commission recommends that Congress and the President enunciate a consistent, comprehensive Federal substate regional policy geared to providing a common framework for and a general purpose to existing and future Federal assistance programs—whether in the categorical block gmin, or special revenue sharing sectors—having substate regional planning, programming, coordination, and/or districting provisions. With reference to the specific components of this policy, the Commission recognizes that some may be achieved by Executive Order, but others will require Congressional enactment. The Commission believes that such a national policy, at a minimum, should include the following

A. A firm requirement, set forth in an amended

Office of Management and Budget (OMB) Circular A-95, that, to the extent practicable, all existing and future categorical and block grants and, potentially, special revenue sharing programs which encourage or mandate areawide planning. programming, coordination, and/or districting, rely in each substate region on an umbrella multi-jurisdictional organization officially designated by the State and/or its localities or, when both fail to act, by OMB for implementation and/or areawide policy-development purposes; where statutory requirements relating to the composition of areawide bodies conflict with this goal. adoption of a binding OMB policy that permits specially constituted advisory councils to the multi-jurisdictional organization to satisfy the requirements of the law. 1

B. Energetic encouragement of all States, save perhaps for the smallest in area and the most sparsely settled, to adopt a substate districting system whose boundaries recognize topographical, economic, social, communication, political, and jurisdictional factors, and whose purposes and district organizations are geared at least as much to State and local substate regional needs as they are to those of Federally assisted areawide programs; and positive assurance, in the form of a strengthened Part IV of OMB Circular A-95 and effective OMB follow-up action, that such Federal programs will align their boundaries to conform to or be consistent with those of State-delineated substate regions and rely primarily on officially designated district multi-jurisdictional organizations to permit maximum Federal-State-Local coordination of these joint undertakings.

C. Enactment of legislation that revamps and consolidates all areawide planning requirements associated with Federal categorical and block grants, and potentially special revenue sharing programs, with a view toward achieving a clear focus on:

1. substate districts as the primary substate areal concept.

<sup>&</sup>lt;sup>1</sup>Governor Evans did not concur in that portion of this component which provides for an ultimate OMB designating role in this process,

 the preferred multi-jurisdictional organization within each substate region as the basic policydeveloping and/or, where designated by law, implementing institution, and

3. the linkage of comprehensive and functional planning as a means of achieving a better balance among and blending of areawide activities that most often, at present, are not consistent with each other.

D. Enactment with bonus provisions for State buying-in of a consolidated grant program of general planning, programming, and coordinative management assistance to officially designated umbrella multi-jurisdictional organizations and a corresponding repeal of existing comprehensive and functional areawide planning assistance programs.

E. Amendment of Section 402 of the Interofficially designated umbrella multi-jurisdictional organizations the power to review and approve or disapprove grant applications covered by the A-95 process which emanate from multi-jurisdictional special districts and authorities operating within these organizations' respective substate regions.

F. Amendment of the Intergovernmental Cooperation Act of 1968 to give officially designated umbrella multi-jurisdictional organizations the authority to review grant applications covered by the A-95 process emanating from units of general local government within each organization's jurisdiction and to resolve any inconsistencies between such applications and officially adopted regional policies or plans, such applications to be processed by the pertinent Federal departments and agencies only when these inconsistencies have been resolved. The umbrella organization should exercise a similar role with reference to grant applications of State agencies for major capital facilities not having a multi-regional impact located within each organization's substate region.

G. Amendment of the Intergovernmental Cooperation Act of 1968 to require that any major
capital facilities projects having a pronounced
areawide impact or intergovernmental effect,
whether sponsored by a State agency, a multi-parisdictional agency or authority, or a unit of general
local government, must be reviewed and any
inconsistencies between such projects and officialby adopted regional policies or plans must be
resolved by the officially designated umbrella
multi-jurisdictional organization in the substate
region wherein the project is scheduled to be
located, provided Federal funds from block grants,
or potentially from special revenue sharing progamm, are involved.

Recommendation 2. The State Role: A Comprehensive Consistent Substate Districting Policy

The Commission concludes that the role of the States in substate regional developments has become pivotal. As a partner, albeit the lesser one in far too many instances with approximately two-thirds of the Federally assisted programs having an areawide component, as the prime giver of life to special districts and authorities, as the paramount drafter of the governmental map at the local and substate regional levels, and as the ultimate arbiter of the governmental functions and powers conferred on the jurisdictions at these levels, the States are in a strategic position to help clarify, reconcile, and resolve the public policy and public administration questions raised by the substate regional planning, programming, coordination, and districting undertakings of the past 10 years. Hence, the

The Commission recommends that the governors and legislatures of all applicable States, after appropriate and adequate consultation with representatives of units of general local government and their respective State associations, develop and enact a consistent, comprehensive statewide policy to provide a common framework and a clear set of State and local purposes for existing and future substate regional planning, programming, coordination, and districting undertaking. The Commission further recommends that, at a minimum, such State action should provide for ... 3

A. The establishment of a formal procedure, involving participation by units of general local government, for delineating and revising the boundaries of substate regions, relying on specific topographical, economic, social, communication, political, and jurisdictional criteria specified in heridation.

B. The required use of substate regional boundaries, insofar as is practicable, established pursuant to legislation by all State agencies to the extent that their implementation of State and/or Federal passited State programs requires the geographic division of the State for administrative or other purposes.

C. A specific process, involving the governor and the units of general local government in a substate region, which results ultimately in the designation by the governor of a single umbrella

<sup>2</sup>Governor Evans dissented to that portion of this component

Secretary Weinberger abstained from voting on all compo-

nents of this recommendation on the grounds that they are

which covers State agency projects on grounds that such projects

may be part of an interregional or statewide program,

primarily matters for State and local determination.

multi-jurisdictional organization in each region, with such designation conferring the legal status of an agency of local governments.

D. A membership formula which requires that there be State representation on each umbrella multi-jurisdictional organization but that at least 60 percent of the membership of each such organization be composed of elected officials of units of general local government within the substate region and that all such units must belong to their officially designated umbrella multi-jurisdictional organization.

E. A voting formula which requires a dual system involving the application of the one-government, one-vote principle in most voting matters, but permitting certain larger local constituent parisdictions to overrule this procedure on certain issues, thus bringing a proportionate or weighted voting procedure into operation.

F. Adoption and publication by each officially designated umbrella multi-jurisdictional organization of regional policies or plans and of a program for their implementation.

G. Relance by all State departments and agencies on the officially designated umbrella multi-fusible fictional organizations for any substate regional planning, programming, coordinative management, and districting activities in which they might engage pursuant to their assigned responsibilities under State or Federally-aided State programs

H. Planning and programming inputs into the State planning and budgeting process on a systematic basis from officially designated umbrella multi-jurisdictional organizations.

 State designation of all official umbrella multi-jurisdictional organizations as the A-95 clearinghouse for their respective substate regions.

3. Conferring on all officially designated umbrella multi-fursiditional organizations the power to review and approve, in light of adopted regional policies and plans, all proposed major capital facility projects of State departments and agencies which are slated for location in the organizations' respective substate reviews.

K. Review and comment by officially designated umbrella multi-jurisdictional organizations on locally funded major capital facility projects proposed or authorized by units of general local government within their respective substate re-

L Assignment to each officially designated umbrella multi-jurisdictional organization of policy controlling role with respect to the operations of multi-jurisdictional special districts and authorities functioning within their respective substate regions to assure conformance with adopted regional notices and plans.

M. Promotion of mutual problem solving by officially designated umbrella multi-purishictional organizations and rendering by these organizations of such services as may be requested individually or jointly by member units of general local government.

N. Authorization for officially designated multi-pirislictional organizations to assume a regionwide operating responsibility with financing as provided in State legislation, subject to approval of a majority of member units of general local government representing at least 60 percent of the substate resion's nountains.

O. A State program of financial assistance, on an on-going basis, to officially designated umbrella multi-jurisdictional organizations.

P. Gubernatorial authority to disapprove any actions of an officially designated umbrella multijurisdictional organization after making a fuding 
that such actions are in conflict with officially 
adopted State plans, policies, or actions having a 
statewide impact or in conflict with officially 
adopted plans, policies, or actions of another 
umbrella multi-purisdictional organization.

Recommendation 3. The Local Government Role: Official Substate Regional Policies for Local Governments

The Commission believes that the cities and counties in most States have a major role to play in developing an immediate intergovernmental strategy for coping with substate regional planning, programming, coordination, and districting difficulties. In the final analysis, the activities of these governments are as much-if not more-affected by these substate regional efforts as those of any other level. Hence

The Commission recommends that cities and counties, where relevant, adopt official policies that

A. Support establishment of and participation in umbrella multi-pirislictional organizations in their respective substate regions as an effective vehicle through which their area's elected officials of units of general local government can exercise a direct role in Federally assisted and State planning, programming, coordination, and districting efforts.

<sup>&</sup>lt;sup>4</sup>Senator Brown, Representative Kurfess, and Mayor Lugar disent from that portion of this component which calls for an extraordinary majority vote of approval, noting that a majority vote of the member units representing \$1 percent of the region's population should suffice.

B. Provide for regular financial contributions to their umbrella multi-jurisdictional organization.

C. Encourage designation of their respective umbrella multi-jurisdictional organization as the policy board of any and all multi-jurisdictional efforts organized pursuant to State interlocal cooperation or contracting legislation, and the use of the organization's staff to perform services incident thereigh.

D. Fully recognize any policies or plans officially adopted by their designated multi-jurisdictional organization as a guide for the programming, planning, and implementation activities of their

pertinent departments and agencies.

E. Require, where applicable, their representatives on the boards of any multi-jurisdictional special district or authority to seek designation of their substate region's official umbrella multi-puridictional organization as the policy board of any such district or authority.

16 Recommendation 4. Direct Local Action in Establishing a Designated Umbrella Multi-jurisdictional Organization

The Commission believes that the cities and counties in the Nation's substate regions should be empowered to take the initiative in achieving official designation of their multi-jurisdictional organizations as the preferred areawide instrumentality for Federal programs having a substate regional thrust. This by-passing of the States, however, should only occur when the States have failed to take action in this area. Hence.

The Commission recommends that in instances where the States have falled to develop and enact a comprehensive substate regional statute and where a majority of the counties and cities accounting for two-thirds of the population within a proposed substate region join in petitioning for an alternative course of action, the Congress and the President should include in the Federal substate receivant solicity provisions that would:

A, Permit such units of general local government to join collectively and designate their own preferred umbrella multi-jurisdictional organization:

B. Grant to such locally initiated umbrella multi-jurisdictional organizations the same rights and benefits that are conferred on umbrella multijurisdictional organizations designated under State-adopted substate districting systems.

#### INTERSTATE METROPOLITAN DISTRICTING: MECHANISMS AND PROCEDURES

Recommendation 5: A Joint Federal-State-Local Strategy The Commission finds that a special set of areawide difficulties arises as a consequence of transecting State boundaries within over 30 of the Nation's metropolitan areas. The Commission concludes that both the Federal and State governments in their respective areawide planning, programming, coordination, and districting undertakings have given inadequate attention to the unique problems associated with this jurisdictional fact. Hence . . .

The Commission recommends that:

A. The Federal government and the affected by the following a strategy leading to agreement on the boundaries of the interstate metropolitan areas and to establishment of a single officially designated umbrella multi-jurisdictional organization in each of these area.

B. The affected States formally recognize in their substate districting statutes the existence and integrity of interstate metropolitan areas and specifically consider these factors when delineating the boundaries of substate regional districts.

C. The President initiate changes in OMB's Circular A-95 to require conformance, to the maximum extent possible, of all Federally assisted areawide planning, programming, coordination, and districting programs in interstate metropolitan areas to the boundaries resulting from joint Federal-State-local action; and the President mandate a policy of relying on the officially designated interstate umbrella organization as the sole policy board for those Federally assisted undertakings that are interstate metropolitan in scope and as the ultimate policy review and coordination board for those assisted activities which focus more on single State portions of the metropolitan area, provided that until the pertinent States have joined in designating such an organization, this policy would permit a majority of the counties and cities accounting for twothirds of the population in the affected interstate metropolitan region to join in establishing their own preferred interstate umbrella organization and to request its official OMB designation for the purposes cited above.

D. The affected States initiate and Congress subsequently approve amendments to all interstate compacts whose implementation has an interstate metropolitan area impact with a view toward conferring on the officially designated interstate umbrella organization the power to review and approve all capital facility programs and projects initiated by interstate compact bodies.

E, Congress amend the Intergovernmental Cooperation Act of 1968 to give officially designated interstate umbrella organizations, including locally initiated umbrella organizations.<sup>5</sup> in metropolitan areas the power to approve or disapprove grant applications for major capital facilities assistance cmanating from multi-jurisdictional special districts and authorities operating either within a single State's portion of or across State boundaries in an interstate metropolitan area and from units of general local government in the area

of general local government in the area.

F. The Federal government and the affected States, after appropriate consultation with the localities involved, join in drafting and enacting Federal-multistate compacts which define the legal status of umbrella multi-juridictionalorganizations operating in interstate metropolitian area; spell out their general planning, programming, coordinative management, and other pertinent powers and functions; detail a membership formula which

As provided in Component (C).

takes into consideration appropriate local, State, and Federal representation.

G. The Federal government and the affected States make adequate provisions for the fiscal support of officially designated umbrella multijurisdictional organizations in interstate metropolitan areas, including locally initiated umbrella organizations by stipulating such support in the Federal-multistate compacts establishing such organizations and by earmarking for such organizations an appropriate portion of a general Federal-State block grant program of planning, programming, and coordinative management assistance to all interstate as well as intrastate organizations. In instances where localities have been obliged to initiate their own preferred interstate umbrella organization, the Federal government should make arrangements for direct provision of financial support to such organizations.

#### The Challenge of Local Governmental Reorganization, Substate Regionalism and the Federal System, Vol. III.

With the following pair of recommendations, the Commission seeks to chart a sensible course toward local and areawide governmental renganization in light of the continuing intergovernmental challenge at the substate regional level. The focus here is chiefly on the States and localities, given the former's prime constitutional role and responsibilities via-a-vis local governments and the latter's vital concern with actions that are taken on this front. The Federal government's assignment is largely a complementary one.

Over the past dozen years in eight different reports, this Commission has urged State adoption of more than 25 separate non-fiscal recommendations relating to the strengthening and restructuring of the nation's counties and cities. The proposals advanced here build on this foundation.

In urging this agenda for reform, the Commission is fully cognizant of the wide variations in local governmental forms, functions, and finances within and among the States. The Commission also recognizes that no single reform option could possibly apply to all substate regions and all local governments, that effective umbrella multi-jurisdictional organizations may be the most suitable and feasible option in many instances, that local reorganization efforts may be as crucial as areawide ones, that the timing of implementation of reform options will vary, and that no across-the-board formula can or should be devised to cover all the ways the States can assume a positive role in this vital process. Hence, this agenda incorporates considerable flexibility while providing a clear direction and consistent basic purposes. Specific proposals will require State-by-State adaptations. But the prime goal of a more responsive system of local and areawide governance should not be lost sight of in this adaptive process.

#### The State Role

Recommendation 1. A Comprehensive State Policy and Process

The Commission concludes that the time has come for all States to adopt a comprehensive, long range policy with respect to the structure and functions of their local governments and the relationships of such governments to one another, the State, and official umbrella multi-jurisdictional organisation

zations established pursuant to substate districting statutes. It notes that existing State policies in this pivotal area for the most part have been piecemeal, partial, and out-dated. It finds that continuing urbanization and technological change have strained the capacity of most local governments within substate regions to effectively plan, administer, and finance needed public services.

At this point then, the Commission believes that the States in conjunction with their localities must devise a strategy designed to help local governments meet the structural, functional, and fiscal challenges of substate regionalism. This policy should be developed in a systematic, comprehensive fashion, considering distinctive State, non-metropolitan, and metropolitan jurisdictional problems. Hence.

The Commission recommends that States through statutory, and, where necessary, constitutional action adopt a comprehensive local government structure and functions policy involving immediate goals as well as an on-going process for their implementation and updating. This policy should be geared (a) to structuring the system of local governments so as to make it more responsive and adaptable to the areawide as well as local needs of individual communities, (b) to interrelating substate regional districting and related activities with local governmental reform efforts, and (c) to striking a balance between State initiative and local as well as areawide self-determination in achieving the above two roals.

The Commission recommends that, at a minimum, such State legislation and, where necessary, constitutional enactments should....

#### A. Set specific standards for-

(1) assessing the structural, functional, fiscal, and geographic viability of all existing and proposed local governments—special districts and school districts as well as units of general government—using such factors as (a) their capacity to raise revenues adequately and equitably, (b) their mix of residential, industrial or other tax base components, (c) their population and geographic size, and socioeconomic and racial composition, and (d) the assignment of areawide and local governmental functions. Including components

thereof, to appropriate and accountable units of government.

(2) governing the orderly and equitable extension of municipal boundaries to embrace unincorporated territory, including procedures for—[a] assignment of initiating authority to municipal governing bodies as well as to residents in an unincorporated area seeking to be annexed; and [b] elimination of any absolute power on the part of inhabitants of outlying unincorporated areas, which are proposed to be annexed, to veto a proposed annexation meeting statutory standards, including the provision of wiban services.

B. Establish a broadly representative local government boundary commission at the State and/or local level(s). In addition to exercising those powers regulating municipal incorporations, non-viable units of general local government, special districts, and interlocal servicing agreements that were recommended in previous Commission reports,<sup>2</sup> the boundary commission(s) should be authorited to.

(1) oversee the implementation of the statutory standards, cited above, and apply them, where pertinent, to individual boundary decision cases that come before it;

(2) recommend modification of substate district boundaries, subject to action by the appropriate State authority;

(3) recommend modification of individual county boundaries in light of changing settlement and servicing patterns;

(4) monitor, recommend, and, where appropriate, facilitate municipal annexations of adjacent unincorporated areas:

(5) develop in conjunction with affected local jurisdictions, including counties, "spheres of influence" or "staged expansion limits" that delimit the ultimate boundaries of existing individual municipalities and help identify areas of potential municipal incorporation;

(6) make annual reports with recommendations to the governor and legislature on efforts to strengthen the basic pattern of local government.

C. Provide for a complete package of county

structural reform options and initiatives that, in addition to an optional forms authorization, 3 includes at a minimum:

(1) the requirement that any county embracing the predominant portion of a metropolition area's population shall have a fulltime executive officer, either appointed by the county board or popularly elected:

(2) placing county officers on a statutory rather than a constitutional basis;

(3) empowering the governing bodies of contiguous counties within substate regions to consolidate identical or comparable county offices and functions:

(4) authorizing the governing bodies of contiguous counties within substate regions to execute a multicounty consolidation, subject to a simple concurrent majority of the votes in a referendum in each of the counties encompassed in the proposed merger.

D. Clarify and systematize the functional responsibilities and relationships of counties and municipalities, by establishing the county as the basic service provider for its unincorporated areas, in addition to performing basic county functions, and by

(1) authorizing counties to perform urban functions? in order to eliminate situations where they are barred from providing such services when (a) the service is being provided by a countywide or less than countywide by a countywide or less than countywide special district, (b) a constituent municipality requests the county to perform the service, or (c) the public expresses through a popular referendum a preference for the county to perform the service on a countywide basis, and requiring that such functions when undertaken in incorporated areas meet performance standards developed by the county and affected municipalities and be set forth in a county ordinance.

(2) requiring that in instances where counties undertake to perform functions already provided by their constituent municipalities.

<sup>&</sup>lt;sup>1</sup>Combines, parallels and slightly modifies separate recommendations adopted in Commission Report Nos. A-5 and A-11, pp. 21 and 64, respectively.

<sup>&</sup>lt;sup>2</sup>See Report No. A-22, pp. 75-76, 77 and 80, and Report No. A-31, Vol. II, p. 14.

Recommended in Report No. A-12, p. 71.

<sup>&</sup>lt;sup>4</sup>Recommended in Report Nos. A-12, pp. 67-68, and A-22, pp. 82-83, respectively.

<sup>5</sup>Urban functions may include: fire protection, basic police protection, parking, sewer constructions, refuse collection, animal control, parks and recreation, planning, zoning, code enforcement, subdivision control, public housing, urban renewal, industrial development, water supply, and manpower.

such counties either enhance the quality or scope of such services or make proportionate payments to their municipalities in lieu thereof pursuant to a joint agreement;

(3) delineating uniform procedures for transferring functions between and among municipalities, counties, and multi-county regional hodies including officially designated umbrella multi-jurisdictional organizations: at a minimum, such procedures should (a) involve the repeal of State constitutional and statutory provisions requiring voter approval of proposed transfers. 6 (b) authorize revocation of a transfer when its performance falls below standards initially agreed to in the transfer, and (c) empower a jointly agreed upon body to determine whether a transferred function has not met such performance standards 7

E. Strengthen the State's supportive role in the functional assignment area by:

(1) requiring counties having unincorporated territory or municipalities contiguous to such areas to develop within a specified period effective planning, zoning, and subdivision regulations for such areas, where such do not now exist, provided that where such regulations have not been adopted within the time span stipulated an appropriate State agency would assume the responsibility; and

(2) establishing a program of State technical and fiscal assistance to counties and municipalities for (a) management feasibility studies on transferring and consolidating functions and (h) extraordinary initial costs incurred in actual transfers or consolidations

F. Permit, where the electorate by referendum chooses, the establishment of governmental units capable of providing areawide services. The Commission does not necessarily recommend affirmative action with respect to any of the following options in any specific situation, but believes the people should have available to them a range of choices, which would include:

(1) Multi-county consolidation and assign-

<sup>6</sup>Congressman Brown dissented from the decision to include

County Executive Michaelian favored inclusion of an addi-

tional provision requiring full State financing of newly mandated

or of major expansions of existing State mandated programs.

this probision in this subcomponent.

ment to it of all areawide functions andwhere its geographic scope is adequate-of all umbrella multi-jurisdictional organization functions:

(2) City-county consolidation wherein all areawide and local functions are assigned to the new government and special districts are either merged with or are subordinated to it.

(3) The modernized county, possessing all of the structural, functional, and fiscal powers detailed in Components C and D, with such powers embodied in a new county charter.

(4) The possibility of converting a substate region's officially designated umbrella multijurisdictional organization into a general nurnose government with a directly elected council or a bicameral council, one chamber popularly elected and the other composed of representatives of constituent units of general government

(5) The right to create a regional service cornoration (a) subsuming all existing and proposed greawide special districts, (b) having responsibility for certain areawide functions including, but not limited to, areawide comprehensive planning and land use, transportation, waste disposal, and water supply, which heretofore may or may not have been performed on a regional basis, and (c) with popular election of its policy body.

Such enabling legislation should require that all of the above options would involve approval in a popular referendum by simple concurrent majorities in the central city or cities and in the outlying area or areas in metropolitan areas, by a simple concurrent majority in each of the counties involved in non-metropolitan areas or districts, or by a simple areawide majority.

Such legislation also should stipulate that such referenda could be initiated by any of the following within a substate region:

(1) a single or concurrent resolution of one or more units of general local government comprising a certain percentage of the region's population;

(2) petition of a certain percentage of the eligible voters in the area proposed for inclusion within a new regional unit; or

(3) direct action by the State legislature

(1) the current pattern of local governmental structure and substate regional organization and their viability:

(2) the powers and functions of local governments and substate regional bodies, including their fiscal powers;

(3) the existing, necessary, and desirable relationships between and among local governments and substate regional organizations. including official umbrella multi-jurisdictional organizations:

(4) the existing, necessary, and desirable allocation of State-local fiscal resources;

(5) the existing, necessary, and desirable roles of the State as the creator of the local governmental and substate regional governance systems:

(6) the special problems in interstate areas facing their general local governments intrastate regional units, and areawide bodies, such studies where possible to be conducted in conjunction with those of a pertinent sister State commission(s); and

(7) any constitutional amendments and

statutory enactments required to implement appropriate commission recommendations.

Such commission shall render separate reports on individual topics covered under one or more of these broad subject areas, including whatever recommendations might be agreed upon, with specific bills and proposed constitutional amendments, where needed, being anpended to them; in addition, it shall submit an annual report to the governor legislature local governments, substate regional units, and the citizenry.

#### The Federal Role

Recommendation 2. A Supportive Role

The Commission notes that actions of the Federal government directly affect local governmental institutions and the development of effective substate regional systems. Hence, the Commission recommends that the Executive Branch of the Federal government and the Congress adopt policies which accommodate State and local actions to reorganize governments at the substate regional and local levels.

G. Provide for a broadly representative, permanent Advisory Commission on Intergovernmental Relations to be constituted with adequate staff and funding and charged with studying and reporting on:

#### C.3. Recommendations from

Governmental Functions and Processes: Local and Areawide, Substate Regionalism and the Federal System, Vol. IV.

#### FUNCTIONAL ASSIGNMENT RECOMMENDATIONS

Diverse political forces at all levels of government contribute to the ad hoc nature of service allocations at the State-local level. Local fiscal crises, historical State controls over local government, political traditions affecting the structure and powers of State government, and national program initiatives are but a few of the political influences that now produce an unduly divergent pattern of State-regional-local functional assignments. A more systematic and ordered distribution of functional responsibilities between and among these levels and units of government would produce more manageable and effective service delivery systems in almost any substate region. Federal. State and local governments all must bear

Recommendation 1: State Development and Implementation of an Assignment of Functions Policy and Process

The Commission finds that certain governmental functions and component activities are most appropriately performed on a statewide basis, others as areawide responsibilities, still others as local duties and some as shared tasks of both levels of government. Yet present functional assignment patterns are often haphazardly determined on the basis of fiscal pressures on State or local govenment, the historical and legal status of different types of local governments, and numerous Federal and State program initiatives, all of which often result in inappropriate and conflicting patterns of functional assignment among State, regional, and local governments. The Commission therefore recognizes the need for more consistent and logical assignment of responsibilities. The Commission is convinced that a State Advisory Commission on Intergovernmental Relations or some other suitable State-local instrumentality should be charged with the responsibility of reassessing continually the allocation of functional assignments in the State-local service delivery system. The Commission, however, realizes that there is no single appropriate formula for the allocation of functions among all State, areawide, and local units given the diverse geographic, cultural, social, economic, and political conditions that exist in the country. In light of these findings . . .

The Commission recommends that States enact legislation which establishes an on-going assignment of functions policy and process which will result in a more reasoned and systematic assignment of functions between and among State, local, and areawide units of government. Such legislation should, at a minimum, authorize the State Advisory Commission on Intergovernmental Relations or a similar agency, when no such commission

A. formulate general criteria for assigning new public services and reassigning established or expanded ones, taking into account the desirability of reconciling economic efficiency, fiscal equity, political accountability, and administrative effectiveness in the provision of a public

B. develop on a case-by-case basis specific functional classification standards based on the above criteria for determining the State, areawide or local nature of a function or components thereof, with emphasis on (1) local assignment of functions and activities that have a minimal impact on neighboring jurisdictions or would benefit from service competition, or do not require uniform levels of service, or do require a high degree of political accountability for satisfactory performance, (2) areawide assignment of functions and activities that are primarily redistributive or require a high degree of technical efficiency, or would benefit from regional economies of scale, or would necessitate a large geographic area for uniform or satisfactory implementation, (3) joint or shared regional-local assignment of functions having both areawide and local dimensions and requiring substantial interlevel cooperation for satisfactory performance, and (4) State assignment of functions and activities that require direct Statewide administration or that are beyond the capacity of local or areawide units to perform.

C. seek the assistance of affected local government representatives, associations of local officials, and relevant line agencies of State government in developing functional classification standards pursuant to (B) above.

D. prepare an intergovernmental impact statement concerning any State or locally developed assignment or reassignment proposal or Federal action or proposal affecting State-local service delivery systems. Such statement should evaluate these assignment or reassign-

ment proposals or actions according to the general criteria and functional classifications developed in (A) and (B) above.

E. recommend State constitutional, legislative, or where appropriate, local referendum action for the assignment of new and the reassignment of established or expanded functions according to the classification standards developed in (B) above. All such functional assignments or reassignments should protect the pertinent employment and pension rights of affected governmental employees and the relevant financial obligations of affected jurisdic-

#### Recommendation 2: Complementary Federal Actions

The Commission finds that the planning and districting requirements, administrative regulations, and grantin-aid policies of various Federal programs have not helped States develop a flexible vet balanced functional assignment policy. Some Federally encouraged substate districts can serve as implementation mechanisms while others are confined to being planning and grant management instrumentalities. Some districts have been encouraged to combine with generalist, locally controlled regional councils while others have remained separate, adding a confusing element to substate functional assignments. Federal aid programs often rigidify functional assignments by their funding eligibility requirements.

Witness the independent institutional strength that various regional water pollution control districts have gained from receiving substantial Federal aid. Moreover, Federal legislation and regulations often promote functional assignments-through eligibility and pass-through provisions-that neither reflect existing State and local governments' responsibilities nor a well developed assignment of functions rationale. Only through selected provisions of the Intergovernmental Cooperation Act and OMB Circular A-95 has the national government sought to pursue a uniform policy of disbursing technical and financial assistance to governments designated as service providers by State and general purpose local governments. The Commission believes, therefore, that the Federal government should respect the systematic functional assignment policies developed by State and local governments. In light of these findings.

The Commission recommends that State, areawide, joint (regional-local) or local providers of governmental services designated pursuant to recommendation 1, component E should be recognized as the preferred recipients of all pertinent Federal technical, planning and financial 53 assistance by appropriate amendment of the Intergovernmental Cooperation Act of 1968. The Commission further recommends that OMB modify the A-95 circular to require Federal agencies to take into account intergovernmental impact statements rendered pursuant to recommendation 1, component D in the disbursements of pertinent Federal assistance programs.

Transportation Planning and Decision Making The Commission finds that areawide transportation planning and decision making should be strengthened in both metropolitan and non-metropolitan areas. This strengthening should be achieved by means consistent with the Commission's recent series of reports and recommendations on Substate Regionalism and the Federal System. Thus, in many areas the most feasible approach would be to start with existing regional councils and regional planning commissions, recognize them officially for all areawide Federal aid and state transportation planning purposes, and strengthen their deci-

sion making powers. A second approach arises in cases where areawide local government reorganizations have taken place: here the strategy would be to use these areawide jurisdictions for regional transportation programs. A third possible approach, using state agencies with local ties, arises where the states are already major providers of transportation in metropolitan areas. Hence. . .

A. The Commission recommends that all Federal aid transportation programs requiring, based upon, or supporting areawide planning rely primarily on designated areawide local governments, where such have been established, or where none exists, on the single designated general purpose regional body in each area established for purposes of OMB Circular A-95 by (1) the statewide systems of substate districts in intrastate areas where the states have set up such systems, or (2) joint action of the local governments in intrastate areas where the states have not acted, or (3) joint Federal-multistate compacts, or interlocal agreements in interstate areas.1 In order to facilitate this action, the Federal Aid Highway Act should be amended to modify the "urbanized area" definition of the geographic basis for areawide transportation planning and urban systems funding to permit consistency with Part IV of OMB Circular A-95. Transportation programs for rural and small urban systems and non-metropolitan areas should be subject to the same type of areawide regional planning and decision making single organization designations and geographic criteria.

- B. The Commission also recommends that in those intrastate cases where the governor of a state determines by specific findings that the state has an overriding interest in and commitment to the regional transportation system of one or more designated substate areas, by reason of state agency activities and substantial state financial involvement, and where the state has a strong intermodal department of transportation and intermodal flexibility in using its transportation funds in occordance with overall state policies approved by the governor, 2 a comprehensive multimodal state transportation agency may be established in such areas to assume required Federal aid transportation planning and decision making functions with the assistance of a coordinating committee of local elected officials, provided, of course, that any resulting plan or plans shall be subject to review and concurrence by the appropriate areawide A-95 clearinghouse.
- C. The Commission further recommends that the areawide or state units, designated for multimodal Federal aid transportation planning and decision making in accordance with components A and B of this recommendation, should be empowered, but not necessarily limited, by Federal and state laws and administrative regulations to:3
  - decision making work program in conjunction with other appropriate planning and implementa-
  - (2) plan all transportation facilities, routes, services, and operations - of whatever mode - within its geographic jurisdiction which have multijurisdictional or areawide impact, in-

(1) develop a unified intermodal planning and

cluding annual revision and adoption or readoption of such plans;

(3) resolve - or, in the case of a state unit designated pursuant to component B of this recommendation, help to resolve - any inconsistencies between such transportation plans and other areawide plans for community development, other public facilities, and related servicing pro-

(4) develop a multi-year program of specific transportation projects and services which would implement the transportation plan;

(5) initiate, review, approve or disapprove, and/or modify all transportation projects of whatever mode having multijurisdictional or areawide impact which are not part of a statewide or national system of transportation before such projects may be funded or implemented;

(6) review and concur in any transportation project proposed for the area which would be part of a statewide or national system of transportation, provided however that the governor(s) of the state(s)4 involved may override an adverse decision of the areawide body by a written finding that such decision is in conflict with officially adopted state plans, policies, or action having a statewide impact or in conflict with officially adopted plans, policies, or actions of another such greawide unit:

(7) monitor and participate in regulatory proceedings affecting the provision of transportation services in its area and related development, mobility, and accessibility issues:

(8) In the case of a unit designated under component A of this recommendation, provide or contract for the provision of greawide or interjurisdictional transportation facilities and programs; provided that where such a unit is not an areawide local government such action must be agreed upon by more than fifty (50) percent of the designated general purpose regional body's constituent local governments representing at least sixty (60) percent of the population; and (9) study and consider the present and potential roles of private sector transportation providers - including transit, taxi, trucking, parking, railroad, airline, shipping, and pipeline compan-

ies - as well as public implementation and fi-

<sup>4</sup>More than one state, and therefore more than one governor, would be involved in interstate areas for which a single areawide planning and decision making body is designated pursuant to component A of this recommendation.

inated provision of transportation services in the

nance units, and provide for their needs as may

#### Recommendation 2. Improving Areawide Transportation Delivery

The Commission finds that responsibilities for implementing transportation plans and providing transportation services in many metropolitan and rural areas are currently divided among a very large number of independent private and governmental organizations. making it very difficult to unify intermodal transportation services to serve effectively and efficiently the needs of the public. Hence.

The Commission recommends that states, local governments, and policy units designated pursuant to Recommendation No. 1 develop broader and more systematic institutional approaches to the delivery of areawide transportation services. Specifically, the Commission recommends that states enact legislation which:

A. establishes or provides for designation by the instrumentality called for in Recommendation No. 1 of an areawide multimodal transportation authority to provide directly, coordinate, or assist in financina existing and needed areawide transportation services, and to consolidate or otherwise integrate the transportation activities of existing areawide transportation operating

B. authorizes a range of possible forms for areawide transportation authorities, including:

(1) a reorganized county containing seventy (70) percent or more of a metropolitan or non-metropolitan area's population.

(2) a city acting extraterritorially when it already performs the bulk of the area's non-highway transportation services.

(3) a joint city-county transportation department whose jurisdiction contains seventy (70) percent or more of the metropolitan or non-metropolitan area's population.

(4) a multipurpose or multimodal regional service

(5) a state department of transportation or a state subordinate multimodal regional transportation agency, or

<sup>&</sup>lt;sup>2</sup>In accordance with Recommendation No. 5 of this report. <sup>3</sup>The planning and decision making elements enumerated here are consistent with current Federal laws and regulations governing Federal aid transportation systems. The intent here is to support these practices and recommend parallel state laws. and regulations.

<sup>&</sup>lt;sup>1</sup> These interstate mechanisms are recommended for those metropolitan areas (currently numbering 38) which cross state lines. This recommendation is consistent with Recommendation No. 5 of the Commission's report entitled Regional Decision Making: New Strategies for Substate Districts (1973).

(6) the instrumentality designated pursuant to Recommendation No. 1;

C. authorizes financing of the areawide transportation authority's operations through a combination of areawide taxes, assessments of constituent local governments, fees, and service charges;

D. authorizes the areawide transportation authority to:

(1) designate, concurrently with the instrumentality called for in Recommendation No. 1, major urban and rural regional transportation routes and set the conditions for transport operations along these routes,

(2) reserve, develop, and maintain (a) exclusive or priority travel routes for mass transit, and (b) sites for areawide transport facilities;

E. authorizes general policy control over the designated areawide transportation authority by the planning and decision making units called for in Recommendation No. 1;

F. authorizes delivery of supplementary local transportation services by all units of general purpose local government in metropolitan and rural areas either directly, jointly, or by contract, provided that such services have not been assumed by the designated area-wide transportation authority, and provided further that the plans and programs for such services be reviewed by the instrumentality called for in Recommendation No. I in order to resolve any inconsistencies between such plans and programs and the officially adopted areawide transportation policies and plans.

#### Recommendation 3. Providing More Balanced Federal Financing for Regional Transportation Systems

The Commission finds that the present financing of transportation in urban and rural areas lacks adequate flexibility to meet the multimodal fiscal requirements of these areas. In particular, the Commission finds that mass transportation modes have suffered from this lack of flexibility. The Commission also finds that the current Federal transportation grants-in-aid to urban and rural areas are often complex to administer, not always properly allocated, and fail to provide adequate discretion to urban and rural officials. Hence.

The Commission recommends that Federal transportation finance policies be substantially revised to provide more flexible intermodal funding of regional transportation systems. Specifically, the Commission recommends that the Federal government revise its transportation funding policies by: §

A. enacting a unified multimodal regional transportation program<sup>6</sup> which is:

(1) funded by earmarking of the Highway Trust Fund supplemented with funds appropriated from general revenues;

(2) provided with funds for intrastate regions channeled to those states? which have

(a) strong multimodal departments of transportation.<sup>8</sup> and

(b) substantial intermodal funding from their own sources for regional transportation, or otherwise directly to the policy units called for in Recommendation No. 1; and in the case of funds for interstate regions channeled directly to the policy units called for in Recommendation No. 1;

(3) allocated among the states, with the exception of 15 percent which shall remain as a discretionary fund for use by the Secretary of

tionary fund for use by the Secretary of

Scongressman Fountain dissents from the parts of this
recommendation favoring the diversion of Federal Highway

Trust Funds to a regional transportation block grant and the

removal of all restrictions against the use of Federal urban and

rural transportation systems funds for operation and main-

\*This program would consolidate the urban system portion of the Highway Trost Fund and the UMTA capital grants program in orban areas, and those portions of the Federally alled state high-set reportion of the Federally alled state high-set reportion regions in the transportation of the control of Engineers. This consolidated program could be used for projects of any transportation mode not funded by another

<sup>7</sup> Governor Evans supports the creation and use of effective state departments of transportation. However, he believes that the Federal aid funds provided for in this recommendation should be channeled to the states in all cases, even though such a department may not yet have been created. Therefore, he dissents from those portions of this recommendation which make channeling conditional.

Federal aid transportation program,

8In accordance with Recommendation No. 5 of this report.

9This builds upon previous Commission recommendations in its State Aid to Local Government (1969) and Federal Approaches to Aid State and Local Capital Financing reports (1970).

Transportation in regions with special transportation needs, primarily according to the relative population of the states:

(4)allocated among the regions

(a) in states that qualify for channeling, by a formula developed by the states in collaboration with the policy unit(s) called for in Recommendation No. 1 and approved by the Secretary of Transportation, such formulas to take into account factors similar to those in the Federal formula – provided that 15 percent of all such state area funds be reserved for use at the Governor's discretion in regions with special transportation needs – and

(b) in interstate regions and in states not qualified for channeling, by a Federal formula taking into account the same factors as the formula used for state area allocations—provided that 15 percent of the funds available in these areas in accordance with the formula for allocation of funds among the states may remain as a discretionary fund for use by the Secretary of Transportation in those regions in this group having special transportation needs;

group having special transportation needs; (5) allocated within regions among eligible provider organizations, both public and private, by the policy unit called for in Recommendation No. I for projects and programs that conform to this unit's officially adopted policies, plans and programs.<sup>19</sup>

B. removing all restrictions against the use of Federal urban and rural transportation system funds for operation and maintenance programs.

### Recommendation 4. Improving State and Local Transportation Financing Policies.

State and local governments together finance about two-thirds of all transportation outlays. However, the Commission finds that state and local units frequently face fiscal, structural, and legal constraints that prevent them from targeting their fiscal resources on their most urgent transportation needs. The Commission believes that the time has come to remove these financial shackles from state and local governments so that they can develop more flexible transportation finance policies. Hence. . .

Consistent with its past reports on this subject, the Commission urges the states to modernize their transportation finance programs through oppropriate constitutional and statutory enactments which would:

A permit flexible use of state highway user revenues in order to achieve better funding balance among different transportation modes," In light of developments since adaption of this Commission's report entitled State Aid to Local Government, the Commission also urges states to consider the creation of an expanded multimodal transportation trust fund permitting recipient units to spend such assistance for any transportation project that is in conformance with the areavide transportation plan adopted by the policy unit called for in Recommendation No. 1

B. expand the state financial role in directly aiding a full range of non-highway transportation services including, as appropriate, but not necessarily limited to, airports, mass transit, water, and rail transport:

C. authorise an appropriate state agency<sup>12</sup> to review and approve the transportation resemble bond issues of all state, areawide, and local units of government in order to avoid any type of revenue bond obligation which would cause (a) excessive service charges for the use of transportation facilities, or (b) impediments to the development of a balanced system of transportation facilities;

D authorize state, areawide, and local governments to divert, to the extent that existing indentures allow or can be amended to allow diversion, the surplus revenues of dependent and independent transportation special districts within their jurisdiction for the support of transportation programs that are operating at a deficit; provided that the state government guarantees the bonds of any transportation districts which have had their surplus revenues of diverted:

E. authorize local and state governments to provide financial subsidies to private transportation providers and consumers.

<sup>10</sup> Subject, of course, to the state override noted in Recommendation No. 1.C.(6) of this report.

<sup>11</sup> This builds upon recommendations already made in the Commission's report, State Ald to Local Government (1969).

<sup>12</sup> This agency might be the one already called for in the Commission's report, City Financial Emergencies: The Intergovernmental Dimensions (1973) to supervise local financial management responsibilities.

Furthermore, the Commission recommends that, with state authorization where appropriate, local governments revise their transportation financing policies by adopting transportation pricing programs—parking taxes, group familiary fares for taxis, aiprort landing fees, congestion toils for urban highways, and the like—that would contribute to more effective use of these transport modes in reducing congestion, protecting the environment, and promoting the most efficient use of the nation's energy resources. <sup>15</sup>

#### Recommendation 5. Modernizing State Transportation Planning and Decision Making.

The Commission finds that the transportation programs of most states are still predominantly oriented to highways, and that even in many of those states having multimodal departments of transportation strong and effective coordination among the modes has not been achieved. In addition, many states influence their urban and rural regional transportation systems without the benefit of an adequate intermodal perspective. Though these deficiencies at the state level arise partly from the lack of financial flexibility referred to in Recommendations No. 3 and 4, a substantial share of it comes from certain structural inadequacies within state governments. Hence...

The Commission recommends that each state enact legislation establishing a broad intermedal "Department of Transportation," If it has not already done so, and that all such departments now existing or hereafter created should be headed by a chief administrator:

(1) appointed by and responsible to the Governor of the state, with appointment subject to legislative confirmation where that is the state practice; (2) directly vested with strong and effective intermodal planning, policy making and budgeting capabilities; and

(3) supported by adequate staff to enable him to

<sup>13</sup>The Commission previously has urged that local governments support the linances of general purpose regional planning and decision making bodies that would have a major role in planning more efficient transportation systems. See Recommendation No. 3 in Volume I of the Commission's 1973 report on Substate Regionalism and the Federal System.

carry out these responsibilities; provided that policy decisions concerning regional transportation plans and projects made by the state DOT shall be subject to approval by the Governor acting with the advice of the state's comprehensive planning agency and A-95 clearinghouse and such other state agencies and appropriate local and regional advisory groups as he may designate, and that no applications shall be submitted by the state for Federal regional transportation funds without his approval.

#### Recommendation 6. Reforming Independent Regulatory Bodies to Better Meet Areawide Intermodal Transportation Needs.

The Commission finds that the regulation of routes, fares and other operational aspects of transportation services has too frequently been based on narrow economic objectives, and that the widespread use of separate regulatory agencies for the different transportation modes has hindered solutions to the broader problems of modal productivity and efficiency, intermodal competition and coordination, energy conservation, community development, environmental protection, mobility and access. The Commission also finds that regulations governing land use, the environment and human rights vitally affect the success of transportation programs, but too frequently have been exercised on a different basis than has been used for the regulation of transportation of transp

The Commission recommends that the Congress and state legislatures consider amending their respective laws and interstate compacts establishing the independent transportation regulatory bodies with a view toward (1) consolidating them to combine separate transportation modes, where appropriate, in independent intermodal regulatory bodies; and (2) broadening the public policy objectives which shall be considered and promoted to the extent possible by these independent regulatory bodies to include – in addition to the traditional ones of safety and economism modal productivity and efficiency, energy conservation, desired community development, environmental protection, enhanced mobility, and unhindered access.

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