

functions and possibly lodging all transportation-related regulatory functions in the state transportation department.

3. How can the relation of and coordination between statewide transportation and comprehensive development planning be strengthened and made more effective?

Comprehensive development planning, characterized as a deliberate, purposeful, internally consistent activity and accompanied by the power to implement the resulting plans, is nonexistent. Consequently, it is difficult to conceive of linkages and improved coordination between it and statewide transportation planning. Comprehensive land use planning, designed to achieve accepted social, economic, and environmental objectives, can be established in the reasonably near future. The level of funding contemplated in the national land use policy and planning assistance act would, for the first time, bring the level of support of at least this aspect of comprehensive planning closer to past support of functional planning.

If comprehensive land use planning is established on a statewide level, transportation planning should fit in with it rather than continue to be an independent determinant of land use distribution patterns.

### Resource Paper

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A resource paper could be written on each of the issues assigned to Workshop 4. All that this particular paper can accomplish is to help place statewide transportation planning in perspective given current intergovernmental trends and patterns affecting statewide comprehensive planning, regionalism, and regional structure.

Since universal agreement has not been reached as to precisely what terms and definitions should be used to describe the various aspects and levels of planning, some basic definitions must be set forth to facilitate communication.

1. Regionalism. The use of processes and systems by our 3 tiers of general-purpose government to directly affect persons, the economy, and the natural and man-built environments within geographical areas. Efforts of the federal government to bring the full force and effect of numerous policies and programs to bear on Appalachia to stimulate social and economic progress offer one example. Another example is the action taken by a state legislature a few years ago that altered state general revenue sharing to local governments by changing the distribution formulas to reflect factors such as population and tax effort. This change in process was aimed at eliminating community tax islands and reducing fiscal disparities between central cities and suburban communities as well as between multicounty urban and rural substate districts.

One of the major characteristics of regionalism is a conscious attempt on the part of one or more governments to deal with equity questions. The Minnesota legislature, for example, granted authority in 1970 to a regional organization to collect a significant portion of the taxes paid by new commercial and industrial enterprises anywhere within the region. These taxes are to be reapportioned and allocated to local governments. This redistribution process is intended to provide imbalanced fiscal capacity-fiscal equity communities with what might be termed "regional general fund revenue." The process also represents an attempt to reduce economic competition among communities not consistent with orderly regional development.

2. Regions. Geographical areas used by our 3 tiers of general-purpose government to deal with problems and realize opportunities. National regions are groupings of states by the federal government. Examples include the 13-state Appalachian Region

and the 10 multistate federal regional councils being used to coordinate federal domestic programs. The Southwest Federal Regional Council includes Texas, Oklahoma, New Mexico, Arkansas, and Louisiana.

3. Multistate regions. Groupings of states by federal or state government. The groupings usually reflect unique geographical factors and socioeconomic factors below the national average such as employment, per capita income, and median school years completed. Examples include the Coastal Plains Region (Georgia, South Carolina, and North Carolina), the Upper Great Lakes Region (Michigan, Wisconsin, and Minnesota), and the New York Metropolitan Region (parts of New York, New Jersey, and Connecticut).

4. Substate districts or state planning regions. Groupings of counties and municipalities by state government to foster comprehensive multijurisdictional general-purpose planning and development and to expedite intergovernmental coordination. The multicounty character of these districts and regions tends to distinguish them from groupings often termed subdistricts or subregions (e.g., 2 cities; a city and a county; a county, several cities, and several villages or townships). The number of substate districts or state planning regions is determined by each state government, usually the central agency responsible for statewide comprehensive planning, taking into account quantitative factors and the preferences of local interests (including local elected officials). California has officially designated 10 substate districts; Texas has designated 24. Ohio uses 11 substate service districts for state planning and programming and 15 substate planning regions to determine the boundaries of umbrella regional planning and development organizations. Each planning region is contained within a service district to ensure coordination.

5. Regional structure. The various types of institutional arrangements used by our 3 tiers of general-purpose government to formulate policies and plan and implement programs and projects within regions. The Appalachian Regional Commission and the 10 federal regional councils are federal regional structures used in conjunction with national regions.

The Coastal Plains Regional Commission and the Upper Great Lakes Regional Commission are examples of regional structures used by federal and state government in conjunction with multistate regions. The Tri-State Regional Planning Commission is an interstate compact regional structure relied on by the states of New York, New Jersey, and Connecticut.

Councils of governments, associations of local governments, economic development commissions, and other forms of multijurisdictional organizations responsible for comprehensive general-purpose planning are types of regional structures used by local and state governments in conjunction with substate districts or state planning regions. The term regional council is used by the National Association of Regional Councils (NARC) when referring to any regional structure that reflects multijurisdictional representation on its governing body and carries out a multipurpose or multifunctional program. More than 600 regional organizations meet this criterion. Most regional councils service an entire substate district within a state, but there are notable exceptions. For example, the Metropolitan Regional Council's service area includes portions of New York, New Jersey, and Connecticut; the Ohio-Kentucky-Indiana Regional Planning Authority's service area includes a portion of each state. Examples of single-state regional structures include the North Central Texas Council of Governments (NCTCOG), the Association of Bay Area Governments (ABAG), the Atlanta Regional Commission (ARC), the Central Savannah River Area (Augusta) Planning and Development Commission, the Baltimore Regional Planning Commission (a state agency), the Metropolitan Council (Minneapolis-St. Paul), and the Southeast Michigan Council of Governments (SEMCOG). The San Diego County Comprehensive Planning Organization is unique in that it serves a 1-county substate district. All other California districts contain from 2 to 10 counties.

For the purposes of this resource paper, the term regional council also refers to regional structures classified as umbrella multijurisdictional organizations (UMJOs) by the 7 major national public interest groups (including the National Governors' Conference and National Legislative Conference) in 1972. An UMJO is defined as follows (1, p. 7):

A multijurisdictional organization which has policy control over two or more functional planning and policy development programs, each functional program having a corresponding advisory committee to assist the policy board of the umbrella multijurisdictional organization. An umbrella multijurisdictional organization has coordinative powers and the ability to mediate conflicting policies among independent single-purpose, functional agencies.

6. **Comprehensive general-purpose planning.** Planning carried out by a comprehensive multistate planning and development organization (e.g., Coastal Plains Regional Commission), a comprehensive statewide planning agency (e.g., Pennsylvania Office of State Planning and Development, New York Office of Planning Coordination, Georgia Office of Planning and Budget), or a regional council-UMJO (e.g., ARC). The distinguishing feature of this type of planning is that it is usually directly responsible to a governor, as chief state planning officer, or to chief local elected officials, as members of a policy body. This type of planning (although it also takes place at the subdistrict, county, and city levels) at the state and substate district levels is the focus of this paper.

Comprehensive planning involves research and analysis, policy formulation, program development, and performance evaluation. Its precise scope and depth are largely determined by the chief executive user or users. It always attempts to deal with the whole as being greater than the sum of the parts. Thus, heterogeneous functions, programs, projects, and activities are integrated to facilitate decision-making by executive and legislative branch officials.

7. **Functional planning.** Planning carried out by a single- or limited-purpose multistate agency (e.g., the Tri-State Transportation Commission); state "mission" (i.e., line operating) departments and agencies (e.g., a department of transportation); special-purpose state agencies (e.g., comprehensive health planning commission); single- or limited purpose organizations (e.g., comprehensive health or health planning agencies) at the substate district and subdistrict levels; general-purpose mission departments and agencies of local governments (e.g., Wayne County Highway Commission); and special-purpose local agencies, districts, and authorities (e.g., a single county port and harbors authority).

The use of "comprehensive" as an adjective in federal statutes and regulations referring to certain functions (e.g., comprehensive health, comprehensive manpower, comprehensive transportation) has often blurred the distinction between comprehensive general-purpose planning and comprehensive functional planning.

8. **Comprehensive planning.** Planning carried out by comprehensive multistate and statewide planning agencies and regional councils-UMJOs.

9. **State planning agency (SPA).** The comprehensive statewide planning agency in each state.

10. **Statewide transportation planning (STP).** Functional transportation planning even if it is multimodal in character.

11. **Regional development.** Planning and development at the substate district or state planning region level that is linked to statewide comprehensive planning and statewide transportation planning. Regional development may take place at the international, national, multistate, substate district or state planning region, and subdistrict or subregion levels. Although some attention is devoted to multistate regional planning and development in this paper, the major focus is on substate district or state planning region.

In addition to the definition of terms, the acronyms of the various agencies and programs referred to in the paper are given below:

<u>Acronym</u>	<u>Agency or Program</u>
ABAG	Association of Bay Area Governments
ACIR	U.S. Advisory Commission on Intergovernmental Relations
ACSC	Area of Critical State Concern
APDC	Area Planning and Development Commission
ARC	Atlanta Regional Commission

BARTD	Bay Area Rapid Transit District
BCDC	Bay Conservation and Development Commission
COG	Metropolitan Washington Council of Governments
CPO	Comprehensive Planning Organization
CRS	Congressional Research Service
DECD	Department of Economic and Community Development
DOT	U.S. Department of Transportation
DRI	Developments of Regional Impact
EDA	Economic Development Administration
EDD	Economic Development District
FAA	Federal Aviation Administration
FEA	Federal Energy Administration
FHWA	Federal Highway Administration
HGAC	Houston-Galveston Area Council
HHFA	U.S. Housing and Home Finance Agency
HUD	U.S. Department of Housing and Urban Development
LDD	Local Development District
MARTA	Metropolitan Atlanta Rapid Transit Authority
NARC	National Association of Regional Councils
NCTCOG	North Central Texas Council of Governments
NRB	National Resources Board (1934)
NRC	National Resources Commission (1935)
NRPB	National Resources Planning Board (1939)
OMB	U.S. Office of Management and Budget
PPBS	Planning, Programming, Budgeting System
RIP	Regional Improvement Program
RTPAC	Regional Transportation Policy Advisory Committee (Texas)
SCAG	Southern California Association of Governments
SEMCOG	Southeast Michigan Council of Governments
SEMTA	Southeast Michigan Transportation Authority
SPA	state planning agency
STP	statewide transportation planning
TPA	transportation planning agency
UMJO	umbrella multijurisdictional organization
UMTA	Urban Mass Transportation Administration

The authors have used a wide variety of primary and secondary materials in preparing this paper. A number of officials and staff at the national, state, and substate district levels were personally interviewed, and a telephone survey involving 10 selected regional councils was conducted. The full cooperation of these officials and staffs from various parts of the nation indicates that there is a great interest in strengthening transportation planning at the substate district level through regional councils-UMJOs. The findings and recommendations reflect the input of many people in addition to those of the authors.

## REGIONALISM AND TRANSPORTATION ISSUES

Not since the establishment of the Public Works Administration during the Great Depression in 1933 have so many top elected officials at every governmental level and leadership officials of almost every segment of the economy demonstrated such an interest in regionalism and regional structure. The general consensus that seems to be building up reflects the following considerations:

1. Current public policies, processes, systems, and institutions are no longer adequate to solve complex interrelated problems and to realize opportunities associated with human, economic, and natural resources;

2. Tinkering with existing situations will not suffice—fundamental changes are required;

3. A central focal point is needed within the federal executive branch to deal with national growth and development and to coordinate federal policies and programs;

4. Regionalism involves addressing problems and opportunities through policies, processes, and systems (e.g., the proposal for a national development bank) and through regional structures; and

5. Multistate and statewide planning and development systems linked to substate district regional councils-UMJOs are necessary and in the national interest.

The national administration's posture on regionalism is curious and in many ways paradoxical. The validity of multistate regional planning and development commissions established under Title V of the Public Works and Economic Development Act of 1965 and the Appalachian Regional Commission has been questioned by administration spokesmen. U.S. Department of Housing and Urban Development (HUD) officials remain intent on divesting the federal government of any parental responsibilities for regional councils-UMJOs and claim it is time for state and local officials to decide the future of these regional structures. Budgetary cutbacks initiated or allowed to occur by the administration have severely weakened the capacity of HUD and other federal agencies to encourage and support various types of regional structures. The Economic Development Administration (EDA) of the U.S. Department of Commerce and the Appalachian Regional Commission is finding it increasingly difficult to relate to regional structures serving multicounty economic development districts (e.g., economic development commissions, area planning and development commissions) and local development districts.

Many aspects of federal general revenue sharing, the administration's proposed Better Communities Act (i.e., special revenue sharing for community development), and the implementation of functional policies and programs (including manpower and transportation) by administration officials can be viewed as detrimental to regionalism and regional councils-UMJOs. A discretionary action by HUD officials allowing every state government to assume responsibility for federal comprehensive planning and management assistance to "metropolitan" regional councils-UMJOs and cities with a 50,000 or more population effective January 4, 1974, drew a response from NARC in the form of a lawsuit.

Conversely, many of the administration's special revenue-sharing proposals would strengthen the comprehensive planning responsibilities of SPAs and regional councils-UMJOs. The September 1972 report by the Congressional Research Service (CRS) on national growth and development policy actions notes (2, p. 13):

Section 6(c) of the transportation revenue sharing proposal (S 1693) would permit the Secretary to make funds, up to ten percent not otherwise statutorily appropriated, available at his discretion. This discretion is, however, guided by "areawide stimulator and sweetener" language which provides that the Secretary shall make additional commitments to a consortium of governments equal to 10 percent of the shared revenue received by such consortium through State apportionment. This areawide provision is designed to encourage State governments to "pick up the reins" of areawide planning and development. It is significant that the term "consortium of governments" is defined in the bill as any association which is formed by general purpose governments located within a metropolitan area the combined population of which constitutes at least 75 percent of the total population of the metropolitan area. Section 6(c) specifically directs the Secretary to give priority to assisting recipients in developing and implementing comprehensive transportation plans, establishing consortia of governments in metropolitan areas having powers to implement comprehensive transportation plans for the various jurisdictions comprising the consortia.

Regional councils-UMJOs would qualify as consortia of governments relative to planning funds, but most would not qualify for action (e.g., construction, equipment acquisition) funds because they lack implementation authority.

The gap between promise and performance has expanded since the special revenue-sharing proposals were introduced. The specific financial incentives for areawide approaches to manpower have given way to pragmatic administration decisions that have compromised regional councils-UMJOs in their relations to large central city and urban county members as well as to state manpower agencies. Administration officials have allowed similar situations to occur in several states relative to transportation planning. The Texas situation will be further discussed in later sections of this paper.

On a more positive side, the Office of Management and Budget (OMB) issued a revised version of Circular A-95 in November 1973 to become effective January 1, 1974. The circular strengthens the role and broadens the responsibilities of regional councils-UMJOs and other types of regional structures designated as review and comment agencies. Part III of the circular provides a new framework for coordinating planning between state agencies and regional councils-UMJOs. Multisource programs, including the Unified Work Program of the U.S. Department of Transportation (DOT), are specifically referenced. OMB's action has been favorably received by NARC and its constituency as well as by the National Governors' Conference and states with policies and programs in support of regional councils-UMJOs.

Congress is taking a new interest in regionalism and regional structure. This is partially due to the fact that NARC and other proponents have shifted their attention to Congress, given the erratic behavior of the executive branch. It is also attributable to many proposals being developed by individual congressmen and private sector organizations. Congressional versions of community development special revenue sharing and national growth and development proposals all recognize the desirability of some type of planning system that includes the substate district level. There is less agreement, however, on the type of regional structure that should be encouraged. The regional council-UMJO approach seems to offer the most practical approach. There is evidence that congressional committees are more comfortable with this approach than ever before.

The proposed Land Use Policy and Planning Assistance Act and other national land use proposals have sparked considerable interest in planning and development at the state and substate district levels. Senator Henry M. Jackson's bill requires each state to develop a statewide land use planning process and a land use program. The importance of interstate land use planning and management is also recognized.

Proponents of regionalism and regional structure would like the national land use legislation that is enacted to specifically provide regional councils-UMJOs with strong policy and planning roles. There is some concern that land use planning might lead to the establishment of new functional agencies at the state level with new functional agencies and constituencies at the substate district and local levels. The Council of State Planning Agencies and other organizations supportive of comprehensive planning want land use planning and management systems linked to comprehensive planning at the state and substate district levels to ensure multijurisdictional and multifunctional coordination.

The testimony reflected in the many hearings associated with national land use planning is replete with references to the importance of linking transportation and land use in terms of policy formulation, planning, and program implementation. There is little question that all states will have to come to grips with new processes and mechanisms to ensure the coordination of statewide land use planning with statewide transportation planning within the next 2 or 3 years.

Congressional interest in comprehensive planning and development systems is also on the rise. Serious proposals have been made to transfer the comprehensive planning assistance program administered by HUD to the U.S. Office of Management and the Budget (OMB). Although this movement is partially attributable to a growing dissatisfaction on the part of many states, regional councils-UMJOs, and local governments relative to HUD's policies and administrative regulations, it also reflects a growing recognition that support for comprehensive planning must come from the Executive Office of the President. The testimony of local elected officials on behalf of the National League of Cities and the U.S. Conference of Mayors before congressional committees acknowledges the importance of comprehensive planning and supports a major new role

for OMB as one of the president's principal staff agencies. Many long-time observers of the congressional mood seem willing to earnestly speculate that Congress will turn to OMB as the focal point for comprehensive planning, intergovernmental planning and program coordination, and national policies in support of regionalism and regional councils-UMJOs. A few observers feel that Congress will establish new institutional arrangements.

Senator Hubert H. Humphrey's 1973 proposal for achieving balanced national growth and development calls for a basic restructuring of the federal executive and legislative branches along with the establishment of a top-to-bottom national planning and development system (3). Although the proposal deals extensively with organization and structure at every governmental level, it also sharply focuses on the use of policies, processes, and systems to solve fundamental problems and realize opportunities. An office of balanced national growth and development within the Executive Office of the President is called for. Guided by a cabinet-level council, the new functions of the new office would include the following (3, p. 12):

assess national needs, goals, and priorities, evaluate effects of present and proposed Federal tax incentives and State and local government tax policies upon the private industrial mix and location in the context of balanced national growth, evaluate all present and proposed Federal credit programs, and evaluate the effects of fiscal and monetary policies and other economic stabilization tools that may be adopted upon changes in income and the composition of economic production.

The envisioned national growth and development policy would be implemented through "a national regional development system of regional commissions" (3, p. 10). Selected features of this proposed legislation include the following:

1. Consolidation of federal comprehensive planning and planning assistance programs;
2. Establishment of 8 to 12 multistate regional planning and development commissions with a federal-state membership, including governors and state legislators;
3. Recognition of a unified national planning and development system encompassing comprehensive planning at the federal, multistate, state, substate district, metropolitan, and local levels;
4. Transfer of the comprehensive planning assistance program authorized by Section 701 of the Housing Act of 1954, as amended, from HUD to the new office with additional appropriations to encourage and strengthen a single umbrella comprehensive planning agency for each state and substate district;
5. Establishment of uniform planning requirements for federal grant-in-aid programs;
6. Use of common policy and planning information by comprehensive planning agencies at every governmental level;
7. Strengthening of the federal legislative branch by creating a joint committee on balanced national growth and development and a congressional office of policy and planning;
8. Creation of a federal independent agency called the "Foundation on the American Future" to stimulate and guide basic research pertaining to national growth and development;
9. Establishment of a federal independent agency called the "National Citizens Council on the American Future" to advise the new office and Congress; and
10. Encouragement of public and private sector officials at the state and local levels to establish multistate and state citizens councils.

Transportation is recognized as a key factor in regional planning and development throughout the proposal (3, p. 9).

The development of a balanced and efficient transportation system is essential to the commercial life and general welfare of the people, and present transportation facilities, rate structures,

planning and development are inadequate to meet minimum current and future needs.

The "development of an integrated national transportation system" is identified as a national goal along with references to full employment; income distribution; environmental quality; "coordinated land use planning, regulation, and development among governments in a region"; a national communications system; energy; housing; new communities; health care and services; manpower training; educational opportunity; and productivity (3, pp. 10-11).

This far-ranging proposal is rated just short of treason by the Committee to Restore the Constitution, Inc. and other opponents of regionalism and regional structure in any form. Indeed, it is considered by many liberal proponents as being too radical. The important significance is that it was submitted to the Joint Economic Committee of Congress to stimulate debate on the need to overhaul our federal system rather than merely tinker with it and remain captive to a mentality that suggests incremental change is the only change possible.

Trends at the national and state levels suggest that the time for fundamental change has come. Proposals and concepts labeled as radical, foolhardy, and idealistic a few years ago are now ingrained in new public policies, processes, programs, and institutional arrangements. After ticking off an impressive list of significant changes that have occurred during the past few years (including enactment of federal general revenue sharing, passage of the Florida Environmental Land and Water Management Act, establishment of a statewide and 6 regional coastal zone conservation commissions through citizen initiative to protect more than 1,000 miles of Pacific shoreline, and national land use legislation pending before Congress), a report by California Tomorrow states (4, pp. 9-10):

The opinion polls reflect the growth of an ominous public attitude, to more and more people "government"—any level of government—seems the automatic enemy, intimidating the citizen by petty unpleasantness, bad service, or sheer size. So it is not surprising that so many people—conservationists, advocates of social causes, businessmen, politicians—are asking for some basic change in government, some thorough reform.

The facts, as outlined, convincingly support the contention that the "restructuring of government, then, is not just some vague future dream. It is all around us, a pressure, a necessity" (4, p. 12).

The National Regional and Area Development Act (5), drafted by a task force of the National Governors' Conference, is not quite so sweeping as Senator Humphrey's proposal. But, it also focuses on the need for "a national policy that would guide the mobilization of the nation's resources in order to achieve balanced national development" and would establish "a nation-wide system of planning and development regions" (5, p. 1). Multistate regional commissions would be expected to "prepare comprehensive and coordinated regional development plans; administer grants to States to support approved State and area development programs and projects" (5, p. 1). At the national level, the proposal would establish an agency for regional and area development in the Executive Office of the President. At the state level, the proposal would require that states establish statewide planning and development systems, including the use of state-certified substate districts or state planning regions and regional councils-UMJOs.

Comprehensive planning as envisioned in this proposal includes transportation as a major element. A broad array of federal funding incentives in support of regional development, including the establishment of a national development fund, would be provided. The funding of demonstration and special projects "to discover or test new and innovative solutions to basic developmental problems having nationwide significance" would include public transportation (5, p. 36).

Many examples could also be cited to demonstrate that individual state governments are taking a great interest in solving problems and realizing opportunities within the framework of regionalism. Again, transportation is acknowledged to play a key role in dealing with matters of social and economic equity as well as regional development.



Several examples, including Florida's approach to developments of regional impact under the Environmental Land and Water Management Act of 1972, are discussed later.

Clearly, one fact is evident on the intergovernmental scene today. Regionalism is coming into its own as a subject area of public policy. The hearings and research on substate regionalism conducted by the U.S. Advisory Commission on Intergovernmental Relations (ACIR) during 1972 and 1973 indicate that elected officials at every governmental level now recognize that regional considerations will affect all areas of public policy. ACIR's continuing work also reveals that more and more elected officials are making a basic distinction between solving problems and realizing opportunities through regional policies, processes, and systems (including the use of public regulatory powers) and the use of various types of regional structures (including multistate regional development commissions and regional councils-UMJOs). Transportation issues are definitely affected by this trend. The theory and practice of regional planning and development acknowledge the importance of transportation in shaping our social-economic-physical environments.

## PUBLIC POLICY AND REGIONALISM

### National and Multistate

To fit a discussion of public policy and regionalism into neat packages is difficult. Policy initiatives between the federal and state levels are often blurred in history. The 1972 ACIR report traces the involvement of the federal government with various concepts of regionalism (i.e., geographic, economic, social, administrative, and planning) since their emergence in the period between 1900 and 1933. The report notes (6, p. 6), "With the creation of the multi-purpose TVA in 1933, the first comprehensive multistate regional authority came into existence." The establishment of the Public Works Administration in 1933 and the National Resource Board (NRB) in 1934 focused national attention on multistate and substate district regionalism for comprehensive planning purposes. By 1935, the National Resources Commission (NRC), which the NRB became, was encouraging every state to establish some form of central state planning board or agency, delineate multicounty planning regions or districts, and encourage the establishment of substate regional planning boards or agencies. Every state but one responded by establishing a new agency to coordinate economic recovery efforts and foster planned growth. These state planning agencies were usually established under the direction of a semiautonomous or autonomous board-commission not responsible to the governor. Inventories, reports, programs, and projects developed by these state entities, and their substate district counterparts reflect an attempt to be comprehensive in dealing with social-economic-physical problems. Transportation is almost always visible in such documents as are land use, employment, housing, and public works facilities.

Interest in multistate and substate district regionalism waned at the national level with the advent of World War II. New federal and state agencies were established to deal with resource allocations, mobilization, rationing, regulations, coordination, and postwar reconversion.

The NRC became the National Resources Planning Board (NRPB) in 1939, and that board was abolished in 1943. The special purpose wartime entities at the national and state levels were gradually phased out of existence. Lacking an agency in the federal executive branch to provide inspiration and policy support, state planning programs and entities were gradually abolished or lodged in major state agencies responsible for postwar economic recovery, development, and expansion. Further evolution of general public policy theory and practice in support of regionalism at the national and state levels was set aside until the mid-1960s. Federal policies and actions in direct support of regionalism, such as the Federal-Aid Highway Act of 1962, did not really begin to converge within a general, albeit vague, national policy framework until 1965.

The Public Works and Economic Development Act and the Appalachian Regional Development Act of 1965 focused attention on national and multistate regionalism. These

and other pieces of federal legislation, including the Water Resources Planning Act of 1965, stimulated state and local public officials to once again consider ways and means to solve problems and realize opportunities at the multistate and multicounty substate district levels through policies, processes, systems, and new regional structures.

The president and the federal executive branch offered many initiatives to Congress between 1960 and 1968 in support of regionalism and regional structures. Policies, processes, and systems were also relied on to encourage governors and local elected officials to support regionalism and regional structures at the multistate and substate district levels. In addition, federal incentives were offered to governors in support of the establishment of overhauling of statewide comprehensive planning programs directly responsible to the governor, as chief state planning officer. HUD emerged as the focal point during the mid-1960s for national policies in support of statewide planning systems linked to multistate and substate district regional structures.

As indicated earlier, the current national administration has chosen not to advance strong and consistent policies and programs in support of regionalism and regional structure. Rather, the initiative has shifted to Congress, the major national interest groups representing state and local governments, and other interested parties. The net result of this situation is that a clear and consistent national public policy in support of regionalism will be delayed as the executive and legislative branches move along different routes at different planes. The following ACIR findings seem noteworthy (6, p. 9): "Regionalism remains current due to the multiplicity of regional problems encountered in modern life; it also remains a delicate task to fit regional institutions into a political system that is not organized along regional lines."

ACIR has recommended that the several types of multistate regional processes and structures established pursuant to various federal statutes "be retained pending further experience and further recommendations by the commission as to what form of multistate regionalism, if any, should be adopted" (6, p. 208). The authors support this recommendation based on field work completed in conjunction with this paper. The policies, processes, plans, and programs developed by various multistate regional structures and linked to federal incentives and requirements have stimulated state and local governments to move forward in formulating public policies supportive of regionalism. The "backbone transportation plan and program" developed through the Upper Great Lakes Regional Commission has, for example, influenced the manner in which dollar allocations have been made by federal, state, and local agencies. Equally important, transportation decisions have been made by taking into account their probable impact on other public functions; on the economic development of each state, appropriate substate districts, and local communities; on citizens; and on the man-built and natural environment. This type of process seems important to refine, for it offers a basis for ensuring some measure of regional comprehensiveness in public policy-making.

Georgia's participation in the planning and programming processes of the Appalachia Regional Development and the Coastal Plains Regional Development is reflected throughout the state-prepared biennial development programs and multiyear investment plans. Equally important, this participation has enabled Georgia state and local officials, as well as the private sector, to gain experience in working with the statewide system of multicounty area planning and development commissions (APDCs) within the framework of a statewide planning system. Transportation policies, plans, programs, and projects have been placed in better total perspective at every governmental level through this imperfect, but working system.

There is a need, in the opinion of the authors, for a national policy supportive of multistate regionalism and regional structures within the framework of a broader national growth and development policy. Transportation planning and decision-making must be addressed by these policies so that guidance can be provided to state and local governments as to their roles in regional planning and development at the multistate and substate district levels.

The developing 253-mile Tennessee-Tombigbee Waterway involves 5 states and numerous regional councils and local governments. It illustrates the need for statewide planning systems that can assist public officials at every governmental level to set prior-

ities and make informed decisions on matters affecting the future of the nation, states, substate districts, and local communities.

The development is being coordinated by the 5-state Tennessee-Tombigbee Waterway Development Authority established by interstate compact. Massive federal funding commitments have already been made, and state policy and program decisions are constantly being made outside of a comprehensive planning framework. Yet this development will have a profound effect on the national economy (including energy policies) and on citizens, economies, and man-built and natural environments of each state. One could readily ask, Where lies the national interest?

Today, the authority is seeking HUD funding to initiate a multiyear comprehensive planning and development process before it is too late. This process centers around each SPA; encourages each state to develop and implement a biennial waterway development program and a multiyear waterway investment plan; and provides for the direct involvement of substate district agencies in each state. Every mode of transportation is covered by the authority's preliminary overall program design. A federal executive branch focal point that can relate this type of development to national growth and development and expedite intergovernmental policy and program transactions among federal, multistate, substate district, and local governments is desirable and necessary. How otherwise can national functional interests (e.g., transportation, employment, housing) be coordinated and served?

### State

State policies and programs in support of regionalism and regional structure show no definite trend. A handful of states have taken purposeful actions to deal with matters of social-economic-environmental inequities and imbalances through policies, processes, and systems that reflect regional considerations. Michigan is experimenting with state general revenue sharing and other approaches to intergovernmental fiscal relations designed to realize statewide goals and objectives. New York has built up considerable experience in trying to affect the growth and development of substate districts and communities through state policies and programs. The New York Urban Development Commission's efforts in support of new communities offer one example. The location and siting of state office buildings and other major state facilities to realize community development goals and objectives (including central city revitalization and stabilization) provide another example.

The attention focused on the need for a national growth and development policy has stimulated many governors to show interest in the development of state growth and development policies. The governors of Oregon and Florida, for example, have raised the issue of growth versus no growth to new levels of public visibility and dialogue. Hawaii, Vermont, Florida, and several other states have indicated a willingness to use state laws and regulatory powers to deal with land use and other aspects of development that affect citizens, the economy, and the man-built and natural environments.

Despite the progress made by some states, there are no model state policies, processes, and systems relative to how state governments should approach regionalism. The Georgia approach through a biennial development program, a multiyear investment plan, and constant interactions with regional councils suggests one alternative. Most states are hampered by the same institutional weakness evident at the national level. There is simply no focal point within the executive branch responsible for developing a policy on regionalism and regional structure. Thus sporadic and haphazard approaches are often relied on. All too often, states respond to federal incentives or requirements or both outside the framework of a statewide strategy or policy.

The early and mid-1960s witnessed a trend on the part of governors to establish or overhaul statewide comprehensive planning programs. Three of the 37 SPAs existing as of 1960 were located in governors' offices (used here to include the executive office). By 1969 there were 50 SPAs; 20 were located in governors' offices, and several were pending transfer. This trend continues with approximately half of all SPAs now located

in offices of governors. SPAs received strong policy and financial support from HUD between 1960 and 1969. Although the legal status, authority, organization, structure, and staffing of SPAs varied widely, they were all moving to become the focal point for statewide comprehensive planning. Members of the Council of State Planning Agencies were able to reach general consensus that comprehensive planning includes the coordination of functional state planning and intergovernmental planning relations involving multistate regional structures, the delineation of official substate districts of state planning regions, and the establishment and development of various types of regional councils and subdistrict and local governmental planning agencies.

A 1970 special report to the U.S. Department of Transportation (DOT) noted (7, p. 2),

The state planning agency, however, is one of those few and, we would argue, the most likely set of points where the totalities of public policies are considered. In our view it is more probable that the prospects for relating functional plans to larger and more nearly comprehensive policy frameworks are apt to occur within a state planning agency

The report also documents the volatile nature of statewide comprehensive planning within an extremely competitive bureaucratic and political environment. The study attempted to answer several key questions (7, p. 8): "Does the state planning agency have formal jurisdiction for the physical, social, and economic development of the state? That is, is state planning reasonably comprehensive?" The finding was that it is not. Only 13 of the SPAs existing at that time possessed a legislative mandate to engage in comprehensive planning. Twenty-one SPAs had undertaken this responsibility, including 6 of those with a mandate (7, p. 8).

A closer examination of the work programs of SPAs indicated an even worse picture. The researchers found that none of the SPAs was adequately dealing with the 4 broadly defined public policy sectors of transportation, human resources and environment, economic development, and other physical facilities including public works and facilities, parks, and sewage systems (7, pp. 44-45). With regard to transportation the researchers concluded (7, p. 42), "There is no missing the message—the transportation policy sector is simply not an integral or prominent part of state planning agency programs." This policy sector was defined to include roads and streets, land use and open space, airports, waterways, and transportation. Only one SPA was involved in all 5 areas, and only 17 were involved in more than one. At that, the researchers found that SPAs were "taking a rather 'scattershot' approach with no clearly agreed upon focus" (7, p. 45).

On the positive side, the researchers felt (7, p. 39),

Strengthening of the chief executive in the states is also at work here as governors work with the more comprehensive problems of transportation within their states. Certainly the emphasis in the regional development programs such as Appalachia, the Rocky Mountain Federation, the New England Commission, etc—all elevate the governor to a prime role in interstate cooperation especially in the field of transportation.

The report suggested (7, p. 46),

Clearly some remedial actions and efforts are necessary to (a) raise the transportation component to a higher surface visibility within existing comprehensive state planning and policy efforts and (b) link the transportation policy sector more effectively to policy coordination at the state level

A current general assessment of SPAs by the authors indicated that the national situation has not changed drastically since 1969. Many SPAs have experienced substantial personnel and organizational changes because of changes in party administration and pressure placed on the governor by strong functional interests and legislatures. The once-vaunted New York Office of Planning Coordination, for example, has been severely weakened by legislative actions even though it still remains a staff arm to the governor and enjoys his support.

Other shifts have also taken place that may strengthen or weaken statewide comprehensive planning as it relates to growth and development policies. Several major states have moved to consolidate their SPAs with the central budget agency. Georgia, for example, abolished its Bureau of State Planning and Community Affairs in the office of the governor as the result of a 1971 gubernatorial-initiated executive reorganization program. A streamlined Office of Planning and Budget was established and many of the former bureau's responsibilities, including relations with regional councils, are now lodged in the Department of Community Development. Michigan, Ohio, and several other states have also drastically realigned their institutional arrangements to link comprehensive planning closer to the budget process. This approach offers the advantage of placing planning staff in the resource allocation decision-making stream. The disadvantage lies in the fact that the budgetary focus is usually internal. Thus, planning staff may lose the ability and incentive to engage in the external intergovernmental planning relations associated with policies, processes, and systems designed to affect growth and development at the multistate, state, substate district, subdistrict, and local governmental levels.

Despite many studies and recommendations stemming from the Council of State Governments, the Council of State Planning Agencies, the National Governors' Conference, federal agencies, states, and other sources, there is no indication that governors and legislatures are yet willing to fully accept the concept of a strong central SPA responsible for comprehensive planning. General rejection of the concept of a strong central SPA and a comprehensive state plan in favor of an SPA responsible for stimulating policy trade-offs and planning coordination through a continuing comprehensive statewide planning process is the course that appears to be most acceptable to governors and legislators.

The controversial California Tomorrow Plan, like Senator Humphrey's proposal, addresses the systematic problems that hinder comprehensive planning. The plan calls for a major restructuring of the governmental processes and institutions from the state level down to the local level. The proponents deserve a fair hearing. They have put their finger on the real issues that will determine the future capacity of states to formulate and enunciate a comprehensive public policy in support of regionalism and regional structure.

The existing California situation is described as one in which "politicians pay lip service to 'coordination' and 'comprehensive planning,' but no integrated framework exists for making public policy" (8, p. 24). The plan represents an approach to establishing a new political framework that "guarantees strong public control over state conservation and development policies at every level. It offers the opportunity for citizen involvement when policies and programs are being formulated, and when they are being carried out" (8, p. 43).

The responsibility for developing "central policies" and preparing an annual comprehensive California state plan would rest with an 11-member state planning council. The governor would serve as chairman, and 3 cabinet members would serve ex officio. Seven members appointed by the governor and confirmed by the senate would represent the general public. Public members would receive cabinet-level pay, and the council would have its own staff.

The plan and corresponding regional plans would contain a section dealing with statewide growth and development. Land use, transportation, energy, and environmental standards would be reflected in this section. To ensure implementation, the council would assume the budgeting responsibilities of the Department of Finance, and the annual plan would specify short- and long-term goals, policies, programs, and budgets.

The legislature would be responsible for annually adopting the plan and a coordinated budget. State executive agencies would be responsible for action implementation.

The plan envisions a statewide planning and financing system with 10 multipurpose regional governments responsible and accountable to citizens as the keystones. Citizen participation and involvement are provided for at every level; new emphasis is placed on the use of elected community councils at the local government levels (e.g., the East Palo Alto Municipal Council established in 1967 by San Mateo County as authorized by the state legislature).

This radical proposal may not be viewed as radical at all by the year 2000. Several radical legislative proposals dealing with regional planning and regional government now pending in the California legislature will be briefly discussed in the next section of this paper. Enacted and pending California legislation that "radically" affects transportation planning at the state and substate district levels will be briefly discussed in the last section.

The use of policies, processes, and systems by state governments to realize growth and development goals and objectives is catching on. This is most significant because it allows governors and legislators to break out of the "institutional mentality" that prevents decision-makers from dealing with systematic problems. Proponents argue that this approach is the only way for states to forge strong policies in support of regionalism. They also contend that old institutional arrangements will give way to new ones. In short, form will follow substance or process. They may be right.

The Florida Environmental Land and Water Management Act of 1972 provides an example. The act deals with 2 statewide concerns: "(1) areas of critical state concern, and (2) developments of regional impact" (9). The Division of State Planning in the Department of Administration is responsible for implementation.

The 4 major participants relative to developments of regional impact (DRI) are "developer, local government, regional planning agency, and Division of State Planning" (9, p. iii). The roles of these participants were structured not merely in response to existing institutions but by working through the process. Thus, process was allowed to dictate or at least strongly influence institutional arrangements and roles. Regional planning agencies (i.e., regional councils) have "the principal responsibility . . . to prepare reports and recommendations for proposed DRIs. In addition, the regional planning agency should serve as the coordinating agent for local governments in their region, as well as between the Division of State Planning and those local governments" (9, p. 4).

At the state level, the Division of State Planning recommends guidelines and standards for adoption by the governor and cabinet, as the Administrative Commission, and the legislature. The division administers rules and regulations, manages state financial assistance to regional planning agencies, acts on appeals, and prepares the state land development plan. Appeals are brought before the Administrative Commission acting as the Florida Land and Water Adjudicatory Commission.

Airports, port facilities, shopping centers, residential developments, office parks, industrial plants and parks, and recreation facilities are covered by guidelines and standards. The relevancy to transportation is obvious.

Each regional planning agency prepares regional reports and recommendations. And, each agency plays a major role in the required public hearing process. Each report must assess the impact of the DRI on public transportation, the regional economy, housing, public facilities, the environment and natural resources, and other factors determined by the regional planning agency.

The Big Cypress Area of Critical State Concern (ACSC) offers another example of how the Florida process will affect transportation policies, planning, and programs. This ACSC was designated by the legislature pursuant to the 1972 act. The Division of State Planning was directed to recommend a definitive boundary and land development regulations. The legislature passed the Big Cypress Conservation Act in 1973 and appropriated \$40 million to be matched by some \$116 million from the federal government. The final report and recommendations submitted by the division include consideration of transportation issues. Three specific transportation regulations are recommended (10).

The report to the governor and legislature by the Florida Environmental Land Management Study Committee recommended the strengthening of regional planning agencies. The following statement is of interest (11, p. 12):

It has been suggested that the staff of a Regional Planning Agency under the Land Management Act should consist of (a) a housing and community facilities planner, (b) a transportation planner, (c) an environmental specialist or scientist, (d) a land planner, and (e) staff resources or consultants in the legal economic areas.

The Local Government Comprehensive Planning Act recommended by the committee specifically recognizes transportation as an essential element. Again, emphasis was placed on the planning process and systems to be used to attain goals and realize objectives.

The continued evolution of state public policies on regionalism is necessary to determine the future of substate districts and regional structures serving local governments and citizens within these districts. In the absence of such policies, substance or process can be expected to follow form. Traditional institutional arrangements will dominate, and the many opportunities associated with choices relative to substate district and local community growth and development patterns will be delayed or lost.

### Substate District

States pioneered the use of multicounty districts long before there were massive federal "carrots" in the form of grants and loans or "sticks" in the form of requirements directly linked to these funds. Texas, as one example, first used multicounty districts in 1904 to support the Agricultural Extension Service, and its highway department adopted a multicounty substate district layout in 1919. This early pattern in Texas is quite typical of most states.

A 1926 report of the New York State Commission of Housing and Regional Planning is often cited as the first real attempt to construct a comprehensive framework for functional government programs aimed at education, housing, health, highways, conservation, and public works. The commission's research documented the cause-effect chains of public actions and highlighted the general disregard for interrelations in the public policy-making process.

Substate districts for planning and programming first appeared at the state level during the early 1930s. Stimulated by the NRB, many states delineated multicounty areas as planning districts or regions. Some states used watersheds, forest areas, and other factors to determine district or regional boundaries. Inventories and analyses relative to land use, employment, housing, public works and facilities, and other community development aspects were often prepared on a district or regional basis.

The early concept of a national planning system embodied a national planning board, interstate planning bodies, state planning boards, substate (areawide) planning agencies, county planning boards, city planning departments, and in some cases planning boards at the town, township, and village levels. As noted earlier, abolishment of the NRPB took away the stimulus for the federal government and states to establish top-to-bottom planning systems intended to deal comprehensively with social-economic-physical matters through multifunctional programs. Although many federal programs continued to recognize the need for multijurisdictional planning, cooperation, and coordination after 1943, the emphasis shifted to a single focus with minimal, if any, attention given to complex multifunctional and intergovernmental relations. States followed the same pattern; departments and agencies used various combinations of counties, cities, and smaller governmental units in substate districts, planning districts, or administrative districts. But, without a central SPA responsible for statewide comprehensive planning, there was no institutional force to prevent the use of multiple districting schemes or layouts by various state agencies. Duplication, confusion, tangled communication lines, and much waste resulted. The pattern was set for what Wright (7) terms "picket fence federalism" to describe the new linkages that were forged between counterpart functional agencies at the federal, state, and local levels.

State legislatures favorably reacted to initiatives at the local level between the mid-1940s and 1960. Permissive legislation authorizing local governments or local elected officials or both to establish multijurisdictional planning agencies or new "experimental" forms of regional councils (e.g., councils of governments) was enacted. The work programs of these agencies usually contained a highway or transportation element. This approach resulted in the proliferation of various types of multi-

jurisdictional agencies (e.g., multicounty, city-county, intercity) with planning responsibilities. These agencies were not conceived as part of a statewide planning system. And, they were not backed by federal policies and financial assistance in support of regionalism and regional structure to foster comprehensive planning. Georgia was the only state that committed itself to the establishment of a statewide planning system, with multicounty planning and development agencies serving multicounty substate districts, during this period.

Certain federal and state departments and agencies promoted comprehensive "functional" planning and regional structure as a means to realize a broad fusion of intergovernmental programs and funds throughout the 1950s into the 1960s. The federal government also began encouraging states to "think regional" along functional lines. A number of federal agencies, each in its own way, began to channel funds and use regulations to support approaches such as school district consolidations, regional medical centers, regional vocational education facilities, regional air and water quality monitoring, and regional economic development.

Not until the mid-1960s, however, did federal policies and programs have their greatest impact on the development of areawide planning and coordination. Federal programs under the New Frontier and the Great Society stressed the need to deal with problems and opportunities by taking into account intergovernmental cause-effect relations. Direct citizen involvement and participation in public policy formulation and decision-making, particularly at the local and regional levels, also were emphasized.

The model cities program, the antipoverty programs, and a wide variety of other programs were mounted to interrelate programs and projects. Planning requirements were attached to 61 of the new major grant programs established between 1961 and 1966, and the U.S. Bureau of the Budget launched numerous Planning, Programming, Budgeting System (PPBS) demonstration projects to tie federal, state, and local programs together.

Some projects, including ones at the neighborhood level, attempted to link public and private resources together. The concept of "one-stop public service shopping centers" was translated into several major demonstrations.

The Federal-Aid Highway Act of 1962 stimulated interest in regionalism and regional structure within metropolitan areas by requiring that after July 1975 federal funds be linked to a continuing multijurisdictional transportation and land use process. State highway or transportation departments were involved because of their planning and programming responsibilities for interstate and urban systems. The institutional response was mixed. Some metropolitan areas relied on traditional regional planning commissions. In others, councils of governments, associations of local officials, and similar regional structures broadened their work programs. Still other metropolitan areas established new special-purpose functional agencies.

By the mid-1960s several federal programs were being used to encourage states to delineate and use multicounty substate districts for planning and programming. The Public Works and Economic Development Act of 1965 encouraged the establishment of multicounty economic development districts (EDDs), and the Appalachian Regional Development Act of 1965 encouraged multicounty or multijurisdictional (e.g., city-county) local development districts (LDDs). Other federal initiatives, like the 1967 Partnership for Health Amendments to the Comprehensive Planning and Public Health Service Act of 1966 and the Omnibus Crime Control and Safe Streets Act of 1968, called on governors to establish regional (i.e., substate) planning and programming agencies. Responding to functional pressure groups, most governors agreed to the establishment of additional multijurisdictional institutions. This proliferation of new regional structures served to exacerbate the problems associated with governmental fragmentation.

States were generally overwhelmed by the mounting number of federal programs, intergovernmental financial flows, and new substate and local agencies being established to qualify for federal grants-in-aid. Georgia was the only state with a framework for dealing with these events at the substate district level. Georgia pioneered in the delineation of multicounty districts and the establishment of fairly uniform area planning and development commissions (APDCs) starting in 1959. New state planning legislation was enacted, and public-private partnership efforts were mounted to encourage



local elected officials to establish APDCs. By January 1965, 134 of Georgia's 159 counties were participating in 14 APDCs. The formation of the eighteenth in 1968 completely blanketed the state with APDCs. Today, every county is included within one of the 18 state-certified, general-purpose substate planning and development districts. Several counties still, however, do not participate in an APDC.

Georgia was quick to make use of its substate districts in conjunction with federal programs and insisted that federal departments and agencies recognize the APDCs as comprehensive and functional planning agencies. The Office of Economic Opportunity was the first federal agency to designate APDCs for administrative and program purposes in 1965. Subsequently, the substate districts and APDCs were recognized by federal and state agencies in conjunction with economic development, health, law enforcement and criminal justice, transportation, and other functional areas.

The proliferation of substate districts is typified by Ohio's experience. In Ohio, geographic districts for planning, programming, and service delivery by federal and state agencies responsible for specific functions have traditionally been determined on the basis of factors related to those various functions. According to a 1971 report, Ohio's 200 agencies were using 366 districts set up in 41 major configurations. A few districts coincide, but no 2 configurations are identical; the result is much overlapping.

The substate district and planning agency maze that was developing throughout the nation was addressed by President Johnson in 1966 and 1967. Several memoranda were issued by the president and the Bureau of the Budget (now the Office of Management and Budget) directed toward preventing conflict and duplication among federally assisted planning efforts. Federal agencies were directed to use substate districts or state planning regions designated by the governor of each state. Governors were urged to exercise leadership and delineate official substate districts on a statewide basis similar to Georgia's "wall-to-wall" districting scheme.

Only 6 states had failed to delineate official substate districts of September 1972. New Jersey remains the only large state yet to take action. Despite this apparent progress, few states have made significant headway in getting various state mission (i.e., line operating) departments and agencies to fully use these districts for planning and programming. Governors have issued executive orders and executive directives and have relied on persuasion. But, it still is not possible to go to a single focal point in a given state and find a complete and current analysis of the planning and programming (including the impact of intergovernmental financing) taking place within a target substate district. In short, substate districts are still not being used in a systematic manner for analysis and decision-making by officials at the state and federal levels.

The 1973 ACIR report contains the following significant statements (12, pp. 14, 217, 353):

Most state governments until recently have been silent partners in regionalism. They have neither discouraged substate districting activity initiated by Federal legislation and guidelines, nor attempted to coordinate and systematize the development of areawide bodies. They are the strategic middlemen between conflicting Federal and local pressures for areawide action. The Federal government itself has not organized effectively to promote general objectives in substate regions. The commission concludes that the role of the states in substate regional developments has become pivotal.

**The recommendations included in the report (12, p. 353) call for state actions that would provide for**

The establishment of a formal procedure, involving participation by units of general local government, for delineating and revising the boundaries of substate regions. 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 Federally assisted state programs requires the geographic division of the state for administrative or other purposes.

Several states, including Georgia, Texas, Virginia, New York, Kentucky, and Ohio, have made significant strides in delineating substate districts and in encouraging

the establishment of a single umbrella multijurisdictional planning and development organization to serve each district. Ohio and several other states are also beginning to experiment with regional analysis linked to regional budgeting at the state level. The importance of a clear and consistent state policy relative to the use of substate districts cannot be overemphasized. The role of transportation in substate and local community planning and development will be determined by such policy or the lack of same.

### Findings

1. Public policy in support of regionalism on a multistate and substate district basis remains fragmented and inconsistent at every governmental level. There is growing support on the part of elected officials and top executive management officials at every governmental level for the formulation and execution of national policies by Congress and the federal executive branch to achieve balanced national growth and development within the framework of comprehensive national, multistate, state, and substate development policies.
2. There is growing support on the part of private sector leadership organizations and interest groups (including the Committee for Economic Development, the U.S. Chamber of Commerce, and the National Association of Manufacturers) for the formulation and execution of growth and development policies at every governmental level.
3. A trend seems to be emerging that is characterized by public and private interests making sharp distinctions between governmental approaches to regionalism and regional structure.
4. Policies, plans, and programs in support of regional problem-solving and opportunity realization can be developed and carried out through a variety of processes and institutional arrangements, but comprehensive policy frameworks are needed at every governmental level.
5. The several proposals now before Congress that would affect state policies and approaches to both regionalism and regional structure fail to indicate a general consensus relative to definitions, national purposes, intergovernmental planning systems, and the role of multijurisdictional planning organizations at the multistate and substate levels.
6. There does appear to be general consensus on the part of the federal executive branch and Congress that state governments, particularly governors as chief state planning officers, must provide the focal point for establishing new intergovernmental planning systems characterized by 5 tiers: national, multistate (i.e., national region), state, substate district (i.e., areawide), and local.
7. There also appears to be general consensus on the part of the federal executive branch and Congress, as documented by language contained in special revenue-sharing policy, growth and development policy, and community development legislative proposals, that transportation is a major public policy area in terms of both regionalism and regional structure.
8. There is no central focal point within the federal executive branch where continual quantitative and qualitative policy analysis can be carried out in a systematic fashion. Rather, reliance is placed on individual mission departments and agencies (e.g., transportation, housing and urban development, commerce, and interior) to conduct analyses and then attempt to reach general consensus through committees, task forces, and one-on-one consultations.
9. DOT is making continuing progress in formulating and executing a general rational transportation policy framework that recognizes the need to directly link transportation policies, plans, and programs with comprehensive planning directly responsible and accountable to governors, local elected officials as members of regional councils, and local elected officials as chief executives of local general purpose governments.
10. It is essential that different policies be formulated and executed at the federal, multistate, state, and substate district levels to deal with the varying patterns of pub-

lic and private sector transportation responsibilities. These differential policies must be internally consistent within a general transportation policy framework at each governmental level.

11. State general transportation policy frameworks that are consistent with state general comprehensive policy frameworks are fundamental because a state occupies the position of constitutional middleman in terms of the constraints and powers that govern the capability and capacity of local general-purpose governments, special transportation or multifunctional districts and authorities, and private sector transportation interests.

12. Most state agencies responsible for comprehensive statewide planning have a limited, if any, capability to conduct continuing, quantitative, and qualitative policy analysis that can focus on transportation policies, plans, and programs within the framework of comprehensive statewide and substate district development policies, plans, and programs.

13. There is a growing trend to directly link comprehensive statewide planning agencies with central state budget agencies to ensure that planning and planning coordination lead to policy executive and program implementation.

### Recommendations

1. The Transportation Research Board should design and mount several research projects aimed at developing specific proposals on regionalism at the multistate and substate district levels for consideration by Congress and state governments.

2. The Board in conjunction with various transportation interests should actively participate in current congressional deliberations affecting regionalism (e.g., growth and development and land use proposals) by sponsoring hearings involving transportation interests in each of the 10 federal regions.

3. The Board should work closely with ACIR relative to its extensive investigations of multistate and substate regionalism and regional structures to ensure that specific attention is given to transportation as it relates to emerging federal initiatives affecting state and substate development.

4. The Board should assume a leadership role in encouraging various transportation interests to support the statutory designation of OMB as the focal point for formulating and executing national policies on both regionalism and regional structure as well as for coordinating all federal functional planning assistance programs and requirements in support of comprehensive, compatible, and consistent intergovernmental planning systems.

5. OMB should seek statutory authority to issue rules and regulations requiring all federal executive branch agencies to provide all federal financial planning assistance and implement planning requirements through comprehensive statewide planning agencies.

6. OMB should work closely with federal executive branch transportation departments and agencies to amend existing statutes and modify administrative requirements to clearly reflect a strong mandatory role for comprehensive statewide planning agencies in developing and approving all federally assisted or required multistate, statewide, and substate district (i.e., areawide) policies, plans, programs, and projects.

7. OMB should develop and submit a proposal to Congress requesting that urban highway funds be conditioned on each state possessing a comprehensive statewide planning agency with general policy responsibilities for ensuring the coordination of transportation with other state functional areas (i.e., housing) and with comprehensive development policies and functional areas at the multistate and substate district levels.

## REGIONAL STRUCTURE

### Multistate Regional Planning and Development Commissions

Multistate regional commissions will continue to play an important role in transportation planning. The future organization, structure, and intergovernmental position of these commissions will have to be determined through partnership actions involving federal and state governments. Considerable initiative will have to come from both the federal executive and legislative branches. The authors can but agree with the conclusion reached by ACIR based on extensive field investigation and hearings (6, p. 216):

It would be premature to make any final judgment at this time on the effectiveness and continuing relevance in the Federal system of these multistate regional commissions. They represent quite different and novel intergovernmental approaches to broad regional problems in the economic and water resources development area. Their brief operational experiences provide a meager basis for accurate assessment. They appear to hold some promise as institutional devices for joining and implementing certain Federal, state, and local policies. But, in our view, it is too soon to make any final judgments regarding their present effectiveness or ultimate fate. More time, much more time, is needed to gauge the value of these Federal-multistate experiments.

There does appear to be an emerging general consensus that such commissions should, and will, have an important intergovernmental role to play in the development and implementation of a national growth and development policy. The proposals developed by the National Governors' Conference and Senator Humphrey clearly indicate that considerable thought is being given to the future. Indeed, the Appalachian Regional Commission is in the process of soliciting research proposals aimed at finding answers to some of the questions posed by ACIR and other interested parties. The question of how block grants might be used to stimulate economic development typifies one of many fundamental issues that the commission seeks to examine.

The specifics of a national growth and development policy and the institutional relations required to implement such a policy remain to be determined. It seems reasonable to speculate that multistate regional commissions will have to be linked through state governments with regional councils-UMJOs. Their future evolution will depend on joint actions taken at the federal, state, and substate district levels. During the interim period, the following position taken by ACIR in its 1972 report (6, p. 208) seems to be the best one available:

Given their funding levels, difficult assignments, and wholly novel institutional make-up, the Federal-multistate instrumentalities established pursuant to the Appalachian Regional Development Act, Title V of the Public Works and Economic Development Act of 1965, Title II of the Water Resources Planning Act of 1965, and the Delaware and Susquehanna River Basin Compacts have performed their assigned missions adequately and should be continued to gain additional experience against which their performance and role in the federal system might be further appraised

ACIR (6, p. 208) went on to recommend that:

The Federal-multistate regional instrumentalities created pursuant to the Appalachian Regional Development Act, Title V of the Public Works and Economic Development Act of 1965, Title II of the Water Resources Planning Act of 1965, and the Delaware and Susquehanna River Basin Compacts be retained pending further experience as to what form of multistate regionalism, if any, should be adopted

### Umbrella Multijurisdictional Organizations

A small number of multijurisdictional planning agencies emerged during the middle

and late 1950s in metropolitan areas (e.g., Atlanta Metropolitan Planning Commission and Detroit Metropolitan Area Regional Planning Commission). These agencies were organized on a multicounty basis with central city participation. The pattern was for local governments to appoint citizens as policy body members. Few, if any, local elected officials routinely served on policy bodies.

Then in the mid-1950s a new regional structure phenomenon—the voluntary council of governments—began. The establishment in 1954 of the 6-county Detroit Metropolitan Area Supervisors Inter-County Committee marked the beginning of a regional movement with distinguishing characteristics such as multijurisdictional with the county as the geographical foundation, voluntary association of local governments with no enforcement and enforcement and taxing authority, and policy body membership of at least 51 percent of local elected officials.

Throughout the 1960s the U.S. Housing and Home Finance Agency (HHFA) and HUD, its successor, moved to encourage umbrella general-purpose regional planning agencies directly responsible to local elected officials. Priority was given to metropolitan areas. Recognizing the keystone position of state governments in intergovernmental relations, HHFA and HUD officials initiated efforts to revitalize comprehensive statewide planning. Alaska received the first federal comprehensive statewide planning grant in 1960.

By the mid-1960s, HUD was actively encouraging states to use federal comprehensive planning assistance to delineate substate districts and encourage umbrella general-purpose regional planning agencies. HUD made its first comprehensive regional planning grant in 1964 to the San Francisco Association of Bay Area Governments (ABAG). HUD's statutory base was broadened in 1965 to allow the use of urban planning assistance grants to support the establishment and development of new regional structures. HUD chose to favor councils of governments and associations of local governments. The Washington Metropolitan Council of Governments (COG), serving the District of Columbia and portions of Virginia and Maryland, received the first HUD grant under its expanded authority in 1965.

HUD's effort was often frustrated by the responsibility for statewide comprehensive planning being outside of the governor's orbit in a line operating agency. In addition, concurrent federal program efforts were in conflict with HUD's concept of a statewide planning and development system.

Federal regulations issued by EDA applicable to economic development districts provide an example. EDA called for the policy bodies of economic development commissions or other types of EDA-recognized regional structures to be constituted of local officials, citizen representatives of special groups, and representatives of business and industry. HUD officials preferred a structure using only traditional local governments and local elected officials.

Georgia led the nation in encouraging the use of multicounty substate districts for multifunctional planning and programming in the late 1950s. A hallmark of Georgia's wall-to-wall substate district system is its bottom-up evolution. Georgia's Area Program preceded actions by Congress and the federal executive branch in support of substate district systems. It also provided the stimulus for the revitalization of state planning as an executive tool of the governor.

The Georgia general assembly amended the General Planning Enabling Act of 1957 in 1960 to facilitate the establishment of multicounty area planning and development commissions (APDCs). As of January 1965, 134 of Georgia's 159 counties were participating in 14 APDCs.

The State Planning and Programming Bureau, with the governor recognized as the "ex officio director of state planning," was established in the Executive Department in 1967. The State Planning and Community Affairs Policy Board chaired by the governor was created in 1970. The authorizing statute mandated the board to establish substate district (i.e., APDC) boundaries within a year. The board agreed on 18 substate districts in 1971. Today, every county is included in one of the 18 state-certified substate districts.

The Georgia legislature expressed confidence in the APDC system through a 1970 statute that strengthened the role of APDCs in intergovernmental relations. Each APDC was required to review and comment on applications by units of local govern-

mental or private agencies for loans or project grants. Each was also required to prepare an area biennial development program, including 6-year schedules of area capital improvements.

The APDCs find themselves in a relatively strong intergovernmental position as new federal initiatives on special revenue sharing (i.e., block grants), multisource categorical funding, land use, and environmental protection take shape.

The APDCs in northwest Georgia were suggested as local development districts (LDDs) for the purpose of the Appalachian Regional Development Act of 1965. Georgia refused to designate LDD boundaries to include only eligible Appalachia counties that would slice across substate district boundaries. Each of the 5 APDCs containing Appalachia counties was designated an LDD to ensure multicounty coordination and the integrity of the substate district system.

APDCs have also been designated as economic development districts (EDDs) and for comprehensive health, transportation, manpower, law enforcement-criminal justice, and other functional planning purposes by state and federal agencies.

The Atlanta metropolitan area has always received special attention to meet federal requirements peculiar to large urban concentrations. The Atlanta metropolis clearly demonstrates that states can support statewide substate district and regional structure systems while mounting differential, yet consistent, strategies to deal with urban concentrations. The Atlanta Regional Commission (ARC) was created by a special-purpose statute in 1971 to serve as the umbrella multijurisdictional planning and development agency for the 7-county substate district. The Atlanta Region Metropolitan Planning Commission, the Metropolitan Atlanta Council of Local Governments, the Metropolitan Atlanta Council for Health, and the Atlanta Area Transportation Study Policy Committee were amalgamated into the umbrella regional structure. ARC's membership area is 5 counties, and its review and comment area is 7 counties. Provision has been made for the 2 most rural counties to become members in the future.

The state statute creating ARC is broad and flexible. It could be easily amended to individually or collectively strengthen other APDCs. The statute provides 11 representation districts. Twelve local elected officials serve on ARC, 6 by virtue of office and 6 by peer-group election. These officials elect 11 citizens, 1 from each district delineated by state legislators from within the substate district, to complete the 23-member commission.

ARC is receiving priority attention and support from both the state and federal governments. The Southeast Federal Regional Council is providing ARC with coordinated multisource funding and allowing the waiver of selected requirements to encourage program integration. ARC's tri-party agreement with the Georgia Department of Transportation and the Metropolitan Atlanta Rapid Transit Authority (MARTA) is expected to provide a precedent for other state functional agencies. Since ARC is the designated metropolitan transportation planning agency, it possesses considerable authority to encourage multimodal planning. ARC's chief of transportation planning directs the regional planning program and works with counterparts in the state transportation department and MARTA. ARC takes the lead in all long-range planning. Short-range planning remains a gray area. MARTA, for example, makes decisions on routes, station locations, and so forth. Any disagreements are handled through staff negotiations. Today, ARC is the grant applicant for UMTA, FHWA, and FAA funds. Both the transportation department and MARTA engage in contractual arrangements with ARC for planning services.

The tri-party memorandum of agreement clearly sets out the role of ARC (13, pp. 1-3):

In accord with Section 14 of Act No. 5, the Atlanta Regional Commission has authority and responsibility to carry out comprehensive regional planning (including transportation) for Metropolitan Atlanta.

The ARC . . . shall serve as the single agency through which consensus among Metropolitan Atlanta local governments is developed regarding metropolitan or multijurisdictional policy matters. Further, ARC shall serve as the official spokesman for local governments

Each participating agency shall, to the maximum extent possible, implement its land use

and transportation related activities in accord with Development Guides, comprehensive transportation studies, . . . developed by ARC

Georgia's success in working with umbrella regional councils has been attributable to state financial support, consistent policy support on the part of the governor, strong state planning legislation, and continual program involvement between state and regional council officials and staff. Several other states, including Texas, Virginia, New York, and Kentucky, have developed wall-to-wall substate district and regional structure systems. Each system is somewhat distinct, but all have one thing in common: They reflect a strong and consistent approach to establish meaningful program relations between state mission (i.e., line operating) departments and agencies and the regional councils.

Michigan illustrates the impact that federal actions and sporadic state responses have had on regional structure. A 1970 survey revealed 98 multicounty agencies in the state. Of these, 18 were engaged in comprehensive multifunctional planning and development activities, 18 were multicounty community action agencies, 9 were multicounty comprehensive health planning agencies, and 11 were multicounty law enforcement and criminal justice planning agencies.

In Michigan, the executive and the legislature have made numerous recommendations for solving problems within a regional context. The state's Revenue Sharing Act of 1971 provides a revised basis for distributing state-shared taxes and adds almost \$30 million in new money. The governor feels that local governments with relatively low tax rates should not receive preferential treatment with state aid.

Michigan consistently ties regional incentives to state programs. Local governments have, for example, been able to qualify for more funds in conjunction with the state's multimillion dollar water pollution control and recreation bonding programs by allowing regional councils to prepare master programs and package projects.

Yet Michigan has not committed itself fully to a statewide system of umbrella multi-jurisdictional regional planning and development agencies, although such a system is under consideration. Nor has the state designated regional agencies for A-95 review and comment in nonmetropolitan multicounty state planning regions. But several regional development agencies have been organized to satisfy a variety of federal statutory and administrative regulations.

One such agency is the combined Central Upper Peninsula Planning and Development District and the Central Upper Peninsula Regional Planning Commission, which constitute 2 legal entities with an overlapping policy body and a single staff. This agency must coordinate with several multistate agencies, including the federally initiated Upper Great Lakes Commission, and a mix of multicounty agencies. The latter include the Upper Peninsula Commission for Area Progress and the Upper Peninsula Comprehensive Health Planning Association, which is divided into 4 zones, 2 of which geographically correspond to state planning and development regions.

The 7-county Detroit metropolitan area is served by a number of multijurisdictional regional structures. SEMCOG is responsible for comprehensive general purpose planning and development. It was established in 1968 through a consolidation of the Supervisors Inter-County Committee, the Detroit Metropolitan Area Regional Planning Commission, and the Transportation and Land Use Study. Private sector leaders provided much of the impetus and political support for this effort.

Although SEMCOG's efforts include transportation, health, law enforcement and criminal justice, and manpower components, the agency finds itself in competition with other regional structures. The Southeast Michigan Comprehensive Health Planning Council, for example, views its responsibilities to include A-95 review and comment. (Such review authority has not been granted to rural regional councils by the state.) The Detroit-Wayne County Criminal Justice System Coordinating Council and 2 similar entities serving Macomb and Oakland counties contend that they are the focal point for their functional specialties.

The Southeast Michigan Transportation Authority (SEMTA) was created in 1967 by statute. The authority's area is identical to SEMCOG's, and the 2 structures are linked in several ways. SEMCOG's policy body shares appointments to the authority

with the governor, and SEMCOG exercises broad review over SEMTA's budget, program, and fund applications.

The statute charged SEMTA with the responsibility of carrying out a broad program to achieve balanced transportation and improve existing services and facilities. SEMTA can plan for, acquire, construct, and operate transportation facilities. Limited provision was made for the issuance of revenue bonds.

SEMCOG and SEMTA have enjoyed good relations to date. SEMCOG has exercised its prerogatives of appointment and review and comment. SEMCOG has provided SEMTA with extensive planning data and information through the Transportation and Land Use Study. SEMCOG and SEMTA staff work together closely on committees, plan preparation, and projects.

Governor Milliken has been a strong supporter of SEMTA since its conception. Seeking to strengthen SEMTA, the governor submitted a "mass transportation financing package" to the legislature as 1 of his 3 highest priorities in 1972. The governor has proposed the creation of a statewide transportation fund. Revenues were to be derived from a 2 cents per gallon increase in the state motor vehicle fuel tax. The increased tax was to yield some \$83 million, of which \$26 million was to go for transit purposes. A new state discretionary fund was to be used to channel money for transit and high-way development in urban areas.

SEMTA was to receive approximately \$13 million from the fund in the first year to acquire and improve bus systems in the region. It was not sufficient to help finance a rapid transit system.

SEMTA also proposed the use of the real property transfer tax now in effect to generate revenue for general transportation improvements, including rapid transit. A dedicated increase in this tax could yield SEMTA some \$18 million annually.

The transportation fund proposal was bottled up in the Senate Highway Committee. The committee held a series of public hearings in predominantly rural areas. The committee chairman openly challenged the governor's position and, according to senate staff, hoped that a delay in voting on the bill would give opponents time to mobilize. The State Highway Commission mildly supported the bill in public. Privately, commission members and department staff criticized the bill as weakening the Highway Trust Fund. Opponents of the bill included road builders, the Automobile Club of Michigan, and the Michigan Travelers Association. The "big three" of the automobile industry softened their separate positions to at least have the bill voted on by the entire senate. SEMCOG supported the bill along with leadership organizations like the Greater Detroit Chamber of Commerce, Metropolitan Fund, Inc., and New Detroit, Inc.

The legislature did take favorable action in 1972 by increasing the gas tax and dedicating a portion for the support of public transportation. In addition, a small amount of funding was set aside to help support specific projects (e.g., a people-moving project). Both SEMTA and SEMCOG are eligible to receive funds and both agencies are jointly working to attract a special project. Yet despite this "breakthrough," SEMTA remains underfinanced in terms of its broad multimodal mandate and responsibility to consolidate bus service in the metropolitan area.

Depending on one's viewpoint, California regional councils such as ABAG in San Francisco and the Southern California Association of Governments (SCAG) in Los Angeles are complemented or threatened by other regional structures.

The California legislature has shown a preference for functional comprehensive agencies that can both plan and implement. The legislature established the San Francisco Bay Conservation and Development Commission (BCDC) in 1965 to operate until 1969. Rather than strengthen ABAG, which was established by local officials in 1961, the legislature chose to give BCDC a permanency. The legislature has preferred that a number of other regional structures, including the Bay Area Air Pollution Control District and the Bay Area Rapid Transit District (BARTD), deal with pressing and highly visible problems.

A Conference on Bay Area Regional Organization was held in 1970 to review the many alternatives to regional structure. State legislators, executive branch officials, local elected officials, local appointed officials, representatives of special interest groups, and citizens offered their viewpoints. As reported by Stanley Scott and Harriet



Nathan, a consensus emerged on the need for a stronger form of regional structure, but there was sharp disagreement on the form of the structure and on how regional decision-makers with implementation authority were to be selected. The conference analyzed a host of legislative proposals dealing with different regional structures. Three substantive legislative proposals calling for a Bay Area home rule agency (1969), a regional government of the Bay Area (1969), or a conservation and development agency of the Bay Area (1970) received considerable attention.

ABAG spokesmen outlined the many problems stemming from continued governmental fragmentation during ACIR's 1973 hearings on substate regionalism. It was noted that 14 separate agencies were carrying out planning or program implementation or both on a multijurisdictional basis within the 9-county substate district. Of these, 4 agencies were involved in transportation. To counter this trend, ABAG officials called for a national policy on regionalism and noted (14, pp. 8-9):

ABAG's regional home rule policy would see multifunctional regional organizations throughout the State. Each of these organizations would reflect the region in which it was located with mandatory membership and participation by all cities and counties.

Use of the comprehensive regional agencies by the State seems a necessity if we consider, for example, the land use legislation that is emerging from Washington. The State has no land use planning capability at this time.

Resolution 1-71 adopted by ABAG was submitted to ACIR for consideration. The resolution outlines the state legislation sought. According to the ABAG program, each regional organization would be required to prepare and adopt a general regional plan with mandatory elements, including transportation, land use, natural resources, and housing. In addition, the statute would provide for "an 'umbrella' relationship between the regional councils and existing regional special districts and agencies" (14, p. 10).

California Tomorrow has called for a statewide system of regional governments corresponding with each of the 10 substate districts. Each region would have its own legislature, whose members would be elected regionally, and a regional mayor. Each regional government would be responsible for preparing, adopting, and implementing a regional plan and program. Regional plans and programs would be linked with the California State Plan. Each regional plan and program would set forth in detail means for implementation including regulation, direct action, and control of funds. According to this proposal (4, p. 20):

The region would operate the principal transportation network. It would build and maintain hospitals and health centers. The region would carry out a large-scale public building program, constructing new transit facilities, housing, treatment plants, hospitals and educational facilities.

Assemblyman Knox introduced a bill in 1973 that would create a Bay Area Regional Planning Agency. The proposed agency would "be the sole and exclusive public agency within the region with the responsibility for general purpose regional planning" (15, p. 1). The proposal notes, "Because of the comprehensive regional responsibilities required of the agency, the agency. . . notwithstanding any other provision of law, shall be the regional transportation planning agency. . ." (15, p. 12). Moreover, it was recommended (15, p. 4) that the agency "have the ability to enact ordinances and to secure cease and desist orders. . . in order that the regional plan will, in fact, be capable of implementation." The proposal calls for a board constituted mostly of local elected officials appointed by their local legislative bodies. The regional plan would contain elements specifically dealing with environmental quality, including water and air; solid wastes; transportation; open space; parks; land use; and natural resources conservation, development, and management. Although extensive hearings have been held on this proposal, it has yet to gain widespread support.

A coalition of San Francisco Bay Area environmentalists took a far-reaching regional structure initiative proposal directly to the voters in November 1972 and won. The coastal land regulation law set up 6 regional and 1 statewide regulatory commissions.

Local elected officials serve on the commissions as do representatives of special interests and citizens. The state commission hears appeals from the 6 regional commissions and must submit a development plan for the 1,200-mile coastline to the legislature in 1975.

The South Coastal Regional Commission in Los Angeles poses new intergovernmental coordination problems for SCAG, for it is in a position to halt, slow down, or approve private and public development projects involving billions of dollars. The long-range impact of this approach to regional structure has not yet been assessed.

The California State Transportation Board took positive action in support of regional councils-UMJOs when it issued guidelines in 1973 relative to regional transportation plans. As indicated in the transmittal letter (16), the guidelines place an emphasis on

. citizens' involvement and participation throughout the planning process, planning through local levels of Government to the Regional and State levels, the concerns for environmental protection through systems level environmental reports, and the development of an implementation plan to carry out the regional consensus

Councils of governments (i.e., regional councils-UMJOs) are specifically recognized as eligible regional structures for preparing regional transportation plans. Most of the California regional councils-UMJOs have been recognized as the official substate district agencies for transportation planning purposes.

The guidelines state (16, p. 7), "The relevant State agencies, boards, and commissions will generally conform to the adopted regional transportation plans and programs, except for matters of overriding statewide significance."

The guidelines note that each recognized transportation planning agency (TPA) should have a guaranteed source of funds to support multimodal transportation planning. California enacted a statute in 1972 (AB-69) establishing the State Transportation Board and providing for state financial support to TPAs out of the Transportation Planning and Research Account within the comprehensive State Transportation Funds. Regional councils-UMJOs and other types of regional TPAs may receive as much as 70 percent of nonfederally reimbursed costs for regional transportation planning.

The 1972 statute outlines the state's role and its relation to regional councils-UMJOs and other types of regional and local TPAs. The linkage between regional plans and programs and the California Transportation Plan is also indicated. Citizen participation is provided for at the state and substate district levels through mandatory public hearing processes. The planning processes to be used are outlined with emphasis placed on "measurability". The guidelines specify that regional policies and objectives be stated in terms that facilitate measurement; "This requires that evaluation criteria be developed again through the public participation process" (16, p. 11). The multimodal process is broadly defined relative to mandatory subject areas to be considered. They include energy, wildlife and vegetation, aesthetics, neighborhood and community cohesion, housing, tax and properties, and agriculture.

The Transportation Development Act of 1971, as amended, provides a means for the state to raise and allocate funds in support of transportation at the substate and local levels. Regional councils-UMJOs and other types of TPAs were granted a key role in determining the allocation of funds out of local transportation funds established in each county. These funds are allocated to public transportation entities for capital and operating purposes. Specific provision is made for the use of funds in large metropolitan areas in support of transit and research and demonstration projects.

The San Diego Comprehensive Planning Organization (CPO) carries out regional transportation planning as 1 of 4 major planning areas. The other 3 are intergovernmental planning and management (including plan implementation activities and review and comment), regional growth and economic development (including land use), and environmental quality and natural resources. CPO has assisted in the preparation of a proposed new piece of legislation that would authorize the establishment of the San Diego metropolitan transportation district. The city-county district would implement the regional transportation plan prepared and adopted by CPO. Article 4 sets forth the powers and duties of the board of directors of the CPO relative to the district's board

of directors. These powers include approval of the facilities to be acquired and constructed, operational plans, financing, and the district's annual budget.

A brief review of developments affecting substate districts and regional councils in a few other selected states indicates the wide range of interest and activity taking place. The Colorado legislature enacted the Service Authority Act of 1972 as required by the 1970 constitutional amendment on local government. Citizens in metropolitan Denver voted in 1973 on a multifunctional regional service authority with planning and program implementation responsibility. The proposal called for the merging of several regional agencies, including the Denver Regional Council of Governments. The proposal would have granted the authority responsibility for 16 services, including transportation. The voters rejected the proposal. Advocates feel that the proposal can still win approval and are taking steps leading to another test. This approach represents a pragmatic compromise between formal regional government and voluntary regional councils with no inherent capability to implement plans and programs. It would also serve to reduce and halt governmental fragmentation at the substate district level.

NARC completed an evaluation and analysis of the feasibility of regional councils preparing regional improvement programs (RIPs) in 1973. Five regional councils participated in the project. The Metropolitan Council of Minneapolis-St. Paul was one of the participants. This council found that the RIP approach was useful and necessary to link planning with implementation. The policy body authorized the development of draft legislation for submission to the Minnesota legislature. All of the participating regional councils supported the RIP approach and found it to be politically feasible. NARC subsequently developed draft national legislation calling for federal support of the RIP approach in conjunction with federal planning and special revenue sharing (including community development).

The Puget Sound Governmental Conference is the regional transportation agency and works closely with the Municipality of Metropolitan Seattle, a federation of local governments, to implement plans and programs. The Municipality of Metropolitan Seattle works through the regional council to obtain UMTA and FHWA funds. The implementing agency has launched a free bus program that has reduced traffic congestion by some 20 percent while stimulating downtown Seattle business. The METO agency took over Seattle's 2 unprofitable bus lines more than a year ago and has turned them into going concerns linked to central city revitalization and regional development.

The Metropolitan Washington Council of Governments (COG), which serves the District of Columbia and portions of Virginia and Maryland, is deeply involved in transportation. Like many regional councils, COG does the planning and works with METRO, the transit authority, on implementation. COG's Transportation Planning Board has just taken a controversial position opposing an extension of Interstate 66. The Virginia Highway Commission has approved the extension. A legal battle could ensue. The matter is now before the Secretary of Transportation for final action. This example indicates that the COG is prepared to take steps to implement its plans and programs.

The Richmond Regional Planning District is now considering a consultant's report recommending a regional services demonstration program for the next 5 years. Transit was one of the services recommended for inclusion in the program, which is now being considered by the district and local governments. There is strong and vocal opposition to the proposal.

The Florida Commission on Local Government proposed legislation in support of multicounty planning and areawide service delivery commissions. The 1973 report outlined a broad proposal that recognized that, "in order to prevent the development and accumulation of plans without implementation possibilities, the multicounty planning commissions will require policy making and program operation powers" (17, p. 5). This proposal is receiving widespread attention and has attracted both strong support and opposition.

The experiences of Georgia and Texas contrast sharply with that of Michigan. These 2 states have been able to prevent the proliferation of separate multijurisdictional agencies outside the framework of comprehensive regional planning and development. Since 1965 Texas has been developing a system of regional councils that are

comprehensive regional planning and development agencies and review and comment agencies.

Experiences of other states with regional structures vary. Some states rely heavily on special-purpose districts, authorities, and agencies. New York, for example, has actively supported such agencies to deal with urban development, transportation, and housing. California's experience demonstrates that any particular form of regional structure, including regional government, must pass the stiff tests of American pluralism, pragmatism, and local self-determination.

States have initiated action on problems and opportunities within the framework of regionalism, and there appears to be a direct relation between the overall capacity of a state government and its posture toward regionalism. Available evidence suggests that state commitment to regional councils and other forms of regional structure is weaker in those states that have the capability of dealing directly with problems and helping local governments finance programs or projects. These states tend to have a stronger posture toward regionalism in terms of financing public services (including education and health), locating public works and facilities, and providing direct public services. Michigan, Wisconsin, New York, and California have strong executive and legislative branches; they provide substantial direct financial assistance to local governments and economically disadvantaged citizens, taking into account regional considerations. Texas, Georgia, and Virginia on the other hand possess strong state regional council systems but weaker executive and legislative branches. They provide little direct state financial assistance to local governments or programs having regional impact.

The status of local government does not appear to be a contributing element. Both Michigan and Texas have strong municipal charter provisions. Counties in Texas are weak, whereas they are relatively strong in Georgia.

A state's commitment to regionalism does not necessarily mean a commitment to the establishment of statewide regional structure or a substate system. Nor does a commitment to regional structure necessarily imply commitment to a process of regionalism on the part of the state government.

The critical importance of federal action was recognized by the "big seven" national public interest groups representing state and local officials in their joint December 1972 report. The report (1, pp. 2-3) noted:

In spite of efforts of the Office of Management and Budget, including A-95 review and comment, the federal programs that encourage, support or utilize multijurisdictional organizations are badly coordinated, are inconsistent, and ignore the problems the programs cause general purpose local government

The policies tend to greatly inhibit crossfunctional policy planning by local and state chief executives. This problem appears to be due to the excessive functionalization of the planning and operating activities of the multijurisdictional organizations

Significantly, the report does not address itself to the need, validity, or rationale for the use of multijurisdictional, areawide organizations. Rather it begins with the assumption that regionalism is a fact of life. The question it seeks to answer is, How can we make it work?

The report presents a series of action recommendations addressed to the president, the federal executive branch, the states, and local general-purpose governments in support of umbrella multijurisdictional organizations. The definition offered for such an organization describes each of the Texas regional councils (1, p. 7):

A multijurisdictional organization has policy control over two or more functional planning and policy development programs, each functional program having a corresponding advisory committee to assist the policy board of the umbrella multijurisdictional organization

An umbrella multijurisdictional organization has coordinative powers and the ability to mediate conflicting policies among independent single purpose, functional agencies

Although the national administration seems willing to consider strengthening the A-95 review and comment process, it appears that the initiative for strengthening regionalism and regional councils must come from the national public interest groups, working independently and collectively with Congress, and from state chief executives and legislatures.

### Future of Regionalism and Regional Councils

The current national administration claims to favor the solution of problems and the realization of opportunities through multijurisdictional approaches. Yet there is a certain air of detachment evident concerning support of regionalism and regional councils in the form of national policies, funding, and regulations linked with "hardware" grants.

The administration has taken a number of steps designed to place the responsibility for the future of regional councils almost solely on governors and local elected officials. Commitments to general and special revenue sharing have been accompanied by gradual withdrawals of federal areawide planning requirements linked to grants, federal funding incentives to state and local governments to stimulate the evolution of regional councils, and enunciation of strong federal policy in support of regionalism.

It is questionable whether the progress made by Texas and other states can be sustained without a strong, positive federal involvement. Moreover, regionalism may not have become embedded deeply enough within local political processes that local elected officials will actively strengthen regional structures in the absence of federal carrots and sticks. As one Texas Regional Council executive director commented: "At the crucial time when we are approaching real maturity and getting it together, we are faced with shriveled carrots and broken sticks." Another executive director noted that the administration's special revenue-sharing proposals fail to require or consistently encourage multijurisdictional planning and programming by umbrella regional councils.

The administration's trend is clear. Regionalism and regional structure will be endorsed in principle, but the states are to be the shapers of policy, the conduit for federal funds, and the source of requirements. This approach can hardly be expected to promote a national planning and development system that focuses on umbrella regional councils as the keystones in statewide planning systems designed to strengthen intergovernmental coordination.

ACIR concluded (12, pp. 15, 272, 217):

The 1970s will be a watershed period for substate regionalism and for American federalism. Recent regional activity in metropolitan areas raises again many of the questions that accompanied the evolution of our federal system, including centralization-decentralization, responsiveness, representation, and accountability. Taken together, the above themes constitute an agenda of challenges that will have to be faced and successfully resolved if mild chaos is to be preserved and extreme disorder is to be avoided.

Obviously, the State role is of major importance to substate regions. If the organizations established to serve these regions are to be given governmental status, they must look to the States for it.

Federal areawide programs, more often than not, have exhibited ambivalence as to the degree to which national objectives are to be carried out, and the degree to which the States and local governments, and the areawide organizations are to be allowed to exercise their own discretion. Those Federal programs which have required areawide planning organizations covering whole areas as a prerequisite to continued Federal "hardware" grants—like the highway program—have promptly and completely blanketed eligible areas with organizations having the specified representational characteristics. Those programs—like comprehensive health planning—which have not provided such strong incentives and directives have taken much longer to develop only partial coverage of their target areas.

The Federal government itself has not organized effectively to promote general objectives in substate regions. Every Federal areawide program except A-95 is administered by an individual Federal department or agency with its own priorities and with independently enacted legislation.

Separate constituencies have developed around these departments and agencies, their programs, and the responsible Congressional committees, leaving the President and OMB unmentioned. Although the Intergovernmental Cooperation Act of 1968 sought to give the Executive Office of the President a generalist oversight role with respect to a wide variety of programs, the resulting Circular A-95 has been little match for the vested interests and the special program "turfs" already staked out by them

**ACIR also recognized (12, p. 109):**

Regional councils are producing more and more comprehensive and functional plans, yet still lack the power to implement them directly or to compel or coerce constituent general purpose jurisdictions or special districts to carry out or abide by them

Even though a consensus is emerging regarding the need to perform certain urban functions on an areawide basis, only a handful of regional councils have been able to assume operational responsibilities for public services and programs

While considerable support exists among regional council directors, mayors, and county executives for these organizations to become umbrella agencies, the feudalistic attitudes of program specialists and the general public's opposition to metropolitan or regional government remain considerable barriers to expanded action

**ACIR has taken a strong position in support of umbrella multijurisdictional organizations. The following excerpts (12, pp. 372-373) indicate the general nature of the type of regional agency called for.**

The UMJO would be a comprehensive and functional planning, coordinating, programming, servicing and implementing body—in short, a regional council with some meaningful, but limited authority.

What would be the source of its powers to carry out these difficult functional assignments? A mix of positive Federal-State-local actions are recommended to provide the needed arsenal of powers to guide substate regional development

(1) The UMJO would become the preferred implementing instrumentality for all Federally assisted districting programs, thanks to State legislation establishing a comprehensive substate districting system and to the promulgation of a new OMB directive covering all Federally assisted areawide programs

(2) It would be assigned a decisive policy-guiding—but not operating—role vis-à-vis regional special districts and authorities by (a) a proposed amendment to the Intergovernmental Cooperation Act of 1968 giving such councils a review and approval authority over special district applications covered by the A-95 process, (b) State legislative action converting such districts via assignment of one or more controlling powers (appointment of the district's policy board, review and approval of district budgets and/or projects, project suspension authority, etc ), and (c) concerted efforts on the part of local governmental representatives on special districts to have their umbrella unit designated as the policy board of such districts

(3) The UMJO would be assigned special review authority over State agency actions having a regional impact. Two amendments are proposed to the Intergovernmental Cooperation Act of 1968 to accomplish this. They would empower the organization to review State agency-sponsored major capital facility projects slated for its region and to resolve inconsistencies between them and regional plans and policies (provided the former are subject to the A-95 process or are financed in part by Federal block grant or, potentially, special revenue sharing funds). Moreover, pursuant to recommended State legislation, the UMJO would be authorized to review all such State agency projects and resolve any differences in light of adopted regional plans and policies. At the same time, the governor would be authorized to veto any umbrella organization's actions that conflict with State plans or policies having statewide application or with policies or actions of another regional council

(4) The UMJO also would be assigned special review authority over certain local government actions having a multi-jurisdictional impact, including the powers to (a) review and resolve inconsistencies in A-95 covered applications submitted by constituent localities, pursuant to a proposed amendment to the Intergovernmental Cooperation Act, (b) review any proposed major capital facility of a local jurisdiction having a pronounced areawide impact that is to be funded partially or wholly from a Federal block grant or any special revenue sharing program and to resolve any inconsistencies between the proposed project and regional policies, under another proposed amendment to this Federal legislation, and (c) review and comment on all locally funded major capital facilities, as a consequence of recommended State legislative action. In addition, the UMJO would have its officially adopted regional policies or plans

recognized as guides for pertinent local governmental programming, planning and implementation activities, pursuant to proposed action by the governing bodies of its local jurisdictions

Such would be the powers conferred on these reformed regional councils by Federal-State-local actions. With them, an UMJO could speak with authority. Without them, its areawide policy making and implementation roles would be faltering and feeble.

**Significantly, ACIR is taking a strong stand on authority and heavy state financial assistance. The following findings (12, pp. 362, 636) indicate the general direction of ACIR's overall position.**

The Commission is convinced that officially designated umbrella multijurisdictional organizations should be assigned the authority to take on areawide operating responsibilities when the need arises. Such authority should be carefully spelled out in the authorizing State statute, including specific provisions to cover the financing of any assumed operating function and to give local governmental members of each multijurisdictional organization a chance to react to and approve each proposed direct servicing role. Without this authority, the specter of an ever increasing number of special districts, admittedly of the subordinate variety, looms large on the future regional horizon. Such a development would complicate unduly the basic regional policy-directing and coordinating roles that this omnibus recommendation assigns to the umbrella organizations. To maintain existing special districts in a separate operational status is one thing, but to assign the same status to new districts is quite another. The Commission is mindful of this basic distinction in urging the authorization, under certain constraints, of operational assignments to the officially designated umbrella organizations.

Some of those opposed to State financial assistance to umbrella organizations take the stance that these organizations should be fundamentally local in orientation and in funding. Others claim that most of these bodies have been established as a result of or in reaction to Federal programs and requirements, hence, the chief outside funding for them should come from Federal sources.

These arguments, the Commission believes, are invalid. The States—not local governments—are the constitutional repositories for non-delegated powers under the Constitution, and have a basic responsibility for ordering local and regional governance systems. The fact that States historically have been slow in reordering the pattern of local government responsibilities does not excuse them from now assuming the development of viable multifunctional regional institutions through the judicious and continuing allocation of funds.

Finally, the Commission wishes to underscore the fact that most of the organizations to be aided are part and parcel of a State substate districting system. This system, in many instances, is slated to meet State as well as local needs at the regional level. To leave the funding of these instrumentalities with these purposes and with the representational formula called for here to the localities involved and to the Federal government, in our opinion would be an abdication of State responsibility in an area where it must grasp the mantle of leadership.

**The following excerpts (12, pp. 354-355) from ACIR's many recommendations seem most appropriate to a consideration of regional councils-UMJOs and their future role relative to regional development.**

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 actions should provide for .

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 legislation.

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 Federally assisted 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 multijurisdictional 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 multijurisdictional 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 multijurisdictional 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 jurisdictions 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 multijurisdictional organization of regional policies or plans and of a program for their implementation

G. Reliance by all State departments and agencies on the officially designated umbrella multijurisdictional 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 multijurisdictional organizations

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

J. Conferring on all officially designated umbrella multijurisdictional 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 regions.

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

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

M. Promotion of mutual problem solving by officially designated umbrella multijurisdictional 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 multijurisdictional 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 region's population

O A State program of financial assistance, on an ongoing basis, to officially designated umbrella multijurisdictional organizations

P Gubernatorial authority to disapprove any actions of an officially designated umbrella multijurisdictional organization after making a finding 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 multijurisdictional organization.

To predict the effects of special revenue sharing or broad block grants or both on regionalism is difficult. It appears that states with a strong commitment to regionalism will seek new processes to fuse federal, state, and local funds and programs at the state and local levels. These states will probably continue to take aggressive legislative and administrative actions to establish trends and shape patterns concerning community growth, development, and social economic balance within regional frameworks. Significantly, actions taken by these states show a willingness to regulate the private sector on the one hand and an ability to forge new public-private sector partnerships on the other. It is not clear how regional councils and other forms of regional structure will fare in these states during the next 5 years.

The statements of officials and staff representing NARC indicate frustration over events at the national level, but optimism prevails as the regional movement finds new supporters. Ohio Governor John J. Gilligan's massive commitment to a statewide system of umbrella multijurisdictional planning and development organizations stands in contrast to national trends. The U.S. Chamber of Commerce, the Committee for



**Economic Development, and other private sector leadership organizations are also advocating that every governmental level further refine and extend the concepts of regionalism and regional structure. Clearly, regionalism has become a fact of life within the American political process. State and local officials are making it work, albeit imperfectly. By the end of this decade, it seems safe to predict that a new and stronger generation of regionalism and umbrella regional structure will have emerged.**

**The interstate situation is beyond the scope of this paper. But, brief mention must be made because of the number of interstate compact agencies with planning and program implementation responsibility for transportation. ACIR noted (12, pp. 278-279):**

There are more interstate metropolitan areas than most people realize, and their number is bound to increase. These areas were not designed to be interstate, they just happened. If political, administrative, and jurisdictional considerations were determinative, the major urban developments that mushroom into metropolitan complexes would be confined within single States, in order to simplify the conduct of State-local relations and the provision of services. . . . Three of the five largest metropolitan areas are interstate and many smaller but increasingly important urban centers are the hubs of interstate metropolitan communities. The interstate metropolitan area will be with us for the indefinite future and will increase rather than diminish in importance.

The ability of local governments in interstate areas like those in other parts of the State, to make or participate in extraterritorial arrangements (e.g., interlocal cooperation) is largely determined by the State government. Communities composing an intrastate metropolitan area have a common point of departure. Their powers and responsibilities may be affected by whether they are incorporated as cities, towns or villages, but their frame of reference is a common State law. At any given time, they also deal with a single group of State officials.

**ACIR concluded (12, pp. 310-311):**

The Federal government has played an important but somewhat ambivalent role in interstate metropolitan areas. In recent years, Congressional enactments and administrative policies have given increasing attention to the encouragement and financing of comprehensive areawide planning, urban transportation planning, and A-95 review and comment procedures encompassing whole interstate metropolitan areas. Comprehensive planning agencies in interstate metropolitan areas generally owe their existence to Federal funding requirements of individual Federal laws that there be comprehensive areawide planning as a condition precedent to the receipt of Federal grants, and their designations as A-95 review agencies.

However, in most interstate metropolitan areas, comprehensive health planning, although it is supported by Federal financial assistance, is not performed on an areawide basis. Moreover, in most such places, it is performed by bodies independent of the regional comprehensive planning agency, thus making it difficult to coordinate health care with other services. In addition, there are no interstate law enforcement planning agencies even though this activity, too, is supported by Federal financial aid. Also, in a number of instances Federal programs emphasize States or special regions such as river basins, even though they vitally affect programs having metropolitan areawide significance or addressed to many problems of particular metropolitan concern.

Because of the intensified jurisdictional problems faced by interstate metropolitan areas, and because of the importance of the Federal role in urban affairs, the development of a consistent set of national policies in support of interstate metropolitan areas could be especially helpful.

**The following excerpts (12, p. 348) from ACIR's many recommendations seem appropriate to indicate the extent of its support for the UMJO approach.**

Amendment of Section 402 of the Intergovernmental Cooperation Act of 1968 to give officially designated umbrella multijurisdictional organizations the power to review and approve or disapprove grant applications covered by the A-95 process which emanate from multijurisdictional special districts and authorities operating within these organizations' respective sub-state regions.

Amendment of the Intergovernmental Cooperation Act of 1968 to give officially designated umbrella multijurisdictional 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 multiregional impact located within each organization's substate region.

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 multijurisdictional agency or authority, or a unit of general local government, must be reviewed and any inconsistencies between such projects and officially adopted regional policies or plans must be resolved by the officially designated umbrella multijurisdictional 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 programs are involved.

**ACIR recommends the following (12, pp. 366-367):**

A. The Federal government and the affected States join with the localities involved in developing a strategy leading to agreement on the boundaries of the interstate metropolitan areas and to establishment of a single officially designated umbrella multijurisdictional organization in each of these areas

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 two-thirds 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, in metropolitan areas the power to approve or disapprove grant applications for major capital facilities assistance emanating from multijurisdictional 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.

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 multijurisdictional organizations operating in interstate metropolitan areas, spell out their general planning, programming, coordinative management, and other pertinent powers and functions, detail a membership formula which 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.

### Special Districts and Authorities

Although special districts and authorities are beyond the scope of this paper, they will play an increasingly important role in the implementation of transportation plans and programs. The number of special districts increased from 488 to 889 between 1962 and 1972. Highway districts decreased from 786 to 698, but transit districts increased from 10 to 33.

The trend to establish single and multimodal special districts will most likely continue. State government will be responsible for determining whether such districts are to be directly linked to substate district comprehensive planning processes carried out by regional councils-UMJOs. This trend also seems to be developing.

The SEMCOG-SEMTA linkage described earlier indicates how substate district comprehensive transportation planning within the framework of general-purpose comprehensive planning can support a substate district agency with operational authority. The initiative for SEMTA's establishment came from public and private leaders in the Detroit metropolitan area. SEMCOG proposed the linkage, and the SPA supported it throughout the legislative process. Then, as today, this Michigan approach does not represent an overall effort by the state to link transportation operating agencies to comprehensive planning agencies at the substate district or state levels. Nor does it represent an attempt to link both agencies to the Michigan Department of Highways and Transportation, the U.S. Department of Commerce, and other departments and agencies with transportation responsibilities in a consistent fashion.

California illustrates how statewide linkages can be developed. The state has provided the San Diego CPO and other regional councils with a strong state-down role in transportation planning. CPO is not proposing the establishment of the San Diego Metropolitan Transportation District. As indicated earlier, the district would be directly linked to CPO in a variety of ways. This proposal is a logical extension of the state's strong policy in support of transportation planning carried out within the framework of comprehensive planning at the substate district level. It helps to strengthen a state-substate district-local planning process.

The next generation of developments may witness the integration of regional councils-UMJOs into multifunctional regional service districts and authorities. The Denver Regional Service Authority proposal would have accomplished this. A variation of this approach would be to strengthen the planning role of regional councils-UMJOs (e.g., responsibility for the preparation and adoption of regional capital improvement plans and programs) and directly link them to multifunctional regional service authorities responsible for implementing the plans and programs approved. Georgia could accomplish this by consolidating several districts and authorities (e.g., MARTA) and linking them to ARC.

Federal policies and programs could be used to support the strengthening of regional councils-UMJOs vis-à-vis special districts and authorities. Requirements for substate district planning tied to grants-in-aid and other forms of assistance should be used across the board by the federal government to help reduce the number of special districts and authorities and to ensure that those that are carrying out basic services are directly linked to regional councils-UMJOs.

### Regional Government

Some advocates of stronger regionalism feel that regional councils-UMJOs should merely be a transition state leading to formal regional government. This viewpoint is not shared by the vast majority of local elected officials serving on regional councils-UMJOs. They still feel that regional councils-UMJOs should serve as local government service agencies and intergovernmental coordinating mechanisms. Many of these local elected officials also do not favor strengthening existing comprehensive planning processes at the state and substate district levels.

At ACIR's hearings, Francis B. Francois, president of NARC and councilman of Prince George's County, Maryland, stated (14, p. 2):

There is one thing that we frankly don't need in America, and that is yet another layer or tier of government. We already have a very complex Federal-State-local three-tier governmental structure, and to add yet another layer is neither necessary nor desirable. And yet, as I read between the lines of the ACIR report look at its recommendations, and in particular read the staff summary entitled "Authoritative Regional Councils A Brief Analysis", I can only conclude that it is contemplated the regional council will emerge from the ACIR recommendations as such a fourth layer or tier of government. I believe this must be avoided.

This view appears to be dominant at the present time. For this and other reasons, the development of regional governments on a national basis seems unlikely for many decades. Today, there is no true regional government in the nation. Most so-called "metros" are city-county consolidated governments. The Toronto and European forms have consistently been rejected by American political leaders and public and private sector leadership organizations.

Emphasis will continue to be placed on establishing special districts and authorities. The extent to which these agencies can be linked to regional councils-UMJOs will largely determine the rationality of planning and service delivery in substate districts. States must play the key role. The Michigan legislation applicable to SEMTA-SEMCOG offers an example. Arkansas provides another. The Little Rock Metroplan Regional Council acts as the trustee for 3 member governments for the operation of the transit line.

The California Tomorrow plan and other proposals advanced by other advocates of some form of regional government in the state legislature clearly indicate the potential associated with regional government. Reaction to these proposals also indicates how difficult it will be to establish regional government without first building a strong regional citizenship. The Metropolitan Council of Minneapolis-St. Paul represents a first-generation compromise. The council was established by the Minnesota legislature in response to a broad-based citizen movement in the Minneapolis-St. Paul substate district. The council has strong planning responsibilities, including veto authority, and demonstrates that planning can be implemented without the need to establish a formal regional government. The significance of the state legislation applicable to both the metropolitan council and ARC is that it could be amended to provide for formal regional government. The technical aspects are there, including a means to achieve the necessary transition to the direct election of regional representatives.

The states, with encouragement by the federal government, will have the lead in establishing regional government. Two decades from now we may well see joint federal-state actions in this regard. The full implementation of a national growth and development policy will certainly focus greater attention on the need to implement plans and programs on a substate district basis. Environmental considerations alone may require the federal government to designate "endangered national districts" or "endangered national population districts" or both. A careful reading of the testimony offered by scientists before congressional fact-finding committees indicates that this is not fantasy. The Los Angeles basin has been declared a health hazard today. Statistics that few would dispute indicate that it will be an environmental death trap tomorrow. Action can only be taken by the state and federal levels in both the statewide and national interest. A regional government would be a logical helpmate in carrying out the types of programs required to conserve human, economic, and natural resources.

### Findings

1. Congress, most of the major national public interest groups (including the National Governors' Conference), and other interested parties (e.g., ACIR) are demonstrating an interest in a new generation of multistate regional planning and development organizations whose functional responsibilities would include transportation.

2. The national administration continued to deemphasize the role of existing multistate planning and development organizations, and there appears to be no commitment to strengthening their intergovernmental position through federal financial incentives

and multistate planning requirements.

3. There is growing support within the public and private sectors for national incentives in support of the establishment of statewide planning systems with UMJOs serving each officially state-designated substate district (frequently referred to as state planning regions).

4. The findings released by ACIR in conjunction with its continuing investigation of regional structure clearly indicate that almost all elected officials at every governmental level do not favor regional forms of governments or greater use of special single- or multiple-purpose special districts and authorities.

5. The ACIR findings do indicate that elected officials at every governmental level, general citizen organizations (e.g., League of Women Voters), and private sector organizations (e.g., U.S. Chamber of Commerce) appear to favor UMJOs serving officially state-designated substate districts within every state.

6. There appears to be widespread support on the part of existing regional councils, as reported to ACIR by the president of NARC in October 1973, for becoming UMJOs within comprehensive statewide planning systems.

7. UMJOs offer a politically acceptable means short of formal regional or metropolitan government to transcend and coordinate the jurisdictional responsibilities of general-purpose governments at every level, special districts and authorities, and private sector interests through comprehensive policy and planning processes.

8. Regional structure is evolving in different states and in a variety of forms. Although it is not desirable to predetermine a particular form for every multistate, state, and substate district situation, the major national public interest groups, ACIR, and other interested parties suggest a positive federal leadership role in favor of umbrella multistate organizations and UMJOs.

9. Almost every state needs to sort out governmental jurisdictions relative to the various transportation modes, public works, public facilities, and regulatory responsibilities. Without such an effort, it will continue to prove difficult, if not impossible, for states to develop a statewide transportation system within a general statewide transportation policy framework.

10. Positive, consistent, and sustained federal leadership from within the executive office of the president, especially from OMB, is needed if progress is to be made toward the establishment of statewide planning systems with UMJOs serving officially state-designated substate districts within every state.

### Recommendations

1. The Transportation Research Board should assume a leadership role in encouraging various transportation interests to support the following recommendations contained in the report of the 7 major national public interest groups (1).

2. In interstate urban areas, the thrust of federal programs concerned with area-wide planning and intergovernmental coordination should be on increasing the abilities of local and state governments to develop the multistate character of the area. Toward this end, priority among federal programs concerned with areawide planning and intergovernmental coordination in large interstate areas should be directed to strengthening the ability of the interstate umbrella multijurisdictional organization to deal with area-wide problems. In small interstate urban areas, due recognition and coordination will have to be given to the affected state planning and development agencies.

3. The interstate coordination of planning and policy development programs is a special problem requiring unique solutions worthy of a major study. Therefore, OMB should insist that urgent attention be given by all federally sponsored multijurisdictional programs to align their program boundaries with state-designated substate region boundaries to permit maximum initiatives for state implementation; take positive steps to encourage the integration of the policy boards of the variously sponsored and independent federal multijurisdictional programs into a single, areawide umbrella multijurisdictional organization; and insist that administering agencies recognize for funding purposes the priorities established by the umbrella multijurisdictional organiza-

tions that are composed of locally elected officials.

4. The umbrella multijurisdictional organization should be empowered to make decisions in order to resolve competing objectives and to set regional priorities that should be recognized by both federal and state funding agencies.

5. DOT should provide states and UMJOs, through states, with new criteria and factors that can be used to assign jurisdictional responsibilities to state government and local general-purpose governments.

6. The Transportation Research Board should work with ACIR and the Council of State Governments to develop proposed state legislation for introduction by interested states that would clearly mandate UMJOs to be responsible multistate or substate district transportation planning agencies for all state and federal purposes.

7. OMB should encourage all federal transportation agencies to require that federal financial assistance and planning requirements for areawide planning and programming be directed exclusively to state-certified UMJOs.

8. The Urban Mass Transportation Administration (UMTA) should deal with UMJOs through comprehensive statewide planning agencies.

9. DOT should tie all federal and state-administered federal transportation funds to the "pass-through" concept and give UMJOs a clear and strong interposition role between the federal-state levels and local general-purpose governments or multijurisdictional and local special district-authority transportation agencies.

10. OMB should work with comprehensive statewide planning agencies to encourage the enactment of state statutes and the establishment of statewide planning systems designed to enable UMJOs to analyze and exercise strong review and comment, and perhaps veto, authority relative to developments of regional impact (including multimodal transportation works, facilities, and services).

11. In official substate districts lacking a state-certified UMJO, OMB should encourage all federal transportation agencies to require that federal financial assistance and planning requirements for areawide planning and programming be directed to and through comprehensive statewide planning agencies.

## REGIONAL TRANSPORTATION PROCESSES

### Multimodal Programs and Linkages

Strong advocates of statewide and substate district comprehensive planning would argue that for statewide transportation planning to serve the interests of all citizens and to contribute to a balanced system it must be multimodal in character. The quest for multimodal considerations remains elusive.

Once again it seems important to start at the top of the state planning hierarchy. A strong central SPA directly responsible and responsive to the governor, as chief state planning officer, and linked with the central budget process is essential. Two researchers suggested to DOT in 1970 that SPAs were the most appropriate agencies to close the gap between policy generalists and functional specialists while also serving as the linchpin between various functions and governmental planning levels. The multiple-agency and intergovernmental character of comprehensive planning was stressed. Although these researchers acknowledged that no single agency could be responsible for comprehensive planning, they did conclude that a single agency to guide and direct the comprehensive planning process was needed. The following commentary (7, p. 74) on "counteracting picket-fence federalism" reinforces this conclusion:

The theory and practice of policy determination and administration within our federal system has been the subject of debate centering around the culinary analogies of "layer cake vs marble cake" federalism. A more accurate analogy, we would argue, is the "picket fence" character of contemporary U S federalism. Here the horizontal bars of the fence represent the federal, state, and local levels of government. The vertical slats stand for the alliances and associations

between like-minded professional specialists in the same program field connecting in a vertical fashion the levels of government

Outstanding examples of picket fence federalism are the highway and health fields. A governmental report once called these vertical linkages "vertical functional autocracies." Most state planning efforts and the policy proposals included in this report are aimed at counteracting the negative features of picket fence federalism.

At the state government level this need to overcome the vertical specialties focuses on the governor and his immediate staff functions. Therefore this places a great priority on enhancing such staff functions as planning.

**To strengthen both comprehensive planning and statewide transportation planning, these researchers offered the following recommendations (7, pp. 65-66), which are as valid today as they were 4 years ago.**

#### State-Level Review, Comment and Finding

The Department of Transportation should incorporate into federal transportation planning requirements a provision requiring that transportation projects funded by federal aid are reviewed, commented upon, and found to be in accordance with the goals and objectives of a comprehensive statewide development plan, including its transportation component, in states where acceptable functional and overall plans exist. Certification of such plans shall be made on the recommendation of the governor of the state, and approved as effective by DOT with respect to the transportation plan and by an executive staff agency (e.g., Office of Intergovernmental Relations).

#### Joint Funding

DOT should actively press for passage of the joint funding legislation pending before Congress. After passage of this legislation DOT should entertain and encourage the development and submission of grant applications that propose the joint funding of state planning programs designed to relate transportation planning to overall state development planning.

#### Consolidated Transportation Planning Grant

A consolidated grant for transportation planning should be authorized and funded. Such a grant, representing the collapsing of airport, highway, mass transit, railway and waterway planning authorizations, should be available on a formula basis to the states. A specified proportion of the planning funds should be allocated to a discretionary fund and disbursed for special planning projects approved by the Secretary of Transportation.

#### State-Level Allocation of Transportation Planning Funds

Once authorized, the allocation of transportation planning funds within the state should be at the discretion of the governor subject to review by the Secretary of Transportation. Such review shall be for the basis of establishing

- a. The bona fide transportation-related activities supported by the funds, whether they be a state DOT, a state planning agency, a state department of community affairs, governor's policy staff, or other appropriate agency or personnel
- b. Periodic recertification of the allocation and/or designations of planning fund uses and agencies
- c. A showing by the governor that he has reviewed and approved of the transportation plan components developed under these funding arrangements

#### Linking Transportation Plans with Comprehensive Plans

Legislation should be proposed permitting individual states to use up to a specified percentage of federal planning funds for programmatic planning purposes (airports, highways, etc.) for planning efforts aimed at coordinating modal and intermodal transportation plans with comprehensive state development plans. The legislation should specify that the agency to carry out this charge will be designated by the governor and that this designation is subject to periodic review.

Since Hawaii organized the first state department of transportation in 1959, 23 other states have established transportation departments. Some of these are truly multi-modal in character, but others essentially represent a relabeling of former highway departments and agencies. Regardless of the scope and integrity of the transportation

departments, it still can be argued that a SPA should be clearly placed in a policy and program development position vis-à-vis transportation and other state departments and agencies as well as vis-à-vis regional councils-UMJOs and other levels of governmental planning. This meant to suggest not that SPAs would take on line-operating planning and programming responsibilities but that SPAs along with other staff arms of the governor would serve to balance competing policies, programs, and priorities.

A case in point comes to mind. Had the Michigan Office of Planning Coordination and the Bureau of the Budget not become involved with public transportation issues in 1967, SEMTA and a state grant-in-aid program for substate transportation planning and programming may not have been realized within a 2-year period, if at all. As a result of these 2 executive office agencies working closely together and with external public transportation interest groups, progress was made. And, a strategic decision was made to lodge the grant program in the U.S. Department of Commerce to buffer it from traditional highway political pressures until a new constituency could develop to protect and expand it. This is the type of strategic involvement that a SPA can, and many would argue should, play to promote and foster multimodal transportation policies and programs rooted in public values and philosophies different from advocates of single modes.

Strong regional councils-UMJOs linked to SPAs can help guarantee multimodal considerations, and policy trade-offs are incorporated into statewide transportation planning. This approach suggests delays and certain general welfare or commonweal decisions that would be unfavorable to state transportation departments and single-mode advocates. Nevertheless, this approach is finding more and more supporters at every governmental level. The land mark Federal-Aid Highway Act of 1973 and policy changes by DOT at the national level suggest that we are embarking on a new era of transportation planning that will advance the art and science of multimodal policy-making and planning processes.

Table 1 (18, p. 7) gives the subject matter that statewide transportation planning should be concerned with and is a helpful reminder of the scope of multimodal considerations.

The 2-volume work plan prepared for the Pennsylvania Department of Transportation offers insights into the many difficulties associated with realizing multimodal statewide transportation planning. The report notes (19, pp. 1-2):

A summary of the seven most critical transportation planning problems facing Pennsylvania has been developed

The identification of these critical issues influenced the planning work program recommended for PennDOT. If all modes had equal problems, it would have been desirable to move forward on all modal fronts at the same time. But all modes are not equal. Highway, air, and rail problems appear to be more severe than those of other modes. This tended to favor an approach that would focus on these critical problems, leaving other modes until later.

In the long run, a more objective and precise identification of what constitutes "severity" of a problem must be obtained. To become more objective, the performance of a mode must be measured in terms of various goals (or objectives) that are commonly agreed to be important. Goals form an integral part of the planning program that is recommended. Measuring the performance of all the modes in relationship to the same goals will permit both a more accurate assessment of problems and the ability to do better multi-modal planning.

Although certainly not applicable to all states, the following definition of statewide planning, as defined in the report for Pennsylvania (19, p. III-3), does help focus on the scope that must be addressed.

a To attain a series of goals, or to improve performance in relationship to a series of criteria (as listed later in this section),

b Of different groups: people who travel, private firms that ship, private firms that sell transportation services<sup>1</sup>, people who are in any way affected by facilities or services, and the general public,

c By involvement in or recommending new, or changes in construction, operation<sup>2</sup>, technology<sup>3</sup>, price regulation<sup>4</sup>, subsidy<sup>4</sup>, and regulation of operations<sup>4</sup>,



- d For the following modes truck, rail freight, air freight, waterways, ports<sup>5</sup>, pipelines, air passenger and general aviation<sup>6</sup>, bus passenger, rail passenger, and highway (automobile),
- e Planned by means of an orderly, objective process based on measurement, but including inputs by duly elected officials<sup>7</sup> and reviews by ad hoc citizen groups<sup>7</sup>, and also including priority programming,<sup>8</sup>
- f Closely integrated and coordinated with land use, economic, environmental, and other plans,
- g For the entire state, including both urban<sup>9</sup> and rural areas, and
- h. For time periods ranging to 20 years<sup>10</sup>

<sup>1</sup> Despite some disagreement within PennDOT, this group was left in the definition to express PennDOT's broad, general concern for the health of private carrier operations

<sup>2</sup> An overall view of the performance of each transportation mode, and selective adjustments or improvements, is needed to produce a better coordinated functioning of the entire system

<sup>3</sup> By technology is meant demonstration projects, or applied use of technological advances, rather than technological research and experimentation

<sup>4</sup> These items were left in the definition, despite some disagreement within PennDOT, to express concern about measures required to maintain a totally functioning transportation network

<sup>5</sup> One respondent felt that ports should not be included

<sup>6</sup> General aviation also supplies air taxi and business flying service, both extensions of air passenger service

<sup>7</sup> There was some disagreement within PennDOT on these inputs, but planning if it is to be effective, must knowledgeably reflect the views of concerned officials and the public

<sup>8</sup> This activity was included to bring closer a strategic, result-producing process and to avoid data-producing processes which fail to provide helpful tools for decision-making

<sup>9</sup> Yet state transportation planning for urban areas must recognize the intensive metropolitan transportation planning already under way, leave the details to metropolitan agencies while maintaining an overview, and seek to tie these efforts in with broader regional and state objectives

<sup>10</sup> None of the PennDOT persons interviewed desired a planning process looking further than 20 years into the future

**The following outline of the levels of planning contained in the report (19, p. III-10) are also excellent as a point of reference.**

The steps of the transportation planning process are applied at a series of different levels of planning. This idea was generated in a paper by Bouchard et al [Techniques for Considering Social, Economic and Environmental Factors in the Planning of Transportation Systems Highway Research Record 410, 1972]

The levels at which statewide transportation planning are carried out are listed below, together with descriptions and examples to clarify the meaning

1 Policy Planning Policy planning is concerned with allocation of resources, principally financial, to the construction or operation of different types of transportation. It is also concerned with regulation, both legislative and administrative. Examples of important policy questions are:

- a. How much should the state and the federal government invest in transportation as opposed to other types of governmental programs?
- b. How much should be invested in each of the different modes? Should operating support be provided to urban transit systems?
- c. Should the state concentrate more on urban transportation problems or inter-urban problems?
- d. Should the state spend more on interstate-type facilities, on the primary, or on the secondary systems?
- e. What levels of transit service should be provided in smaller communities?
- f. Should the state support rail service to maintain rail access to certain areas?

2 System Planning This is long-range planning for major systems of facilities covering the entire state—rail freight systems, highway systems, systems of airports, and the coordination of these systems. The accent is on major facilities which are appropriate to be planned at the state level.

3 Regional or Urban Systems Planning This is long-range planning for systems within urban areas, or within regions (multi-county regions) of the state. The accent is on a more fine-grained approach.

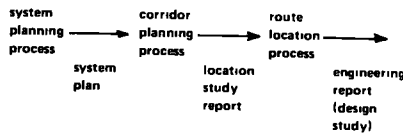
4 Corridor Planning. This is a special type of planning, where a corridor is being studied through which one or more modes of major facilities may be built. Corridors may be urban or rural. The decision to build is not firmly made, and these studies may produce evidence that no new facility should be built.

5 Project Planning. This is more detailed planning than corridor planning, the decision to build has been made, and an approximate location has been fixed. Project plans suitable

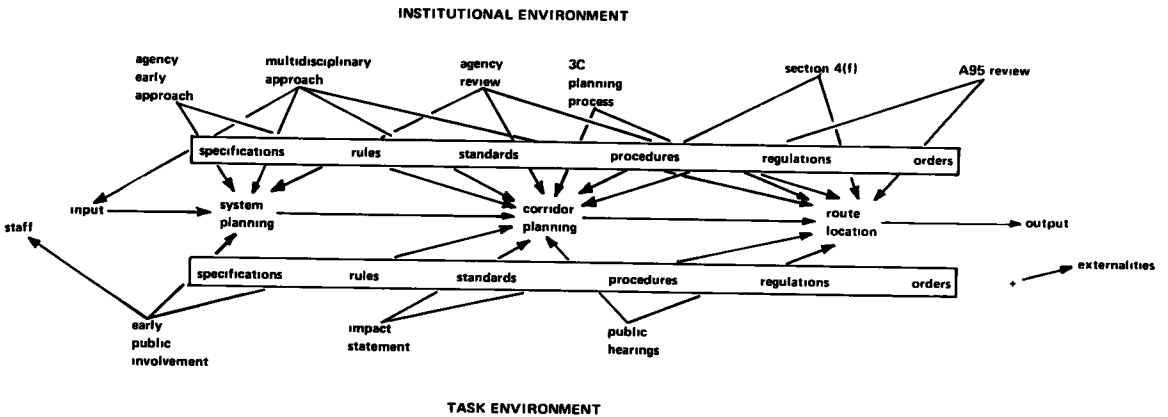
**Table 1. Subject matter of concern in statewide transportation planning.**

Subject Matter	Concerned With	Not Directly Concerned With
Highway	System design in principle for all systems (basically spacing and configuration), corridor location for primary and Interstate routes, investment levels by type, location, and timing (both intraurban and statewide)	Route location, engineering design, corridors of secondary highways in counties (unless owned by state), traffic engineering and control
Bus	Systems of routes (design and interline coordination), level of service (headways), generalized terminal location, pricing, bus size	Detailed terminal location, scheduling, internal management, operations, safety
Air passenger	Systems of air routes and airports, generalized airport location, size, and investment, airspace use, pricing, utilization of airport by type of airplane	Detailed airport location, scheduling, internal operations, air traffic control, safety
General aviation	Systems of airports, generalized airport location, size, and investment, airspace use, pricing, utilization of airport by type of airplane	Detailed airport location, scheduling, internal operations, safety, air traffic control
Rail passenger	Rail passenger systems, generalized station locations, pricing, service levels (headways), public investment, grade crossing protection	Scheduling, operations, safety
Rail freight	Extent and design of system, investment, terminals (especially TOFC/COFC), system speed and pickup frequency, rail-truck coordination, pricing, grade crossing protection	Scheduling, operations, safety
Truck	TOFC/COFC terminal locations, expressway location, truck size and pricing	Operations, details of TOFC/COFC location, safety
Canals	Investment and maintenance costs, systems as related to rail and highways, recreational use	
Ports	Investment, coordination with rail, highway, interport coordination and general location	Design, management, operations
Pipelines	Impact on rail, canals	
Land use	Relation between accessibility (by mode) and the distribution and level of economic activity, population distribution	Safety, management, operations
Environment	Preservation of natural, historical, and aesthetic resources	

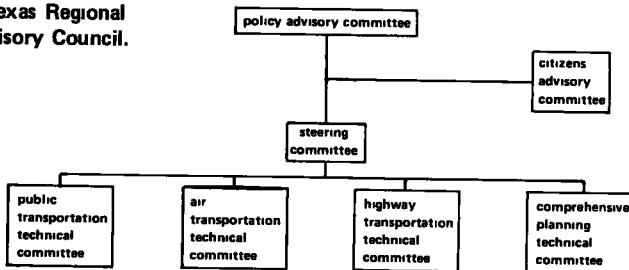
**Figure 1. Linked technology for highway planning.**



**Figure 2. Experimental, flexible approach to highway planning.**



**Figure 3. Organization of Texas Regional Transportation Planning Advisory Council.**



for presentation at a public hearing are produced.

6 Engineering Design This is, of course, the most detailed type of planning

7. Planning for Management and Operations These are plans for improved management, maintenance and operations of all types of transportation facilities.

The consultants determined that the transportation department has a prime responsibility for levels 1 through 4 and secondary responsibilities for the rest.

The consultants were not particularly optimistic about the current status of multimodal transportation planning processes. They noted (19, p. V-1):

A decade of steady hard work can be expected before a truly comprehensive, multi-mode transportation planning process will be established, on a continuing basis. At present, the data are insufficient and methods are not well enough developed. Measures of the extent and severity of the problems in some of the modes are not available. Considerable effort will have to be given to develop preliminary plans quickly, in order to have some basis for state policies and decisions, and the development of these interim plans will take manpower away from the improvement of various technical processes required by the comprehensive process.

The consultants did indicate progress was being made and that a multimodal process would emerge. It was suggested (19, pp. V-3 and V-4) that the process will, among other things,

Be coordinated with an official state policy on population location and land development, having a demonstrable degree of "goodness" along specific parameters,

Have the ability to determine the impact of land development on transportation service, and vice versa,

Have the ability to determine and project, for alternative plans, the distribution of passenger trips between the available modes, taking into account the service (speed, safety, price) provided by the different modes,

Have the ability to determine and project, for alternative plans, the distribution of freight shipments between the available modes, taking into account the service (speed, reliability, damage rates, cost) provided by different modes, and

Have the ability to evaluate passenger travel patterns of alternative plans in terms of user costs, supplier costs, environmental impact, and impact on land use

The report concluded by recommending that the single-mode simulation-evaluation approach be relied on for the statewide planning of most modes. It concluded (19, p. III-28) that "the multi-mode simulation-evaluation approach is considered to be not well enough developed at present to be productive."

Adams (20) graphically depicted the 1960 linked approach to basic highway planning as shown in Figure 1. He suggested that this approach to the basic highway planning process in about 1960 served "to buffer the planning process (the technical core) from external influences" (20, p. 4). Thus, the core was protected from 2 types of environmental influences: the institutional environment involving regulations and intergovernmental relations (including review and comment) and the task environment including public involvement, coordination with private groups, interest groups, and so forth.

Figure 2 shows the approach now being experimented with in response to assaults on the buffered core and the organizational structure of the highway planning process. The change is dramatic. It is radical. And, in Adams' opinion, more change is on the horizon. He notes that Michigan's approach to the Action Plan was to shift to a process that allows flexibility to respond to new requirements while attempting to "provide a fit between transportation systems and the community" (20, p. 17). Adams cites the following examples of the federal policies that have led to the above change: the 2 public hearings requirement, environmental impact statements required under the National Environmental Policy Act of 1969, early public and agency involvement, and the reinforced requirement of a multidisciplinary approach interpreted through the Process Guidelines for the Action Plan.

The rate and intensity of change that is making statewide transportation planning more complex and multimodal in character are causing some legitimate concerns on the part of congressional committees, single-mode advocates, and other interest

groups. The American Association of State Highway and Transportation Officials is, for example, attempting to alter public policy in favor of rebuffering the technical core, at least to a greater degree than now experienced. This brief discussion seems more appropriate to future considerations of state planning vis-à-vis statewide and substate district growth and development.

Every state is currently grappling with the latest wave of policy and programmatic changes enunciated by DOT and HUD at the national level. DOT's 1973 order dealing with Annual Unified Work Programs for Intermodal Planning clearly indicates that regional councils-UMJOs serving metropolitan areas are to play an increasingly important role in transportation planning. The multimodal emphasis and specific references to matters such as consideration of alternative courses of action, systematic interdisciplinary approach, identification of socioeconomic and environmental impacts, public involvement, and land use planning come across clearly. So does the support for a dynamic process. The order explicitly states that unified work programs are not to be just compilations of existing work programs. They are to represent integrated programs developed through a process.

Funding changes, including the intent that FHWA and UMTA fund the same metropolitan planning organization in each metropolitan area, should strengthen the role of regional councils-UMJOs in every state. The single-agency requirement related to FHWA, UMTA, and Federal Aviation Administration (FAA) funding has led many states to begin to rethink the intergovernmental planning relation that should exist among regional councils-UMJOs, local governments, and special districts and authorities, and state governments.

The DOT-HUD decision that the unified work program be merged with the HUD-required overall program design also signals an entirely new set of involvements at every governmental level. The Ohio Intermodal Planning Group, for example, includes representatives from the Department of Economic and Community Development (DECD) and OMB, for these 2 agencies have major responsibilities vis-à-vis HUD and regional councils-UMJOs. HUD's interaction with DOT has already been institutionalized through the Regional Intermodal Planning Group.

The above changes found Ohio in the middle of its efforts to establish a statewide system of new regional planning and development organizations (i.e., regional councils-UMJOs). To keep Ohio eligible for federal funds, the governor designated metropolitan areawide agencies currently responsible for transportation planning until the new regional structures are in place. The Ohio Department of Transportation is now working closely with DECD and OMB to assist state-designated transition organizations to qualify for federal funds while at the same time restructuring themselves into regional councils-UMJOs.

DOT is working on new joint planning guidelines and requirements for unified capital and service programs. Multimodal considerations are stressed. It is obvious that more changes are on the way. There is reason for some concern relative to regional councils-UMJOs. The favorable DOT policy and funding changes find most states yet trying to come to grips with whether they want to support regional councils-UMJOs within the framework of a statewide planning system. Even states with a strong commitment to regional councils-UMJOs, like Texas, are now feeling the pressure from strong single-mode interests at the state, substate district, and local levels to allow transportation planning to be rebuffered at the metropolitan level. It is unfortunate that DOT's new directions are not accompanied by strong corresponding actions on the part of HUD and OMB in support of SPAs and regional councils-UMJOs.

### Decision-Making

The current Texas situation offers many insights into the type of battle that will be fought at the substate district level as to who is to be responsible for transportation decision-making. Texas regional councils are finding that despite the strong policy support they receive from the central SPA, the Division of Planning Coordination in the Governor's Office, and the fact that they have received almost across-the-board

state and federal designations to carry out functional planning, a vulnerability exists. The policy and program compromises hammered out at the state level by the Texas Highway Department have resulted in institutional changes within several major regional councils that may effectively divorce transportation decision-making from the normal decision-making responsibilities of the general deliberative and executive bodies.

NCTCOG is responsible for comprehensive planning within 14 counties. This regional-council-UMJO also has responsibilities for such functional planning in the areas of transportation, health, manpower aging, public facilities and works, and law enforcement and criminal justice.

As a result of negotiations among the Texas Highway Department, the governor's Division of Planning Coordination, NCTCOG, and the 10 signatory local governments (including Dallas-Ft. Worth) in the intensive study area, a new decision-making mechanism within the framework of NCTCOG emerged.

After the decision to organize a Regional Transportation Policy Advisory Committee (RTPAC), a steering committee was organized as the first step. After some initial disagreement, the 20-member committee was established and held its first meeting in December 1973. The Bylaws and Operating Procedures for Multimodal Transportation Planning was adopted at this meeting. The bylaws state (21, pp. 1-2):

Evaluation of transportation alternatives and the determination of the most desirable transportation system can best be accomplished through a committee of elected officials, as spokesman for the citizens, of counties and cities in the North Central Texas Region. Such Policy Advisory Committees should include State and Federal elected officials in order to provide proper coordination and funding of transportation systems.

The Policy Advisory Committee should make recommendations involving the total transportation system to the governing bodies of the counties and cities for all modes of transportation. Final decision for implementing the transportation plan must rest with the governing bodies of the counties and cities in the North Central Texas Region and the State Highway Commission.

The 20-member Steering Committee consists of the following officials:

<u>Agency</u>	<u>Seats</u>
Counties	
Dallas	2
Tarrant	2
Cities	
Arlington	1
Dallas	4
Fort Worth	2
Garland	1
Grand Prairie	1
Irving	1
Mesquite	1
Richardson	1
Texas Highway Department	
District 2 Engineer	1
District 18 Engineer	1
Technical Committee	
Public Transportation	1
Air Transportation	1

The Steering Committee is responsible for all day-to-day operations and possesses considerable authority. The committee's responsibilities include reviewing and periodically revising the United Work Program for Multimodal Transportation Planning. NCTCOG and the Regional Planning Office of the Texas Highway Department provide the committee with administrative and clerical support.

The RTPAC membership is as follows:

<u>Agency</u>	<u>Seats</u>
Cities and Counties	
Local elected officials in the 14-county north central Texas region	102
U.S. House of Representatives	8
Texas Senate	9
Texas House of Representatives	36

It meets at least annually to provide general guidance, review the transportation plan and make recommendations to local governments and other agencies, and take actions on Steering Committee recommendations. Figure 3 shows its relation to the Steering Committee and the several technical committees provided for in the bylaws.

In mid-January 1974, the Steering Committee approved the 1985 transportation plan stemming from the Dallas-Fort Worth Regional Transportation Study completed by the Texas Highway Department. The committee agreed to review the findings and recommendations stemming from the Regional Public Transportation Study carried out by NCTCOG at a future meeting. The Committee also approved the 1973 Unified Operations Plan and the 1973-1974 Unified Work Program, documents jointly developed by NCTCOG and the Regional Planning Office of the Texas Highway Department. The Unified Work Program covers 14 months so that the budget year will conform to that of the Texas Highway Department. The committee also agreed to consider taking a position in support of a provision relative to regional operating agencies for public transportation in conjunction with the current Texas constitutional revision process. NCTCOG staff was asked to prepare a presentation. And, the committee endorsed the comprehensive car-pool program developed by Dallas along with an application for funding for submission to the Texas Highway Commission.

A similar approach to organization and structure has been taken by the Houston-Galveston Area Council (HGAC). A 21-member steering committee composed principally of local elected officials has been provided for along with a loosely defined policy advisory committee. Draft bylaws and operating procedures indicate (22, p. 1):

Invitations to membership on the Policy Advisory Committee shall be extended each year to the following: the county judge of each of the counties, and the mayor of each of the incorporated cities in the Gulf Coast State Planning Region. All state senators, state representatives, and U S congressmen serving from districts located wholly or in part within the Region will be invited to serve. Those accepting the invitation shall be voting members

The fact that local elected officials have been given a strong role in the approaches being used by the 2 Texas regional councils is encouraging. The discouraging aspects revolve around the fact that transportation plans and programs will be approved outside of the framework of the general deliberative and executive bodies of the councils. Even more important, transportation plans and programs will not be acted on by local elected officials in their capacity as "regional policy statesmen" on these bodies relative to comprehensive regional development plans and programs. Perhaps what we are seeing is the development of a new form of "buffering", one that buffers transportation decision-making from overall regional decision-making and the visibility associated with comprehensive plans and programs that allows diverse interest groups and citizens to react to given functions (e.g., transportation) within a broader perspective. Policies, priorities, and dollar resource allocations may well be distorted by the processes chosen by state and local officials in Texas. The burden rests fully with local elected officials to barter and trade within the processes to minimize or prevent distortions that would imbalance modes and work against the regional general welfare or commonweal.

Significantly, NCTCOG's transportation staff has posed the following issues to the RTPAC and the Steering Committee relative to comprehensive multimodal transportation planning and decision-making (23, p. 6):

What is the proper role and combination of travel modes to achieve the desired development in the North Central Texas area?

What transit projects need to be implemented to achieve the public transportation role of the total transportation plan? What priority should be assigned to each transit project? How should each project be implemented?

What airport projects need to be implemented to fulfill aviation's role in the total transportation plan? What priority should be assigned to each project within the Airport System Plan? How should each project be implemented?

Is an area-wide operating agency for transit needed? What characteristics should it have, and what is required for its creation?

What impacts will each alternative transportation system have on the social, economic, and environmental aspects of the area?

What will be the effect of an extended energy crisis on the transportation system? What transportation system can be planned and developed to allow for energy crisis?

**Citizen involvement and participation require special consideration. Confusion still exists relative to these approaches. A satisfactory process for citizen involvement and participation in public policy-making has not emerged despite sincere efforts on the part of every governmental level, especially federal departments and agencies. Federal interagency task forces have failed to clarify how such a process might be developed and implemented. There remains considerable latitude for subjective judgment and interpretation at every governmental level.**

Citizen participation and involvement at the substate district level has generally come to mean advance notification, public hearings, citizen advisory groups, and the appointment of citizens to policy and technical committees. Some regional councils-UMJOs provide for the election or appointment of citizen representatives to their general deliberative and executive bodies. For the purpose of this paper, citizen participation will mean advance notification and public hearings. Citizen involvement will mean a direct opportunity for citizens representing different socioeconomic groups and classes to advocate policies, recommend programs, and engage in decision-making within the institutional framework and processes of regional councils-UMJOs.

Citizen participation and involvement are difficult to realize at the state level, particularly in conjunction with long-range planning that affects basic policies, plans, and programs. How are citizens to be involved? What is expected of them? Are they to be a sounding board? Do they present alternatives? Do they formulate goals? Do they settle disputes? Are they to educate the statewide community? How are they to be selected? Does the state provide support services such as meeting facilities and secretarial assistance? Is this expecting more than the system can give?

State transportation agencies usually limit citizen participation to advance notification and public hearings to obtain citizen responses and reactions to proposals. Many states still rely on multiheaded policy boards and commissions to guide and direct transportation agencies. Even in the case of single-chief-executive forms of organization, policy and advisory boards or commissions are often required by state statutes or constitutional provisions. The weight of decision-making tends to be on the side of the providers and producers rather than on the side of the citizen in the role of consumer. The New York experience is of interest (18, p. 19):

In each of the ten regions of the state (excluding the metropolitan New York City area, which used different procedures) public meetings were held. These meetings were co-sponsored by the New York State DOT and the Regional Planning Board, and were held in the region. Prior to the meeting DOT mailed out information on the meeting and asked for responses to questions dealing with facility priorities, changes in regulations, transportation services that were needed, directions and form of regional growth and development, and so on. These were directed to public agencies in the region, Chambers of Commerce, freight carriers, manufacturers, and others. Written responses in advance of the meeting were encouraged. When the meeting was held, it was fairly unstructured, but covered issues raised before the meeting and developed some additional issues. The meetings were taped and a report, cross referenced by speaker and issue, was prepared. New York expects to publish and circulate these reports for each district and then to hold public hearings. Then, and only then, will statewide plans be finalized.

New York State has begun to deal realistically with the problem. However, citizen participation still breaks down at the local and substate district levels. It is difficult for citizens to influence decisions at the state level through existing processes.

Regional councils-UMJOs can play a major role in a statewide communications process, and SPAs can play a coordinative role at the state level. SPAs, directly responsible to governors as chief state planning officers, can provide the focal point for the exchange of information and the negotiation of differences. A vertical and horizontal process is needed that allows citizens to express their concerns and desires at the substate district level and through regional councils-UMJOs to SPAs, state transportation agencies, and state legislative committees. Citizens and interest groups can work within the existing institutional arrangements and still keep all their options open for direct pressure on local elected officials, governors, and legislators. At the same time, governors are directly brought into the process through their SPAs. A process that can lead to negotiation and policy trade-offs and in which SPAs and regional councils-UMJOs play the central roles seems to have real merit. Two-way communication involving SPAs and regional councils-UMJOs before and after decisions are made is essential if citizens are to be given an opportunity to take timely preventive and remedial actions.

Direct citizen involvement seldom exists at the state level except in the form of advisory committees and task forces and through the legislative process. Regional councils-UMJOs capable of mounting a state legislative program that represents "regional consensus" offer a way for citizens to extend their influence at the state level.

Federal policies and requirements have added to the confusion that surrounds citizen involvement issues at the substate district level. For example, throughout the 1960s, EDA encouraged the establishment of regional councils with policy bodies composed of local elected officials and representatives of diverse socioeconomic groups. HUD, on the other hand, favored regional councils with policy bodies composed of 50 to 100 percent local elected officials. Although HUD has encouraged socioeconomic balance on policy bodies, there is a growing trend for regional councils to reorganize in favor of policy bodies composed of at least two-thirds local elected officials.

The selection of citizens to represent socioeconomic groups and classes is difficult at best. Yet, despite the many problems associated with democratic selection and equity, there is an inherent value associated with the direct involvement of such citizens on the policy bodies and standing policy committees of regional councils-UMJOs. This approach gives members of groups and classes the opportunity to key on someone who can at least ensure that their views are made known in a forceful manner.

States have reflected many levels of compliance and cooperation with federal directives. Maryland has taken very positive actions to ensure citizen involvement and participation within the planning processes carried out by regional councils-UMJOs. Maryland's guidelines and requirements exceed those of federal agencies and are rooted in Article 66B of the Public General Laws of Maryland.

An innovative approach to citizen participation relative to transportation is contained in a bill introduced by a California assemblyman in 1973. The bill would create a Bay Area (San Francisco) regional planning agency to be the comprehensive transportation agency as defined in the proposed statute. Citizen participation is ensured through a public hearing process required in conjunction with the approval and revision of the comprehensive regional plan. Thus, the mandatory transportation element would be reviewed and acted on within the context of the total plan. This suggests that many new opportunities for policy, priority, and resource allocation trade-offs would exist. At the same time, provision is made for citizen involvement during the early stages of planning through citizens appointed to advisory committees. Since the proposed agency would have the authority to enact regional ordinances to secure cease and desist orders to prevent actions, the policy bodies would be composed of local elected officials or their representatives selected by member governments.

Adams of the Michigan Department of Highways and Transportation has, in reference to open planning processes, suggested (20, p. 16) "A solution to many of these problems is the use of multidiscipline teams which do provide for the involvement of all disciplines in the process as workers as well as reviewers, as public involvement op-



erators, as well as project developers." The process he suggested would include the following (20, p. 30):

Establishment of citizen advisory groups through regional or local government agencies  
Citizen advisory groups should represent a cross section of interests within the study area

Public Opinion Surveys—questionnaires either by mail, interview, or public meetings to test public attitudes

Leadership Basemapping—identification of the formal and informal leadership in the study area. Identified leaders can then be contacted and interviewed concerning their opinions of the study issues. Improved contacts can be made with the general public through the identified leadership.

The above process marks an exciting departure from the past by a highway department noted for its powerful and rigid professional highway planning and engineering.

HUD and other federal agencies have attempted to ensure citizen participation and involvement for all social and economic groups. DOT has taken the following approach in its requirements (24, p. 1):

Public Involvement. The planning process should provide for broad political and citizen participation and involvement. Interested parties should be afforded adequate opportunities to express their views early enough in the process to influence the course of actions and decisions. Reference should be made to methods by which information on the existence, status and results of planning studies are made available to the public

This relatively weak statement by the Department of Transportation has allowed states and regional councils-UMJOs considerable latitude—perhaps too much latitude.

The Bylaws and Operating Procedures for RTPAC (21) contain very weak references to citizen participation and involvement. The RTPAC and Steering Committee "may" choose to involve citizens through a citizens advisory committee. The word "may" is repeatedly used to retain as much flexibility as possible. The bylaws contain the following provision (21, pp. 14-15):

#### CITIZENS ADVISORY COMMITTEE

Section 5 The following rules shall govern the procedure, membership and records of the Citizens Advisory Committee

A Membership. Members of the Citizens Advisory Committee shall be appointed for an indefinite term by the Executive Board of the North Central Texas Council of Governments. Members may be added as necessary.

The 1973 Unified Operations Plan approved by the Steering Committee contains the following explicit statement of intent (25, p. 22):

It shall not be the purpose of the Citizens Advisory Committee to provide representation of all minorities or interest groups. Input from these groups will be obtained through community involvement programs developed by the individual local governments. Membership on the Citizens Advisory Committee shall initially be 27 members with expansion as required. Appointment of the Citizens Advisory Committee shall be by the Texas Highway Department and the Executive Board of NCTCOG. The Chairman shall be appointed for a term of two years beginning on January 1, 1974

Thus, while some states and regional councils-UMJOs move forward and recognize the validity and need to speed up increased citizen participation and involvement, others take a more cautious approach. Innovation is required.

The Metropolitan Fund, Inc., a Detroit-based nonprofit research organization, launched an innovative project in 1972. The project provided the impetus for an effort within the 7-county southeast Michigan region to establish a process that would yield a regional constituency. The final report outlined a blueprint for action to develop and establish a regional citizenship organization capable of taking policy positions and advocating courses of action at the local, substate district, and state levels.

Considerable progress has been made in establishing both the process and a formal institutional arrangement. Work on a regional agenda is under way. If this organizational approach is successful, it offers a new way for citizens representing different groups and classes to form political coalitions that can hammer out regional goals, analyze critical issues, set priorities, and take direct action. This regional organization can be expected to work closely with both SEMCOG and SEMTA. Transportation has already been identified as a major item on the regional agenda.

### Implementation

The implementation of multimodal transportation plans and programs within the framework of statewide and substate district comprehensive plans and programs will continue to pose many difficult problems. For the near future, states and local governments will continue to have the primary responsibility for implementation. It does appear, however, that the concept of an enforceable regional plan and program, as suggested by California Tomorrow and outlined in the proposed California legislation to create a Bay Area regional planning agency, will continue to find support. Short of regional government, this approach seems to have the most merit in the long term. The short term will probably see more states taking a positive role in financing and in establishing transportation authorities directly linked to regional councils-UMJOs. In other cases states may, like California, link state financing to regional councils-UMJOs to provide them with more authority through regional policy-making that can directly influence or direct fiscal resource allocations.

State legislative action in 1970 was impressive in terms of the many departures from traditional approaches to transportation. Maryland became the first state to set up a comprehensive transportation trust fund. The fund draws revenue from the corporate income tax, highway user taxes and charges, and other transportation-related sources. The fund supports multimodal transportation, including transit. Pennsylvania established a state transportation authority that can help finance transit programs through bonding.

Seven states, including New York and California, took action in 1970 to allow local governments greater authority in establishing multijurisdictional urban transit agencies. Kentucky also enacted legislation in support of multijurisdictional transit agencies, and Ohio authorized transit authorities to include air, water, and land transportation.

States have continued to take actions to provide greater multimodal financial support downward to the substate district and local governmental levels and to authorize new institutional arrangements. In 1972 California established a comprehensive transportation fund and Florida enacted the Regional Transportation Authority Act. The Florida statute authorizes multijurisdictional authorities to develop multimodal public transportation systems.

It is important the regional councils-UMJOs be directly involved in state actions related to comprehensive transportation funding and the establishment of new substate district agencies. To ensure this involvement, state transportation departments, planning agencies, and legislative committees must initiate opportunities by establishing and maintaining close working relations with regional councils-UMJOs. Having regional councils-UMJOs look after their own interests will not suffice, particularly if one supports the position that the use of substate districts and regional councils-UMJOs is in the general interest of states.

The Twin Cities Business League (Minneapolis-St. Paul) recognized the keystone position of state government when it recommended that the legislature take action to strengthen multijurisdictional and multimodal transportation planning. The comprehensive planning and designated transportation planning agency, the Metropolitan Council, would benefit from the proposal. The league recommended (26, p. 13):

The legislature should spell out that automobiles, public buses, private buses, school buses, taxis, rent-a-cars, car pools, and other ways used to move people around the metropolitan area shall come within the scope of transportation policy making. For the first time, an integrated approach to all modes would be possible. . . For example, all vehicles, including those used for goods movement, rather than (just for) passengers, would be included. . .

It is suggested by the authors that DOT take action to encourage every SPA working in conjunction with the appropriate state transportation agency or agencies to develop a specific implementation program as part of the now required joint DOT-HUD overall work program/program design. These documents should clearly indicate how regional councils-UMJOs are to be involved in implementation as well as functional and financial relations with other governmental agencies. The following excerpt from the North Central Texas Unified Operations Plans suggests a good point of departure for other states and regional councils-UMJOs (25, pp. 59-60):

**FUNCTIONAL AND FINANCIAL RESPONSIBILITY**

Accomplishment of all activities under this Unified Operations Plan shall be the responsibility of the North Central Texas Council of Governments and the Texas Highway Department. All specific responsibility will be delineated in each Unified Work Program. General responsibilities are described below

**A. Functional Responsibility**

North Central Texas Council of Governments. The North Central Texas Council of Governments will be responsible for a portion of data maintenance activities for socioeconomic and transportation planning data, all strategic and operations planning for public transportation and air transportation, and for coordinating the multimodal planning decisions with the appropriate local governments

Texas Highway Department. The Texas Highway Department will be responsible for a portion of the data maintenance activities for socioeconomic and transportation planning data, and for the strategic planning for highway transportation.

**B. Financial Responsibility**

Inasmuch as regional multimodal transportation planning requires close coordination and vital input from professional staffs of local governments, the parties to the continuing phase agreement will provide in-kind services in the form of review and evaluation during the planning process. In addition, the Dallas Transit System and Citran of Fort Worth will provide in-kind services through transit expertise and evaluation of operational alternatives.

Financial contributions, both federal, state, and local, stratified by mode are as follows.

<u>Transportation Mode</u>	<u>Federal</u>	<u>State</u>	<u>Local Cash Contributions</u>	<u>Local In-Kind Contributions</u>
Public	UMTA	None	NCTCOG	Dallas and Tarrant counties, cities of Arlington, Dallas, Fort Worth, Garland, Grand Prairie, Irving, Mesquite, and Richardson, Dallas Transit System, Citran of Fort Worth
Highway	FHWA	Texas Highway Department	None	None
Air	FAA	None	NCTCOG	Dallas and Tarrant counties, cities of Arlington, Dallas, Fort Worth, Garland, Grand Prairie, Irving, Mesquite, and Richardson

Specific cash contributions and in-kind contributions by agency and by work program element will be submitted annually in each Unified Work Program

**Findings**

1. Intermodal and multimodal transportation processes remain inadequate despite the progress made during the past 10 years.
2. Participatory decision-making involving broad constituent interests needs to be

increased relative to fundamental transportation policy choices at the state level are through the development of citizen input processes, and UMJOs should be responsible for providing citizens with factual information and convening appropriate hearings within the context of "regional" plans and programs.

3. Existing policy execution and program-project implementation vehicles at the multistate and substate district levels are inadequate on a statewide basis in every state.

4. Underfinanced and constituent weak modes should not be assigned to state transportation departments or "lead transportation agencies" until they have been ensured "competitive status" through policy support, financial support, and other actions.

5. Existing multijurisdictional comprehensive planning agencies with major transportation planning responsibilities are seldom directly linked with comparable multijurisdictional implementing agencies (e.g., metropolitan transportation authority).

6. State departments of transportation are desirable, but whether transportation policy, planning, programming development, financing, construction, maintenance, and operation can be coordinated and balanced in these agencies is doubtful unless broad-based constituent interests (e.g., transit) are represented on policy bodies (e.g., commission) or otherwise have direct and meaningful input into policy in the case of departments having a single executive.

7. Effective multimodal programs and linkages can probably best be realized by the federal and state governments choosing not to integrate modes until such time as each mode enjoys a position of "equalized modal competition" in terms of public policy support, financial support, and the ability to effectuate transportation trade-offs at the multistate, state and substate district levels.

8. Effective multimodal programs and linkages can probably best be encouraged by heavy "front-end" federal and state financial planning, program development, and program implementation assistance dedicated (i.e., earmarked) for transit, existing railroad branch lines, experimental nongas private vehicles, and other types of transportation alternatives.

9. It is unrealistic to expect a mission (i.e., line operating) department or agency at the federal or state level to advocate the mix of policies and programs required to realize balanced multimodal transportation.

10. It is the exception, not the rule, for Congress and state legislatures to specifically require that transportation policies, plans, and programs be directly linked to comprehensive planning at the state and substate district levels.

11. Substate transportation planning usually focuses on land use, public works, public facilities, and services without giving priority attention to recommendations intended to affect public and private sector transportation policies at every governmental level.

12. Railroad abandonment illustrates the type of transportation planning issue that comprehensive statewide planning agencies and UMJOs should routinely focus on relative to development programs and investment plans.

13. Consolidations of public and private transportation operations (e.g., bus service) can be achieved by UMJOs with statutory authority and fiscal capacity using options such as the establishment of new public multijurisdictional transportation agencies, regional service authorities, or direct ownership and operation.

14. Direct state acquisition, ownership, and operation of multijurisdictional transportation agencies offer a fundamental alternative to substate district agencies established by, or with the involvement of, UMJOs.

15. UMJOs are in a keystone intergovernmental position to determine and present the facts relative to transportation questions associated with equity concerns (e.g., guaranteed accessibility to jobs and services for certain minority groups) and general welfare financing (e.g., pricing public transportation below true cost and then subsidizing to realize broader objectives such as energy conservation, reduced pollution, and congestion relief).

16. To be viable partners in transportation planning, UMJOs must have access to continued funding that is not totally dependent on local decision-making. In short, a

flow of state and federal funds in support of multimodal transportation policies, plans, programs, and projects must be available to UMJOs.

17. Although admittedly difficult to perfect and sell, the concept of a multimodal regional transportation trust fund or an omnibus regional transportation trust fund directly linked to transportation planning carried out by an UMJO warrants further research.

18. Clear and consistent federal and state transportation policies are required to ensure that every local general-purpose government is discharging its transportation responsibilities based on its fiscal capability and effort. This approach can help even out the extreme disparities that now exist within states, especially between central cities and suburban communities and between metropolitan and rural areas.

### Recommendations

1. OMB should encourage all federal executive branch departments and agencies to discard references to "metropolitan" and "nonmetropolitan" areawide planning and agencies and rely on the general term "areawide" as defined by the latest official version of Circular A-95, as amended.

2. The Transportation Research Board should assume a leadership role and encourage every state transportation department or lead transportation agency to develop and publish guidelines or procedures [e.g., the California guidelines (16)] that set forth precisely how regional transportation processes are to be carried out and the role of UMJOs and other interested parties in the processes.

3. The Board should work closely with DOT and other interested parties, including the Council of State Governments and the National Governors' Conference, to amend the requirements and procedures relative to action plans for consideration of social, economic, and environmental effects (SEEE) to mandate a stronger role for comprehensive statewide planning agencies and UMJOs in the process.

4. DOT, especially the FHWA, should require that (a) the environmental action plan called for by the National Environmental Policy Act of 1969 be the responsibility of the comprehensive statewide planning agency in conjunction with the state transportation department or transportation lead agency and (b) the above state agencies include a clear and definite role for UMJOs.

5. The Transportation Research Board should work with selected comprehensive statewide planning agencies, the Council of State Governments, and the National Governors' Conference to design and carry out demonstration projects to determine how multimodal transportation programs and linkages can best be realized under different forms of state government organization and structure.

6. OMB in conjunction with DOT and other federal executive branch transportation mission agencies should employ incentives and sanctions to encourage governors and state legislatures to establish a single state multimodal department of transportation or, at a minimum, to legally designate a single state transportation lead agency as the focal point for federal agencies, UMJOs, local governments, special districts and authorities, and all other interested parties.

7. The Transportation Research Board should design and carry out several research and demonstration projects in conjunction with DOT and NARC to document how federal and state policies and programs could be strengthened to encourage UMJOs to take on the responsibility of implementing transportation programs and projects or to establish compatible subsidiary transportation multijurisdictional organizations (along the holding company model) to implement programs and projects in accordance with policies set through UMJOs.

8. The Board should design and carry out several research and demonstration projects with selected comprehensive statewide planning agencies in cooperation with state transportation agencies and UMJOs to determine how program and project implementation can be directly linked to UMJOs under various legal, organization and structure, financial, and local governmental circumstances.

9. The Board should design and carry out a research and education project in conjunction with the major national public interest groups to develop alternative state legislation that would strengthen the capability of UMJOs to engage in transportation planning and to ensure program and project implementation (e.g., the proposed Colorado Service Authority Act of 1972; the California Assembly Bill 2040, May 1, 1973, that would create the Bay Area Regional Planning Agency; and the California Assembly Bill 2648, August 27, 1973, that would create the San Diego Metropolitan Transportation District with mandated responsibilities assigned to the Comprehensive Planning Organization).
10. The Board should work with selected UMJOs (e.g., ARC) to document how multimodal transportation planning can be carried out by such agencies through formal (e.g., statutes, by-laws, memoranda of understanding, service contracts) arrangements with substate district transportation operating agencies and state transportation departments or agencies.
11. DOT should work closely with other federal executive branch transportation mission agencies to provide states with incentives and, if necessary, to impose sanctions on states relative to the use of state regulatory powers to integrate all types of privately provided public transportation into statewide transportation systems.
12. At least 6 national research and demonstration projects should be mounted in conjunction with selected UMJOs to determine the probable consequences of alternative land use patterns on minimizing multimodal transportation demands through changes in economic relations and life-styles.
13. At least 6 national research and demonstration projects should be mounted in conjunction with selected UMJOs to determine the probable consequences of alternative regional (i.e., substate district) transportation policies related to regional and community development goals and objectives in terms of future resource requirements and allocations for multimodal transportation.
14. National land use planning policies and programs should contain explicit reference to a strong role for UMJOs within statewide land use planning and management systems with emphasis on how transportation and other functions can be used to stimulate new patterns of growth and development (e.g., new communities) rather than merely respond to, or justify, existing trends.
15. OMB should work with the Federal Energy Administration (FEA) to develop a strong role for comprehensive statewide planning agencies and UMJOs relative to energy allocations for all transportation modes within and between official substate districts.
16. DOT should design and carry out in conjunction with other federal executive branch transportation mission agencies, including HUD and FEA, several research and demonstration projects with selected UMJOs to alter consumer demand for various types of transportation works, facilities, and services. Appropriate state agencies and NARC should be provided the opportunity to directly participate in these projects.
17. At least 6 national research and demonstration projects should be mounted in conjunction with selected UMJOs to educate both employers and employees relative to the effect of alternative work (e.g., hours and days) and transportation (e.g., car pooling and park-ride) arrangements on congestion, accidents, pollution, energy, multimodal demand, costs, and other considerations.
18. DOT in conjunction with NARC should work with selected UMJOs to design and carry out special demonstration projects designed to inform all citizens of the facts associated with travel by the various modes (e.g., energy consumption of buses compared with private automobiles) and the options that are available and could be made available.
19. DOT should provide incentive funding to a selected group of UMJOs in conjunction with state transportation departments and agencies to systematically examine all alternatives and conduct cost-benefit studies to determine the best ways to halt the abandonment of railroad branch lines and in certain instances to resume commuter and freight services on abandoned lines.
20. The Transportation Research Board should in conjunction with DOT and other

interested parties, including NARC, design and carry out a research and demonstration project to determine alternative ways for state transportation agencies to strengthen the roles of UMJOs in nonmetropolitan (i.e., rural) substate districts or, lacking an UMJO, ways for states to ensure broad-based constituent participatory decision-making with the comprehensive statewide planning agency assuming the responsible leadership role.

21. OMB should work closely with federal executive branch transportation departments and agencies and comprehensive statewide planning agencies to establish a federal-state process that will enable all citizens and interested parties to hold both federal and state transportation departments and agencies accountable for transportation policies, plans, programs, and projects of regional significance through UMJOs.

22. OMB should assume a leadership role in conjunction with major national public interest groups, including NARC, to encourage Congress to amend the Transportation Act of 1973 and other relevant statutes in order to require that transportation planning undertaken at the multistate and substate district levels be directly responsible to executive and general deliberative bodies of UMJOs and that such bodies be composed of at least 51 percent local elected officials.

23. The Transportation Research Board in conjunction with selected state transportation departments should develop alternative approaches to ensure that broad-based constituent interests are guaranteed a direct and meaningful input into transportation policy at the multistate, state, and substate district levels.

24. OMB should seek clear statutory authority from Congress to require that advance public notice be given and at least 2 public hearings be held by appropriate UMJOs or state transportation agencies in conjunction with all modes of transportation planning.

25. The Transportation Research Board in conjunction with DOT should work with private and public service broadcasting networks to promote for television, school, and community usage the development of documentaries that indicate transportation alternatives and are designed to raise the level of awareness of all citizens and stimulate them to communicate their preferences to appropriate elected officials and interested parties in a position to take action.

26. DOT should work with state transportation agencies to develop technical criteria and factors that can be used in conjunction with court actions stemming from open-system participatory decision-making.

27. OMB should work closely with federal executive branch transportation departments and agencies to (a) encourage and strengthen comprehensive statewide planning agencies relative to making all special transportation or multifunctional (including transportation) districts and authorities responsible for submitting their policies, plans, programs, projects, and financial portfolios to UMJOs for review, comment, and disclosure to all citizens and interested parties; (b) ensure that all public funds, direct or indirect, made available by the federal government to all special transportation or multifunctional (including transportation) districts and authorities be linked to areawide planning requirements covering areas such as land use, energy conservation, environmental protection, and minority group benefit that are administered by, or through, UMJOs; and (c) provide all public funds made available by the federal government to such districts and authorities on a priority and incentive bonus if these entities are discharging multimodal responsibilities.

28. Congress should annually appropriate general federal revenue funds in support of multimodal transportation planning and programming through a transportation special revenue sharing with specific provisions made for fund allocations to comprehensive statewide planning agencies and state-certified UMJOs.

29. Single modal trust funds (e.g., highway, airport) should continue to be relied on by the federal and state governments, but there should be mandatory diversion of a fixed annual percentage for the support of all modes.

30. Federal policies and programs should be overhauled or developed to stimulate states to annually appropriate general-fund state revenue funds in support of multimodal transportation planning and programming on a statewide and substate district basis.

31. DOT and HUD should encourage counterpart state agencies to use federal planning funds to in turn encourage UMJOs to carry out cost-benefit studies and develop intergovernmental and multijurisdictional financial programs relative to the continuing costs for the operation and maintenance of certain types of public works, public facilities, and services (e.g., bicycle and pedestrian paths).

32. The Transportation Research Board in conjunction with DOT and other federal executive branch transportation agencies should design and carry out a research project with several states to determine how problems associated with multimodal trust funds and omnibus transportation funds at the federal, state, and substate district levels might be overcome.

33. The Transportation Research Board should design and carry out several research projects with selected UMJOs to determine alternative ways to strike a balance between user charges and general welfare subsidies, taking into account the probable economic impact of alternatives on consumers, suppliers, and every governmental level.

34. The Transportation Research Board in conjunction with several selected comprehensive statewide planning and multimodal state transportation agencies should design and carry out a research project to determine how single- or double-mode special transportation or multifunctional (including transportation) districts and authorities might be encouraged to assume multimodal responsibilities through cross-modal direct and indirect public subsidies provided through single or combined federal, state, and regional financial assistance programs.

35. DOT should design and carry out research projects in conjunction with other federal executive branch agencies to determine how the cross-subsidy process and federal transportation regulations applying to all types of publicly and privately provided public transportation might be used to ensure balanced multimodal transportation on a national, statewide, and substate district basis.

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### Discussion of Resource Paper

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Before making specific responses to various statements in Thomas' paper, let me open with a few general observations:

1. The paper stresses a great need for comprehensive planning so that transportation and other functional planning can be related to comprehensive planning. A major problem here is that there is an insufficient willingness to fund comprehensive planning. Some of the functionally oriented federal agencies are willing to fund their pro rata share of comprehensive work, others are willing but unable, and still others are unwilling. Adequate funding for transportation and other functional planning must be accompanied by adequate funding for comprehensive planning—that is, we need to fund the "glue" as well as the pieces.

2. Thomas deals with federal-state-regional-local relations from a national perspective and proposes a set of procedures and relations that would work fine on a uniform national basis, except for the fact that federal agencies, states, and regional agencies vary enormously from place to place and from time to time in their respective track records, capabilities, and status. Therefore, the imposition of any national uniform system that did not take account of these differences would do enormous damage in given instances. For example, a high-quality regional agency should not be force-fitted into a weak state context until the state capacity has been strengthened. In other words, where the tail is wagging the dog, the tail should not be weakened until after