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Expanded Roles for Regional Planning Commissions

A PRELIMINARY INQUIRY



EXPANDED ROLES FOR REGIONAL PLANNING COMMISSIONS

A Preliminary Inquiry

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1 June 1972



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PREFACE

This study was undertaken by six University of Illinois students and faculty members as an adjunct to the Regional Planning Management Study being conducted by the Illinois Department of Local Government Affairs (DLGA). DLGA's Management Study explores the planning environments, activities, problems and aspirations of several multicounty regional comprehensive planning agencies.

The general nature of our study was developed through exploratory conversations with the late Clarence Denhart, head of DLGA's Office of Research and Planning, and with George Dinges, Project Manager for DLGA's Management Study.

From these conversations, it became apparent that the Management Study might profitably be complemented by an analysis of the substate planning activities and related interests of several of the state agencies with direct interest in, and in some cases, limited jurisdiction over the same geographical areas served by county and multi-county planning agencies. We proposed a study which would try to provide some answers to the following questions:

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- 1. What activities might a county or multi-county regional planning agency pursue that would be useful to state agencies in pursuit of their planning responsibilities?
- What could state agencies do to enable the regional planning agencies to become more involved and effective contributors to state planning activities?

DLGA agreed to provide the necessary funds and other assistance to enable us to undertake this study.

Through DLGA's good offices, we made contact with key personnel in other state agencies, who provided us with the documents and verbal information on which this report is largely built. For their patience and helpfulness, we wish to thank Caroline Kruse and Robert Ripper (Governor's Office of Human Resources), Bruce Rogers (Department of Conservation), Harold Ziebell (Comprehensive State Health Planning Agency), John Leek (Department of Transportation), James Reed (Bureau of the Budget), and Frank Anderson, Thomas Langford and Frank Patalano (Office of Planning And Analysis).

At the April conference of the American Society of Planning Officials, we interviewed several representatives of other states' planning agencies, who gave us much useful information on their states' experience with regional planning efforts, providing a needed perspective on the Illinois case. For their important contributions, we wish to thank

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Irving Hand, Executive Director of the Pennsylvania State Planning Board, Richard Ross, Executive Planning Officer of Wisconsin's Bureau of Planning and Budget, and Louis Schneider, Director of the State Planning Division of Georgia's Office of Planning and Budget.

We wish to note with sorrow the death of Clarence

Denhart, whose interest was largely responsible for the

development of this project, and who was most helpful during

its early stages.

Particular thanks are due to DLGA's George Dinges for his unfailingly enthusiastic efforts on our behalf. He consistently arranged productive interviews with state agency representatives, thoughtfully criticized various drafts of this report, and generally served as an indispensable participant in our study.

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DEFINITIONS

Areawide Planning Organization

a Regional Planning Commission or state planning agency certified under Circular A-95 by the United States Department of Housing and Urban Development for review of all applications for federal funding.

Districts or Special Districts

a division of a state agency with administrative and/or service responsibilities.

Policy Planning

that part of the planning process which is concerned with the formulation of goals, objectives, and policies: where "goal" is defined as the final, idealized and non-measurable end which a community aims to attain; "objective" is defined as the point aimed at--the point to which a specific plan or policy is directed; and, "policy" is defined as the settled guide and limits for action.

Programming

that part of the planning process which is concerned with the development, adoption, and implementation of courses of action to carry out policies, achieve objectives, and attain goals; includes development of roles, strategies, plans, and programs.

Regional Planning Commissions

county or multicounty planning units responsible to general purpose governments.

Regions

those large multicounty units delineated as 1st Tier Regions by Governor Ogilvie on June 22, 1971, by executive order for the purpose of coordinating federal, state, and local programs; the executive order included a directive that each state department and agency was to recognize and adopt the delineated regions.

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Subregions

those county and multicounty areawide planning and development units being delineated by the Governor's Task Force on Regionalization, and the Office of Planning and Analysis, with the aid of Professor Berry at the University of Chicago, as 2nd Tier Regions; these divisions of the 1st Tier Regions are to be used by agencies which find a need for smaller units. These units are also to become the APO for their jurisdictional areas.

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ABBREVIATIONS

'A' level state level of CHPA

APO Areawide Planning Organization

'B' level or

'areawide' substate level of CHPA

BOB Bureau of the Budget

BOR United States Bureau of Outdoor Recreation

CAA Community Action Agencies

CHPA Comprehensive Health Planning Agency

CUUATS Champaign-Urbana Urban Area Transportation

Study

DLGA Department of Local Government Affairs

DOT Department of Transportation

GOHR Governor's Office of Human Resources

OPA Office of Planning and Analysis

RPC Regional Planning Commission

SCORP Statewide Comprehensive Outdoor Recreation Plan

SE00 State Equal Opportunity Office, Division of

the Governor's Office of Human Resources

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SECTION I

INTRODUCTION

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SECTION IA BACKGROUND

Today, both the fact and idea of regionalism are very much on the collective minds of federal and state government. The creation of 10 federal regions in 1970, and the similar delineation in Illinois and elsewhere of substate regions, and, in some cases, subregions, has raised many questions. The thrust of certain federal programs, with their emphases on substate regions as building-blocks for a statewide program, and of A-95 project review guidelines, with their requirement that substate "clearinghouses" review applications for federally-funded programs within their region, emphasize this growing preoccupation with the region, and particularly the substate region, as an important bridge between local and state governments and agencies. Looking more to the future, the implications of federal revenuesharing proposals suggest that substate regions, and the agencies which comprehensively plan for them, are likely to play significant roles in this new approach to distribution of federal funds,

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Basically, increased emphasis on the region derives from local, state, and national attempts to do more and better planning and coordination of the physical, economic, and social aspects of our society and environment. The attempt to organize local, state, and national resources for this planning, brings to the fore two overriding questions, the first somewhat theoretical, the second strictly practical.

First, at what geographic, governmental or organizational level should a certain type of planning activity (e.g., goal-setting) for a given functional area (e.g., transportation) take place? It seldom appears that any single level can successfully do all planning for a given geographical area. For example, much of the planning for an interstate highway system clearly must be done at the interstate/national level. But what about the planning for an intercity rapid-transit system, going through the same area as an interstate highway, and involving three counties, two cities, and numerous smaller municipalities?

This fundamental question gives rise to a second.

Within the welter of federal, state, and local governments

and programs; substate units of state agencies; state, multicounty, county, and local comprehensive planning agencies;

etc., how can the various activities associated with the

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planning function be distributed and coordinated so that duplication of effort is avoided and that each planning unit is used in a way that enhances the quality of the overall planning process? Which units should be part of planning for a given functional area, and what should their respective roles be?

While it would be highly unrealistic to suggest that this short study could provide definitive answers to the preceding questions, we would hope to contribute some background of value to the thought processes against which these larger questions might eventually be answered.

In Illinois, as in most other states, there are many county and multi-county Regional Planning Commissions (RPC's) which attempt to plan "comprehensively" for the region under their jurisdiction. These RPC's exist chiefly to advise the local general and special governments charged with guiding the development of certain aspects of their geographical jurisdictions. Although "development" is usually viewed as being chiefly physical and economic, the importance of planning for social concerns, such as health and education, is being increasingly acknowledged as being inextricably entwined with other "development."

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But the RPC's are not the only agencies having an interest in substate regions. Most state agencies divide their statewide jurisdiction into substate districts, often with district offices. In certain state agencies, these district units' duties may be purely administrative in nature, in the sense that their main purpose is to carry out plans and programs made at the state level. In other state agencies, similarsized districts may have relatively independent organizations through whose participation the state agency develops its plans and programs. In some cases, these substate units may be virtually autonomous, dependent on the state for some measure of funding, but existing largely at the pleasure of the organizations and local governments which bonded together to create them, and without whose support their existence would be almost meaningless.

The resulting situation accurately reflects that oftennoted hallmark of the American political scene, a great
melange of governments, agencies and districts, often with
important interests in planning for similar or identical
functions, but seldom coordinated in any fashion calculated
to encourage maximum effectiveness and efficiency.

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SECTION IB

OBJECTIVES AND LIMITATIONS OF THE REPORT

With relation to this very democratic tangle and to the two earlier questions, our purpose is twofold. First, through our descriptions, analyses and recommendations, we hope to suggest to substate RPC's some ways in which they might be able to help state agencies in their planning for both statewide and regional concerns. Conversely, we hope that this report will suggest, to state agencies, where the contributions of the RPC's might enhance the statewide planning and decision-making process.

This report is aimed chiefly at suggesting the problems and potential benefits of working within what exists rather than within what might exist under some "ideal" substate regionalization scheme. The Illinois regionalization program, formally started with the Governor's 1971 delineation of five (or seven) substate regions, will undoubtedly evolve further before final regional patterns are set. With this incomplete evolution in mind, we have tried to describe and analyze several of the present complex regional/state planning

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resistant explicit and the time probability of a substitution of substitution. Substitution of substitution of

patterns, and thereby illuminate some ways in which mutually cooperative efforts might take place within the complexity which seems likely to exist for at least the next five years.

The findings and recommendations of the report, found in Section III, are built around descriptions and analyses of six state agencies' planning and related activities at state and substate levels. These descriptions compose Section II of the report. We chose these particular state agencies because they represent a cross-section, not only of functional areas but of organizational patterns. In effect, they constitute a not-very-random sample from which we hoped we could make observations that might apply to other state agencies as well.

Four of the agencies examined in this report plan in varying ways for specific and reasonably distinct categories of functional activities. These four are the Department of Conservation, Department of Transportation, Comprehensive State Health Planning Agency, and the Governor's Office of Human Resources. While these four serve to illustrate state agencies' variations in planning process and regional organization, clearly they are only a sampling. The complete range of state agencies should be similarly studied if the question

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of the regional agencies' potential roles is to be fully explored. Nevertheless, the analyses of these four examples suggest a range of activities into which the RPC's might have valuable inputs; it is not unreasonable to conjecture that the relationships with other state agencies might fall into similar categories.

The other two agencies included in this study, the Bureau of the Budget and the Office of Planning and Analysis, have more wide-ranging concerns which in different ways encompass the whole spectrum of functional areas, and which suggest some different kinds of relationships with RPC's.

The Department of Local Affairs' Management Study, in examining three sample Regional Planning Commissions, explores an area which we have left largely untouched, that of the considerable variations in context, capability and concern of the RPC's themselves. Clearly, the findings of our study must be viewed in the light of these important variations.

Finally, it should be noted that this report is based on currently-available documents and on interviews with from one to three representatives of each state agency. While our description and analysis of each agency has been reviewed

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by one or more agency representatives, it is not impossible that other agency personnel might reflect slightly different points of view. Also, new documents are always in process, and the reader would do well to attempt to ascertain whether their publication substantially alters the accuracy of our findings.

Despite these limitations, we hope that this initial study will be of some help in illuminating the opportunities for constructive interaction between state and regional agencies, and will also pave the way for an exhaustive study of this topic.

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SECTION II

A SAMPLING OF STATE AGENCIES'
PLANNING ACTIVITIES

SECTION IIA

AGENCY PLANNING AND PROGRAMMING

Department of Conservation
Department of Transportation
Comprehensive State Health Planning Agency
Governor's Office of Human Resources
Office of Planning and Analysis
Bureau of the Budget

MINIST CONTRACT CONTRACT

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The Illinois Department of Conservation

Introduction

Statewide comprehensive outdoor recreation planning has been carried out in Illinois since 1965, but only recently has become a function of the Department of Conservation.

Previously, this planning was done by the Department of Business and Economic Development. The current Statewide Comprehensive Outdoor Recreation Plan (SCORP) project, with a target completion date of August 1, 1972, is the first plan undertaken exclusively by the Department of Conservation and is the third such plan in Illinois history.

The purpose of this plan is two-fold. First, it provides the framework for recreation decision-making, not just for the Department of Conservation but for all state agencies.

Although comprehensive policy planning in Illinois originates in the Office of Planning and Analysis, the SCORP will include policies, goals, and objectives relating to recreation.

Secondly, the plan is necessary to qualify the state for federal Land and Water Conservation Fund grants. This fund, administered by the Bureau of Outdoor Recreation (BOR), is the largest single source of federal aid to state conservation agencies, and a satisfactory statewide outdoor recreation

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The purpose of this plan is ave-fold. First, it provides the fine work to requestion ded for the reliant, one just for the Denator of Conservation but for the state against.

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plan is a requirement for funding eligibility. BOR certification may have a maximum period of five years depending on the quality of the report, as judged by BOR.

This report will describe and analyze outdoor recreation planning (as contrasted to forestry or wildlife planning), since this is currently the major focus of the planning done by the Department of Conservation. At present, planning is largely oriented to providing recreational activities because of a similar orientation in the BOR. However, the long range goal of the Department of Conservation is a plan that includes all elements of the department's concern, with a broad position statement on conservation as well as outdoor recreation.

A continuous planning process has been developed to provide guidelines for decision-making. The process is as follows:

GOALS
Inventory
→ DATA
Study, analysis, projection
POLICIES
Identify alternatives
TACTICAL POLICIES (strategies)
Presentation, review, decision
MASTER PLANS
Engineering studies, development plan
- PROJECT COMPLETION

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Comprehensive recreation planning and conservation planning also are done at regional and local levels by Regional Planning Commissions, municipal recreation commissions, and local special districts.

Since the majority of local recreation opportunities are provided by special districts (Park Districts, Forest Preserve Districts, Soil Conservation Districts, Conservation Districts, and Conservancy Districts), these will be considered as the "local" level of government involved with recreation. These districts may prepare their own plans or may be aided by the Regional Planning Commission. On occasion, the state may help these local recreation providers meet requirements for BOR funds but such assistance is infrequently requested.

There appears to be little interaction between the Department of Conservation, the local agencies and the RPC's although there is a stated desire at both the state and local levels for increased communication and information flow between these levels.

The following statements describe the activities of these agencies in regard to the data collection and analysis, policy planning, programming, and evaluation that occur in the development of a comprehensive outdoor recreation plan.

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 The role of the federal government is also included in this description, but it is included as what the federal level agencies could do that would be advantageous from the state's point of view rather than as specific policies, goals, and programs for federal recreation providers. This report's discussion concerning regional and local recreation providers will have two viewpoints: 1) that of the state agency and how they include local recreation providers in the SCORP and 2) the local level and how they plan for themselves.

All statements regarding types of surveys, degree of sophistication, or specific requirements for planning by a state agency are those cited as necessary elements for a SCORP that is acceptable to the BOR.

Data Collection and Analysis

The Department of Conservation collects and analyzes all the data it uses to plan. This data includes state, federal, local, and private facilities and land. Inventory and analysis is done for each state region, in accordance with BOR requirements.

The types of data collected for use in the SCORP are:

 State characteristics: climate, topography, scenic resources, wildlife, history, population, degree of urbanization The solution is leadered grown and he will for it is solved of conjutant, but it is in it which the conjutant is the conjugation of the second of the conjugation of

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- 2. Agency Identification: public facilities by region and jurisdiction, agencies that have significant recreation programs, which level possesses which responsibilities.
- 3. Inventory of Facilities and Potential: public areas (using the BOR classification method) private recreation providers, historical sites and natural landmarks, scenic routes and trails, scenic rivers and adjacent land, and potential sites for the foregoing
- 4. Special Studies: out-of-state visitor survey, park fee study, origin/destination study

Needs determination is done at the state level. The most prevalent method is based on user demands and accepted recreational standards (particularly on standards set by the Outdoor Recreation Resources Review Commission). Other factors used in needs determination are: socio-economic factors, possible alternative arrangements, attendance, user fees and charges, technical advances and interpretation, preservation of environmental quality, non-resident user impact, and recreation trends. Projections are based on these needs and demands and on the potential of the state/region for meeting them.

One of the chief difficulties in preparation of the plan is the lack of an adequate inventory/data system. Research must be done for each project, but there is hope that previously gathered data will soon be computerized and periodically

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updated. It is in the area of information collection for SCORP projects that the state agency sees a potentially large role for the local special districts or RPC's. But present contacts with these agencies are limited.

Regional Planning Commissions and local special districts also collect and analyze their own data in the preparation of open space and recreation plans. The special districts also collect data for their own operating purposes. Since comprehensive planning agencies are not recreation "providers" they can play a role only in the data-gathering and policy formulating, not in the actual developing of facilities.

Whether or not the Special Districts use planning agencies' information in the course of program development varies from agency to agency.

Policy Planning

Goals for recreation provision (generalized for all levels that participate in recreation planning and provision and specific for the state agency) are formulated by the Department of Conservation as part of the SCORP. The Regional Planning Commissions and the special districts also develop their own more specialized goals. These goals are seen as providing a framework for decision-making.

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The primary goal of the SCORP is to assure residents and visitors recreational opportunities by preserving and developing recreational resources to meet existing and future needs.

Goals appear to be implicitly defined at all levels in terms of recommendations or budgetary activities. Definition according to budgetary activities seems to be the most predominant practice, especially within the state and local agencies.

State conservation <u>objectives</u> are explicitly detailed within the state's comprehensive plan. The objective of the plan itself is to develop a policies-for-action framework which will aid in the coordination and development of outdoor recreation areas and facilities.

Outdoor recreation policies are also explicitly spelled out in the SCORP report. Policy statements include: appropriate roles of public and private agencies in meeting outdoor recreation needs and environmental quality preservation, existing and future requirements by planning region (projected to 15 years), and identification of special opportunities and problems. These policies are intended to be consistent with any broad policy statements formulated by the Office of Planning and Analysis.

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Goals appear to be amplificated as the content of the last live in teams of a come make a cast of evigation of the entered and limit in a common for boards and actually actions as severe and acceptable and the severe and acceptable actions as severe and acceptable actions.

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SCORP goals, objectives, and policies are reviewed at the state and federal levels in the course of BOR certification. RPC and local goals, objectives, and policies are reviewed internally by staff and commission members. Goals may also be reviewed at these levels in terms of the 701 program.

Programming

Implementation procedures are defined through strategies and programs by the state agency and by the local recreation providers. The implementation program at the state level will include a detailed description for the first five year planning period on an entire range of measures (legislation, planning, technical and financial assistance, research and education, direct programs, etc.) and a schedule of acquisition and development, with cost estimates, for five years. The schedule is divided by planning region, unit of government, and fiscal year. Because the present Illinois program is based on an incremental and adaptive action rather than on a fixed strategy, only a skeletal outline of expenditures is drawn up; it is extended and amended yearly. This present process does meet the BOR specification, but the state agency has suggested that this process could be improved with greater local input.

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The state is trying to overcome an alleged bias against urban areas in the provision and development of recreation facilities and programs. It is felt by some urban groups that because the Department of Conservation concentrates on larger scale recreation projects rather than on intensive use areas (e.g., neighborhood parks) that urban areas are at a disadvantage. The state agency believes that state and local programs should complement rather than overlap each other. Local units should assume responsibility for urban and intensive use facilities, while the state should provide for other types of facilities. If every involved level of government would decide which type of facilities it could most competently provide, and develop these facilities, the recreational demands of urban areas would be adequately met.

Evaluation

Periodic or continuous evaluation of planning activities is done at all levels.

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The SCORP project undergoes evaluation by both state and the federal agencies. The plan is evaluated by the state agency and the Governor prior to submission to the BOR for certification. The BOR evaluates the plan and certifies the state for Land and Water Conservation Fund eligibility up to a maximum period of five years.

Interaction Patterns

When considering interaction, we will discuss two types: 1) assistance--either financial or technical in nature; and 2) participation in the actual development of plans--by government, consumers, institutions, and private recreation providers.

Participation in planning and programming is generally limited to government agencies, particularly state and federal. Institutional involvement in state conservation planning (most particularly by state universities) may occur for certain projects. At the local level, participation is generally limited to the Regional Planning Commission and special district staff.

Input from private sectors exists almost solely at the local level. Private recreation providers may be included in

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permanent operations, their long term usefulness can not be counted on. Citizens may provide input through contact with the district's commissioners, the county board or with professional staff. In the future, both state and local agencies will encourage participation of all recreation providers in the preparation of both state and local plans.

The BOR provides funds for planning and programming through the Land and Water Conservation Fund Act. Funds can also be obtained under Section 701 of the 1965 Housing Act, as amended. The state can provide assistance to local providers so they can meet requirements for BOR funds. The state also can aid the local agencies in obtaining 701 funds. However, such activities are unusual as most agencies work independently. Funding for the Land and Water Conservation Fund is based primarily on population (considering the total and urban). Illinois was eligible for \$10.2 million in fiscal year 1972. In order to get the money, a project proposal must be submitted. At present, funds are divided 50% to the state agency, 30% to local governments, and 20% to be used by either, as needed.

The Department of Conservation's relationships with other state agencies relate chiefly to operating matters, rather than

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planning and programming. Because of federal requirements, however, these latter relationships are beginning to take place (most notably with the Department of Transportation). Such relationships and the appropriate division of responsibilities are outlined in the SCORP.

Local recreation providers, particularly the Park
District, have relationships at the local and the state level
with such agencies as the Department of Public Health (who
perform pool inspections, water checks, camp inspections,
etc.) and the Environmental Protection Agency. The local
Forest Preserve District may sell land to the Park Districts
(legislative action by whoever has direct jurisdiction must
accompany the sale in some cases) or allow them to set up
programs on their land. The federal and state agencies may
also allow their land to be transferred to local use or to
have programs set up.

There are few working relationships between the state

Department of Conservation and the Regional Planning Commissions or special districts except in connection with some particular project. The local Conservancy or Conservation

Districts must, however, have written approval of the state agency if they want to take eminent domain action for acquisition and development of new sites. The lack of contact

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with local agencies may be partly explained by the fact that planning is a new function in the Department of Conservation.

Both the state and the local agencies express a desire to strengthen their relationship.

Time Frame

The time frame for the state agency varies from 1 to 15 years as follows:

- 1. 15 years for general projections, plans, and program.
- 2. 5 years for specific plans for acquisition and development (for accurate budget forecasting)
- 3. 2-5 years for renewal of BOR certification
- 4. 1 year to update and extend the capital improvement budget

In the case of a local planning agency (as exemplified by the Rockford-Winnebago County Planning Commission), the plan time frame may be 20 years or, in the case of a Capitol Improvement Program, 7 years.

The special districts appear to concentrate on 1-2 year plans. This may be a reflection of their budgetary focus; they can change their programs as demands change. Acquisition schedules may be longer in time range.

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Authorization

Authorization for the SCORP project at the state level comes from the state legislature, as required by the BOR.

Initiative to go beyond BOR requirements (as the Department of Conservation has done in forestry and wildlife planning) comes from within the department.

Impetus for local outdoor recreation and open space planning is generally internal but, as a conduit for 701 funds, the Regional Planning Commission may suggest a particular project.

Planning Unit

The planning unit for state wide outdoor recreation planning is the Department of Conservation, specifically the Long Range Planning Division. At the local level, planning responsibility rests with the special district staff, operating independently or with the aid of the Regional Planning Commissions.

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CONSERVATION PLAN MAINTENANCE SCHEDULE

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WORK TASKS	1970	1971	1972	1973	1974	1975	1976	1977	1978	1979	1980
I. Administrative Planning:											
1. Administrative Policies Objective	75 mm 15 4 mm					1 to 1					
2. Facility Inventory	11/1/2014		The same of		· Ala	iokuz	477.6		gi ayilin		
3. Classification of Facilities	2. 4.2	design and			7.	Application of the Parket	C 1		A 7. 164		L
4. Demand and Needs Survey					J. 34		100		Salara de		
5. Proposed Recreation Development		1		TIN	ā - 4- (SAPER-		21047	****	A. Sandanda	88
6. Management Policies						400			The state of		
7. Agency Responsibilities	7					3		*=		100	-4
8. Fund & Appropriation Analysis		LENG.						-			No. do - N
9. Federal Fund Cooperatives			100				-				
10. Professional & Technical Staff			2.7		*	-		141	-32	7	
11. Cooperative Programs (Local)	re.	a.									2
II. Recreation Resource Planning:											
1. Land Acquisition Program	18		10 K1		1274		L til		7000		Wast
2. Land Survey & Mapping		10 Ph		5 3		4 70		7-110		000	1000
3. Computerize Demand & Needs	(2)	4		3 11 7	14000		Sec.	40000		18	- 44
4. Maintenance & Operations Analysis	-					- 100	1				
5. Interpretive Education Program	1 20										
6. Information Service Development	100							-	100	0	
7. Reservoir Development											
8. River Access Development	14.						-	- 1			473
9. Revaluation Recreation Plan	1		-			111					
10. Lake & Flood Plan Development	MES		- 1	- 1	-	3	- J. 1			三代子	5-16
III. Agency Relationships:											
1. University Cooperatives	117	F17-4		- 1	7.					### A	-
2. Federal Outdoor Rec. Programs						-	- 24	-	0		District A
3. Advisors of Comm. & Conservancy											- Codde
4. Private Recreation Groups 5. Economic Developmt Highways			-		-					-	
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IV. Special Studies:		•									
1. Out-Of-State Visitor Survey											
2. Resources Management Methods	000		15						N 1		1
3. Private/Public Tourism Developmnt											
4. Park Fee Study	11	9									
5. Recreation Trends						1		19/20		(Park	
6. Survey Historic & Natural Sites	75								2	1 -	
7. Site Development Study											



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The Illinois Department of Transportation

Introduction

On January 1, 1972, the Illinois Department of Transportation was created, bringing planning for all modes of transportation in Illinois under one agency. Primary organizational emphasis is on a functional rather than a modal structure, in order to create an environment more conducive to considering alternative solutions to transportation problems. A partial list of functions includes planning, finance, operations, safety, legislative affairs and research and development. This approach reflects a departmental goal that each mode of transportation be used for the purposes for the function for which it is best suited.

Another important concept behind the formation of the Illinois Department of Transportation is seen in the bringing together of multi-disciplinary analytic viewpoints within the Department and also within key organizational units.

Such an arrangement is designed to promote optimum decision—making through the weighing of alternatives and the balancing of decisions between differing viewpoints and conflicting objectives. For example, the conflicts between the objectives

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of construction of transportation facilities and of protection of the environment are deliberately focused upon by including staff with environmental analysis and review responsibilities within DOT activities such as planning, engineering and regional operations. Considerations related to areas of conflict are weighed and balanced at important decision points.

The Department of Transportation also provides several channels of communications for gaining external viewpoints, because of the scope of the Department's responsibilities for planning and developing transportation systems. An Advisory Commission is to be formed which can relate outside viewpoints to the Secretary of Transportation and can act as a sounding board on transportation problems, issues, and priorities. In addition, adequate resources for regular inter-organizational communications are recommended for the several organizational units that can more effectively carry out their responsibilities through external coordination.

The principal activities and responsibilities of the

Department of Transportation are best summed up in the

following objectives recommended by the Governor's Commission

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- 1. To plan and develop, through central policy administration, transportation systems which satisfy the policies, objectives, and needs of the nation, the State of Illinois and its local governmental units.
- 2. To insure that the state's transportation planning and development activities fulfill statewide goals and priorities for socioeconomic development and urban and regional development and restoration.
- 3. To advocate and encourage development of efficient transportation systems throughout the state based on economic analysis and through appropriate involvement in the regulatory process, legislative liaison, and interaction with the private sector.
- 4. To improve the effectiveness and stress the importance of transportation safety through Department of Transportation safety programs and by supporting programs of other organizations.
- 5. To insure that progress in developing transportation systems is compatible with environmental considerations.
- 6. To provide leadership for development of the state's public and private sources of funds for transportation programs and systems in order to maximize financial participation and investment.
- 7. To act as the focal point for coordinating the state's transportation activities among governmental agencies at federal, state, and local levels.
- 8. To keep the Illinois Department of Transportation at the forefront of practical applications of transportation technology and technique.

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- 9. To develop and encourage communication between the Department of Transportation, other public and private transportation organizations, the general public, important interest groups, and governmental agencies whose activities affect transportation objectives, policies, and programs.
- 10. To attract, develop, and retain a knowledgeable and competent staff capable of achieving Department of Transportation objectives.

This set of objectives is probably as good an attempt at defining the role of the Department of Transportation as can be reasonably made. This is because the Department is new, recently organized and still in a great state of flux or transition from old uni-modal roles to the new multimodal and functional organizational concept. Many working relationships are not yet formalized, and in many cases have not yet been formulated. In an overall sense, working relationships between the Illinois Department of Transportation and regional planning commissions are not yet clearly defined, and can only be guessed at through intuitive derivation from materials included in the report of the Governor's Commission on Organization of the Department of Transportation.

Governor's Commission on Organization of the Department of Transportation, House Organ Number 4. (Illinois State House of Representatives, 1972).

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However, there is one area in which a formal working relationship between regional planning commissions and the Division of Highways (now part of I-DOT) has been established for a number of years. This area is "Continuing Urban Transportation Planning."

There are currently nine Continuing Urban Area Transportation Studies being carried on within Illinois. They are in Rock Island, Rockford, Chicago, Peoria, Springfield, East St. Louis, Decatur, Champaign-Urbana, and Bloomington-Normal. The following description and analysis focuses on the Continuing Urban Transportation Planning process and the place of Regional Planning Commissions in that process.

Data Collection and Analysis

In continuing urban area transportation studies, data of various types is collected and interpreted for Traffic Analysis Zones delineated within the boundaries of the metropolitan area under study. The Planning, Programming, and Environmental Review Division of the Department of Transportation annually updates base maps of the urban areas to include changes in corporate limits and to include new street and subdivision construction. Such data is generally

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obtained from the regional planning commission serving the metropolitan area. Information not obtained from Regional Planning Commissions is gathered from courthouse records, the County Superintendent of Highways and the City Engineering Department(s).

Maps containing data such as lot and parcel lines, streets, roads, alleys, water courses, highways and freeways, public and quasi-public land uses and municipal limits generally are drawn-up and updated annually by the Regional Planning Commission serving a given metropolitan area.

Socio-economic data is derived from various sources.

Employment data is obtained from the State of Illinois,

population and dwelling unit data from the Bureau of Census,

school enrollment figures from the County Superintendent(s)

of Schools, and vehicle ownership from the Motor Vehicle

Registration Division of the State of Illinois. In each

case, with the exception of vehicle ownership, it is the

task of the involved Regional Planning Commission to analyze

data and allocate figures to traffic analysis and inventory

zones. Vehicle ownership data is allocated to analysis zones

by the Illinois Department of Transportation (Division of

Highways).

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Land-use data is primarily obtained and kept up to date
by the regional planning commission active within a metropolitan area, while such data as physical inventory, traffic
counts, terminal and transfer facilities, accident studies,
public transportation, traffic operational features,
transportation facilities, and laws and ordinances is collected
jointly by various metropolitan agencies and the Illinois
Department of Transportation, with assistance given by the
involved Regional Planning Commissions.

Projection and analysis of collected data is a joint effort involving many units. Socio-economic data is generally projected 25 years into the future by the involved Regional Planning Commission. This is done on an analysis zone basis for the entire metropolitan area. Land-use data projections are generally undertaken by the Regional Planning Commission(s) involved. Origin-destination studies, daily trip counts and vehicle ownership projections may be carried out wholly by the RPC if it has sufficient staff resources, or jointly by the RPC and other units such as various divisions of the Department of Transportation. Or these studies may be "farmed out" to a private consultant, as was the case with the Champaign-Urbana Urban Area Transportation Study (CUUATS).

In all cases, the aim is to project data for a period of twenty-five years to formulate the twenty-five year urban area plan.

Policy Planning

Goal Setting

In the broadest sense, goal-setting for Continuing Urban Transportation Planning generally is carried on at the federal level, as authorization for such planning and the purpose of such planning emanated from and is defined at that level. However, for any specific urban area plan, the Policy Committee for the plan (composed of local elected officials) must be viewed as a key goal-setting body.

<u>Objectives</u>

The federal government plays the principal role in defining objectives for the Urban Area Transportation Study.

Objectives less crucial to the Continuing Urban Transportation Planning Process but helpful in carrying out the program through all phases may be set at state, Regional Planning Commission, and especially, the metropolitan area level.

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Policies

The Policy Committee for an urban area transportation plan is the policy-making body in connection with the continuing planning process.

Programming

Strategies/Roles

The roles of all levels of government involved in the Continuing Urban Transportation Planning Process are fairly well-defined.

Federal

The role of the federal government is a key one, as it has authority for granting funds for continuing urban transportation planning through the Federal-Aid Highway Act of 1962 as amended. That act reads partially as follows:

After July 1, 1965, the Secretary (of Transportation) shall not approve under Section 105 of this title any program for projects in any urban area of more than fifty thousand population unless he finds that such projects are based on a continuing comprehensive transportation planning process carried on cooperatively by States and local communities in conformance with the objectives stated in this section.²

²Federal Aid Highway Act of 1962, as amended, Section 134.

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State

The state serves a number of purposes in the Continuing Urban Transportation Planning Process. Its overall function is that of liaison between the federal and local levels of government involved in the planning process. Another key function is the drafting and implementation of agreements between the State Department of Transportation and the participating urban areas. These agreements are predicated on the use of a planning process in which decision-making reflects and responds both to programs of the state and to the needs and desires of the local community. The state also performs certain service functions to localities as mentioned previously under Data Collection, Analysis and Projection.

Although the Illinois Department of Transportation intends to effect a regionalization program in accord with the Governor's regions as outlined in Executive Order No. 7, the revised regions are not yet functional units. Therefore, their role in the continuing urban transportation planning process is not yet clear.

Regional Planning Commissions

Regional Planning Commissions are viewed as essential in the Continuing Urban Transportation Planning Process.

They are especially important in the collection, analysis, and projection of socio-economic and land-use data. Regional Planning Commissions also serve as "meeting places" for various units within the metropolitan area involved in the continuing planning process. In addition, they provide a citizen input through various citizen participation programs. Local Government

The local government is the basic cooperating unit involved in a Continuing Urban Transportation Planning Process. Through its various city offices it provides key information to Regional Planning Commissions and to the state. Effective cooperation from all municipalities involved greatly increases the likelihood that the transportation plan will be "successful."

Programs

The programming process involved in Continuing Urban
Transportation Planning is well-defined and quite explicit
in nature. Its principal component is an "Operations Plan",
which delineates the tasks, organization, and financing
necessary for an effective and continuing transportation
planning process.

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The Operations Plan and the continuing transportation process contain a number of steps identified by the federal government as being essential to the planning process. These steps and a short description of each follow:

Surveillance

The purpose of the surveillance program is to keep the data inventories current while maintaining a continual watch over regional development. Surveillance is designed to function on an annual basis to provide the necessary data for subsequent reappraisal.

Reappraisal

This process is the maintenance of a systematic sequence of planning process activities. There are three levels of review (see attached figures, infra pp. 43-46).

- 1. Routine Review Required annually.
- 2. Major Review At least every five years.
- 3. Plan Reevaluation At least every ten years.

Service

The Service function fosters and maintains cooperation between governmental units and agencies dealing with transportation matters. The Technical Committee for the transportation study will assist agencies directly or indirectly

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involved in the Transportation Planning Process with related studies and programs, with the hope of bringing a greater number of agencies into direct involvement.

Procedural Development

As the planning process develops for each of the urbanized areas, new and better techniques will be discovered which can be used in essential analysis updating and testing phases. Development of new techniques should constitute a portion of each study, with new techniques integrated into the program as soon as feasible.

Annual Report

The annual report will form a permanent reference document about the development of the region in terms of population and employment growth, traffic growth and development of the transportation system. It will be distributed to many agencies, organizations and citizens to keep them well-informed and to promote various improvement programs, such as highway-building programs, minor road improvements, providing more adequate traffic control at high-accident intersections, and similar programs.

Evaluation

The Continuous Urban Transportation Planning Process

described above provides for routine evaluation of the plan

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 annually, major review at least every five years, and complete plan re-evaluation at least every ten years. Participation in these evaluatory processes is mainly undertaken by the Policy, Technical, and Citizen's Advisory Committees, but input also is received from local units of government, and from the Regional Planning Commission(s) involved.

Interaction Patterns

Assistance

The state provides planning assistance to all lower governmental levels in the Continuing Urban Transportation Planning Process. In a similar manner, the many local units previously mentioned assist the Policy Committee.

Participation at Various Levels

Participation in the Plan/Program process takes place at all levels of government, from federal to local. Input from "consumers", i.e., those <u>using</u> transportation systems, comes through the Citizens Advisory Committee for the Urban Area Study, the Citizen Participation program of Regional Planning Commissions, and through voter response on various local referenda. Institutional input from churches, schools, hospitals, etc., is prevalent at all governmental levels, as is the input of private enterprise.

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Time Frame

To summarize statements made earlier, continuing urban area transportation studies have:

- 1) a 25 year plan
- 2) an Annual Surveillance and Routine Review
- 3) Major Review at least every five years
- 4) Plan Re-evaluation at least every ten years.

Authorization

As mentioned in the section on Programming in Department of Transportation (infra p. 36), the authorization for continuing urban transportation planning comes from the federal government. Key legislation is section 9 of the Federal-Aid Highway Act of 1962, as amended. The state requires, assists with and reviews an "Operations Plan" for each metropolitan area, but it is not the level at which authorization for metropolitan area studies takes place.

Planning Unit

The key planning unit for urban area transportation planning is the specific urban area's Policy Committee.

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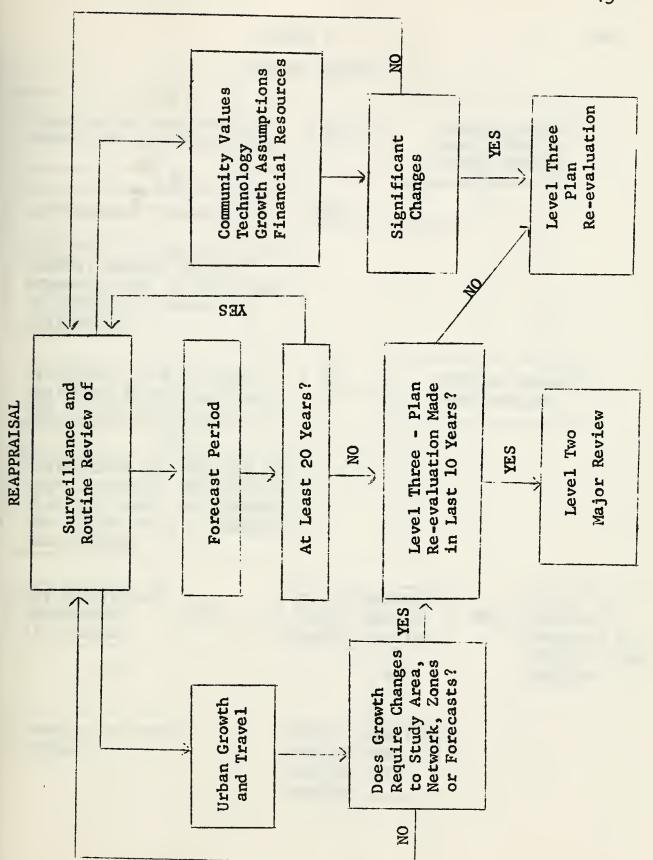
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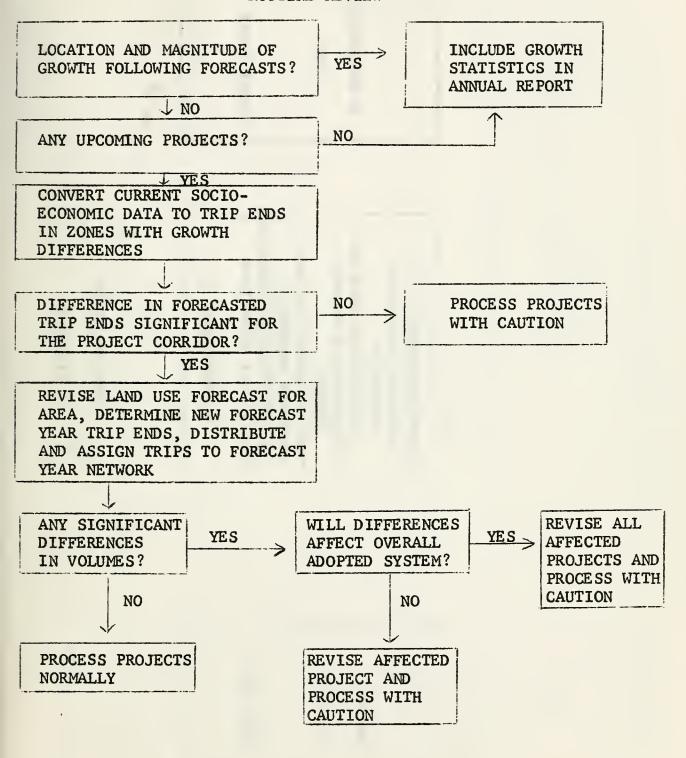
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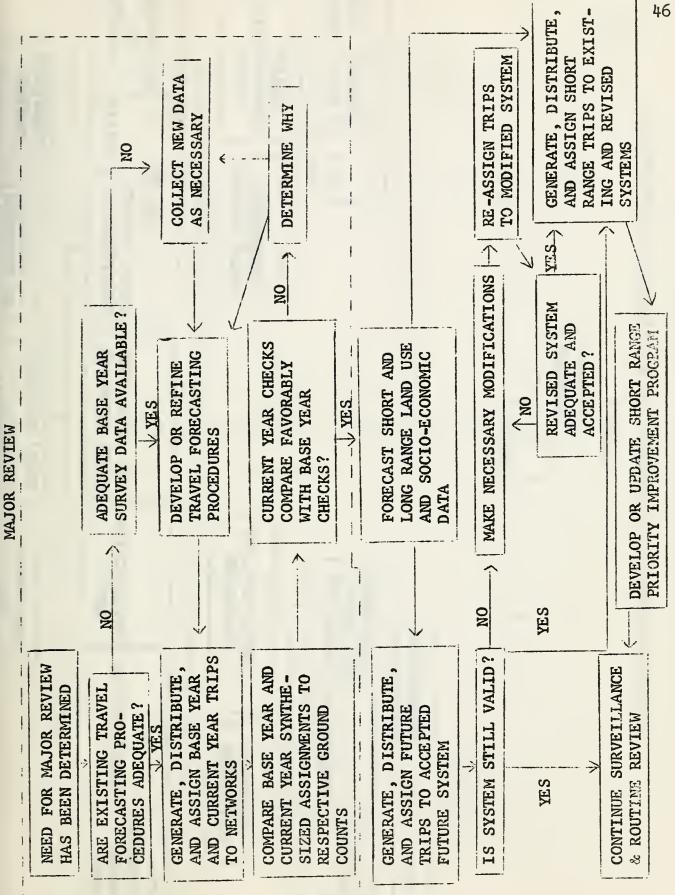
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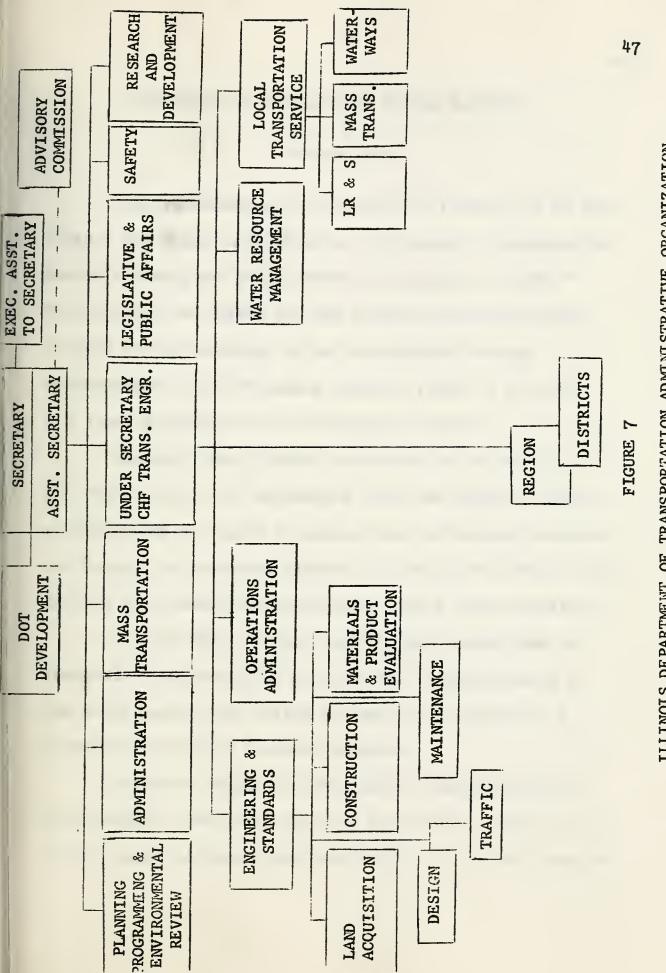
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Comprehensive State Health Planning Agency

Introduction

Comprehensive health planning in Illinois, as in most states, was begun in response to the Federal "Comprehensive Health Planning and Public Service Amendments of 1966."

This legislation called for and funded nationwide comprehensive health planning, to be accomplished through

Comprehensive Health Planning Agencies (CHPA's) at state

("A") and substate ("B" or "areawide") levels.

Initially the Illinois Department of Health acted as the state agency. It encouraged local and regional health providers and consumers to explore ways of working together and forming the areawide agencies called for by federal law. Several such county and multicounty CHPA's were organized.

In June 1971, Illinois legislation established an independent Comprehensive State Health Planning Agency as the state agency, and called for the establishment of a statewide network of areawide agencies.

Presently, eight areawide CHPA's, serving varioussized regions, have been approved and funded. Five more are in the organizational stage (see Map No. 6). These agencies

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serve a total of 63 counties; 39 counties do not yet have such organizations. Although the state agency provides an overall policy framework for planning, as well as financial and technical assistance, most detailed planning is (or is to be) done at the areawide level, subject to some review and coordination by the state. Therefore, the present incompleteness of the areawide agency network means that over one third of the state's counties have little or no comprehensive health planning.

The Comprehensive Health Planning Agency is working to bring about the evolution of a two-tiered substate health planning system. Each of the regions established by the Governor's Executive Order No. 7 will have a Regional Health Planning Council which will serve as the federally-recognized and funded areawide CHPA for the entire region. Subregions will have "program planning units" which essentially will be CHPA's doing more finely-detailed planning for the specific concerns of their subregion.

Comprehensive State Health Planning Agency
Regional HP Councils
Program Planning Units

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At present, however, all but one of the federally-recognized areawide CHPA's operate at the subregional level. Because the federal requirements make no distinction between state regions and subregions, these agencies meet areawide CHPA qualifications, and as such are directly funded by national and state governments.

In order to have regional rather than subregional areawide CHPA's, the state agency is asking the subregional agencies of each state region to join together to form the single Regional Health Planning Council mentioned above.

In order to do this, most existing CHPA's will be asked to give up their semi-independent status as federally-funded areawide agencies. The state will encourage these subregional agencies to continue to participate directly in the health planning process as program planning units, and will provide them with funding and technical assistance through the Regional Councils.

A further adjustment involving the existing areawide CHPA's will probably take place when the state officially designates the boundaries of the subregions within the recently-delineated regions. It is unlikely that these official state subregions will be in all cases coterminous

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with the existing subregions served by CHPA's, but the state agency feels that such uniformity would be desirable. The problem of boundary adjustment is a delicate one and its resolution is likely to take several years from the time the state subregions are officially defined.

The state recognizes that consideration of some health planning and service areas must take into consideration conditions which transcend state lines. If the regional HEW office and other state(s) agree, the area served by a regional or subregional CHPA may be interstate.

Whatever their eventual boundaries, the regional and subregional CHPA's will carry out most detailed comprehensive health planning and programming. The areawide CHPA (Regional Health Planning Council) will plan for those matters which transcend subregional boundaries, while the subregional program planning units will plan for uniquely subregional concerns, and will be the key elements in implementing any plans made at regional and state levels.

Clearly, the state's organization for comprehensive health planning is not yet completely developed. At this time the regional-subregional arrangement of health planning organizations is far from complete. The 13 existing areawide CHPA's have varying capabilities and degrees of maturity,

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and face the prospect of changes in their newly-established (or barely-established) roles and constituencies. Therefore, most of the descriptive and analytical comments which follow must be viewed as applying to an emerging but not-yet-fixed system. Generally, however, comments relating to the relative roles of state and regional (including subregional) agencies accurately describe the present system for those regions where it is at all well-developed.

RPC's and Comprehensive Health Planning

Regional Planning Commissions/Agencies presently have no consistent inputs into the comprehensive health planning process. A principal reason for the lack of well-defined relationships appears to be the predominantly physical-planning orientation of the RPC's. Most are attempting to grapple, usually with insufficient staff, with an ever-widening array of physical/environmental concerns, and are hesitant to get involved to any great degree with the new and unfamiliar field of health planning.

On the other side, some CHPA's appear to feel that their uniqueness, and their dependence on, and close association with, the prestigious, highly professional and

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influential constituency of health providers might in some way suffer at the hands of the land-use-oriented RPC's. The RPC's might look upon the CHPA's as representing "just another" functional area of planning, and fail to understand their uniquely sensitive position.

One particular area of possible misunderstanding between the two types of agencies should be noted. Both have been legally designated as review authorities for certain federally-funded programs within their region or subregion. Many RPC's have overall A-95 review authority, while CHPA's must review certain programs relating to health. Better communication is needed to clarify each agency's review responsibilities, so that neither will feel that its authority is being usurped by the other.

The lack of knowledge about each other's review responsibilities is only a specific instance of a too-frequent mutual unawareness of CHPA's and RPC's basic capabilities, concerns and programs. Particularly because the CHPA's are new organizations, but also because of a general lack of communication, their place in the context of regional or subregional activities may be clear neither to themselves nor to the RPC's.

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In theory at least, an RPC might become qualified as an areawide CHPA, but none in Illinois has done so. One constraint on this arrangement is the federal requirement that each areawide CHPA have an Advisory Council at least 51% of whose members are health consumers, with the remainder being health providers. It is unlikely that any Regional Plan Commission, as presently constituted, meets this requirement. Any RPC wishing to qualify as an areawide CHPA would have to organize such a council to review all of its health-related actions. The regular plan commission could advise this body, but would have no control over its actions or its review authority.

Another constraint to closer working relationships is that in some cases the geographical areas covered by subregional RPC's and CHPA's differ. When the state defines its subregions, these may provide a common standard by which to gradually readjust the jurisdictions of both types of agencies, so that each will then plan for the same geographical area. Under such circumstances, the likelihood of inter-agency cooperation would increase.

Not all subregions of the state have RPC's or CHPA's.

This lack of "wall-to-wall" coverage is both a problem and an

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opportunity. Where neither agency exists, there is the possibility of concurrently developing the two together in an integrated fashion, before either had staked out exclusive ground of its own. However, in the only instance where this strategy has been tried, it was unsuccessful. Nevertheless, the state agency feels that this strategy might work if fully supported by the Comprehensive State Health Planning Agency and the Department of Local Government Affairs.

There appear to be no insurmountable constraints to closer relationships between CHPA's and RPC's. Both the Illinois Comprehensive State Health Planning Agency and the U. S. Department of Health, Education, and Welfare actively favor strengthening the too-slight ties between the two types of planning agencies, in order to better coordinate the many functional planning efforts, and to strengthen the quality of the A-95 review process.

Data Collection and Analysis

Information/Needs-Demands

Most data collection, need-determination, and analysis will be done at the regional and subregional levels. These levels are charged with identifying all health-related data

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and incorporating them into a systematic collection and analysis of data on the health characteristics of the area's population; the availability and utilization of physical, mental and environmental health services, manpower and facilities; and the social and economic forces pertinent to health. Local agencies and organizations will assist health planning units in this task. If projections are to be made, it seems likely that the Regional Council will make them, although none are explicitly called for.

Policy Planning

Goals

Federal law states broad goals for comprehensive health planning. The state includes similarly broad goals in the state plan, but more detailed goal- and priority-setting will be accomplished at the regional and subregional levels.

Policies

Federal law outlines policies governing grants to state and areawide CHPA's. Detailed policies relating to the development, composition and funding of areawide CHPA's

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are stated in the federal Project Guide for Areawide Comprehensive Health Planning.

The state agency, in accordance with federal law and guidelines, establishes further policies for the development and funding of areawide CHPA's. It is presently revising the state comprehensive health plan, with policies for expenditures of funds to implement the plan. The state will also set general health policies affecting certain classes of institutions, resources and activities of state-wide concern.

Regional CHPA's are charged with establishing "principles", which seem to be policies on matters within their jurisdiction.

Comprehensive health plans will be made at <u>both</u> state and areawide levels.

Programming

Strategies/Roles

Planning for the development of manpower, facilities, services and financial resources will be carried out at regional and subregional levels.

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Programs

These will be developed by regional and subregional agencies, subject to review by the state agency. When the two-tiered subregional system emerges, the first-tier, areawide CHPA will both formulate programs and review second-tier agencies' programs. Both levels will review relevant local programs.

Evaluation

Periodic evaluation and review of comprehensive health plans will occur at both state and regional levels. Areawide CHPA's must determine how and by whom plans will be evaluated, revised and updated. They will also review and comment on health project proposals, e.g., those under Hill-Burton, Regional Medical Program, and Section 314 (d) and (e) of PL 89-749.

Interaction Patterns

Assistance

Federal agencies will provide both technical and financial assistance to the state CHPA. The state, in turn,

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will do the same for regional CHPA's. Regional Councils will provide funding and technical services to the subregional program planning units. Local bodies also will provide financial assistance to regional and subregional agencies.

Participation

Federal law requires that each state and areawide

CHPA have an Advisory Council composed of representatives

of health care providers and consumers. Each council must

have at least 51% consumers. Providers may include representatives of public and private health institutions, general

governments, and relevant private enterprizes such as

proprietary nursing homes. These councils will advise

state and areawide CHPA's on the substance of their plans

and programs, and generally serve as a means to bring the

concerns of a wide range of persons to the attention of the

CHPA.

Provision may be made for the participation of other groups or organizations through contracts or other arrangements.

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Participation

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Time Frame

Planning by regions and subregional agencies for a five-year period is encouraged by federal directives.

Areawide CHPA funding is contingent upon the submission of fairly detailed one-year work programs.

Authorization for Planning

Federal authorization for comprehensive health planning and for the establishment of state and regional CHPA's is given in PL 89-749, "Comprehensive Health Planning and Public Health Service Amendments of 1966."

State and regional CHPA's derive authority from federal law and from Illinois PL 77-463, "Comprehensive Health Planning Act."

Planning Units

The State CHPA has a Planning division charged with developing and maintaining the state comprehensive health plan. Regional councils will have similar units.

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The Governor's Office of Human Resources

Introduction

This new agency of state government was established by Executive Order on February 1, 1969. It has major planning and programming responsibilities in meeting the social problems of Illinois residents, especially those characterized as poor or disadvantaged.

A start has been made toward longer range planning and programming through the annual Poverty Report and related studies. However, the agency is new and has been called upon to deal with a number of emergency situations, which means that the Office of Human Resources has only started its planning activities.

The Office of Human Resources is organized with four operating divisions to carry out its broad mission as well as current specific program responsibilities. Staffing the Governor's Branch Offices in Chicago and East St. Louis is the responsibility of one of the divisions. This is an important liaison and supporting role but it does not involve planning and programming.

Three other divisions, Program Development, Model Cities and the State Equal Opportunity Office, do have specific

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planning, programming, and evaluative roles. These are centered on devising ways to coordinate existing programs and to improve the delivery of services to Illinois residents.

State Equal Opportunity Office Division (SE00) provides technical assistance to twenty-three Community Action Agencies (CAA) which are locally sponsored by cities or counties in many sections of the state. These local CAA units are charged with planning and programming the antipoverty activities in their jurisdictions. Substate comprehensive planning agencies may relate effectively to either the Governor's Office of Human Resources at state level or the CAA's at local level. Therefore, under each heading the state and local situation is differentiated where appropriate.

There is some uncertainty as to the future of particular planning and programming activities of the Office because of changes in federal legislation. The Nixon Administration bill for urban development program revenue sharing would merge the Model Cities program and OEO funding for community action programs with other urban grant programs. This might result in modification of CAA and SEOO procedures or organizational arrangements, as city, county, and multi-county units are called upon to integrate anti-poverty social service programs with other urban development programs.

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Data Collection and Analysis

The State Equal Opportunity Office Division, in preparing the annual Poverty Report, gathers and analyzes a wide range of information which permits description of existing conditions and dimensioning of social needs and social problems.

One section of this report contains a wide range of data by county.

Comprehensive planning units not only gather information which might be useful to supplement state-wide data files but also develop population and economic projections. Projections include employment conditions in coming years, future population levels, and the areas of the community most likely to experience growth or change. Some of this information is useful to the state agency in its planning and programming activities. These information files and projections can be used by the city, county, and multi-county Community Action Agencies in their programming.

Policy Planning

The 1971 Annual Poverty Report contains initial statements of objectives and priorities to guide the state and the CAA's. This is a beginning toward the longer-range policy

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ending the model invitety Report of the local formal was able to sell the control of the control

planning which the Office of Human Resources expects to pursue through the Program Development Division.

The 1971 annual Poverty Report (on pages 167-171) identifies three priority areas for special emphasis: children, health services, and minority group members. In each area, action or proposals are recorded which would achieve objectives through legislation, innovative programs and institutional change.

CAA's

At the city, county, and multi-county levels Community
Action Agencies typically have been program-oriented, and
have been limited in their efforts to develop any longerrange policy planning by lack of staff resources.

The East St. Louis CAA has been successful in the following respects and illustrates a mature agency capable of policy planning:

- 1. A political consciousness and sense of ability to affect decisions has developed among the poor.
- A cadre of trained people has developed with spin-offs of personnel to aid the new Health Agency and Community College.
- 3. There has been an impact on state and federal agencies with resultant changes in procedures and programs--for example, the U. S. Employment Service office in regard to job development.

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Programming

At the state level, the Division of Program Development is concerned with innovating programs which can be undertaken by other state agencies or "spun-off" to other agencies after the initial program development.

In the longer run, the Division of Program Development would be concerned with long range planning for human resource development and social problem resolution. At present, its efforts are program-centered.

CAA's Programming to meet the direct needs of disadvantaged or poor people is the central responsibility of the Community Action Agencies throughout the state. The State Economic Opportunity Office Division provides supportive services for the CAA's in developing, implementing, and conducting programs. The State Economic Opportunity Office Division provides assistance to CAA's in preparing plans and priorities, and work programs, for OEO.

Like RPC's, CAA's vary in the size of staff and ability to carry out their primary function—to innovate and co-ordinate programs. Some are involved in actual program operation because of the lack of agencies able to assume responsibility for needed programs. This is especially a

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problem in the more rural multi-county CAA areas which are deficient in institutional resources.

Evaluation

Most of the local CAA's are not adequately staffed to undertake systematic evaluation of programs. The evaluation of CAA programs, especially projects requiring A-95 review, is a responsibility of the State Economic Opportunity Office Division along with OEO. The central responsibility for program evaluation of state agency programs rests with the Program Development Division.

Interaction Patterns

As noted above, the Governor's Office of Human Resources provides supporting assistance for the four Model Cities programs and for the twenty-three CAA programs. Special assistance is provided in such emergency situations as have existed in Cairo and East St. Louis.

State Level

At the state level the coordinating responsibilities of the Office of Human Resources call for participation by state agencies. A three-pronged coordinated approach (physical,

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economic, and human resource development) is envisioned. The instruments for action include the Divisions of the Human Resources Office and the Department of Local Government Affairs to strengthen local and regional capabilities.

Broad state policy for growth and development is the role of the Office of Planning Analysis. Conducting the Research needed in human resource subjects is a central responsibility of the Institute for Social Policy. Action at the state level is the role of the several departments for health, education, welfare, and housing.

A-95 review of CAA projects is provided by SEOO Division in support of the Office of Planning Analysis.

CAA's

The CAA is a coordinating, participatory agency, with representation from government, consumers, institutions, and private enterprise groups. It would certainly be desirable for the CAA's to participate in the comprehensive planning process, but up to the present, participation appears to have been fragmentary in most cases.

Working relationships with the RPC's have been supportive in the larger multi-county rural districts. Here, the broad interest in such issues as housing for the elderly and

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Time Frame

Up to the present, at the state and local levels the emphasis has been on short-range programming. The time intervals are primarily the program year ahead, and occasionally a two-to-five year advance programming period.

Authorization

The CAA's are either private or public not-for-profit corporations. Because the primary funding is federal, their planning and programming follows the guidelines established by OEO and other federal agencies.

Under the Executive Order the Office of Human Resources is organized, and defines and carries out its program as determined by the Director.

Planning Unit

As noted above, the State Equal Opportunity Division,

Program Development Division and Model Cities Division have

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solved also be the dispersion of Opporting by the other solved and the o

planning and programming responsibilities. Few of the CAA's have any separate planning unit or staff. Typically, the planning responsibility is carried between Director and supporting staff.

Illinois Office of Planning and Analysis

Introduction

The Office of Planning and Analysis was created by Executive Order on April 30, 1971. In the Executive Order, Governor Ogilvie gave the Office a number of distinct charges, including:

- 1. To coordinate current planning efforts in order to propose and evaluate alternatives for establishing a state planning process.
- To work with all relevant state agencies in formulating state development and growth strategies.
- 3. To work with the Bureau of the Budget in issue analysis and program planning efforts as related to budgetary decisions.
- 4. To facilitate the collection and analysis of planning data and other statistical information for the use of all state agencies.
- 5. To cooperate with the federal government in the development of a work program for which federal funds are eligible.

Within this broad framework, OPA has assumed a number of definitive state planning-related responsibilities. It has, for example (1) played a leadership role in the effort to regionalize Illinois, (2) identified and documented functional

¹¹¹¹inois, <u>Executive Order</u>, No. 6 (1971), April 30, 1971.

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planning at the state level, (3) initiated efforts to develop a planning information base for the state, (4) undertaken a series of studies designed to conceptualize and formulate overall state growth and development policies, (5) established a mechanism for A-95 Central Clearinghouse Review operations, and (6) commissioned a number of state planning-oriented research efforts.

Data Collection and Analysis

Development of an Information Base for State and Substate Planning

Basic data is needed for all levels of planning. OPA has assumed responsibility for the development of a statewide information base for planning. A contract has been made with the National Planning Association to develop the necessary methodology for preparing current estimates of a number of socio-economic variables on a continuous basis. These estimates and projections will be considered official Illinois figures for use by both public and private sectors.

OPA has also cooperated with the Institute for Environmental Quality and the University of Illinois Center for Advanced Computer Technology on development of the Illinois pleading as in social level, (i) with social forces as always of and pairs of a single as a single of and pairs of a single of and pairs of a single o

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Resource Information System (IRIS), a land use-based geographic reference system.

The Office is working with the Bureau of the Budget and other interested state agencies in analyzing the 1970 census to determine recent trends and patterns of social and economic change in Illinois.

The Office of Planning and Analysis is engaged in the compilation of an Illinois Statistical Report, a compendium of a wide variety of existing and periodically assembled data at the state level considered to be useful for planning purposes, and in the development of a matrix displaying governmental program responsibilities and geographical jurisdictions at various levels. OPA is also in the process of assembling all state plans and in the development of a planning-oriented library.

Identification and Documentation of Functional Planning at the State Level

Also in the area of data collection and analysis, OPA is identifying and documenting the current extent of planning at the state level. The objective has been to identify the agencies and/or units within agencies which have specific

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planning responsibilities, planning budgets, and planning staffs. This study has been undertaken by OPA pursuant to its responsibility for the state planning process and is intended to provide background and insights with regard to the improvement of planning in Illinois.

Specifically, the study attempts to:

- 1. provide an overview of the nature of planning at the state level;
- document existing statewide functional planning efforts in Illinois; and
- 3. evaluate major functional planning efforts with respect to a conceptualized framework for planning.

The conceptualized framework for planning can be described as an interrelated sequence proceeding from the identification of goals to the definition of objectives, the formulation of policy, the determination of strategy, the development of program, and thence to implementation and action. The process is concluded with evaluation, feedback, and appropriate modification and adjustment in each step of the process.

It is the aim of management through planning to achieve the desired goals through optimal allocation of available resources with regard to all other events in an uncertain world. This ideal is confounded by the vast complexities

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and uncertainties in our society. While recognizing the holistic nature of the world and the interdependence of the decisions which are made, it is necessary to sub-divide overall goals into rationally manageable parts. The OPA study has delineated ten functional areas of concern to state government. They do not represent mutually exclusive partitions into which all the world may be divided, but rather focal points for identification. The ten areas of concern are:

- 1. Transportation and Communications
- 2. Community Affairs and Housing
- 3. Education
- 4. Health
- 5. Human Resources
- 6. Natural Resources
- 7. Public Safety
- 8. Economic Affairs
- 9. Regulation
- 10. Administration

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Policy Planning and Regionalization

State Growth and Development Policies

OPA is in the process of conceptualizing a number of studies which will be used as the basis for articulating growth and development policies for Illinois. Eventually, these policies will focus on three interrelated themes: public capital investment policies, economic and industrial development policies, and land use policies.

The Office views governmental taxation and financing arrangements as important factors in urban growth and development. There are several problems in the existing revenue system, including the regressive nature of the system and the maldistribution of revenue within the state. OPA is working closely with the Educational Finance Commission and the Bureau of the Budget in analyzing alternative tax schemes at state and local levels. OPA has partially funded one analysis of an existing local tax situation, namely an analysis of tax revenues and expenditures in Champaign County. This work is being carried out under the direction of Professor Scott Keyes, Department of Urban and Regional Planning, University of Illinois in Urbana-Champaign.

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OFA is in the process of conceptualising a minter of studies which will be used as the basis for articulating growth and development policies for Hillmels. I enturity these policies will docume on directial advectors will docume on directial advectors and the following policies and industrial development policies and inno ose policies.

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Related to tax reform is the need for governmental reorganization—another problem directly related to growth and development. The need is to reform state and local government institutions and practices toward the development of higher-quality public services.

To further support the work of establishing growth and development policies, OPA intends to inventory governmental capital investments and costs of needed capital improvements as well as to evaluate new institutional, administrative, and financing systems aimed at mobilizing the resources necessary for large-scale planned growth. Growth centers and growth needs are also being identified.

Illinois Regionalization Efforts

State policies and state planning can not be separated from planning activities at the substate regional level. It is at this level that planning and administrative structures can be developed to more effectively and efficiently integrate and coordinate the activities of responsible parties towards solutions of areawide problems. For this reason, the Office of Planning and Analysis considers regionalization² as integral

Regionalization refers to the establishment by Executive Order of uniform and consistent, wall-to-wall, substate regions.

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to the state planning process. To OPA, regional planning policies are not merely a designation of boundaries.

The method being used to define subregional boundaries for recommendation to the Governor is to draw lines that conform to the interactions of people and institutions in space. Data being used to determine such interactions includes:

- 1. journey to work
- 2. median family incomes
- 3. population densities
- 4. educational levels
- 5. retail trade areas
- 6. newspaper circulation
- 7. television viewing areas
- 8. radio receiving areas
- 9. ZIP code zones³

In Illinois two levels of regions are being established. The first level, or first tier regions, covers the greater area. This level was established June 22, 1971. Refer to Section IIB of this report, infra p. 95, for a map of first tier regions. Refer to Definitions, p. iv, for further explanation of regions and subregions.

Along with these more academic considerations the recommendations of the Regionalization Task Force established by Governor Ogilvie are being considered. The Task Force recommended (1) keeping SMSAs intact; (2) following county lines; (3) utilizing wherever possible the boundaries of existing planning and development regions and districts.

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This analysis is being carried out with the assistance of Professor Brian Berry, University of Chicago. Some change in existing state regions may be necessary as more definitive work is conducted with respect to development of the smaller subregions.

The Office of Planning and Analysis supports the concept of multicounty Areawide Planning Organizations (APO's).4 Such planning organizations are able to provide a framework for rational planning and development activities at the regional level. They have the responsibility for insuring coordination and compatibility of services provided by both state and substate organizations and agencies to their jurisdictional communities. APO's are possible building-blocks in the construction of the wall-to-wall subregional system. Other possible responsibilities that might be assumed by APO's are (1) the development of investment strategies, (2) designing of land use control mechanisms, and (3) informational inputs into functional planning at the state level. It follows that some shift in accountability, responsibility, and resources

Refer to Definitions, p. iv, for a complete description of Areawide Planning Organizations.

⁵Refer to Section IIB, infra p. 99, for a map of Areawide Planning Organizations.

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for planning must be made from the state to substate levels. In this connection it is not clear what kind of relationship will be encouraged between OPA and regional planning agencies such as APO's, but the relationship is expected to be strong.

Programming

Clearly OPA is concerned with the development of state policy planning and with implementation of state policies. The office is interested in developing a framework within which state policies and programs can be formulated in a systematic and coordinated manner. Close relationships between OPA and BOB, and OPA and APO's, as well as use of the A-95 review process, complement this objective.

The Office of Planning and Analysis has been designated as the State Clearinghouse for A-95 Review. Over one hundred federal aid programs require review at the state level before being sent on to Washington. OPA has worked out the mechanism for this review process, a systematic procedure making certain that all agencies have an opportunity to comment on proposals of interest to them.

OPA does not view its role as one of developing programs to carry out state policies, i.e., the Office does not intend

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Evaluation

The Office of Planning and Analysis has not really been established long enough to have systematically reviewed and evaluated its own planning efforts. However, its personnel indicated that they consider review and evaluation of all parts of the planning process to be essential.

Interaction Patterns

Governmental Relations

Very little information was found specifically describing the relationships between OPA and other governmental organizations at the state level although the advice of key people in a number of state agencies has been sought in connection with state policies planning. The following relationships have, however, been noted:

OPA and BOB

There seems to be a natural relationship between OPA and BOB. Both are involved in planning and

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coordination and policy formulation. Both work closely with the Governor.

OPA and DLGA

Again, there seems to be a natural relationship between OPA and DLGA. Both are concerned with planning and development within Illinois. OPA develops overall policies and plans for the state as a whole; DLGA helps substate units plan for their respective parts of the state. There is some indication that OPA and DLGA will be working together to develop a model organizational arrangement for first- or second-tier regional planning.

The Office of Planning and Analysis, the Bureau of the Budget, and the Department of Local Government Affairs will cooperate in a study of the legal and administrative implications that would be involved in the consolidation of special districts into larger more comprehensive general purpose governments.

OPA works closely with a number of state agencies in performing its state planning function. For example, the Office

Refer to the following paper on the Illinois Bureau of the Budget, infra pp.91-2, for a more extended discussion on the relationship between OPA and BOB.

Refer to the following paper on the Illinois Bureau of the Budget, infra pp.91-2, for a more extended discussion on the relationship between OPA and DLGA.

⁸ Illinois Office of Planning and Analysis, "OPA - Interests and Objectives," Springfield, September 1, 1971, p. 7. (Mimeographed)

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has served on the task force to outline a transportation planning system for the new Department of Transportation; supported a full time "Operation Breakthrough" planner on the Illinois Housing Development Authority's staff; worked with the Governor's Office of Human Resources in preparing a proposal for funding by HEW; and, worked with the Illinois Housing Development Authority, the Bureau of the Budget, and the Department of Local Government Affairs in preparing a report on Community Development and Housing for the Governor.

OPA has stated that it will provide technical assistance to state agencies with planning responsibilities.

OPA is the designated liaison with the Federal Regional Council. The Office is working with the Federal Regional Council to improve Illinois' and the federal region's federal/state relations and federal aid position. The Office is also working with Illinois' representatives in Washington, the Office of Management and Budget, and organizations such as the Council of State governments, Council of State Planning Officials, and the National Governor's Conference, to contribute state viewpoints to evolving legislative and administrative federal policies.

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Research Efforts

The Office of Planning and Analysis has negotiated a number of research contracts oriented towards the development of state planning. Such contracts include the methodological and projection work to be carried out by the National Planning Association; a regionalization study with Professor Brian Berry of the University of Chicago; a study of public revenues and expenditures in Champaign County under the direction of Professor Scott Keyes, University of Illinois, and the development of a computerized geographic reference system by the University of Illinois Center for Advanced Computation.

State Planning Time Frame

OPA has stated that it will prepare one and five year projections of key socio-economic variables. The Office has also indicated a hope that next year's budget book will include a ten year forecast.

Authorization

The Office of Planning and Analysis' authority for planning comes from an executive order which explicitly sets

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forth its basic responsibilities. OPA works closely with the Governor's Office, the Bureau of the Budget, and a number of state agencies.

Planning Unit

OPA is the official state planning agency for the State of Illinois.

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Illinois Bureau of the Budget

Introduction

The Bureau of the Budget (BOB) was established by statute July 1, 1969, in the Office of the Governor. At that time, it assumed a broad range of budgetary duties for the State of Illinois. Specifically, the statutory duties of the Bureau of the Budget are:

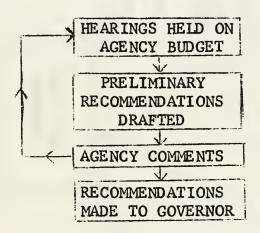
- 1. To assist the Governor in submitting a recommended budget including estimated receipts and revenue to the General Assembly.
- 2. To make detailed studies of the state agencies to enable the Governor to determine what changes should be made to the existing organization, activities, and methods of business of such agencies so as to strengthen the state's management processes and bring about more efficient and economical conduct of state services.
- 3. To evaluate for the Governor programs proposed by state agencies in terms of goals, costs, and relative priorities, to keep the Governor informed of the programs and accomplishment of activities by the state agencies, and to coordinate the development and implementation of state programs, to the end that the monies appropriated by the Legislature may be expended in the most economical manner possible with the least possible overlapping and duplication of effort.
- 4. To advise and assist the Governor in the development of policies, plans and programs

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for improving intergovernmental cooperation and coordinating federal, state, and local fiscal relationships. 1

The budgetary process in Illinois prior to the Bureau of the Budget, had been an essential, but limited, reporting and record keeping activity. In its first three years, BOB has initiated a budget review process which can be graphically represented:



The Bureau of the Budget is organized with seven divisions and a staff of approximately fifty. (See Figure 8 on the following page for graphic representation of the organization of BOB.) Within each Program Division there are budget examiners assigned to particular state agencies,

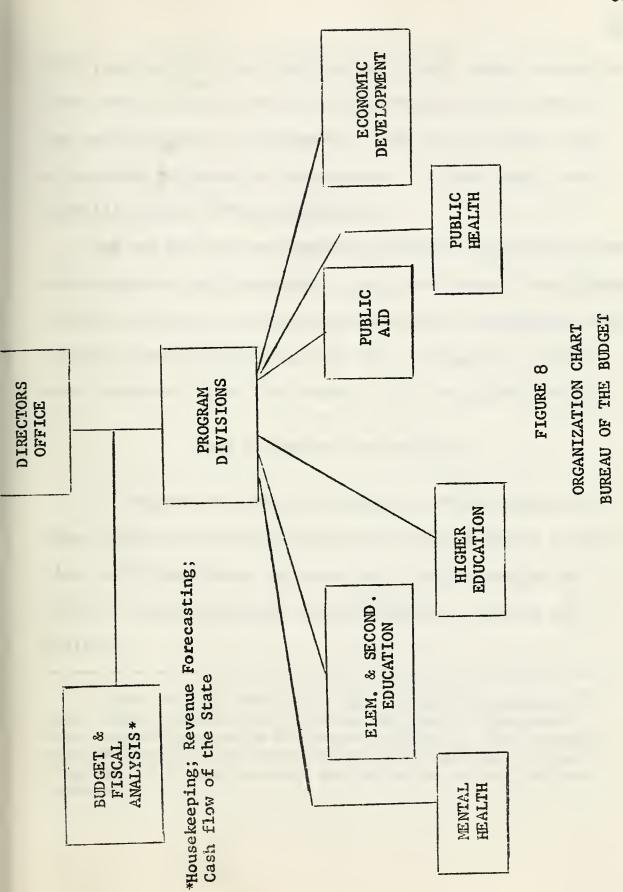
Bureau of the Budget Act, 127 Illinois Revised Statutes secs. 412.1 - 412.4.

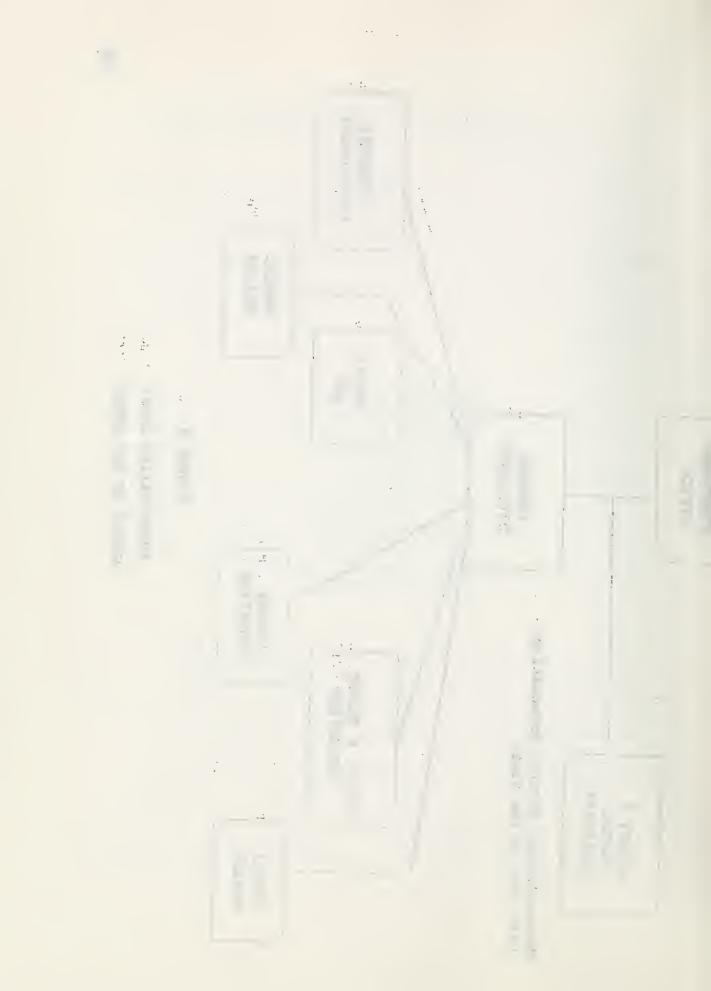
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with responsibility for applying the budget review process to each agency's budget and for recommending to the Governor the spending level of the agency. BOB, at this time, has no substate divisions or connections. It does have a small "special-issues" office in Chicago.

BOB and OPA are complementary agencies for comprehensive state planning and programming. As a next step in coordinated program analysis, ten functional areas have been defined which encompass the activities of more than one hundred separate state agencies. (See OPA, supra p. 74, for greater detail.)²

Data Collection and Analysis

In conjunction with its analysis of state programs and other budget responsibilities, BOB collects relevant information on Illinois State agencies, and also information on federal, state, and local tax and funding procedures and policies.

²There is some indication that BOB may reorganize so that budget examiners will review and analyze functional areas rather than state functional agencies. This reorganization could, in the author's opinion, coordinate state programs for a more focussed and effective attack on state problems.

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Policy Planning

The Bureau of the Budget assists the Office of Planning and Analysis in formulating alternative state goals, objectives, and policies for recommendation to the Governor.

BOB's contribution is centered in issues of state fiscal policy. BOB makes use of state goals, objectives, and priorities in analyzing the budget proposals of state agencies. The objective is to assure reflection of state priorities in each agency's program objectives and priorities.

Programming

The fiscal program for the state is the yearly product of BOB. Budget review and recommendations (as accepted by the Governor) are published annually in the Illinois State Budget Book. Funds are allocated to functional agencies for their use in carrying out approved programs. Budget analysis and programming is related to substate areas by some functional agencies but programming by region is not yet a part of the overall state planning and budgeting process.³

³Alternative schemes for the allocation of funds according to regional priorities is included under Section III-B, Requirements for Effective Cooperation, infra p. 141.

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Evaluation

The Bureau of the Budget does, as stated, have principal budgetary review functions. According to the statute establishing BOB, this review function includes evaluation of agency programs from the point of view of efficiency. BOB does not have the responsibility for evaluation of effectiveness of state programs.

Interaction Patterns

BOB has a working relationship with agencies of the federal government, especially the Office of Management and Budget. This relationship primarily involves action by BOB to insure that Illinois takes the legislative and administrative actions necessary to receive its full share of federal funds. Federal agencies audit and review those parts of the state program that use federal funds.

BOB relationships with other states is focused on keeping abreast of fiscal developments in California, Michigan, Pennsylvania, New York, and other states with similar state problems and/or innovative fiscal and budget programs.

The Bureau of the Budget obviously has close relationships with other state agencies. Of particular significance

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No relation rulps with other states is icoseen on a surebreast of Nicel A relopments in California, Michigan. Pennsylvania, haw to be and other crames with similar problems only manageting discal and hunget programs.

 to planning and programming is the naturally close relationship between BOB and OPA, and BOB and DLGA. BOB and OPA share responsibility for development and evaluation of state policies and plans. Primary emphasis in BOB is placed on state programs, i.e., the State Fiscal Program. BOB and DLGA's Office of Community Services share some budgetary responsibilities. DLGA is responsible for receipt and distribution of funds to local governments, and for the efficient use of funds for local government services. BOB is responsible for receipt and distribution of funds to state agencies and to the branches of state government and for the efficient use of state funds. Two examples will illustrate the close relationship between BOB, OPA, and DLGA:

Local Government Taxes

The Bureau of the Budget has lead responsibility for analyzing alternative tax schemes at the state and local level. It is undertaking a major study this summer of the property tax and of the taxing powers of home rule units. OPA is working closely with BOB and is already funding an analysis and documentation of the existing local tax situation in Champaign County. DLGA has the responsibility for training and aiding local government officials to put into effect the various local government tax schemes.

Federal Revenue Sharing

A Federal Revenue Sharing Act which identified the State General Fund as the receiving depoing at the time and Dies. We are all threship in the part of the control of t

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account from which there would be allocation to local governments would specifically grant the State prime responsibility for the allocation of federal funds. This allocation would be made by BOB in keeping with policies established by the Governor and Legislature.

A Federal Revenue Sharing Act which specified allocation of federal funds directly to a city or local unit of government would grant DLGA prime responsibility for the transmittal of federal funds.

In discharging its functions, BOB has direct contact only with the Governor, with state departments and agencies, and with legislative staff and committees. The Governor gives final approval for the budget. The House and Senate committees provide an important means for representatives of the people of Illinois to obtain and analyze state budgetary proposals. Their effectiveness is limited because they do not have adequate professional staff advice. A joint resolution of the Illinois legislature has proposed creation of a Council of Economic Advisors to advise the legislature concerning the state budget.

Time Frame

The time span for fiscal analysis and budget formulation of the Bureau of the Bureau of the Budget is currently from one to three years. BOB recognizes that the functions na eligible per eligible con el

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 of their agency include long-range fiscal analysis for the State of Illinois. Although BOB's staff does have the necessary expertise, the pressures of day-to-day business (e.g., capital releases) require that BOB assume the full range of assigned functions in a process staged over a number of years.

Authorization

BOB is authorized by statute to be the state's budgeting and review agency.

Planning Unit

BOB is one of the key units in the planning/programming activity centered in the Office of the Governor.

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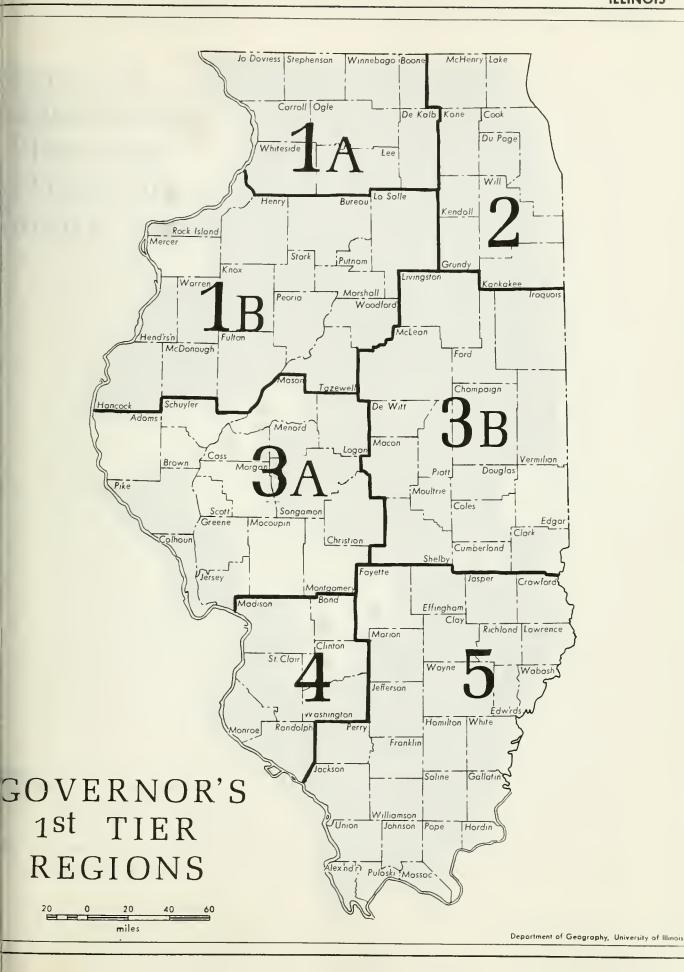
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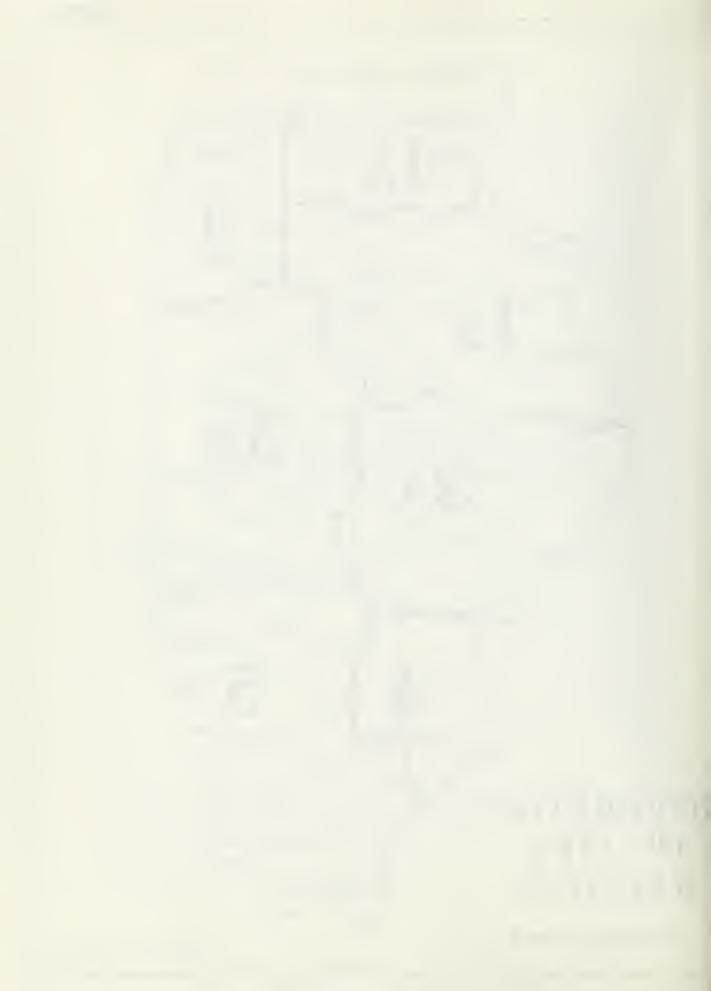
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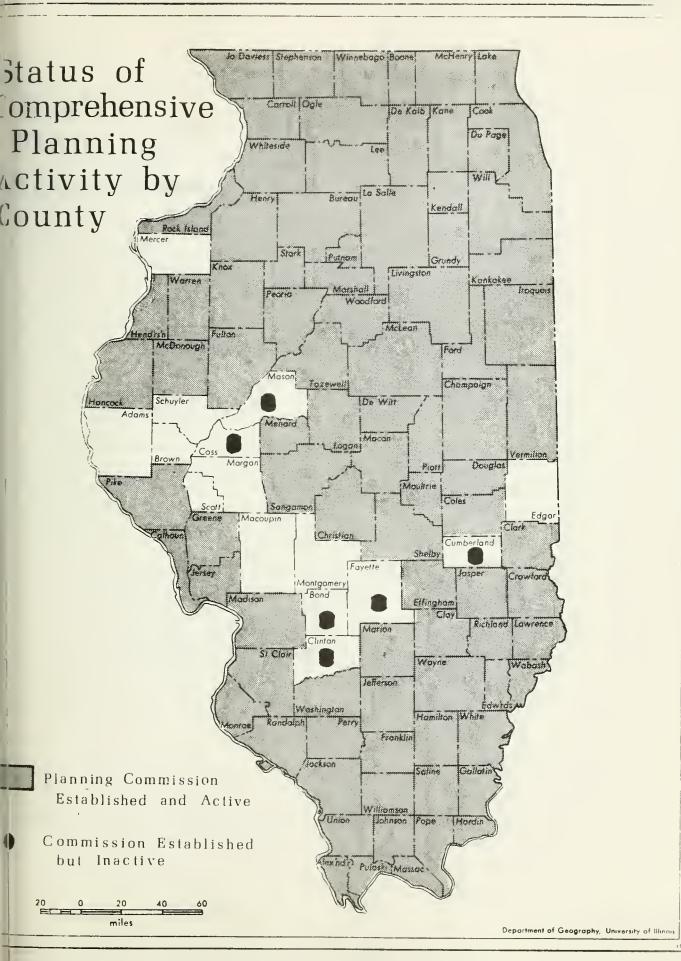
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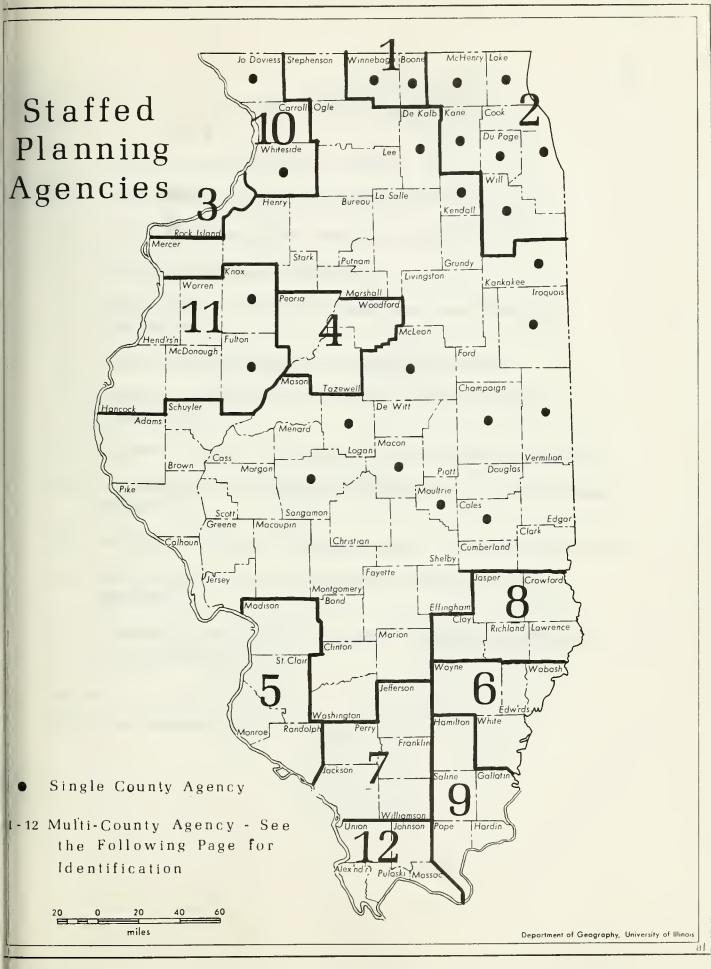


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STAFFED PLANNING AGENCIES

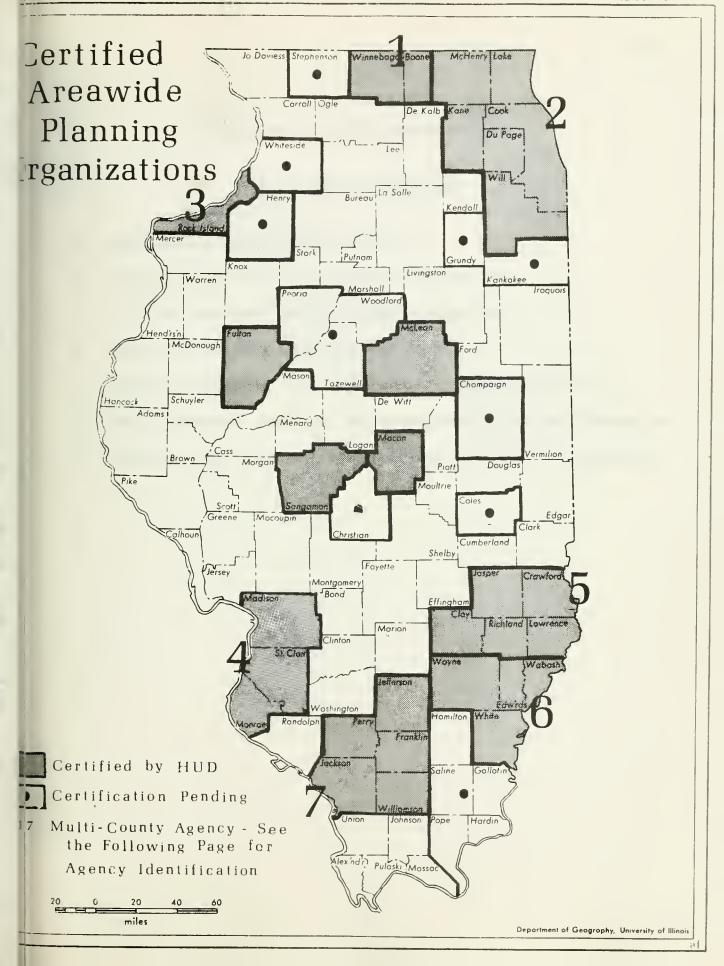
- 1. Rock Valley Metropolitan Council
- 2. Northeastern Illinois Planning Commission
- 3. Bi-State Metropolitan Planning Commission
- 4. Tri-County Planning Commission
- 5. Southwestern Illinois Metropolitan Area Planning Commission
- 6. Greater Wabash Regional Planning Commission
- 7. Greater Egypt Regional Planning and Development Commission
- 8. Embarras Regional Planning and Development Commission
- 9. Southeastern Illinois Regional Planning and Development Commission
- 10. Northwest Illinois Regional Council of Public Officials*
- 11. West Central Illinois Regional Council of Public Officials*
- 12. Mississippi-Ohio Valley Regional Planning and Development Commission*

^{*}Staffing Pending

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AREAWIDE PLANNING ORGANIZATIONS

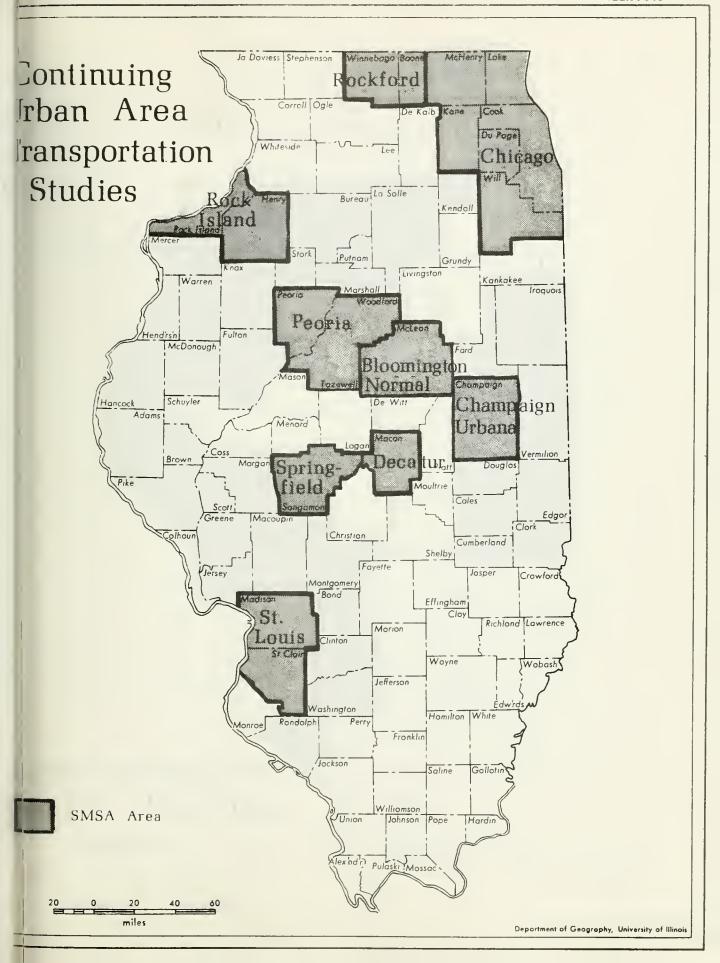
Multi-County Agencies

- 1. Rock Valley Metropolitan Council
- 2. Northeastern Illinois Planning Commission
- 3. Bi-State Metropolitan Planning Commission
- 4. East-West Gateway Coordinating Council
- 5. Embarras Regional Planning and Development Commission
- 6. White, Edwards, Waleash, Wayne Regional Planning Commission
- 7. Greater Egypt Regional Planning and Development Commission

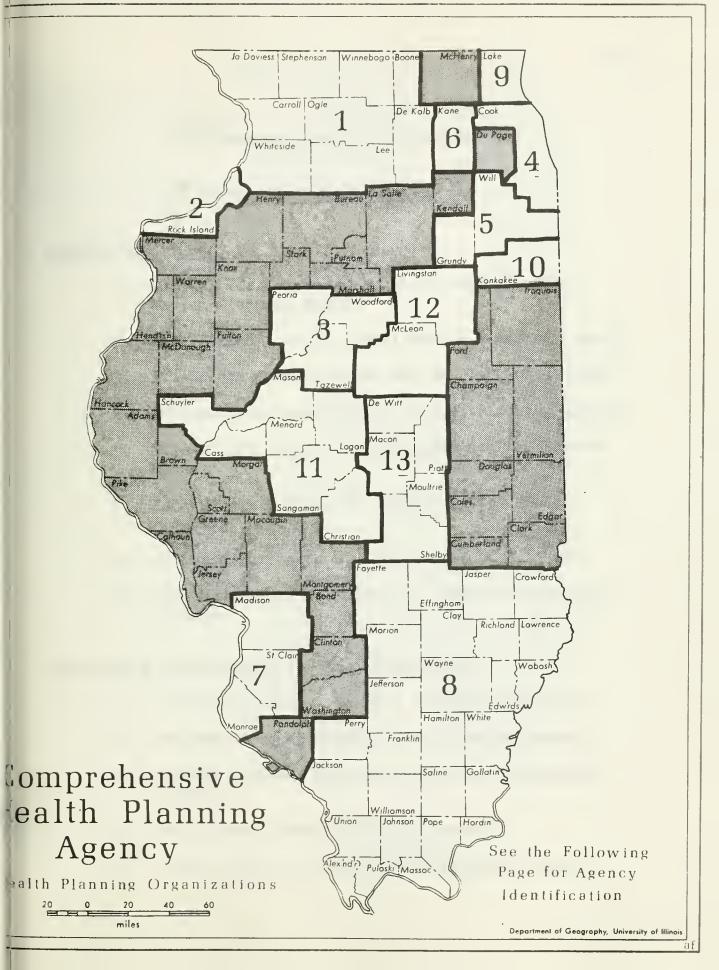
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COMPREHENSIVE HEALTH PLANNING AGENCY

Health Planning Organizations

Approved and Funded

- 1. Council for Community Services Comprehensive Health Planning Board
- 2. Rock Island Scott (Iowa) Health Planning Council
- 3. Tri-County Comprehensive Health Planning Council
- 4. Metropolitan Comprehensive Health Planning Council
- 5. Will-Grundy County Comprehensive Health Planning Council
- 6. Kane County Council for Comprehensive Health Planning
- 7. Alliance for Regional Community Health (ARCH)
- 8. Health Services Coordination Program for Southern Illinois

Organized (Incorporated) for Health Planning

- 9. Lake County Health Service Planning Committee
- 10. Kankakee Comprehensive Health Planning Council
- 11. Central Illinois Comprehensive Health Planning Council
- 12. Mid-Illinois Health Planning Council
- 13. South Central Illinois Health Planning Council

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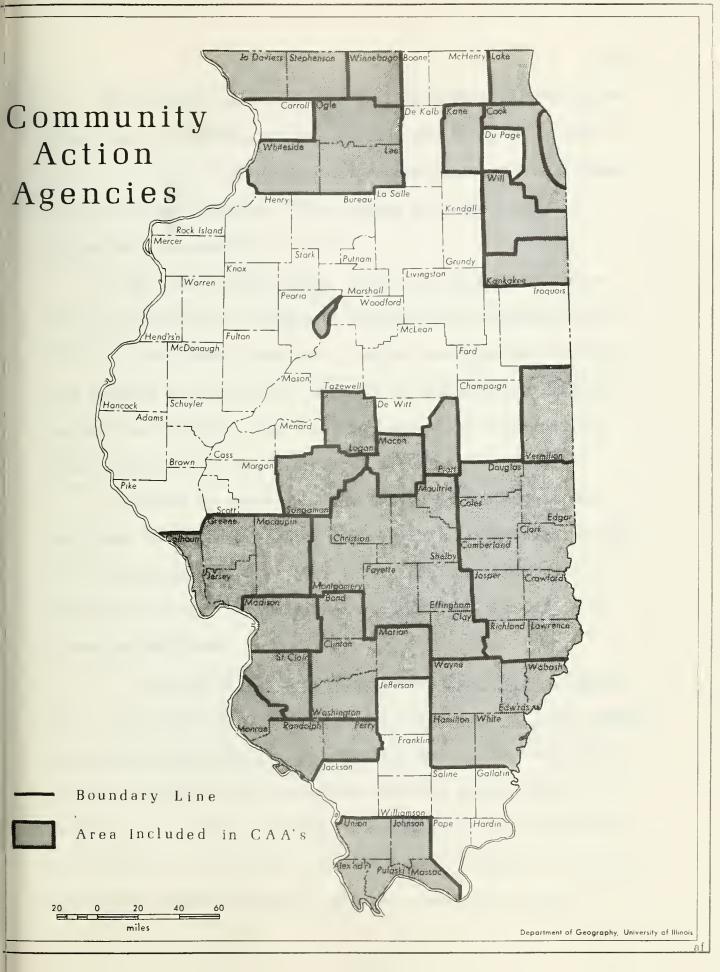
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The attached chart and the following observations about state agency planning and programming are designed to aid a regional planning commission understand the planning process of these state agencies. This should make possible more effective cooperation.

As the chart makes clear, there are significant variations in approach to regional planning or programming among the four functional agencies. The two coordinating agencies are engaged in the state's approach to formulating first and second tier regions. As a result, they do not exhibit the same variations as the functional agencies.

It should be noted that the Bureau of the Budget does not have direct contact with any regional or municipal groups. Any information which it uses in regional analysis would be obtained through the functional agencies and the Office of Planning Analysis.

1) In each of the four functional agency cases, there is a state-wide plan, and there are also plans at city, county, and/or regional levels. Conservation has a state-wide plan which is organized for reporting purposes by the first tier regions. The state planning and programming for recreation also includes the plans of several types of special districts, including forest preserves, park and conservancy units.

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Transportation has a state-wide plan but the principal planning and programming occurs in the first tier regional offices. In addition, each county and each city over 5,000 population has a transportation plan coordinated with the state plan. Each metropolitan area has an urban area comprehensive transportation plan. Where transit districts exist their transit plan would be coordinated with the state-wide plan.

Transportation has the most extensive and coordinated planning and programming activity which is based upon the long experience with highway planning and coordination with metropolitan planning.

Health has a state-wide health policy plan, and by regions will have policy and program plans for health care.

Regional Health Planning Units will plan for state regions;

Program Planning units will plan for subregions. Like the transportation regions, health planning units will ultimately cover all counties of the state.

Human Relations has a state-wide policy plan and, like
Health, program planning is decentralized from the state level.
However, only certain cities, counties and multi-county units
are engaged in community action agency planning.

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2) The functional plans and programs of cities,
counties, or special districts are essential to state

planning for Conservation, Transportation, and Human Relations.

From the point of view of regional planning agencies and
other comprehensive planning agencies, this means that the
functional planning units are at the same level or may be
concerned with portions of the territory of a regional plan
commission.

Conservation as a matter of policy allocates the responsibility for open space planning, program, and action to forest preserve, park, and conservancy districts within urban counties. Therefore, open space planning for many comprehensive planning agencies involves close relations to the special districts and only indirect relationships with the State Conservation Department.

Transportation has formal working relationships with comprehensive planning agencies in metropolitan urbanized areas. Similar relationships for rural multi-county planning are contemplated.

Human Relations poverty planning is in the hands of locally sponsored community action agencies. As coordinating units for the poverty programs there could be a direct relationship to regional planning for social objectives.

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3) Conservation and transportation have specialized sub-state districts. Transportation retains the highway districts as administrative units while shifting planning and programming functions to the first tier regional structure. Both the regional and district offices will have multi-modal responsibilities.

Conservation has different administrative districts adapted to efficiency of scale for parks, fish and wildlife, and conservation areas. These are not planning and programming districts.

In addition, Conservation has defined a series of physiographic regions for survey and analysis purposes.

These would in some respects be more effective planning regions than the first tier regions, but the Conservation Department is prepared to define its formal plan and program by first tier regions.

4) Transportation and Health have interstate regional requirements for functional reasons. Because of the urban structure at metropolitan centers along the states' borders, interstate urban transportation units are required. This is both logical and, by federal guidelines, required.

Health has similar requirements for interstate planning regions because of the concentration of facilities on one side or the other of the state line.

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Federal relationships for such interstate planning regions are complicated by the fact that Iowa and Missouri are in a different federal region.

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SECTION III

FINDINGS AND RECOMMENDATIONS

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As noted in Section I, this study has been directed towards identifying potential expanded roles for regional planning agencies in association with state agencies' pursuit of their responsibilities. For the immediate future, regional planning agencies may find this report useful as background information for use in ordering their activities. The staff and commission might review the descriptive material found in Section II, and identify for themselves activities which they might realistically undertake in support of specific state agency programs. To facilitate this examination of the report's findings, some of the activities which might be undertaken by RPC's are suggested in the following pages.

A second approach toward strengthening the contribution of RPC's to the state planning process could be taken by the Department of Local Government Affairs in consultation with state agencies. DLGA could counsel with specific state agencies to determine activities which might be undertaken cooperatively with RPC's. At the same time, consistent policies as to the contractual or other relationships with RPC's could be defined. Some of these might be put into operation in the near future even though some subregions of

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the state still lack RPC's. Others might have to wait until a statewide system of RPC's or Areawide Planning Organizations is established.

Before offering our recommendations, it seems appropriate to consider why increased involvement of the RPC's in the planning activities of state agencies is important. Our findings suggest that increased interaction between state agencies and RPC's would offer benefits to both in carrying out their missions. The general nature of these benefits can be broken down into three categories:

- 1. greater responsiveness to varied local situations
- greater perspective on issues/problems and solutions
- 3. greater efficiency in the use of available personnel.

At this time, both state and federal governments are taking on more planning functions and are initiating more programs than ever before. Such <u>centralization</u> of certain planning activities clearly has many virtues. It can result in a more comprehensive objective view of needs, problems and opportunities for effective action. Because more resources, both financial and technical, can be brought to bear on existing problems, the fragmentation and local inadequacy

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that results in inaction or in uncoordinated and conflicting actions can to some degree be avoided. Theoretically, at least, the woods, not just the trees, can remain in view.

Centralization of certain planning functions has also appeared to be necessary because of the many other tasks which local governments are expected to perform. Hard-pressed to keep up with administrative and maintenance tasks, these units seldom have had either the will or the ability to "plan" in any very comprehensive way. Such planning as has been done is chiefly land use-oriented.

But just as this centralization is not without its virtues, it also is prey to certain difficulties. Partially in order to avoid constant clashes over very specific policies and programs, state and regional planning, where it exists at all, is often rather broad in nature. But increasingly, specific decisions and actions are needed. Specific action, by its nature, involves localities and individuals. And only planning decisions, no matter how broadly conceived, ultimately affect local institutions, governmental and otherwise. This fact suggests that localities and their institutions need to have some direct or indirect input into any more centralized planning process whether aimed at producing broad or specific policies.

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For obvious reasons, direct inputs from local levels to all planning efforts at the regional or state levels are impractical. Some intermediate level must be found. The emergence of numerous professionally-staffed county and multi-county RPC's suggests that these could provide the needed intermediate level, familiar with local data needs and conditions, but still able to view these with more perspective than that usually possessed by purely local institutions. Through close working relationships between RPC's and state agencies, the interests and needs of local units could potentially be incorporated into the statewide planning process.

The second benefit which would result from increased state-RPC interaction is <u>increased perspective</u> on issues, problems, and appropriate solutions. The essential premise behind this assertion is that the most realistic and effective planning can be achieved only when the agency attempting to plan clearly understands the context within which plan implementation must take place.

The distinction between this benefit and the first may seem subtle; but in reality they are quite different. For example, having a clear perspective on local issues, problems,

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etc., does not necessarily imply that a forthcoming plan will attempt to resolve all these. It simply means that any planning will be done in the light of these. They will be taken into consideration.

Thus, increased perspective can be seen as basically meaning increased knowledge about the planning context.

Increased knowledge about state agencies' goals and intentions would help the RPC's see more clearly the statewide context within which their efforts will take place. For the state agencies, the RPC's could provide the needed regional, subregional and local perspectives, important particularly for those agencies where principal planning activities are centralized at the state level.

The third way in which increased participation of the RPC's could strengthen the statewide planning process is through the increased efficiency in use of available personnel and other resources which could result from greater use by state agencies of the statistical data, projections and other kinds of information about local areas which the RPC's possess or could best develop. In the course of their planning activities, the RPC's acquire much knowledge which could be directly employed by state agencies, allowing them to

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concentrate their limited resources on policy-making, programdevelopment, and coordinative activities. This more efficient distribution of planning activities would strengthen the quality of the overall planning process.

A side benefit to be derived from closer working relationships between the RPC's and state agencies might be the strengthening of all agencies' public images. If any agency is effectively to perform the tasks assigned to it, it must have the support of public and private institutions. This support is likliest to be forthcoming when an agency builds a solid reputation for both efficiency and effectiveness in the public interest.

The present views held by the public and by other governmental bodies with regard to the RPC's and the state agencies are as varied as the agencies themselves. Some well-established agencies are widely-acknowledged as both effective and influential, while others, particularly those which have only recently emerged, do not command a like respect. In the case of a relatively new agency, its scope of activity may not yet be clearly defined, and its actual accomplishments and effectiveness open to question. Closer coordination of all agencies' activities cannot but help to improve the chances for effective action.

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The roles assigned to county and multi-county RPC's have not always been well-defined, and their integration into statewide planning efforts often has been minimal. But, as the remainder of this report suggests, opportunities for constructive action and interaction do exist, with the potential for enhancing both the efficiency and effectiveness of both state agencies and RPC's.

SECTION IIIA

ROLES FOR REGIONAL PLANNING COMMISSIONS

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Data Collection and Analysis

Within the present and near-future context of planning and programming activities at state, regional and subregional levels, it seems clear that the RPC's can play a much more important role as a source and disseminator of information.

In this regard, three roles can be delineated: primary data-gatherer and analyst, central data interface, and information disseminator.

In the role of primary data-gatherer, the RPC collects and perhaps analyzes raw data, then makes it available to any other agencies wishing to use it.

The information needed by state agencies might be divided into two classes, general and special. General information might be defined as that which is useful to a wide variety of state and local agencies or organizations. Demographic information, socio-economic studies, and landuse data all fall into this class. Because this information is directly useful to the RPC's in their own planning efforts, most RPC's have or want to acquire it.

Special information is that needed by only one or two functional planning agencies; it would include things like inventories of health care facilities or key truck-traffic

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generators. Because of its more specialized nature, the RPC's are less likely to have acquired such information in the course of their duties. However, they might gather it at the request of a specific state agency, perhaps under contract to that agency.

These two categories might be described as "raw" data.

Other sorts of data, such as projections and needs surveys, requiring a large analytical element, are also needed. While projections are a relatively traditional form of RPC activity, needs-surveys are not, but are increasingly needed by both state and regional agencies in their attempt to make their plans and programs more responsive to the problems of a given region or subregion.

The organizational level of the state agency to which the RPC would be chiefly responsive in its information-gathering capacity varies from state agency to state agency.

Both Transportation and Conservation are highly concerned with the development of a state plan, at the state level.

In contrast, GOHR's and CSHPA's most detailed planning efforts are accomplished largely by organizations at the regional or subregional levels, as are those associated with Urban Area Transportation planning (although in each of these

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cases, the state level as well would find the data useful in evaluating and coordinating regional or subregional plans and programs).

Another variation is found in the RPC's themselves.

Staff size and quality, past experience in planning, and variations in size and complexity in the regions, all affect the ability of an RPC to supply the needed data or analysis. The lack of RPC's in some parts of the state suggests that, for the moment at least, the state agencies would have to continue to do some primary data-gathering on their own, although perhaps on a much-reduced scale.

The second role for the RPC is that of <u>central data</u>

<u>interface</u> between other information-gatherers at the local
and subregional level--special districts, for example--and
the state agencies needing their data. Here the RPC would
not actually do the primary data-gathering, but might serve
to consolidate it and provide some preliminary analysis
before passing it on to state agencies requesting it.

The role of central data interface might also work in reverse, suggesting a third role for the RPC's that of subregional communicator/disseminator of information about state agency policies, plans and programs to interested local

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governments, organizations and citizens. This role would seem to be particularly helpful with regard to those state agencies which centralize plan-making activities at the state level. For such agencies, the RPC's might help to insure that local units understand the directions in which the state is attempting to move. Even when the state agency has a strong regional unit, the RPC's might serve to inform a broader range of persons and institutions than would be likely to have frequent contact directly with the state agency's regional unit.

It is important to recognize that while the RPC's can presently or potentially provide much information useful to the state agencies, these agencies differ radically in the sophistication of their present mechanisms for data-gathering and analysis, and in the organizational level at which certain kinds of information are most needed. No single information system is likely to serve all agencies equally well. Transportation, for example, already has well-developed procedures for information acquisition; Conservation, by contrast, is only now developing an inventory and updating system. While both of these need information for regional activities, each also has or is developing a strong centralized planning capability.

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In the case of Health, which illustrates a new planning operation and a new and still incomplete statewide system, most information will be needed at the regional and subregional levels where most planning will take place. However, in the organizations emerging at these levels, information requirements are not yet clearly delineated.

Department of Conservation

The Department of Conservation (DOC) now collects and analyzes most of its own data on a regional basis. However, DOC strongly feels the lack of an adequate information system, and sees potentially important roles for the RPC's as basic building blocks in such a system. First, they could make and maintain the needed inventory of subregional facilities, to be combined at the state level to yield regional and state inventories. DOC also feels that the RPC's could be extremely helpful in identifying local needs, problems and potentials. Information on subregional environmental quality and socio-economic factors also is needed.

Secondly, the RPC's could help develop five-year projections of local special district facilities acquisition and development activities. If RPC's statewide did all such

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projections, they would be more likely to be more realistic and of more uniform quality than they are at present.

Thirdly, the RPC's might serve to more effectively communicate DOC's policies to the local special districts.

Because of the great number of these districts, the level of communication between them and the DOC has not been adequate.

DOC is trying to develop state funding for local recreation planning. This procedure, already practiced in New York, Minnesota, Wisconsin and California, could provide the funds necessary for the RPC's to take a more active role in the provision of data and projections (as well as in other activities). DOC is also willing to help local special districts apply for federal money, some of which might be used to reimburse RPC's.

DOC feels that subcontracting certain of its data-related tasks to the RPC's is both appropriate and potentially feasible. The RPC's would not be expected to take a larger role without such funding.

Department of Transportation

Much of the data collection and analysis for Continuing
Urban Area Transportation Planning in any metropolitan area

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 is already being done by the area's RPC(s). The RPC's tasks have been worked out informally, not defined by federal or state law. Special designation of the RPC's as key data collectors in this planning, with appropriate funding, would regularize and strengthen the existing situation.

There is increasing need for reliable socio-economic and land use data and projections for metropolitan and other areas.

The need for such data is not restricted to the Urban Area

Transportation Planning process, but common to most functional areas.

If DOT's subregions ultimately mesh with the RPC's jurisdictions, the RPC's might well serve as principal data gatherers for the larger state transportation planning process, as well as for Urban Area Transportation Planning.

Comprehensive State Health Planning Agency

Basically, detailed comprehensive health planning will be a regional and subregional process, and the RPC's key roles with regard to data collection or any other part of the planning process will be in cooperation with organization at these levels, rather than at the state level.

Subregional program planning units and regional health planning councils will need general information of the types

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often possessed by the RPC's. Additional special studies, e.g., needs-surveys, will be needed, and the RPC's might contract to do these. Federal and state policies support such subcontractual arrangements, but these would also have to be worked out with local health providers and other local financial supporters of the CHPA's.

A key problem at the moment is that CHPA's often don't know what data RPC's possess or plan to acquire. Improved communications would benefit both sides; each has limited resources, but may possess or acquire data useful to the other. Since so many of the CHPA's are in a relatively embryonic state, and have little or no established datagathering capability, mutual development of a complementary data system would be mutually beneficial.

If health program planning units (now CHPA's) and RPC's eventually conform to uniform subregional boundaries, pursuant to the state's delineating these, the ability of the RPC's to act as the basic data providers for the CHPA's would depend chiefly on the CHPA's ability to provide the necessary funding.

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Governor's Office of Human Resources

Information on future population and socio-economic levels, employment conditions, geographic areas likely to experience growth or change, all are needed by the Community Action Agencies, and by the state in its long range planning. Increased contacts between the RPC's and CAA's, starting with mutual data concerns, would help to pave the way for greater cooperation with regard to policy planning and programming.

Bureau of the Budget

At present, the RPC's might provide BOB with needed information on local taxing and funding procedures. However, it appears that at the moment most data specifically associated with functional areas must come from the functional agencies themselves. If in the future BOB decides to conduct fiscal analysis on a geographical as well as functional basis, the opportunities for interaction with the RPC's would increase. But under the present functional budgeting practices, BOB cannot effectively use such information submitted on a regional or subregional basis.

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Office of Planning and Analysis

Because OPA's planning information system is still under development, the RPC's potential roles within such a system are unclear. However, if a system of wall-to-wall sub-regional areawide planning organizations (including many present RPC's as APO's) emerges, these will probably have a role in data collection and maintenance. In turn, it is clear that the RPC's-APO's will benefit from OPA's compilation and analysis of regional and statewide data.

Policy Planning

The RPC's potential roles with regard to the policyplanning activities of state agencies and their regional units
are not as well-developed as those relating to information.

Nonetheless, there do seem to be some opportunities for
beneficial action.

A key problem in delineating these roles is that so far little detailed policy planning has been done by state agencies. This has been largely because of the need for agency personnel to respond to the pressing demands of ongoing and emerging programs. However, in most cases, fairly

detailed policy plans are now underway, in response to the requirements of federal programs.

Therefore, the question is not so much how the RPC's could profitably be fitted into an essentially strong and well-developed operation, but rather how the RPC's might help the state agencies to get moving with the business of efficient and responsive policy planning. Four roles suggest themselves.

The first role, that of <u>information-provider</u>, has been already discussed. This role is particularly important during the early stages of policy planning, but also would be useful during periodic re-evaluation and revision of state plans.

A second potential role with regard to policy planning would be to evaluate and review drafts of state and regional plans. The purpose of this interaction would be to get feedback reflecting local and subregional concerns and needs.

Such feedback would enhance the chance for responsive state policy plans.

A third role is that of <u>plan coordinator</u>. Particularly for those agencies with strong regional and subregional organizations, this role would serve to integrate functional area policies with the full range of other policies for regional

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and subregional development. Here, greater direct participation of the RPC in policy planning would be quite in order, since the policies in question would be directly aimed at the region/subregion served by the RPC.

A fourth role exists chiefly with regard to the state Office of Planning and Analysis. Charged with the development of an overall policy plan for state development, OPA plans to solicit regional suggestions to help in developing the plan. As the state system of regions and subregions is clarified, RPC's-APO's may have the opportunity to provide direct policy guidance to the state. What further effect this might have on functional agencies' policies and programs is uncertain at this time.

The state of Georgia offers an interesting example of another way in which RPC's, or their representatives, might affect the state policy-making process. The Georgia Regional Executive Directors Association acts, on occasion, as a pressure group to influence both state plan-makers and state legislators. At least partly because of this group's influence, regional agencies are usually consulted as part of the state plan-making process. Illinois has a similar group, the Regional Planning Directors of Illinois, and it might play a similar role as state policy planning develops further.

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Department of Conservation

DOC wants the level of government most directly responsible to the principal users of recreation facilities to play a major role in the development of policies affecting these facilities. At the subregional level, most facilities come under the jurisdiction of the special districts. At present, these districts may be aided by the local RPC in plan preparation, but RPC assistance is not routine.

If the RPC's act as DOC's principal subregional contacts, as suggested earlier, their assistance to special districts would be likely to result in better coordination of state and local policies. It would also facilitate the integration of local recreation/conservation policies with other policies for overall subregional development.

Greater contact with the special districts would also allow RPC's to more knowledgeably represent local recreation needs and concerns to DOC. In this respect, RPC's would be the logical substate units to review and evaluate proposed state conservation and recreation policy plans.

Department of Transportation

In the Urban Area Transportation Planning process, the Metropolitan Policy Committee, composed of local elected

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officials, is the key policy-making body. Close coordination of this body with the RPC is needed to avoid or minimize conflicting transportation and land use policies affecting the same geographical area. To implement this coordination, at least one representative of the RPC might sit, as an observer, on the Policy Committee's deliberations.

Comprehensive State Health Planning Agency

Detailed health policies are, or will be, made chiefly at regional and subregional levels, making very direct coordination of these with the full array of other policies for the area a possibility. It should be noted that CHPA's and RPC's are in no way "competing" bodies in the way that an RPC and a Transportation Policy Committee may be. Instead, each pursues quite separate, if related, categories of planning. Thus a key role for the RPC is to help the health agency understand the policy context within which its specific policies will function. As with transportation, this coordination and information role might be facilitated by having a representative of the RPC on the Advisory Council of the CHPA.

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Governor's Office of Human Resources

As with health planning, the RPC's key roles with regard to the Community Action Agencies are those of review and coordination of policies affecting the same geographical area. As in the case of the CHPA's, CAA's and RPC's are not "competing" units; the RPC's generally have not done human resources planning. But close coordination of such planning with that for other aspects of subregional development, particularly economic development, is of critical importance.

Bureau of the Budget - Office of Planning and Analysis

The key task here is to relate regional and subregional goals and objectives to statewide planning and development. While little direct interaction with BOB can be envisioned at this time, OPA does want inputs from subregional to the development of its state policy plan. So far this has been done only on a "catch as catch can" basis. As state policy planning develops further, mechanisms to insure regular inputs from all subregions will be needed.

It would, of course, be unrealistic to expect any state policy plan to be merely a compilation of regional and sub-regional inputs. OPA is charged with being the overall policy

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planning body, and should be expected to take considerable, even bold, initiative in the determination of policies concerning state development. But for OPA to be effective, its policies and those of the subregions will have to be closely coordinated.

PROGRAMMING

Typically, program planning has constituted the bulk of state agencies' planning activities. Today, despite the increased emphasis on policy planning, the programming function is as important, and as entrenched, as ever. State agency personnel often report that the size and on-going nature of the programming operation consume time badly needed for long range policy planning efforts.

The organizational level at which most programming is done varies from agency to agency, but as with the other planning activities the essential dichotomy is between programming centralized at the state level, and that decentralized to regional or subregional units. The Department of Conservation illustrates the former model, while the Comprehensive State Health Planning Agency illustrates the latter.

In those agencies where the program planning function is solidly entrenched and centralized at the state level, it is

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difficult to envision any direct contributions that the RPC's might make, apart from the already-mentioned suggestions with regard to information and policy planning. Improved interaction in these areas should ideally provide the background for better program planning as well. But direct inputs from the RPC's into the state programming process seem likely only to complicate, rather than to improve, that process.

On the other hand, RPC's do have an important role as program coordinator within their jurisdictional areas. RPC's (those designated Areawide Planning Organizations by HUD) already are charged with program review responsibilities under the A-95 review mechanism. This role is particularly important with regard to the Office of Planning and Analysis. OPA relies upon APO designated RPC's to relate and coordinate programs and services provided by both state and substate organizations/agencies with respect to the goals and needs of each region's communities, and to the declared goals and needs of Illinois as a whole. Further expansion of this coordinator role beyond A-95 review requirements may be desirable or imperative as the number and scope of federal, state and local programs partially operative in a region or subregion expand. Coordination mechanisms that might be

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developed by APO's include investment strategies and land use control mechanisms for use in the APO's multi-county juris-dictional areas.

Where the RPC has A-95 review authority, regional units of such state agencies as the Comprehensive State Health Planning Agency might be able to assist the RPC's in their A-95 review process in matters related to specific functional areas. The A-95 process would stay centralized with the RPC.

The situation is somewhat different for those state agencies with strong or quasi-independent regional or subregional units. In the case of the Department of Transportation, the RPC's are already involved in the programming activities associated with the Urban Area Transportation Studies. Interaction has been much more limited in regard to the areawide Comprehensive Health Planning Agencies and the Community Action Agencies, but at least one potential RPC role can be identified in relation to these.

While the RPC's lack the specialized expertise to involve themselves with the more specialized aspects of, for example, health planning, most do possess general planning expertise that the CHPA's and CAA's might put to good use. The RPC's basic involvement in programming might occur after program objectives and resources had been identified, and consist

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chiefly of helping the agencies apply basic planning concepts and techniques needed to operationalize their program objectives. The RPC's role would essentially be that of a planning advisor which would help turn objectives and policies into workable programs. The role of planning advisor may need to be only a temporary one. In the case of health, at least, the state agency's current proposal is eventually to have technical assistance, presumably including planning assistance, available to subregional health planning units through both the state and regional organizations. At the moment, however, the regional technical assistance units do not exist. Several of the existing subregional units are still struggling to get established, and other subregions' units have not even begun to emerge. Until the final statewide organization emerges and is adequately staffed, the interim assistance of the RPC's could be most useful.

Evaluation

Periodic evaluation of the adequacy of present plans and programs includes analyses of both efficiency and effectiveness.

Since in many instances fully developed long range plans have not yet emerged, plan evaluation is not presently one of

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the active elements of the planning process. In the future, however, functional agencies plan periodically to evaluate both efficiency and effectiveness, and presumably to revise plans and programs in accordance with their findings.

Outside evaluation of plan and program effectiveness constitutes a part of the feedback so essential to the ongoing planning process. The Bureau of the Budget presently is the only "outside" agency providing program evaluation to state functional agencies on a regular basis. BOB analyzes program efficiency from a fiscal standpoint. The most viable evaluative role for the RPC's would be their review and analysis of plans and programs while still in draft form. Drafts might regularly be sent to the RPC's for their review and comment. Here, the RPC's role would be essentially the same as that identified in the section on program planning. In this role, their orientation to the needs and programs of specific subregions would appear to be an asset rather than a constraint.

Evaluation of specific problems, on an incremental basis, might also be possible, since the RPC's encounter these in the course of their own planning, programming and implementation activities. Such evaluation might take the form of informal memoranda or merely conversations with the

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appropriate state agency officials. Any such cross-talk would be of significant help to the state agencies in their own evaluative activities by giving them additional perspective on the implications and effects of their plans and programs.

RPC's, to perform any evaluative activity, must clearly understand the concerns, goals and objectives of the state functional agencies. Evaluation based on a misunderstanding of these will at best be only marginally relevant.

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SECTION IIIB REQUIREMENTS FOR EFFECTIVE COOPERATION

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The preceding sections have identified a number of existing and potential cooperative arrangements between state agencies and RPC's. The following pages record several considerations which need to be kept in mind if more effective cooperation is to be achieved.

- 1. Any attempts for greater interaction between state agencies and RPC's must be built on a solid understanding of the following agency or RPC characteristics:
 - a. Responsibilities: Each agency is legally charged with carrying out certain activities. To avoid any misunderstanding about the "right" of agencies to pursue certain activities, agency responsibilities should be made clear at the outset.
 - b. Concerns: An agency's concerns might be described as "where its heart is." Concerns are formally expressed in statements of goals and objectives, but there may be underlying concerns less explicitly voiced but no less important.

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- c. Constituencies: Theoretically, of course, each organization is responsible to the entire public of the geographical area it serves. But politically and practically, constituencies differ. The essential question here is, to whom must an agency be especially responsive in order to survive?
- d. Competence: Maximum efficiency in the structuring and operation of the statewide planning "system" should be built on the identification and use of each planning organization's unique competence and expertise.
- e. Principal limitations: The local or state political situation, special constituencies and the lack of money, time, or expertise, all constrain organizations in different ways. State agencies and RPC's need to realistically assess their own limitations and those of the organizations with which they particularly wish to interact more closely.

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It is particularly important that state agencies clearly understand the present limitations of regional comprehensive plans and programs. Existing chiefly by virtue of essentially voluntary local government support, although with federal incentives, RPC's often have been severely limited in their ability to implement plans and policies. However, certain comparable limitations apply to individual state agencies as well.

2. There is a need for flexibility in approach to the several state agencies. By now, it should be apparent that a rigid approach to working relationships with all state agencies is impossible, because of each agency's different organization for planning. Also, agencies are in different stages of developing long range plans and coordinated programming. For example, the Department of Conservation has only recently organized its long range planning efforts, while the Department of Transportation inherits many years of experience in very competent highway planning.

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- 3. All agencies need to have an adequate information base from which to plan. Needed information includes not only basic statistical data but also information on current public and private planning and development efforts throughout the state. In this regard, OPA has delineated ten functional areas about which information should be gathered, and is in the process of assembling initial statistical data.
- 4. A full-time RPC staff is a prerequisite for increased interaction. RPC's whose "staff" consists only of a lay commission plus consultants cannot be expected to play an increased role in on-going state functional planning efforts.
- 5. The capabilities of the RPC's varies significantly.

 Some units are relatively new, while others, like
 the Northeastern Illinois Planning Commission, have
 ten or more years of established work behind them.

 Some agencies are operating with only one or two
 professionals, while others have five, ten or more
 on their staffs.
- 6. Most RPC's need more adequate staffing. Without this, their commitment to increased activities might

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decrease their effectiveness in their areas of principal concern. An RPC's spreading itself too thin would diminish its ability to produce solid in-depth plans and programs for its areas of principal resonsibility.

7. If the RPC's planning activities are to be broadened, the RPC's funding base must also be broadened.

Direct state grants, following Georgia's example, and contractual arrangements with state agencies, would help to provide the broadened economic and political base needed to pursue consistent interaction with the various functional agencies.

Federal funding is often unpredictable and always fragmented, although in time, revenue-sharing may provide a more predictable source of RPC revenue. Also, the availability of federal program funding in certain functional areas has quite logically resulted in a "warping" of supposedly comprehensive planning efforts to fit available funding sources and requirements. An RPC's "grantsmanship" capabilities, and the resulting awards of funds, have played a key role in determining priorities. This situation is seldom

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- conducive to the maintenance of on-going planning activities. Activities intended to be on-going should be funded in an on-going manner.
- 8. As far as possible, the goals and objectives of any increased interaction should be identified, and the likelihood of their achievement realistically assessed. While it is tempting, and perhaps accurate, to say that in functional areas like health and human resources, any positive interaction would constitute an improvement over the present situation, the search for interaction should not proceed blindly.

This study suggests that certain objectives are believable. Unfortunately, as with any planning effort, the failure to achieve unrealistic objectives may obscure the fact that very real benefits may have been achieved, although they were not those most clearly identified at the outset.

9. Along the same line, the mutuability of benefits from interaction must be clear. One cannot reasonably expect any state agency or RPC to pursue interaction in which it is only the giver. While agencies may en liggi superan de la laur sur la mit nu er ababren.

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see themselves as servants of the public, they do not often relish the thought of being <u>each other's</u> servants, unless some benefit(s) will accrue to them as well.

10. Cooperative working arrangements will depend on mutual concern and commitment. An RPC's agenda will tend to be limited in scope by local concerns and the perspective of local values. Effective cooperation outside that scope may be difficult to achieve.

Such constraints may apply to specific functional areas as well as to those issues of regional or national concern which are not perceived to be important in local eyes. For example, if RPC's view their function as essentially physical planning and guidance of land development, working relationships with Community Action Agencies or Comprehensive Health Planning Agencies may be very difficult to forge. This is especially true where the agencies' constituencies differ radically in their socioeconomic status or political philosophy.

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11. Last but not least, lasting cooperation is contingent upon all agencies' understanding that planning for any geographical area legitimately encompasses physical, economic and social concerns. This is the whole pie, of which individual agencies take interrelated pieces. The historical dominance of the physical planning and economic development functions should not be allowed to obscure that fact.

SECTION IIIC
CONCLUSION

7. 7.

More than many states, the State of Illinois is a remarkably differentiated surface. Its urban areas range in nature from the Chicago Metropolis to the thriving "dispersed metropolis," of Central Illinois, to the small southern Illinois towns serving as urban centers for sizeable but economically-depressed hinterlands. Rural land runs the gamut from premium grade agricultural land to so-far unuseable strip-mined wasteland. "Upstate" is very different from "downstate", but neither term tells very much about the variety of people, economic conditions and geographical phenomena each encompasses.

The planner or elected official seeking to serve Illinois' citizen better is confronted with no easy task. He soon learns what we have tried to show--that the array of organizations charged with attempting to plan for this diversity itself constitutes another level of diversity. Between these organizations, great differences in outlook, organization and resources are axiometric. Yet there is increasing agreement on at least one thing: more and better planning is needed not only to cope with present problems, but especially if Illinois is to move toward a future in which the state's physical, economic and social needs are well-met.

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It would indeed be pleasant to be able to report
that through our examination of a sample of Illinois' planning
activities, we have been able to discover and outline a
series of steps which, if followed, would make of the RPC's
and state agencies a coherent whole, a true planning "system"
of components which would work together to produce the
mutually-supportive plans which Illinois and every other
state so badly need. However, as this report has shown, the
attainment of such goal, viewed in even the most optimistic
terms, appears to be well into the future.

Nonetheless, there presently are places in the planning process where increased interaction between planning organizations appears to be both possible and mutually profitable. In this regard, we hope that our views and suggestions will prove to be useful and that, in fact, greater mutual concern and interaction are feasible. The evidence, however incomplete, suggests that they are.

What next steps might be taken, and by whom? Clearly, the state agencies, for their part, should try to insure that all RPC's are aware of the directions in which the former are trying to move. Some of the RPC's, most appropriately those which are relatively well established and well-staffed, might take the lead in exploring new approaches to interaction--

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demonstration projects, if you will. If these prove to be successful, they might be tried elsewhere with adaptations reflecting the very real differences in dominant subregional concerns and needs. Good communications between RPC's will be essential. It is important that the experimental venture of one RPC be familiar to the others, and its success or failure be carefully analyzed so that the others may profit from the experience.

Finally, we hope that this study may serve as a jumpingoff point for a more detailed analysis of the kinds of
possibilities we have suggested. As background materials
for further study, both the Department of Local Government
Affairs' study of RPC's, and the Office of Planning and
Analysis' study of state agencies' planning activities should
prove to be immensely useful.

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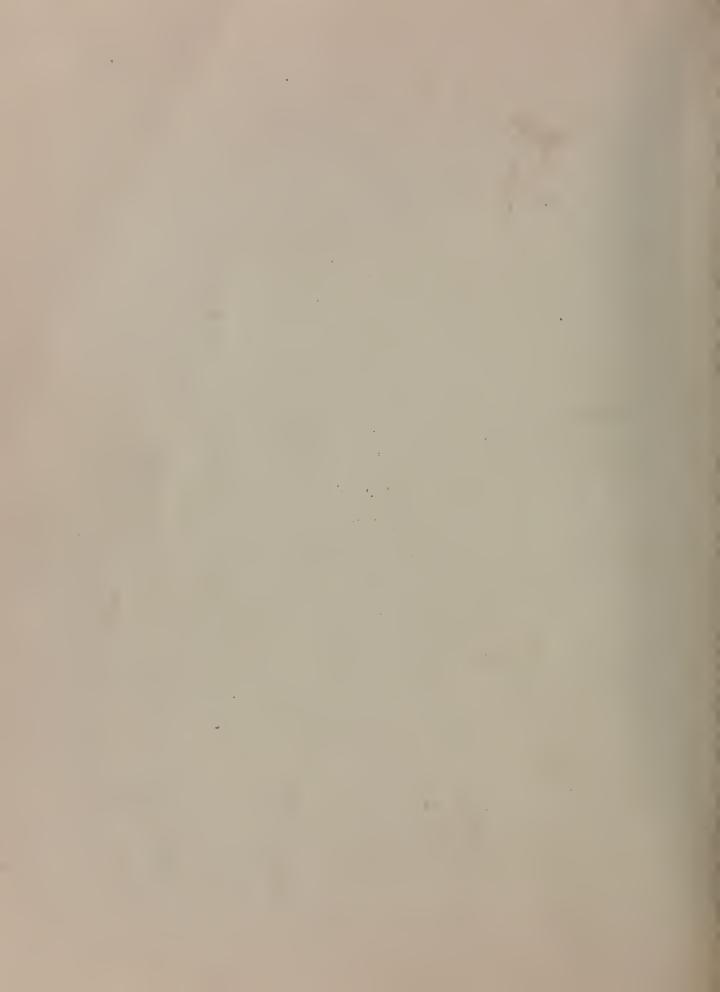
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