

DEVELOPING AREA PLANNING AND DEVELOPMENT PROGRAMS
DRAWING ON GEORGIA'S AND TENNESSEE'S EXPERIENCES

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TABLE OF CONTENTS

	Page
ACKNOWLEDGMENTS	ii
LIST OF TABLES	v
LIST OF MAPS	vi
LIST OF FIGURES	vii
SUMMARY	viii
Chapter	
I. INTRODUCTION	1
Definition and Characteristics of Regional Agencies	
Definition of Substate Planning and Development	
Districts	
Districts Selected for Study	
Purpose and Method of Study	
II. HISTORY AND DEVELOPMENT OF SUBSTATE PLANNING	
AND DEVELOPMENT DISTRICTS	8
Federal Incentives	
Historical Development of Substate Districts	
Summary	
III. ESTABLISHMENT AND ORGANIZATION OF APDCs IN	
GEORGIA	17
Background and Present Status	
State Enabling Legislation	
Delineation of Boundaries	
Governing Body Characteristics	
Staff Resources and Qualifications	
Funding	
Programs	

Chapter	Page
IV. ESTABLISHMENT AND ORGANIZATION OF DEVELOPMENT DISTRICTS IN TENNESSEE	40
Background and Present Status	
State Enabling Legislation and Executive Orders	
Delineation of Boundaries	
Governing Body Characteristics	
Staff Resources and Qualifications	
Funding	
Programs	
V. EVALUATION OF GEORGIA'S AND TENNESSEE'S SUBSTATE DISTRICTS	60
Present Status of Substate Districts	
Evaluation of Georgia's and Tennessee's Substate Districts	
Districts' Assistance to Federal, State, and Local Governments	
Summary	
VI. CONCLUSIONS AND RECOMMENDATIONS	76
Conclusions	
Recommendations	
Summary	
APPENDIX	84
LITERATURE CITED	89
OTHER REFERENCES	96

LIST OF TABLES

Table	Page
1. Year Organized and 1970 Population of APDCs	21
2. APDCs' Board Membership 1972-1973	29
3. Sources and Amounts of APDCs' Federal Grants - FY 1973 . . .	32
4. Total State Financial Aid to APDCs	33
5. APDCs' Total Budgets	34
6. Middle Georgia APDC's FY 1974 Major Work Elements	38
7. Year Organized and 1970 Population of DDs	43
8. DDs' Board Membership 1973	50
9. Sources and Amounts of DDs' Federal Grants - FY 1974	53
10. Total State Financial Assistance to DDs-FY 1974	54
11. DDs' Total FY 74 Budgets	56
12. First Tennessee-Virginia Development District's 1972-1973 Activities	58
13. APDCs' and DDs' 1973 Funding by Sources	66
14. Summary Evaluation of Georgia's and Tennessee's Substate Districts	74
15. Examples of Substate District Programs	82

LIST OF MAPS

Map	Page
1. Georgia's Area Planning and Development Commissions	18
2. Tennessee's Development Districts	41

LIST OF FIGURES

Figure	Page
1. Organization of Georgia State Planning	24
2. Organization of Tennessee State Planning	45

SUMMARY

Regional planning agencies have been developed in forty States as one economic method to deal with regional issues and problems which cross local governmental jurisdictions. Organizationally these substate planning districts are located between local and state governments. They provide planning and technical assistance services to their local member governments in such fields as land use, economic development, social services, housing, and criminal justice.

The purpose of this study is to examine and analyze Georgia's and Tennessee's efforts in developing regional planning agencies. The two States' agencies are evaluated according to six factors and recommendations are made for carrying out similar regional programs in the United States.

CHAPTER I

INTRODUCTION

For decades professional planners, politicians, and citizens have debated the proper location of responsibility for planning the Nation's future growth. Traditionally, the State has delegated certain planning responsibilities, notably zoning and other police powers, to local governments. However, beginning in the early 1960's, the planning function has been further diffused by the introduction of substate planning districts.

These regional planning bodies are located at a level above cities and counties but below the States. Although they were formed to undertake a variety of tasks, they are all similar in their goal to more efficiently and effectively plan their regions' future growth.

Definition and Characteristics of Regional Agencies

There are almost as many names as there are regional planning and policy formulating agencies. Substate planning districts, regional planning commissions, councils of governments (COGs), multi-jursidictional planning districts, and umbrella multi-jurisdictional organizations (UMJOs)¹ are a few of the terms currently used to describe regional planning bodies. It is therefore necessary to define substate districts and their characteristics as utilized in this thesis. To distinguish between substate planning districts and other forms of regional agencies, a brief description of (1) COGs, (2) special districts, and (3) State

regional offices follows.

Councils of Governments (COGs)

Councils of governments are associations of local governments which have joined together to provide a forum for discussion and a research of mutual problems. The Detroit area is credited with starting the first COG in 1954. In 1965 Congress amended section 701 of the 1954 Housing Act making COGs eligible for Federal planning grants. By 1965 there were 30 COGs, and today there are over 200 COGs operating in the United States².

Most COGs operate in metropolitan areas and consist of one or more Standard Metropolitan Statistical Areas (SMSAs). They may be either inter-or intrastate in composition and are organized under State enabling legislation or as a non-profit corporation.

There are minor differences between a COG and a substate planning district. As an example, in Tennessee the Chattanooga Area Regional Council of Governments (CARCOG) is composed of four counties. However, the Southeast Tennessee Development District (SETDD), a regional planning agency, consists of 10 counties including CARCOG's Tennessee county. SETDD also provides planning services to three CARCOG member counties in Georgia (Catoosa, Dade, and Walker). To complicate matters further, the executive director of SETDD is also the executive director of CARCOG, and both agencies are housed in the same office, utilize the same staff, but have different governing bodies. The COG under Tennessee's Inter-local Cooperation Act has the power to undertake and to implement certain regional services; the regional development district has no such power³.

In distinguishing between COGs and substate districts, one report stated that COGs have:

Strong involvement of local government elected officials. (The National Service defines a COG as any regional council with more than 50 percent local government elected officials on its governing body.)

Emphasis on short run, pragmatic programs, such as technical assistance, joint purchasing, mutual police aide agreements, public service training, solid waste disposal, etc.⁴

In this thesis a COG is defined as a voluntary association of local, usually metropolitan, governments with a majority of elected officials on its governing board. The COG's boundaries follow political jurisdictions, and it has only advisory powers except in those States which permit interlocal agreements for the provision of certain services.

Special Districts

Area-wide special districts are organized to operate regional facilities such as water and sewers, transportation systems, fire protection, and conservation projects, among others. Normally the district is set up by State legislation, and its governing body is either appointed or elected. The district's boundaries are delineated by legislative act and usually do not follow any political subdivisions. The district is empowered to either levy charges or to collect taxes for operating its regional facilities.

Many governments have used special districts as a means to pool their resources for providing a regional service which individual governments could not economically afford. According to the National Association of Regional Councils, in 1957 there were 14,424 special districts; in 1967 there were 21,264⁵.

Special districts differ from substate planning districts in three important aspects. The special districts have taxing powers; many have regulatory powers; and their boundaries do not usually follow political subdivisions. Substate districts, however, have no taxing or regulatory powers, and their boundaries are always coterminous with political districts, usually at the county level.

State Regional Offices

State offices are often set up at the regional level to carry out agency functions. The most common examples are those of the State Highway Department, the Department of Natural Resources, the State Planning and the Welfare Departments. In Tennessee the State's Local Planning Division offices are located in seven regional offices. These regional offices provide planning and technical assistance to local governments⁶.

On the other hand, substate districts are not State field offices but rather voluntary associations of local governments. The substate districts' boundaries may or may not coincide with the State offices'. Additionally, the district staff may work closely with the State agencies, but they are not simply an extension of the State government. The regional commissions are ultimately responsible to the local governmental members who constitute their boards of directors.

Definition of Substate Planning and Development Districts

As used in this thesis, substate planning and development districts are defined as voluntary associations of local governments which employ a full-time professional staff to deal with regional, and

sometimes, local issues. The districts are organized according to political subdivisions and are legally responsible to a local board of representatives appointed by the member governments. The districts are composed of several counties and municipalities, either metropolitan or nonmetropolitan, within the region. They are therefore not joint city-county planning commissions.

The agencies deal with a myriad of regional planning programs such as land use, environmental protection, economic development, transportation, health, and similar activities. They do not concentrate, however, on just one planning area such as health or natural resources.

The substate districts initially may have been a local governmental movement but they are now organized under either specific State or general enabling legislation. Their operating funds are derived from local, State, and Federal sources. In rare instances, they may receive a small portion of their funds from private agencies. They are advisory in nature and do not possess taxing or regulatory powers. Nor can the districts directly operate public services or facilities.

In summary, substate districts possess the following characteristics:

- . voluntary association of local governments
- . advisory in nature
- . metropolitan and/or nonmetropolitan member governments
- . no taxing or regulatory powers
- . no provision of direct services (except planning and technical assistance)

- . multi-jursidictional boundaries
- . multi-functional in work activities
- . funding from local, State, and Federal sources
- . local board of directors as governing body

In this thesis, the terms regional agencies, councils, and commissions, development districts, as well as State-wide voluntary associations of local governments are synonomous with the term sub-state planning and development districts or commissions.

Districts Selected for Study

Seventeen of Georgia's 18 Area Planning and Development Commissions (APDCs) and all nine of Tennessee's Development Districts (DDs) were selected as the study area. The substate districts in Georgia and Tennessee have been in existence, respectively, since the early and mid-1960s. The Atlanta Regional Commission (ARC) was not considered as part of the study for two reasons. First, inclusion of the ARC with its large staff and operating budget would distort comparison of its operations among the other districts. Secondly, the ARC was reorganized by the Georgia General Assembly under Act 5 of 1971. While Act 5 applied to the creation, organization, membership, and financing of ARC, no other APDC was created under this legislation⁷.

Although the substate districts in each State have different historical and legislative backgrounds, they are comparable. The districts are voluntary associations of local governments, employ full-time staffs, and are governed by a local board of directors. Areas that the regional commissions serve range from rural sparsely populated

counties to metropolitan regions of 250,000 or more population.

Purpose and Method of Study

The purpose of the study is to describe and to assess the organization and operation of substate planning and development districts in Georgia and Tennessee. Based on this assessment, recommendations are made for improving the effectiveness of substate districts in the United States.

The study is based upon a review of the pertinent literature on the subject, interviews with Federal, State, local and other officials, and field investigations of representative regional offices in Georgia and Tennessee.

The following chapters present the historical development of substate districts, the establishment and organization of Georgia's and Tennessee's districts, an evaluation of the agencies, and recommendations for improving regional planning commissions.

CHAPTER II

HISTORY AND DEVELOPMENT OF SUBSTATE

PLANNING AND DEVELOPMENT DISTRICTS

The rapid population and technological changes of the past two decades have put a tremendous burden on local governments. In areas such as housing, transportation, land use, and economic development, local governments have been hard pressed to meet their citizens' needs. As one report stated:

The rapid growth and modernization of our nation has brought with it a highly mobile, highly demanding public which is involved daily with a number of local governments. Today's citizen rarely works, lives, shops, and enjoys his recreation within a single jurisdiction.

However, the development of a regional community has not been accompanied by the development of a political process or governmental system which relates to these new communities and their challenges⁸.

Most State governments have been slow to develop a new "political process or governmental system" which addresses itself to multijurisdictional problems. Although limited to urban problems, an ACIR study perhaps best summarized the entire problem of jurisdictional fragmentation in both metropolitan and nonmetropolitan areas:

As the road to the present urban hell was paved, many major sins of omission and commission can be ascribed to the States. Cities and suburbs, counties, townships, and boroughs alike are, after all, legal creations of the State. The deadly combination of restricted annexation and unrestricted incorporation; the chaotic and uncontrolled mushrooming of special districts; the limitations upon municipal taxing and borrowing powers; the deliverance of the all important police powers of zoning, land use and building regulation into the hands of thousands of separate and competing local governments -- these are but a few of the by-products of decades of State government nonfeasance and malfeasance concerning urban affairs⁹.

Regional or substate planning districts are one solution to jurisdictional fragmentation. Nevertheless, the obstacles to forming a more efficient planning system are formidable. According to ACIR figures, in 1972 there were 600 regional councils of governments, 25,000 special districts (for transportation, natural resources, fire protection, and other purposes), 1,800 Federally encouraged single purpose substate districts for health, manpower, law enforcement, and similar activities, and 488 substate districts in 40 States. The same report stated that today a typical metropolitan area includes the following: two counties, 13 townships, 21 municipalities, 18 school districts, 31 special districts and authorities (local and area-wide), three to four Federally supported area-wide planning districts, and one regional council A-95 Clearinghouse¹⁰. It is obvious that many of these governmental bodies may overlap and duplicate each other's functions and responsibilities.

Federal Incentives

Historically regional planning commissions have formed in response to two main factors: (1) the requirements for participation in certain Federal programs and (2) the local recognition of the need for cooperation among other governmental units. In a 1967 survey conducted by the National Association of Regional Councils, it was discovered that over 60 percent of the existing regional councils had formed as a result of these two above reasons¹¹.

Beginning in the 1960s, the Federal government passed legislation in the areas of transportation, health, housing, and economic development

which were previously the concerns of State and local governments. Six of these Federal acts have greatly influenced the development of sub-state planning districts. They were: (1) Appalachian Regional Development Act of 1965 and the Public Works and Economic Development Act of 1965, (2) Housing Act of 1954, Section 701, as amended, (3) Federal Aid Highway Act of 1962, and (4) Demonstration Cities and Metropolitan Development Act of 1966 and the Intergovernmental Cooperation Act of 1968. A close examination of these six acts reveals their importance to the districts' formation.

Appalachian Regional Development Act of 1965 and the Public Works and Economic Development Act of 1965

The Appalachian Regional Development Act was passed prior to the Public Works and Economic Development Act. Nevertheless, both acts addressed themselves to providing new industries and jobs in economically depressed areas through formation of local multi-county development districts. The districts' jobs were "to determine the causes of economic distress and to formulate, coordinate, and implement programs to eliminate the causes"¹².

At the Federal level the Economic Development Administration (EDA) is under the Department of Commerce and consists of five multi-state regional commissions. They are the Coastal Plains, Four Corners, New England, Ozarks, and Upper Great Lakes Regional Commissions. At the substate level economic development districts (EDDs) usually consist of five to ten counties with one designated an economic growth center. The district must design an Overall Economic Development Plan

(OEDP) which outlines necessary steps for improving the area's economic situation. Planning grants are available on a 75 percent matching basis to pay the EDD's costs of employing a full-time professional planning staff. The Economic Development Administration also provides grants and loans for the construction of facilities which will ameliorate the area's economic problems¹³.

On the other hand, the Appalachian Regional Commission (ARC) is a separate agency independent of the EDA. Similar to EDA, the Appalachian Regional Commission also funds Local Development Districts (LDDs) which employ full-time staffs for developing plans to improve the area's economy. In those cases where counties are eligible as EDDs and lie within ARC's jurisdiction, the same planning staff is often funded by both agencies. Normally EDDs and LDDs are either set up as non-profit corporations or under special State enabling legislation.

The ARC is a Federal-State Commission under the control of the governors of the 13 Appalachian States and a Federal co-chairman appointed by the President. The governors elect a State co-chairman from among themselves¹⁴. The Economic Development Administration has a similar governing board for the five regional commissions. However, the Federal government retains most of the power on the commissions. The Secretary of Commerce has responsibility for designating an area as an economic development district and he reviews all plans. Additionally the President has veto power over any plans or programs which are submitted¹⁵.

Housing Act of 1954, Section 701, as amended

Under the original Housing Act of 1954, Section 701, Federal funds were available only for urban planning agencies. However, through

various amendments in 1965 and 1968, almost any planning agency became eligible for Federal financial assistance. To qualify for related Federal categorical grants-in-aid, the 1965 amendments required that metropolitan communities must have comprehensive regional planning programs for water and sewer facilities, open space, and land use¹⁶. Under the 1968 amendments, multi-county, multi-state, and nonmetropolitan areas were added to those eligible for "701" planning monies. All eligible planning agencies could use "701" funds for planning for land use, public facilities, government services, human and natural resource development, "and coordination of all related plans and activities of the State and local governments and agencies concerned"¹⁷.

Section 701 grants are provided on a two-thirds matching basis except in areas designated as Economic or Local Development Districts where 75 percent Federal matching funds are available.

Federal Aid Highway Act of 1962

In 1962 Congress passed the Federal Aid Highway Act which affected all metropolitan areas of 50,000 or more population. It stated that no Federally aided highway project would be approved in a metropolitan area after July 1, 1965, unless it was part of a comprehensive regional transportation plan. The Act provided 70 percent matching monies to eligible agencies for undertaking the necessary transportation studies¹⁸.

Demonstration Cities and Metropolitan Development Act of 1966 and Intergovernmental Cooperation Act of 1968

The Demonstration Cities and Metropolitan Development Act (Section 204) requires that a regional planning agency in metropolitan

areas must review and comment upon local governments' applications for certain Federal programs. The planning agency is required to review the application request in terms of its effect on regional plans, policies, and guidelines. Responsibility for administering the program at the Federal level lies with the Office of Management and Budget (OMB).

The above act and Title IV of the Intergovernmental Cooperation Act of 1968 (which extends Section 204 review to nonmetropolitan areas -- Bureau of the Budget Circular A-95) grant extensive program review powers to the regional commissions. Although regional planning districts can only comment upon Federal applications, they can often persuade local governments to make recommended changes before submitting the proposed project¹⁹.

The Federal government through its categorical and block grant programs has had a tremendous impact on regional planning commissions. Although some local governments initiated regional planning commissions prior to the National legislation, the Federal assistance programs have greatly influenced almost every commission. In fact, a 1968 survey showed that a typical regional council received 60.1 percent of its total funds from Federal sources²⁰.

The President's special revenue sharing proposals, coupled with his moratorium on several key Federal programs, may drastically change the traditional functions of the regional agencies. Nevertheless, the districts will probably continue to operate even if special revenue sharing is implemented.

Historical Development of Substate Districts

In the past forty years there have been several developments at the Federal level which influenced today's substate districts. The National Planning Board was established during Franklin Roosevelt's first administration to help prepare public works programs in the Depression. Later (1939) the Board was renamed the National Resources Planning Board and it "sponsored the establishment of State and regional planning boards, since most of the Federal projects required at least State cooperation"²¹. The States backed this planning because of their desire to receive public work funds. The Board was eventually abolished in 1943.

Similarly the Tennessee Valley Authority (TVA) was one of the first Federal attempts to solve multi-jurisdictional problems on an area-wide basis. The Authority's original mandate was to construct dams and watersheds throughout the Tennessee Valley for flood control and to provide electricity and recreational facilities. Today the TVA has become involved in a myriad of projects that include fertilizer production, reforestation, and conservation²².

The Federal legislation of the 1960s also encouraged the formation of regional planning commissions. The Housing Act of 1954, as amended, the Public Works and Economic Development Act of 1965, and the Intergovernmental Cooperation Act of 1968 were all strong Federal incentives for initiating substate and multi-state commissions. The more important Federal programs were described in the previous section.

At the State level, Tennessee passed legislation in 1935 creating the State Planning Commission which was directed to "make and adopt a

general state plan for the physical development of the state"²³. The Commission was divided into state and local planning divisions. The State Planning Division acted as a liaison with the Office of the Governor and other State departments, while the Local Planning Division provided planning assistance to local governments in Tennessee's 95 counties. The Local Planning Division initially had five (today there are seven) regional offices to provide planning and technical assistance at the municipal and county level²⁴.

In Georgia the State Planning and Programming Bureau (today the Office of Planning and Budget and the Department of Community Development) was created under State legislation in 1967. Through additional legislation in 1970 the Bureau's responsibilities included: (1) reviewing State agency plans filed with the Federal government, (2) assessing the State's progress in meeting the goals of the Biennial Development Program, and (3) maintaining an inventory of grant-in-aid programs, on request, to local governments²⁵.

Third, local governments formed a variety of governmental structures which were the predecessors of today's substate districts. New York City's borough system was created in 1898 as a federated governmental system. Local authorities (boroughs) maintained certain responsibilities while relinquishing others to the Federation of the governments' representatives²⁶.

The Twin Cities Metropolitan Council in Minnesota was another attempt by local leaders to initiate substate planning. Under 1967 State legislation a 30 member elected metropolitan council was set up to undertake regional planning and related functions in St. Paul and

Minneapolis²⁷. However, unlike other substate planning districts, the Twin Cities' council was given taxing authority and "the power to coordinate the overall social, physical, and economic development of the area"²⁸.

The Atlanta Metropolitan Planning Commission was formed in 1947 and included Atlanta as well as two surrounding counties. This agency was one of the first metropolitan planning commissions in the United States. A 1960 amendment to Georgia's 1957 general planning enabling legislation permitted 11 Coosa Valley counties in Northwest Georgia to form a multi-county planning and development commission. The Coosa Valley Area Planning and Development Commission (APDC) was operating in early 1961, well before the advent of Federal programs for regional councils.

Summary

In conclusion, all three levels of American government have been involved in the evolutionary development of substate planning districts. The Federal government has had an important influence on the districts through its programs of financial assistance. Nevertheless, many of the forerunners to today's regional agencies were formed prior to the Federal legislation of the mid 1960s. In the final analysis, the fragmentation of local political jurisdictions, concomitant with such regional problems as economic development, land use, water and sewer facilities, and the need for an efficient transportation system, were the most important factors in the districts' development.

CHAPTER III

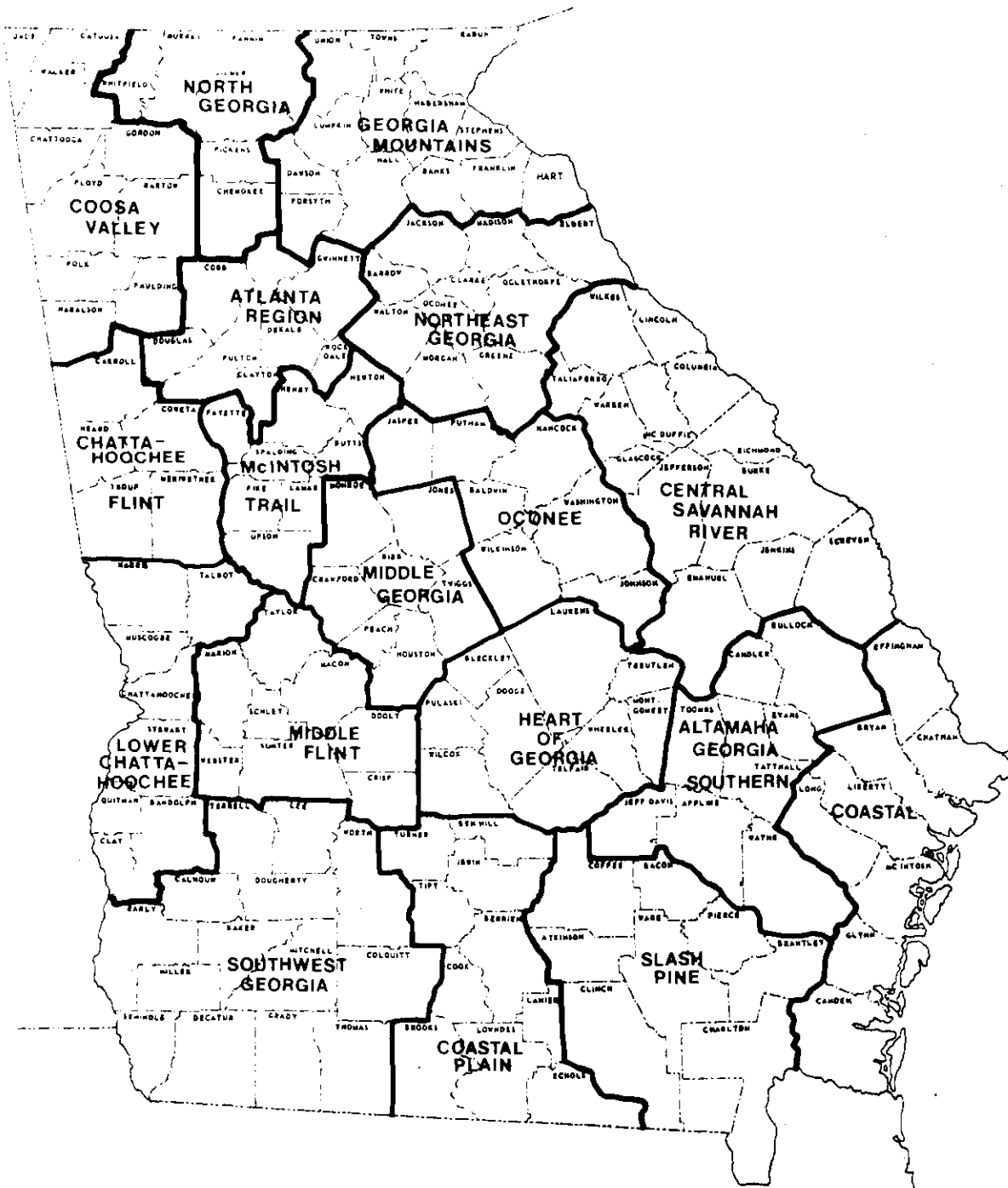
ESTABLISHMENT AND ORGANIZATION OF APDCs IN GEORGIA

This chapter examines the historical, legislative, and organizational background of Georgia's Area Planning and Development Commissions (APDCs). The commissions governing bodies' characteristics, financing, and representative work programs are also studied.

Background and Present Status

With 728 units of local government including 159 counties and 569 cities (59 percent under 5,000), Georgia was a classic example of fragmented and outdated political jurisdictions²⁹. However, beginning in 1959 in the northwestern Coosa Valley section of Georgia, a movement started among local governments, university officials, and private industry to develop a regional agency which would stem the area's out-migration and attract new industry into the region. In the process the 11 counties set in motion a mechanism through which all of Georgia's 159 counties would be organized into 18 regional planning commissions by 1970 (Map 1).

The numerous local units of government are still intact, but the APDCs offer a potential means by which these governments can solve some of their mutual planning and development problems. Although some sub-state districts were formed as conduits for Federal planning and construction funds which started flowing in the mid-1960s,³⁰ today a few



Source: Middle Georgia Area Planning and
Development Commission

Map 1. Georgia's Area Planning and Development Commissions

commissions are developing into bona fide regional planning commissions. Nevertheless, there is an imminent danger that the APDCs may be institutionalized into another unit of bureaucracy. They are now under fire to prove their worth to State and local governments³¹.

State Enabling Legislation

The Georgia General Assembly has passed six legislative acts during the past 17 years which affected State and regional planning. The most important aspects of these acts are discussed in the following sections.

Act No. 358, 1957

Georgia's general planning enabling legislation of 1957 empowered counties and municipalities to establish local and joint planning commissions. The act outlined the commissions' general duties, powers, and procedures for appointing members. The police powers of zoning, subdivision regulations, and the official map were also given to the commissions. However, the general planning enabling legislation did not provide for the formation of multi-county planning commissions³².

Act 368, 1957

In the same year the General Assembly passed legislation creating the State Planning Division under the Department of Commerce. The Planning Division's duties were to "make careful and comprehensive surveys and studies of the existing conditions and probable future growth of the State of Georgia and to prepare plans for the physical, social, and economic development of the State"³³. Although the Planning Division was not a separate and autonomous department, it did demonstrate

an initial awareness of the need for State planning.

Act No. 756, 1960

It was not until 1960 that Georgia's general planning enabling legislation was amended to permit any two or more counties to create a joint planning commission. The legislation further stated that "any one or more counties and any one or more municipalities in any one or more of these counties are authorized to create a joint planning commission"³⁴. All multi-county planning commissions established under this legislation were formed through adoption of local ordinances and resolutions.

Eleven counties in Coosa Valley were the first to take advantage of the legislation and became the first multi-county substate planning and development commission in the United States³⁵. The commission formally began functioning in April of 1961. During the next nine years the remainder of Georgia's local governments formed multi-county planning commissions (Table 1).

Act No. 123, 1967

The act created the State Planning and Programming Bureau as a separate unit of the Executive Department. The Bureau's main responsibility was to promote "the orderly growth and development of the State of the affairs of State Government"³⁶. The Bureau's duties were to act as the coordinator and clearinghouse for State planning activities.

In addition, the new Bureau was to administer any funds which the General Assembly might appropriate for APDCs' use. According to a 1967 Bureau publication, those APDCs that met the following three criteria were entitled to State matching funds: (1) minimum of five

Table 1. Year Organized and 1970 Population of APDCs

Name of APDC ¹	Year Organized	Area Population (1970)
Altamaha	1963	
Georgia Southern ²	1965	121,004
Central Savannah River	1961	302,032
Chattahoochee Flint	1964	146,995
Coastal	1965	298,486
Coastal Plain	1963	156,776
Coosa Valley	1961	302,491
Georgia Mountains	1964	192,598
Heart of Georgia	1963	101,474
Lower Chattahoochee	1962	232,396
McIntosh Trail	1969	152,953
Middle Flint	1963	86,778
Middle Georgia	1965	259,511
North Georgia	1970	131,086
Northeast Georgia	1961	192,941
Oconee	1964	92,013
Slash Pine	1963	97,771
Southwest Georgia	1963	285,295
	TOTAL	3,152,600

¹ Between 1968 and 1972 several APDC boundaries and member counties were realigned.

² Altamaha and Georgia Southern APDCs combined in July 1972; three of Georgia Southern's previous counties were combined into the Altamaha-Georgia Southern APDC and two transferred to the Coastal APDC.

Sources: Robert L. Flanders and John D. Tracy, "Georgia's APDCs and the New Federalism: A Critical Juncture for Sub-State Districts," AIP Confer-In '73 paper, (Atlanta, Georgia), October 23, 1973, p. 9 and State Demographic Center, Office of the Governor, "Preliminary Statistical Profile of Georgia's Planning Areas and Economic Development Regions," (Atlanta, Georgia), March 1972, p. 1.

participating counties, (2) \$15,000 raised annually in local funds, and (3) a full-time qualified executive director³⁷. The APDCs raised their local funds by assessing 10 to 25 cents per capita dues on the districts' population.

If an APDC qualified, it would receive two dollars of Bureau funds for every local dollar raised up to a maximum of \$30,000. After that the commission would receive dollar for dollar from the Bureau for the next \$20,000. Thus, a total of \$50,000 in Bureau funds could be obtained by raising \$35,000 in local dues³⁸. The same funding formula has continued until the present.

Act No. 1066, 1970

This act was passed in response to the requirements of the Federal Intergovernmental Cooperation Act of 1968 and the Bureau of the Budget (today Office of Management and Budget) Circular A-95. The act changed the Bureau's name to the Bureau of State Planning and Community Affairs while maintaining its Executive Department status. The Bureau was also mandated to prepare and annually update a State Biennial Development Program (BDP). The State BDP was to consist of a two-year plan and analysis with budgets of all State agencies' programs. The APDCs were designated to prepare regional BDPs with objectives and an analysis of area development as well as a six year schedule of area capital improvements³⁹. The legislation, however, did not mention how the regional BDPs would be tied into the State's.

The act established a State Planning and Community Affairs Policy Board which was to "establish policy and direction concerning State planning and programming and community affairs for the development of

the State's physical, economic, and human resources"⁴⁰. Under Section 11 the Board was also given responsibility for establishing the APDCs' permanent boundaries in consultation with the APDC Advisory Committee⁴¹. The legislation stipulated that the Policy Board would be composed of 11 members: (1) the Governor, (2) three gubernatorial appointees, (3) one member each appointed by the Lieutenant Governor and Speaker of the House, (4) two legislative committee chairmen, (5) one official each from the Georgia Municipal and the County Commissioners Associations, and (6) the State planning officer⁴².

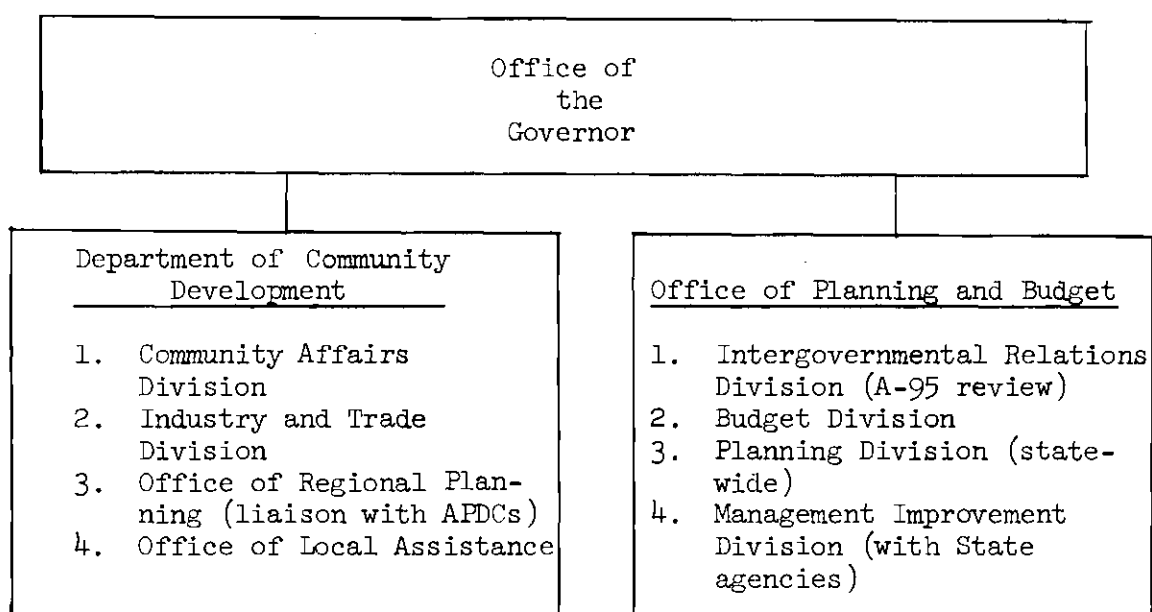
Through this act and related executive action, the Bureau was designated as the A-95 State clearinghouse for reviewing and commenting upon certain Federal grant applications; the APDCs were selected as the A-95 regional clearinghouses. The regional commissions were also empowered by the act to prepare planning studies of their areas and to administer, when appropriate, funds involving more than one political subdivision⁴³.

Executive Reorganization Act of 1972

In 1971 the General Assembly passed legislation mandating the reorganization of the Executive Branch. As a result, Governor Carter proposed the realignment of the existing 300 or so agencies into 19. The State legislators approved his reorganization plan in April of 1972⁴⁴.

The Office of Planning and Budget, created and placed directly under the Governor, incorporated the previous Budget Bureau and the state-wide planning sections of the old Bureau of State Planning and

Community Affairs. The responsibility for comprehensive community development and liaison with APDCs and local planning commissions was placed in the Office of Regional Planning under the Department of Community Development (formerly the Department of Industry and Trade). Thus local and regional planning activities were organizationally separated from state-wide planning (Figure 1).



Source: State of Georgia, Reorganization and Management Improvement Study, (Atlanta, Georgia), November 1971, p. 60 and 78.

Figure 1. Organization of Georgia State Planning

Georgia Land Sales Act of 1972 (Act No. 1203)

Under this act any land which is subdivided into 150 or more lots and advertised for sale under one name has to be registered with the Secretary of State. The subdivider must file a report with the Secretary of State containing information similar to HUD's Interstate

Land Registration requirements.

The proposed development must be approved by either the local planning and zoning commission or by the APDC if there is no local zoning ordinance in effect. The APDC (or planning and zoning commission, if applicable) then has 30 days to review the proposed development. If corrections are needed, the developer has 15 days to resubmit his application. Finally, the developer is required to (1) post a performance bond, (2) obtain a letter of credit from a commercial bank, or (3) have a net worth of one and a half times the subdivision's development costs⁴⁵.

The impetus for forming the APDCs has come almost exclusively from the local level. The State only passed legislation after the majority of APDCs were already organized and functioning. This legislation has given the districts decision-making powers with minimal State control and involvement. The result has been that the APDCs have more autonomy than many substate districts have. However, this emphasis on local decision-making has also weakened the State's ability to coordinate its programs and goals with those of the regional commissions.

Delineation of Boundaries

Prior to Act 1066 of 1970 there were no legislative requirements concerning APDCs' boundaries. Non-member counties were free to form a new commission, join an existing one, or remain outside of any substate district. The State Planning Division in 1961 did propose the following general rules for any counties interested in forming a commission:

- (1) The spheres of influence of natural and cultural environmental factors should be taken into account.
- (2) Each substate district should lie within Georgia (the need

for interstate cooperative arrangements was recognized in certain instances, but no provision was made for multi-state APDC's).

(3) The county should be the basic unit or building block and every county should be in only one substate district.

(4) State senatorial districts should remain intact, as nearly as possible, with substate districts being defined to include one or more State senatorial districts.

(5) The optimum size for a substate district should range between five and fifteen counties, with a maximum distance of 100 highway miles between the farthest points in a district⁴⁶.

However, local governments did not have to follow the above guidelines. If they did not, however, it was probable that the State Planning and Programming Bureau would consider them ineligible for State matching funds.

By 1970 all but four of Georgia's counties had voluntarily become members of one of the existing nineteen APDCs. Those counties and municipalities that had not joined a commission were not represented by any commission. However, pressure was building for the State to step in and permanently align the APDCs' boundaries.

As previously mentioned, the General Assembly under Act 1066 of 1970 established the State Planning and Community Affairs Policy Board. The 11-member Board was requested by the Legislature to report within 12 months to the governor its recommendations for permanent substate district boundaries. The legislators further provided that no county could be divided and that existing APDCs' boundaries should be used if practicable⁴⁷.

In August of 1971 the Board passed Resolution No. 2 which the Governor accepted. It dissolved one substate district and realigned 11 previous APDC member counties into other commissions. The four previous non-member counties were placed into existing commissions⁴⁸. The net

result was 18 APDCs (including the Atlanta Regional Commission) which blanketed all of the State's counties.

Although the State did realign the commissions in 1970, there is no continuing method for assessing the APDCs' boundaries. Under the present system there may be a drastic change in the demographic or economic make-up of a particular APDC, but there is no mechanism for rearranging its geographic area of responsibility. It would be better if there were a permanent committee which would periodically evaluate and recommend any necessary boundary changes.

Governing Body Characteristics

Under State law the APDCs are only required to have "a minimum of one representative of each county and a representative of at least one municipality within each county" on their boards of directors⁴⁹. There is no requirement that any board members be elected officials. Nevertheless, most commissions have traditionally appointed some elected officials to their boards. The duties, powers, and rules of the board are left to each commission to spell out in its by-laws. A copy of the resolution establishing the Middle Georgia APDC can be found in the Appendix (Appendix I).

The Federal government, however, is requiring that all substate districts' governing bodies be composed of certain representative members. Under HUD "701" requirements at least two-thirds of the board members have to be elected officials or persons directly responsible to them⁵⁰. The EDA requires that boards must have minority representation in direct proportion to the area's minority population⁵¹.

When a particular commission receives both HUD and EDA grants, it is almost impossible to meet both sets of requirements. In some cases, the APDCs are setting up advisory committees to the boards of directors to meet the Federal regulations. HUD and EDA are accepting this form of representation.

There is a movement underway by the General Assembly to require a minimum of 50 percent elected officials on the boards⁵². This would satisfy HUD as that department will allow State law to override its regulations. Nevertheless, it is uncertain how EDA would react if not enough minority representatives were placed on the boards.

Table 2 shows the total number of board members, elected officials, and minority representatives for each commission in 1972 and 1973. It demonstrates how Federal requirements have transformed the boards' composition. The number of elected officials and minority representatives in 1973 increased 32.4 and 309 percent, respectively, over the previous year.

Because APDCs are associations of local governments, it is imperative that they have the active support and involvement of local elected officials. It can be seen from Table 2 that the districts presently do not have a majority of elected officials on their boards (a typical board has about 45 percent). However, the percentage has been increasing over the past several years because of the previously mentioned Federal guidelines and legislative pressure. If their plans and programs are to be implemented, the commissions need to increase the number of elected board members to at least a majority.

Table 2. APDCs' Board Membership 1972-1973

Name of APDC	Total No. Board Members 1972 & (73)		Total No. Elected Officials 1972 & (73)		Total No. Minority Bd. Members 1972 & (73)	
Altamaha Georgia						
Southern	24	(24)	17	(18)	0	(0)
Central Savannah River	29	(33)	14	(12)	4	(8)
Chattahoochee Flint	12	(15)	4	(8)	1	(3)
Coastal	22	(30)	14	(21)	5	(7)
Coastal Plain	18	(28)	4	(4)	0	(9)
Coosa Valley	22	(22)	6	(8)	3	(3)
Georgia Mountains	25	(29)	17	(15)	0	(3)
Heart of Georgia	18	(18)	7	(8)	0	(0)
Lower Chattahoochee	18	(23)	14	(17)	1	(6)
McIntosh Trail	17	(16)	3	(3)	0	(0)
Middle Flint	16	(21)	4	(8)	0	(5)
Middle Georgia	21	(21)	8	(12)	2	(2)
North Georgia	24	(24)	12	(12)	0	(0)
Northeast Georgia	20	(25)	1	(14)	1	(6)
Oconee	14	(19)	6	(8)	0	(5)
Slash Pine	18	(21)	2	(3)	0	(5)
Southwest Georgia	27	(25)	9	(8)	0	(10)
TOTAL	345	(394)	142	(179)	17	(72)

Source: Robert L. Flanders and John D. Tracy, "Georgia's APDCs and the New Federalism: A Critical Juncture for Sub-State Districts," AIP Confer-In '73 paper, (Atlanta, Georgia), October 23, 1973, p. 13.

Staff Resources and Qualifications

It would appear that the qualifications of APDCs' staff vary widely. An attempt was made to obtain a complete survey of the educational and professional experience of the personnel in each commission. However, the survey was never completed because of many executive directors' reluctance to release such information.

Very few of the commissions seem to employ generally accepted personnel standards with the result that staff capabilities vary greatly among the seventeen agencies. In some cases, key personnel such as executive directors and planning directors may only have limited professional experience and undergraduate degrees in geography or public administration. On the other hand, a few APDCs have extremely competent persons with extensive experience and graduate degrees in law, planning, and related studies.

Few commissions have engineers on their staffs. As a result, most APDCs involved with transportation facilities, water and sewerage systems, and similar projects contract with consulting engineers. This excessively costly use of consultants draws heavily on limited funds. There appears to be no apparent reason for this almost universal lack of staff engineers.

Minimum professional standards should be adopted. The present situation is dangerous because unqualified persons can be hired resulting in a weakening of the APDCs' credibility and effectiveness with local governments.

Funding

Georgia's 17 substate districts utilize a variety of financial resources for their operations. These include funds from Federal, State and local governments.

Federal

As of March 1973, all APDCs were using HUD "701" and Law Enforcement Assistance Administration (LEAA) planning grants. A majority of the commissions were also recipients of HEW, EDA, and Emergency Employment Act (Department of Labor) grants. The sources and amounts of Federal grants for Fiscal Year 1973 are shown in Table 3.

State

As established under Act 123 of 1967, the State provides each commission up to \$50,000 on a matching basis (page 22). An additional \$15,000 non-matching grant is given annually to each APDC to complete the regional Biennial Development Program. In Fiscal Year 1973 only two commissions (Heart of Georgia and Oconee) did not raise enough local funds to receive the State's maximum allocation⁵³.

It is important to note that the State's funds are allocated annually by the General Assembly. There is no permanent State allocation for the commissions. As Governor Carter writes, "there is no legislation currently on the books requiring the State to put funds in APDCs. The only authority for the State doing so is the annual budget appropriation"⁵⁴. The legislature retains the prerogative to cut back or to eliminate the APDC appropriation, but it has never done so. Table 4 presents the State's total annual appropriation since 1970.

Table 3. Sources and Amounts of APDCs'
Federal Grants FY 1973¹

Federal Program	No. APDCs	Total Grant Amount (\$)
HUD 701--Planning and Management	17	1,006,389
LEAA--Criminal Justice Planning	17	383,783
HEW--Social Services and Comprehensive Health Planning	14	534,506
Department of Labor--Emergency Employment	14	(175,371) ²
EDA--Economic Development Planning	12	530,456
ARC--Local Development, Special Projects, and Child Care	10	830,181
Office of Aging--Planning and Nutrition Programs	5	173,598
Coastal Plains--Economic Development Planning	5	133,384
Intergovernmental Personnel Act--Management	3	56,968
EPA--Solid Waste Planning	2	57,976
FHA--Water and Sewer Planning	1	13,000
	TOTAL	\$3,720,241
		(+ \$175,371 EEA grants)

¹The Atlanta Regional Commission's grants are excluded.

²Emergency Employment Act grants are included under individual programs but separated from the total budget. These are mainly "pass-through" funds.

Source: Department of Community Development, "Federal Programs Participation," (Atlanta, Georgia), March 1, 1973, interoffice correspondence.

Table 4. Total State Financial Aid to APDCs

Fiscal Year	Amount
1970	\$ 844,934
1971	\$ 890,819
1972	\$1,173,898
1973	\$1,170,000

Source: Robert L. Flanders and John D. Tracy, "Georgia's APDCs and the New Federalism: A Critical Juncture for Sub-State Districts," AIP Confer-In '73 paper, (Atlanta, Georgia), October 23, 1973, p. 8.

Local

Member counties and municipalities contribute approximately 25 cents or more in per capita dues annually to their APDC. The local governments, which are represented on the commissions' board of directors, vote on their proportionate share of the local dues. These local funds are certified by a public accountant and can then be used by the district in matching State and Federal grants.

The APDCs' total budgets, including Federal, State, and local contributions, for 1968, 1970, and 1973 are presented in Table 5. There is a discrepancy between the total budget figures in Table 3 and the last column of Table 5 for two reasons. Table 3 does not include State grants and local dues. Similarly the budget figures in Table 3 are from an early 1973 survey and Table 5's figures are from the fall of 1972. Nevertheless, both tables present an accurate representation of the APDCs' relative financial status.

In summary, the APDCs receive the majority of their operating funds from Federal grants. Also the State of Georgia is not required

Table 5. APDCs' Total Budgets¹

Name of APDC	1968 Fiscal Year Budget	1969 & 70 Fiscal or Calendar Year Budget	1972 & 73 Fiscal or Calendar Year Budget
Altamaha Georgia		FY 70 and	
Southern	\$136,825	CY 69 \$190,520	FY 73 \$157,400
Central Savannah River	\$147,423	FY 70 \$217,700	FY 73 \$240,000
Chattahoochee Flint	\$132,485	CY 70 \$141,613	CY 72 \$210,936
Coastal	\$103,132	FY 69 \$189,913	FY 73 \$450,000
Coastal Plain	\$171,028	CY 70 \$168,037	FY 73 \$430,000
	(+\$445,954 OEO)		
Coosa Valley	\$241,750	CY 70 \$219,387	FY 73 \$472,978
Georgia Mountains	\$209,944	FY 70 \$282,900	FY 73 \$350,000
Heart of Georgia	\$135,183	FY 70 \$354,002	CY 73 \$150,000
Lower Chattahoochee	\$ 57,044	FY 70 \$138,143	CY 72 \$400,000
	(+\$1,311,898 OEO)		(approximately)
McIntosh Trail	Not Organized	CY 69 \$ 63,589	\$260,000
			(approximately)
Middle Flint	\$ 95,753	CY 70 \$133,435	FY 73 \$250,000
			(approximately)
Middle Georgia	\$125,895	FY 70 \$221,708	FY 73 \$393,603
North Georgia	Not Organized	FY 70 \$159,890	FY 73 \$273,000
Northeast Georgia	\$157,568	CY 69 \$243,520	CY 73 \$312,496
Oconee	\$138,462	FY 70 \$132,087	CY 73 \$234,876
	(+\$1,304,503 OEO)		
Slash Pine	\$196,774	FY 70 \$209,350	FY 73 \$338,500
	(+\$887,070 OEO)		
Southwest Georgia	\$220,829	FY 70 \$217,949	CY 72 \$382,092
	\$2,270,095	\$3,283,743	\$5,130,510
TOTAL	(+\$3,949,425 OEO)		(+\$175,371 EEA grants)

¹ Budget figures include Federal, State, and local grants but do not include in-kind contributions.

A total of \$175,371 in EEA grants for budget year 1973 is separated from the total budget.

Source: Robert L. Flanders and John D. Tracy, "Georgia's APDCs and the New Federalism: A Critical Juncture for Sub-State Districts," AIP Confer-In '73 paper, (Atlanta, Ga.), Oct. 23, 1973, p. 9.

to allocate any funds at all to the commissions.

If they are to have a strong and diversified financial base, then the regional agencies must increase the amount of local financial assistance. In addition, legislation should be passed requiring that the State annually appropriate a minimum amount of funds to the APDCs. If these recommendations are implemented, then the commissions should be able to increase the amount of local and State funds to about 50 percent of their total budgets.

Programs

Each APDC is involved in a variety of planning and other programs. The commissions have a wide latitude in what they can undertake. Act 1066 does outline some general areas in which the commissions can become involved:

- (1) prepare studies of the area's resources as they affect industry, commerce, transportation, population, housing, local governments, and other matters;
- (2) collect, process, and analyze social and economic statistics of their region;
- (3) participate with local, State, and the Federal governments in the coordination and implementation of research and development activities;
- (4) coordinate area planning and development activities with those of the Federal, State and local units of government in the coordination and implementation of research and development activities;
- (5) carry out other programs as its governing body shall require; and
- (6) when appropriate, administer funds involving more than one political subdivision⁵⁵.

Thus, the commissions do not all perform the same activities. However, many of them are involved in the following broad work categories: (1) review of grant applications, (2) social services planning, (3) planning and technical assistance to Federal, State, and local

governments, and (4) the Biennial Development Program (BDP).

Review of Grant Applications

The APDCs are designated as the A-95 review regional clearing-house. The staff analyzes certain Federal grant applications proposed by local governments and by some non-governmental agencies. Presently, there are approximately 100 (to be increased to 160 during 1974) Federal grants which fall under this review process⁵⁶.

The commissions review the applications in terms of their effect on regional policies, plans, and guidelines, and the boards comment favorably or unfavorably upon the request. The application is then sent to the State Office of Planning and Budget (Intergovernmental Relations Division) for its comments. The appropriate Federal office then reviews the State and regional agencies' comments before approving or denying the grant request.

The APDC can often suggest possible improvements in the grant request. In many cases, the grant applicant will modify his proposal but he is under no obligation to do so.

Social Service Planning

Several commissions have received grants from HEW and the State Department of Human Resources to undertake social planning studies. This planning has ranged from an inventory of human resources and needs in an area to designing an area-wide health delivery system. Some commissions have even set up separate non-profit corporations under Title IV-A of the Social Security Act to provide day care services to area children.

Planning and Technical Assistance to Federal, State, and Local Governments

The Federal government is assisted by the APDCs under A-95 review and under the commissions' involvement in HUD, HEW, and EDA programs. Some Federal grants to local governments are even administered by the substate districts. For example, the districts have been responsible for public employment grants under the Emergency Employment Act. Similarly LEAA grants are administered by the State Crime Commission which in turn has contracted with the APDCs to provide local criminal justice planning.

State and local planning assistance varies from aiding the Governor in his Goals for Georgia Program to designing zoning and subdivision regulations for local governments. Many APDCs were involved in a State Government Coordination Study and in the State Comprehensive Outdoor Recreation Plan (SCORP). All 17 have also recently been awarded State Department of Transportation grants to do regional highway studies.

At the local level, APDCs provide most of the following services to their member governments:

- (1) Preparation of grant applications for local governments.
- (2) Representation of local governments before State and Federal departments and agencies.
- (3) Implementation of the Intergovernmental Personnel Act through the development of a Regional Personnel Consultant Program designed to provide technical assistance to smaller local governments.
- (4) Sponsorship of training programs.
- (5) Preparation of those local planning elements required to obtain Federal grants for water and sewer facilities, solid waste facilities, and local Emergency Employment Act projects⁵⁷.

The work activities of one representative APDC are shown in Table 6.

Additional information on the regional districts' programs can be found

Table 6. Middle Georgia APDC's FY 1974
Major Work Elements

Records Keeping System for Housing Starts

Housing Data File	Airport Systems Plan
Housing Incentive Program	Urban Area Transit Study
Human Resources Program	Industrial Site Survey
Annual Report	Regional Solid Waste Plan
Newsletter	Project Review
Housing Coordination	Regional Natural
Program	Resources Study
Model Codes Information	Recreation and Open Space
Study	Update
Citizen Participation	Water and Sewer Plan
Program	Update
Student Assistants	Water Quality Management
Program	Study
Transportation System	Overall Program Design
Update	Update
Technical Assistance to	Public Information
Local Governments	Program
Training Program for	Annual Law Enforcement
Local Governments	Plan
Regional Improvements	Regional Public Adminis-
Program	tration Program

Program Development

Source: Robert L. Flanders and John D. Tracy, "Georgia's APDCs and the New Federalism: A Critical Juncture for Sub-State Districts," AIP Confer-In '73 paper, (Atlanta, Georgia), October 23, 1973. p. 6.

in Table 3.

Biennial Development Program

Each commission is required to complete a BDP study annually under Act 1066. This report is to include an overall analysis and plans for the area's physical, economic, and social development.

However, in 1973 only six of the 17 APDCs submitted a BDP to the State planning offices⁵⁸. This has raised a legal question because the State's annual appropriation of \$15,000 was partially intended for completing the BDP. Until now no one has apparently tried to withdraw funds from those substate districts which have not completed the study.

There is no doubt that Georgia's substate districts provide valuable services to local, State, and Federal agencies. The major problem with the present system is one of coordination among governmental units. The BDP is a potential means for providing coordination, but unfortunately neither the State nor APDCs are utilizing it effectively.

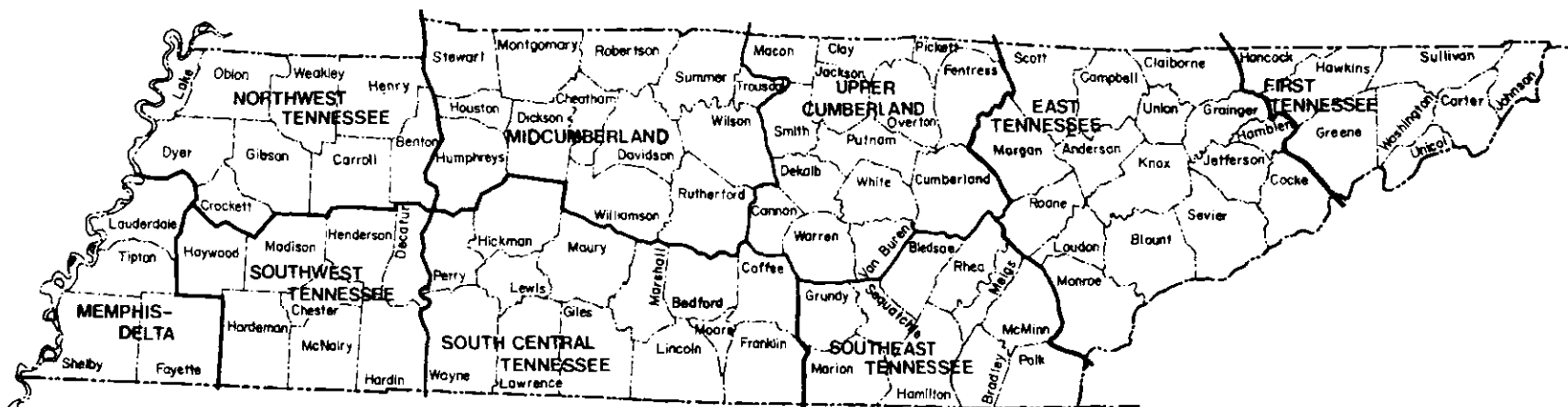
CHAPTER IV

ESTABLISHMENT AND ORGANIZATION OF DEVELOPMENT DISTRICTS IN TENNESSEE

This chapter contains an analysis of Tennessee's substate districts including: (1) their background and present status, (2) State enabling legislation, (3) governing body composition, (4) staff resources and qualifications, (5) financial resources, and (6) programs. Where appropriate, differences between Tennessee's Development Districts (DDs) and Georgia's APDCs are pointed out.

Background and Present Status

Although Tennessee has had regional State planning offices since 1935 (Chapter II), it was not until 1966 that the first regional substate development district was formed. In 1965, the State Legislature passed the Economic Development District Act which permitted counties and cities to organize on a regional basis to carry out "comprehensive planning and development activities, such that would provide coordinated, efficient and orderly economic development of the state"⁵⁹. In April of 1966 the First Tennessee-Virginia Development District was organized in Northeastern (Johnson City) Tennessee. It was composed of eight counties in Tennessee and one in Virginia for a total of 31 units of local governments⁶⁰. Within seven years the rest of Tennessee's counties and municipalities were members of Development Districts (Map 2).



Source: Tennessee Office of Urban and Federal Affairs

Map 2. Tennessee's Development Districts

Unlike Georgia where all but four counties were voluntary members of APDCs prior to Act 1066, Tennessee's cities and counties began organizing only after passage of the 1965 State legislation. The majority of Tennessee's districts have organized within the past four or five years (Table 7) while most APDCs have had almost 10 years of experience in regional planning and development. Even though the two States' regional commissions have had different impetus for their origins, they do perform similar functions and are faced with many of the same problems.

State Enabling Legislation and Executive Orders

Tennessee's districts were formed as a result of State legislation which was passed to meet the Appalachian Regional Commission's and the Economic Development Administration's requirements. The most important legislation was the Economic Development District Act of 1965 and three Executive orders.

Economic Development District Act of 1965

Although Tennessee's 1935 general planning statute provided a legal basis for forming regional planning commissions, it specifically prohibited elected officials from constituting a majority on the commissions' governing boards. However, the 1965 Federal Public Works and Economic Development Act required strong representation of local elected officials on Economic Development Districts boards⁶¹. Similarly the 1935 statute only permitted State matching monies to be utilized for regional agencies delineated by the State Planning Commission. Yet the ARC and EDA required different methods of delineation than those used by the State Planning Commission in organizing its regional offices. The

Table 7. Year Organized and 1970 Population of DDs

Name of DD	Year Organized	Area Population (1970) ¹
East Tennessee	1966	700,985
First Tennessee-Virginia	1966	359,441
Memphis Delta	1973	793,075
Mid-Cumberland	1967	793,897
Northwest	1971	221,170
South Central	1972	261,828
Southwest	1969	419,656
Southwest	1971	181,130
Upper Cumberland	1968	193,745
	TOTAL	3,924,927

¹Population figures include only persons residing within Tennessee.

Source: Interview, Mr. E. V. King, Office of Urban and Federal Affairs, Nashville, Tennessee, December 11, 1973.

Tennessee Legislature in 1965 therefore passed the Economic Development District Act to resolve the differences over board membership and the delineation of districts⁶².

The Act is divided into four main parts: (1) procedures for creation of districts, (2) board membership, (3) duties and powers, and (4) funding.

In organizing a district, the Tennessee State Planning Commission was required to poll all county judges (county commissioners) and mayors in a proposed DD. If three-fourths of the counties and cities in the DD approved, then the District could be formed. Once approved, the following formula was used in creating the governing board:

- (1) one representative of each county appointed by the county judge or chairman of county court;

- (2) one representative of each municipality appointed by the mayor, and
- (3) one representative from each county who was involved in industrial development selected by the county judge or chairman⁶³.

The board members are appointed for four years and may select an executive committee to oversee the districts' operations. All boards delegate their powers to an executive committee simply because of the size of the full board. For example, the First Tennessee-Virginia District has a full board of 63 members and an executive committee of 23⁶⁴. The full board members meet at the beginning of their terms to appoint usually one representative of each county on the executive committee. The executive committee meets monthly while the full board convenes once a year.

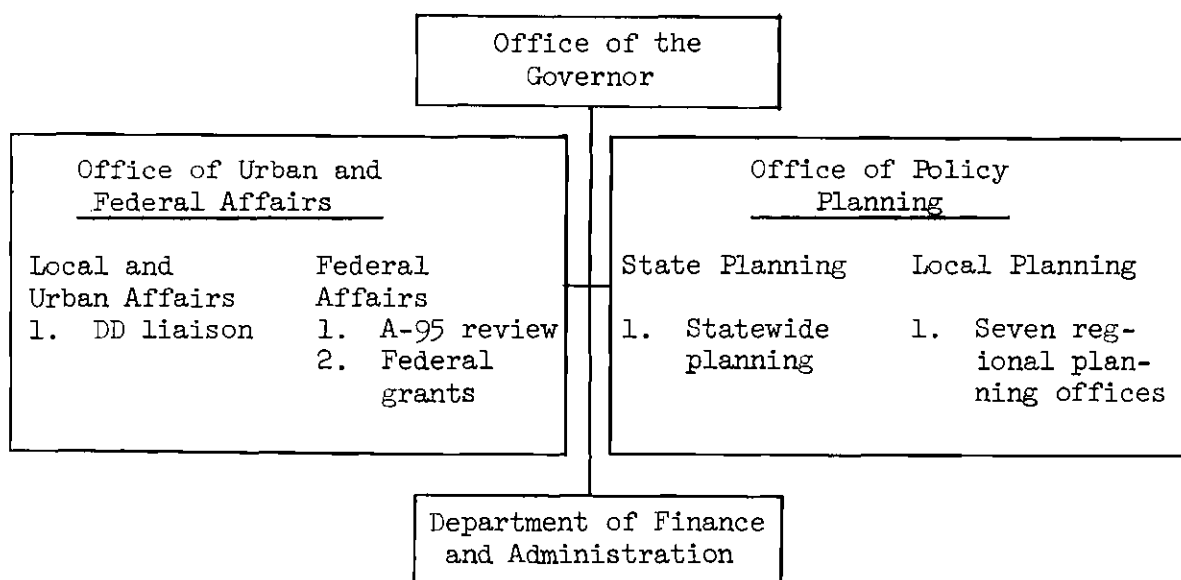
The DDs' duties and functions are similar to Georgia's commissions. They are:

- (1) prepare plans for the economic development of the district;
- (2) receive and expend funds from any sources;
- (3) cooperate and coordinate DD's activities with those of local and State Planning agencies;
- (4) compile, prepare, publish, and disseminate information about the districts economic resources; and
- (5) enter into compacts or contractual arrangements with planning agencies of other adjoining or neighboring States for the purpose of preparing plans for a broader area or region⁶⁵.

The DDs' boards are specifically permitted to spend funds on interstate planning activities. In Georgia no such authority is granted to APDCs under present State legislation.

The State is empowered to provide the DDs with up to \$60,000 annually⁶⁶. The State provides two dollars for every one dollar raised locally. The dues received from local counties cannot exceed 10 cents per capita and the counties are prohibited from providing over \$5,000

annually to a DD. However, those counties in excess of 10,000 population can contribute up to \$7,400 annually. If they wish, cities and towns within the counties can pay up to one-half of the total county appropriation. The limitations on maximum county participation is a means of preventing large metropolitan counties from "buying" the district staff⁶⁷. The Office of Urban and Federal Affairs in the Governor's Office administers the State's funds (Figure 2).



Source: Interview, Mr. Rick Hinderlight, Office of Urban and Federal Affairs, Nashville, Tennessee, December 11, 1973.

Figure 2. Organization of Tennessee State Planning

Georgia has no similar limitations on local dues. The only restriction is the maximum \$50,000 annual State matching appropriation; local governments can contribute as much as they wish.

Executive Orders No. 17, 10, and 7

Both Governors Ellington (1967-71) and Dunn (1971-75) have issued executive orders affecting the DDs. Under Governor Ellington Executive Order No. 17 and its later 1970 amendment changed the number of DDs from eight to nine⁶⁸.

Executive Order No. 10 issued by Governor Ellington created the State Office of Urban and Federal Affairs within the executive branch. The office's two main responsibilities were to:

(1) maintain a constant surveillance over federal grant-in-aid programs that affect State and local governments, and (2) provide technical assistance and guidance to local governments that were seeking to participate more fully in federal and State grant programs." ⁶⁹

Governor Dunn with Executive Order No. 7 urged all State agencies in the Executive Branch to bring their planning, programming, and service areas into conformance with the nine DDs' boundaries. The Governor gave the State agencies over a year in which to bring about the necessary changes. Any agency that did not realign its boundaries with the DDs' was required to give its reasons for not doing so to the Governor within six months⁷⁰. Presently, only three State agencies have not aligned with the DDs' boundaries -- Game and Fish Commission, State Highway Patrol, and State Libraries. All Federal agencies have changed their administrative boundaries to be coterminous with the Districts,⁷¹.

Georgia's Governor Carter (1971-75) has never issued an executive order requiring State agencies to utilize APDCs' boundaries. Instead, he believes that "State agencies must be encouraged steadily to use APDCs (and their boundaries) so that the value of cooperation will

become engrained into a new process."⁷²

The DDs' close working relationship with the State strengthens their coordinative and planning capabilities. The Governor has established common administrative boundaries among the DDs and State and Federal programs. The result of this close alliance of DDs with the State is better coordination among all governmental programs.

On the other hand, the limitation on counties' financial participation is unusual and probably unnecessary. The arbitrary maximum on counties' dues only puts an unnecessary restriction on the DDs. The present financial restriction can only hinder an aggressive district from carrying out programs that its region may need.

Delineation of Boundaries

In the mid 1960s the State Planning Commission delineated the DDs' boundaries in eastern Tennessee for Appalachian Regional Commission programs. The boundaries selected were based on economic and social factors outlined in the 1965 Federal Act. In 1967 Governor Ellington (Executive Order No. 10) created the executive office of Urban and Federal Affairs. The office (Figure 2) was given responsibility for contacting counties interested in forming DDs⁷³. The office involved local governmental officials in organizing the districts before submitting its recommendations for approval to the State Planning Commission and the Governor.

Later (1968) the Office of Urban and Federal Affairs and the State Planning Commission divided the entire State into substate districts. Although the 1968 study proposed eight DDs, Governor Ellington

in 1970 (Executive Order No. 17, as amended) changed the total number to nine⁷⁴.

Today three of the nine DDs encompass local governments of other States. The Memphis Delta, Southeast Tennessee, and First Tennessee-Virginia DDs include member governments of Arkansas, Georgia, and Virginia, respectively. The 1965 State Legislation specifically permits the expenditure of State and local funds for interstate planning. The three Districts also contain metropolitan areas (Memphis, Chattanooga, and Bristol) which cross State boundaries. It is thus logical that the regional Commissions develop plans which encompass the entire area.

In one case, the Southeast Tennessee DD and the Coosa Valley APDC overlap jurisdictions. The three Georgia counties of Catoosa, Dade, and Walker are members of each State's substate districts. Presently, both agencies wish to develop a regional housing authority for their respective areas. However, there is a dispute over which agency should have responsibility for the three counties in Georgia⁷⁵. At the moment the Southeast Tennessee DD and the Coosa Valley APDC are developing their own separate housing authorities⁷⁶.

Finally, the State Planning Commission recently redrew the boundaries of its Local Planning Division's offices to be coterminous with the nine DDs. There are now seven State regional offices; two of which serve four DDs⁷⁷.

Similar to Georgia, there is no method for periodically reviewing the DDs' boundaries. The present boundaries appear to be working well, but future population and economic changes could make realignment necessary. Also the relationship with other States' regional

districts needs to be clarified. There is definitely a duplication of effort between the Coosa Valley APDC and the Southeast Tennessee DD, but neither the States nor the districts are stepping in to resolve the problem.

Governing Body Characteristics

The number of full board and executive committee members for each DD is presented in Table 8. Because of the 1965 State legislation concerning board members, the number of elected officials on the DDs' executive committees is about 70 percent. This figure is considerably higher than Georgia's current 45 percent. Approximately 9 percent of the executive committee members are minority representatives. The latter figure for APDCs is 18 percent.

All nine DD boards have also recently amended their by-laws to permit either a simple majority or weighted voting system. When requested by a member, the board can vote on an issue based on each member's representative population. As of this writing no district has yet used the representative vote⁷⁸. To the author's knowledge, no APDC has ever adopted such a system.

For all practical purposes, Tennessee's executive committees are the governing boards. The high percentage of elected officials on the executive committees combined with the one man, one vote option make the DDs responsive to their local governments. The only major drawback to this system may be the boards' over-emphasis on local matters to the detriment of regional concerns.

Table 8. DDs' Board Membership 1973¹

Name of DD	Total No. Board Members	Total No. Executive Committee	Total No. ² Elected Officials	Total No. ² Minority Members
East Tennessee	76	20	11	1
First Tennessee-				
Virginia	63	23	14	1
Memphis Delta	48	13	10	3
Mid-Cumberland	61	23	16	3
Northwest	56	12	9	1
South Central	61	15	12	2
Southeast	71	19	17	2
Southwest	54	11	9	0
Upper Cumberland	60	19	11	1
TOTAL	550	155	109	14

¹No comparison is made with 1972 board membership because two DDs were not organized until after 1972.

²The figures represent the number of elected officials and minority members who are on the executive committee. The executive committee meets monthly and makes policy decisions for the DDs while the full board only meets annually and reviews the previous year's work.

Source: Author's letter survey, December, 1973.

Staff Resources and Qualifications

The Office of Urban and Federal Affairs does provide minimum staff standards for key positions such as executive director, assistant director, regional planner, economist, health planner, and housing specialist⁷⁹. These standards are only guidelines and are not imposed on the DDs. However, many districts use them in hiring new personnel⁸⁰.

The DDs seem to have almost as much variance in staff capabilities as do the APDCs. Interviews with executive directors and State personnel indicated that some districts have competent staff members with backgrounds in physical planning, health planning, human resources, transportation planning, and related fields. Yet, there are districts staffed with persons whose education and experience do not qualify them for the positions that they hold. It is also interesting to note that several persons mentioned a need for engineers on their staffs. One can only speculate that either Georgia's and Tennessee's districts do not have enough programs to require full-time engineers or that for some unknown reason engineers are not interested in working with the agencies.

In conclusion, Tennessee uses minimum staff standards. The overall result is generally better qualified staffs than those of the APDCs. However, unqualified persons administer some DDs' programs.

Funding

Tennessee's Development Districts receive financial assistance from Federal, State, and local governments. The following sections analyze the sources and amounts of these governmental funds.

Federal

In Fiscal Year 1974 the DDs will receive over \$3 million in Federal grants (Table 9). Seven of the districts are to receive an additional \$3 million in Emergency Employment Act grants. However, most of these grants are given to the substate agencies to "pass-through" to local governments for employing additional staff. These grants are, therefore, separated in Table 9 as only a small percentage of the funds is retained for the DDs' operations.

Similar to the APDCs, many of Tennessee's Districts utilize LEAA, HUD "701", ARC, and EDA grants. The major difference between the two States is Tennessee's involvement with the Office of Economic Opportunity. Eight DDs are receiving OEO funds in 1974 whereas most APDCs withdrew from OEO programs in 1970.

State

Tennessee's Economic Development Act of 1965, as amended, permits the State to contribute on a two-to-one basis a maximum of \$60,000 in matching funds to each substate district. The State's maximum allocation in 1972 was \$30,000, but the legislature increased the maximum to \$60,000 in the 1973 session. Table 10 contains information on the State's grants to the DDs during FY 1974. However, all of the districts were not immediately able to match the State's new maximum allocation. In addition, DDs with a population of less than 300,000 may receive an additional grant of \$10,000 annually once they match the \$60,000⁸¹.

In FY 74 two DDs (Memphis Delta and Southwest) do not have sufficient local funds to receive the State's 1972 maximum allocation

Table 9. Sources and Amounts of DDs'
Federal Grants FY 1974

Federal Program	No. DDs	Total Grant Amount (\$)
OEO--Social Services	8	455,650
LEAA--Criminal Justice Planning	8	370,298
Department of Labor--Emergency Employment	7	(3,289,913) ¹
HUD 701--Planning and Management	7	621,323
DOT--Highway Safety Planning	7	127,440
HEW--Social Services and Comprehensive Health Planning	5	505,990
ARC--Health and Junk Car Programs	5	835,502
Office of Aging--Planning and Nutrition Program	3	116,169
EDA--Economic Development Planning	3	106,210
Department of Labor--Manpower Planning	2	125,676
		\$3,264,258
		(+\$3,289,913
		EEA grants)

¹EEA grants are separated from the total budget because they are mainly "pass-through" funds.

Source: Office of Urban and Federal Affairs, State of Tennessee, Tennessee's Development District Program, (Nashville, Tennessee), August 1973, p. 9-49.

Table 10. Total State Financial Assistance
to DDs FY 1974

Name of DD	State Funds
East Tennessee	60,000--State Match <u>35,700</u> --State Health Planning 95,700
First Tennessee-Virginia	29,799--State Match 15,290--State Health Planning <u>25,500</u> --Tourism 70,589
Memphis Delta	29,192--State Match
Mid-Cumberland	60,000--State Match
Northwest	54,195--State Match
South Central	52,368--State Match <u>13,342</u> --State Health Planning 65,710
Southeast	46,652--State Match <u>22,536</u> --State Health Planning 69,188
Southwest	21,722--State Match
Upper Cumberland	48,748--State Match
TOTAL	\$515,044

Source: Office of Urban and Federal Affairs, State of Tennessee,
Tennessee's Development District Program, (Nashville, Tennessee),
August 1973, p. 9-49.

of \$30,000. For all nine DDs the State will contribute \$515,044.

Included in the State allocation for 1974 are additional State funds that some DDs receive for undertaking tourism and comprehensive health planning projects.

Local

The procedures for DDs' local dues are explained in the State enabling legislation section (page 44). The total amount of local contributions in FY 1974, excluding in-kind contributions, is \$546,868⁸². For the nine DDs approximately 11 percent of their total budgets comes from local sources. In Georgia the APDCs receive about 15 percent of their budgets from local governments⁸³. Table 11 presents the DDs' budgets for FY 1974 including Federal, State, and local grants.

Tennessee's districts depend heavily upon Federal funds for their programs. Almost three-fourths of a typical DD's budget comes from Federal sources. This heavy financial dependence hampers the districts' ability to work with local governments and can weaken local involvement.

Programs

Similar to APDCs, Tennessee's substate districts perform many of the same functions. The DDs are eclectic in their work and it is rare when two regional agencies undertake the same activities. The following sections provide a general description of the districts' activities. The districts' programs are divided into three categories: (1) review of grant applications, (2) planning and technical assistance to Federal, State, and local governments, and (3) DDs'-COGs' relations.

Table 11. DDs' Total FY 74 Budgets¹

Name of DD	FY 74 Budget ²
East Tennessee	\$ 616,501
First Tennessee-Virginia	526,822
Memphis Delta	458,701
Mid-Cumberland	326,303
Northwest	249,394
South Central	236,522
Southeast	574,602
Southwest	116,258
Upper Cumberland	996,406
	<hr/>
TOTAL	\$4,101,509

¹Because four of the DDs were organized only within the past two years, no prior year budgets are included. There are too many recently formed districts to make valid comparisons with previous years' budgets.

²Each DD's budget figures include Federal, State, and local grants but not in-kind contributions or EEA grants.

Source: Office of Urban and Federal Affairs, Tennessee's Development District Program, (Nashville, Tennessee), August, 1973, p. 9-49.

Review of Grant Applications

The DDs act as regional clearinghouses for approximately 100 Federally funded programs⁸⁴. Their A-95 review functions are similar to the APDCs'.

The Office of Urban and Federal Affairs is the State Clearinghouse and works closely with the districts in reviewing grant applications.

Planning and Technical Assistance to Federal, State, and Local Governments

The DDs are closely associated with the Federal government through their involvement with HUD, OEO, EDA, LEAA, and other Federal agencies. The districts are also the regional clearinghouses for the OMB A-95 review process.

The State and local governments are assisted by the districts' involvement in area manpower, economic development, comprehensive health, and human resources planning. The substate agencies also provide "grantsmanship" services to local governments in applying for Federal and State grants.

The functions that a typical DD performs are outlined in Table 12. Although the programs presented are those of the First Tennessee-Virginia Development District, they are representative of the other eight regional agencies' activities.

DDs'-COGs' Relations

Four of Tennessee's DDs are unique in that they are closely associated with Councils of Governments (COGs). The four are: (1) East Tennessee (Knoxville), Memphis Delta (Memphis), Southeast Tennessee

Table 12. First Tennessee-Virginia Development
District's 1972-1973 Activities

Transportation Planning	Law Enforcement Planning
Tourism Development	Health Planning
Project Reviews	Manpower Development
Housing Analysis	Education Development
Land Use Planning	Human Resources Planning
Information Clearinghouse	Aging Program
Community Assistance	Water Quality Improvement
Public Information Program	Regional Economic Planning
Television Programming Project	

Source: First Tennessee-Virginia Development District, Overall Program Design Update: 1973-74 (Johnson City, Tennessee), June 1973, p. 65-72.

(Chattanooga), and Mid-Cumberland (Nashville). All the DDs and COGs have the same office, staff, and work together on issues which affect both agencies. To the author's knowledge, none of the APDCs has any connection with the three existing COGs in Georgia.

The COGs may undertake direct services to member governments. However, the DDs are specifically prohibited under State legislation from exercising the power of eminent domain or engaging in construction projects⁸⁵. The COGs may establish regional agencies to deal with solid waste disposal, water and sewer facilities, and similar projects with which its member governments may wish to become involved. Thus, the close working relationship between the COGs and DDs can potentially provide a planning as well as implementation power to the agencies.

Yet, there are drawbacks to the COG-DD arrangement. One writer who studied the Southeast Tennessee DD (SETDD) and the Chattanooga Area Regional Council of Governments (CARCOG) pointed out that the agencies

sometimes duplicate and overlap each other. Additionally, he had reservations about a regional agency which might be set up to provide governmental services. He felt that any autonomous regional agency would easily become politically unresponsive⁸⁶.

It is too early to judge the success of the DD-COG agencies. They do offer an opportunity for cooperation, joint planning, and implementation, but it is easy for the two agencies to duplicate and obstruct each other's efforts.

The majority of programs that the districts undertake are important to all governmental levels. Local governments could never individually afford the expertise available from the districts. Similarly, the State and Federal governments benefit by having one agency with which to deal in carrying out their programs. Nevertheless, DDs still have problems coordinating their programs with those at other governmental levels.

CHAPTER V

EVALUATION OF GEORGIA'S AND TENNESSEE'S
SUBSTATE DISTRICTS

The sections below discuss the present status of substate districts and then present an evaluation of the legislation, mixture of funding, staff, programs, and governing body characteristics of Georgia's and Tennessee's districts.

Present Status of Substate Districts

The 1960s saw the introduction of innovative programs to deal with the Nation's expanding physical, economic, and social problems (Chapter II). Initially, it looked as though associations of local governments were going to be a viable mechanism for dealing with many of the country's ills. However, until now districts have been only partially successful. In his study of America's Federal system, James Sundquist summed up the present condition of multi-jurisdictional planning agencies by stating:

The creative innovations in community-level programs to meet the problems of the 1960's have arisen predominately from two levels--from the communities themselves, and from Washington, D. C. Rarely have they come from the 50 state capitols . . . The states were making little contribution to new policy for community-level programs; policies were made in Washington. And they were contributing little to the implementation of those policies: administration was a local responsibility⁸⁷.

Based on his conversations with State leaders, the same writer said:

But when we talked with state officials who were advocates of innovation we were surprised to find (particularly in the smaller states) the criticism more often turned inward upon the state itself. The complaints were familiar: legislatures were hopelessly conservative; they met infrequently, and adjourned before the members could become familiar with emerging problems and come to grips with them. The state leadership of both parties lived in a world of political maneuvering and jockeying; governors were absorbed in their political role--exercising party leadership and running for re-election or aspiring for higher office -- to the neglect of program and administrative leadership⁸⁸.

It is this author's opinion that substate districts can succeed only where they have strong backing and involvement of Federal, local, and particularly State levels of government. Home-rule notwithstanding, local governments are the creation of State government and both governmental levels need to become actively involved in improving the regional agencies' capabilities⁸⁹. Tennessee has a better relationship than Georgia with its regional agencies, but both States are guilty of not fully utilizing and modifying the commissions to meet today's needs.

Evaluation of Georgia's and Tennessee's Substate Districts

Georgia's and Tennessee's substate districts can be evaluated on the basis of six factors: (1) assistance to Federal, State, and local governments, (2) staff resources and qualifications, (3) financial capabilities, (4) governing body composition and involvement, (5) plans for and implementation of regional service or facilities, and (6) accountability and evaluation of programs.

Districts' Assistance to Federal, State, and Local Governments

The Federal government has definitely benefited from the districts' assistance. The A-95 review and the administration of EEA and IEAA grants have saved the national government time and money. Similarly,

Tennessee's utilization of the DDs' boundaries for Federal and State programs has helped to reduce duplication of efforts. Unfortunately, Georgia has not followed Tennessee's lead. As an example, the OEO agencies in the Middle Georgia and Georgia Mountains APDCs have not been realigned with the districts' boundaries. This has meant that both the districts and the OEO offices cannot even utilize a common data bank on the area's economy and population.

Nevertheless, both the DDs and APDCs provide valuable assistance to the Federal government. Although each substate district may have different programs and goals, each one plays an important communication and liaison role between the local, State, and national governments.

The districts also provide a variety of services to their respective State governments. These services are similar to those provided the Federal government. The regional agencies assist with State studies, conduct regional reviews of grant applications, and often coordinate State programs at the regional level.

However, there is a distinction between the DDs' and APDCs' relations with their State governments. The author believes that Tennessee's districts are better aligned with their State government than Georgia's APDCs are. The Office of Urban and Federal Affairs⁹⁰ keeps a close watch over the DDs' work activities. In fact, the Office's Local and Urban Affairs section has a coordinating committee composed of Local Planning, Department of Economic and Community Development and Office of Policy Planning representatives who review the Districts' work activities each year⁹¹. The committee does not approve or disapprove each agency's programs but, when necessary, it does offer

recommendations for improving the districts' plans.

On the other hand, Georgia's APDCs have several different State agencies with which they are involved. The Department of Community Development and the Office of Regional Planning in the Governor's Office are the major agencies which deal with the Commissions. However, there is presently no one agency or group which has responsibility for coordinating the State's and APDCs' programs. Instead, the regional agencies deal on an ad hoc basis with departments like the Office of Aging, the State Crime Commission, the Departments of Transportation, Human Resources, and others. This arrangement does permit the APDCs to be flexible in what programs they undertake, but it makes coordination of State and regional efforts almost impossible.

One Georgia House Representative mentioned that this above problem may be ameliorated when the new Department of Community Development's governing board is organized. This board will consist of at least 50 percent State and local elected officials who will annually review each APDC's work. However, the board will not be fully organized until 1975⁹².

In summary, the substate districts have a different relationship with their State governments. Georgia's districts are less structured in their dealings with the State whereas Tennessee has at least a semblance of coordination between the State and regional agencies. In evaluating the two States, Tennessee's system does help prevent duplication and provides a better mechanism for the two levels of planning to work together.

At the local level the regional agencies provide the most important assistance. They offer local member governments a staff of professionals which many governments individually could never afford. The main difference between the DDs and APDCs is one of emphasis.

Georgia's commissions provide many local planning services which Tennessee's districts do not. For example, municipal and county zoning and subdivision regulations studies are performed in Tennessee by the regional staffs of the Office of State Planning. In Georgia, the APDCs often undertake these local studies. It is difficult to state which method is better.

In Tennessee the DDs spend more time on regional and multi-jurisdictional planning while local planning is left to the State Planning Office. Although there are offices of the Local Planning Division in the DDs, there is still the possibility for each agency to propose different plans for the same geographic region. In Georgia the APDCs do provide local planning assistance but often to the detriment of regional planning. When a mayor or county commissioner requests staff assistance in drafting a zoning ordinance, the APDC will usually assign personnel to do it. However, this takes staff time away from other regional activities.

It may be that a better arrangement would be a local and regional planning staff located in each substate district's office. Then local governments could draw on the staff for their own needs while permitting other personnel to concentrate on regional issues.

Staff Resources and Qualifications

As mentioned in Chapters III and IV, the professional competence of the two States' district staffs varies widely. Tennessee does provide minimum staff standards and jobs descriptions for its key staff, but the DDs are under no obligation to follow these recommendations. In Georgia there is no uniform personnel classification system and "qualifications among APDCs vary widely because of difference in wage scales, working conditions, and programs⁹³".

In assessing the two States' staffs, no final conclusion can be reached. The only measurement is in evaluating the substate districts' work and then indirectly drawing conclusions about their respective staffs.

Financial Capabilities

Chapters II and IV demonstrated the variety of programs and funds that the substate districts utilize. Although the APDCs and DDs have been eclectic in their selection of funds, they have relied heavily on the Federal government for financial assistance. The percentage of funds that the districts received in 1973 from Federal, State, and local sources is contained in Table 13.

It can be seen that the agencies in both States are dominated by Federal funding. The previous limit of \$30,000 in State appropriations to DDs explains the almost eight percent difference between the APDCs and the DDs. The recently enacted \$60,000 limit will probably make the DDs identical with the APDCs in terms of Federal revenue.

The substate districts are in a precarious financial position because of their heavy reliance on the Federal government. Each time

Table 13. APDCs' and DDs' 1973 Funding by Sources

APDCs		DDs
66.7%	Federal	74%
18.8%	State	13%
14.5%	Local	13%

Sources: Robert L. Flanders and John D. Tracy, "Georgia's APDCs and the New Federalism: A Critical Juncture for Sub-State Districts," AIP Confer-In '73 paper, (Atlanta, Georgia), October 23, 1973, p. 10 and Office of Urban and Federal Affairs, State of Tennessee, Tennessee's Development District Program, (Nashville, Tennessee), August 1973, p. 9-49

Congress or the President eliminates a program or reduces an appropriation, the districts have to search for other categorical grants to replace lost funds. Additionally, if the proposed special revenue sharing is approved, they will have to drastically alter their traditional reliance on categorical grants.

The main purpose of special revenue sharing is "to consolidate categorical-grant programs in functional areas into large money pots that could be used by State and local governments according to their own priorities"⁹⁴. The functional areas would include the general categories of law enforcement, manpower, urban and rural community development, transportation, and education. Special revenue sharing would transfer administrative and policy responsibility away from the Federal government to State and local governments.

Assuming that special revenue sharing is implemented, the sub-state districts will have to receive additional funds from State and local governments to replace lost categorical grants. However, only

one-fourth to one-third (Table 13) of their present budgets comes from these two sources. It will take time while they rearrange their programs to meet the new State and local requirements. Nevertheless, if properly funded and administered, special revenue sharing offers the districts an opportunity to undertake planning programs which should be closely aligned with the State's and local priorities. The present system of fragmented categorical grants often permits only highly specialized studies which are mandated by Federal agencies and which are not always applicable to every district.

In summary, both States' agencies are too reliant on Federal money for carrying out their programs. A typical DD receives almost three-fourths of its money from the Federal government, and an APDC receives about two-thirds. If the districts are to function as associations of local governments, they should put more emphasis on State and local financial assistance. A balanced substate district budget would include approximately 50 percent Federal, 25 percent State, and 25 percent local governmental financing. This proposed budget would allow the district more financial autonomy to perform those services that its area needs.

Governing Body Composition and Involvement

If substate districts are to effectively plan, then they must have elected officials on their boards. Because the districts are voluntary associations, they need the support and involvement of local leaders to implement their plans.

Tennessee's districts have an already high percentage of elected officials (Table 8) because of the 1965 State legislation. According to

one official in the Office of Urban and Federal Affairs, about two-thirds to three-fourths of a typical DD's full board is composed of elected officials⁹⁵. In Georgia approximately 45 percent of the APDCs' board members are elected officials (Table 2). An optional percentage would be approximately 60 to 70 percent.

In the case of minority representation, the districts have been adding black board members. In Georgia 18 percent of the APDCs' members are blacks. The DDs have about 9 percent. According to the 1970 census, Georgia's population is about 26 percent black and Tennessee's is almost 16 percent. Both States' agencies therefore have less than an average percentage of black members.

The involvement of board members is difficult to assess. The author's familiarity with APDCs' boards leads him to believe that most members routinely approve programs based on the staffs' and the executive directors' recommendations. An advisor to the Office of Governor Carter has said that "Indeed, the work program, plans, and any promotion regarding the efficacy of cooperative area planning and intergovernmental cooperation seems to be left to the director and his staff"⁹⁶. The situation is apparently similar in Tennessee although one recent incident of a board rejecting the staff's A-95 review recommendation was mentioned⁹⁷.

Board members in both States usually react favorably to the districts' proposals. However, controversial issues such as the location of a new highway or airport can bring out antagonisms among the members.

For example, the Middle Georgia APDC's board members were recently

divided over a proposal for a new airport. The existing regional airport is in the flight path of a large Air Force base and one of the Federal Aviation Agency's and the APDC's alternative recommendations was to move the municipal airport. The city of Macon had invested about one million dollars in the airport and was adamantly opposed to the idea. However, several other commission board members were in favor of the recommendation. No final solution has been reached about the proposal.

Most districts also involve their board members with special advisory committees. These committees are formed to advise and direct the staff in undertaking regional highway plans, social services programs, and similar activities. Although the committees do not set the agencies' policy, they do assist the districts in carrying out their planning programs.

In the final analysis, a board's involvement is a result of two interrelated factors. They are the percentage of elected officials on a board and the programs with which the agency becomes involved. Under these conditions, one is led to the conclusion that Tennessee has a better system. The DDs do have a high percentage of elected officials, and they are involved with many of the districts' programs. Nevertheless, APDCs' boards will probably become more involved with the commissions' affairs as the number of elected officials continues to increase. The proposal before the General Assembly to require at least 50 percent elected officials on APDC boards should increase member involvement.

Plans for and Implementation of Regional Services or Facilities

The APDCs and DDs undertake a variety of planning in the areas

of solid waste, transportation, land use, human resources, water resources, and health. Most of the Federal programs in these above areas require that the agencies do this planning at the regional level. However, there are few area-wide plans which are already implemented.

In some instances, the agencies may be a catalyst for other organizations to implement regional services. As an example, the Georgia Department of Human Resources is presently switching to 23 regional offices. All the department's districts are coterminous with the APDCs and the eventual goal is to provide social services at the regional rather than the county level. The area-wide outlook fostered by the APDCs is influencing the department's arrangement of the substate system⁹⁸.

The actual number of regional services which the substate districts directly implement is few. From a review of the districts' work programs and interviews with agency personnel, it is concluded that most regional services are still in the planning stage. At least one of Tennessee's districts is doing a water resources study which may lead to a regional water quality control agency. Other DDs are also involved in area-wide health and social services planning with recommendations in some cases for regional health and welfare offices⁹⁹. Similarly, APDCs are undertaking regional recreation, open space, social services, housing and transportation studies, but only one or two commissions have had a few of their proposals implemented.

Although few area-wide plans are operational, the most important result of the districts' efforts may be the regional outlook they are developing in their member governments. One DD executive director sees

this function as "a feeling of regionalism -- a recognition of common problems, common goals, and common objectives"¹⁰⁰. With more time and confidence in the substate districts, local governments may yet form area-wide organizations to implement the plans.

In addition, several districts are working together on joint planning programs. Two DDs are performing a regional highway study and three APDCs are involved in a comprehensive health planning project. However, the majority of districts do not regularly work jointly with their counterparts. As it presently stands, one district may propose a plan for a river which is incompatible with the plans of a district below it. Any future studies which deal with river basins, highways, and solid waste will require more inter-district cooperation if they are to be useful.

The DDs' and APDCs' lack of operating regional programs may also be explained by their relative newness. The agencies are still attempting to prove their worth to local governments, and it has been "much easier for them (member governments) to comprehend a grant of \$80,000 than it is to see the long-term value of research or a long-range development plan"¹⁰¹.

Nevertheless, both States' enabling legislation stipulates that one of the districts' functions is to perform regional planning. In addition, there is State legislation which appears to provide the agencies an opportunity to implement area-wide services through their member governments. Tennessee's Interlocal Cooperation Act of 1967 permits any two or more public agencies to enter into agreements for providing police, fire, sewer, and health services¹⁰². In a 1972

referendum Georgia voters approved Constitutional Amendment '9 which permits any county, any municipality, or any combination of the two to provide police and fire protection, solid waste collection and disposal, urban redevelopment programs, air pollution control, and other services¹⁰³. This legislation does not empower the districts to undertake direct services, but it does permit their member governments to do so.

If the agencies are to mature into bona fide regional planning bodies, they need to utilize the above State legislation for implementing their plans. The next two or three years will be crucial in the districts' development. They can perform a valuable service by trying to regionalize certain governmental services in their areas, or they can become simply another branch of local government. If they choose the latter, they will lose the important goal of regional planning and coordination.

Accountability and Evaluation of Programs

The substate districts are under fire in Tennessee and Georgia as a "threat" to local governments. The Executive Director of the Georgia Municipal Association believes that:

To retain local autonomy, city officials must aggressively and effectively strive to improve their local facilities and services. If local governments fail to do this job, the feds and the State will push APDCs toward becoming regional governments -- as official arms of State government¹⁰⁴.

A similar concern is being voiced by the Tennessee Municipal League¹⁰⁵.

It would appear that the present controversy with local governments is mainly the result of the poor accountability and evaluation of the regional agencies' programs¹⁰⁶. Tennessee's Office of Urban and Federal Affairs does review the DDs' work, but it is not sufficient.

The Office has only advisory powers in relation to the DDs. In addition, there is presently no formal administrative relation between this office and the Local Planning Division which operates the seven State planning offices.

Georgia has almost no system of evaluation. The Department of Community Development is responsible for liaison with the APDCs, but it only evaluates the "701" programs. The OPB works with the districts in regards to A-95 review, the Biennial Development Programs, ARC, and the Coastal Plains programs. The Farmers Home Administration, EDA, Georgia Department of Human Resources, and the State Crime Commission all deal with the APDCs on a program basis. There is no one agency which reviews and evaluates each district's work programs.

Summary

Table 14 presents a summary outline evaluating the two States' substate districts. In terms of the six factors used to evaluate the districts, Tennessee presently has a better system of regional planning commissions. One caution that should be added, however, is that the differences between the two States are slight. For example, Georgia's proposal for a majority of elected board members, if implemented, would greatly strengthen the APDCs' present position. Thus, the outline is only intended to show the districts' present position with the understanding that either State could rapidly improve its regional planning districts.

Table 14. Summary Evaluation of Georgia's and Tennessee's Substate Districts

<u>Evaluative Factor</u>	<u>Georgia</u>	<u>Tennessee</u>
(1) Assistance to Federal State and Local Governments	(1) Emphasis on local planning and assistance (2) Cooperation with State and Federal agencies	(1) Emphasis on regional planning with minimal local planning assistance (2) Close alliance with State planning efforts and cooperation with Federal
(2) Staff Resources and Qualifications	(1) Large variation among APDCs' staff capabilities	(1) Variation among DDs' staff but minimal voluntary staff standards and job descriptions available from the State
(3) Financial Capabilities	(1) Financial assistance from local, State, and Federal governments with 67% of average budget from Federal sources	(1) Assistance from all three governmental levels with major portion (74%) from Federal
(4) Governing Body Composition and Involvement	(1) Less than a majority (45%) of local elected officials on APDC boards (2) No State regulations concerning elected officials' membership	(1) High percentage (70%) of local elected officials on DD boards (2) State requirements concerning elected officials' membership
(5) Plans for and Implementation of Regional Services or Facilities	(1) State constitutional amendment allowing local governments to provide certain regional services	(1) Interlocal Cooperation Act providing for local governments to set up certain regional services

Table 14. (Continued)

<u>Evaluative Factor</u>	<u>Georgia</u>	<u>Tennessee</u>
(6) Accountability and Evaluation of Programs	(2) Comprehensive health planning and trans- portation planning on regional basis but few plans implemented	(2) Instances of regional social services and water resources plan- ning but few plans implemented
	(1) Evaluation performed mainly by agencies granting funds (2) State mechanism for evaluation (BDP) not being utilized.	(1) Evaluation by agencies granting funds as well as by State Office of Urban and Federal Affairs

CHAPTER VI

CONCLUSIONS AND RECOMMENDATIONS

Although Georgia's and Tennessee's districts are a relatively new level of planning, they are proving that they can provide needed local and regional services. However, they are now at a plateau, and the next two or three years will be crucial for their continued development. Studies of other States' regional districts present similar findings about substate agencies' future¹⁰⁷.

The first section below presents general conclusions about substate districts and the second section contains recommendations for improving their effectiveness.

Conclusions

The proliferation of Federal and State programs combined with the growth in COG's, substate districts, and special purpose districts has resulted in "overlapping boundaries, duplicating functions, and confusing responsibilities at the substate regional level"¹⁰⁸. However, until local and State governments are reorganized to deal more effectively with regional and multi-state problems, substate districts are a necessity.

Eight general conclusions can be reached based on the preceding analysis of Georgia's and Tennessee's substate districts.

(1) The regional commissions provide planning and other technical assistance to local governments. Many local units of government could

not afford the expense of a full-time staff of professionals which the commissions have. Similarly, State and Federal agencies often utilize the districts to plan and implement their own programs in conjunction with local governments.

(2) The majority of districts rely too heavily on Federal funds for their existence. A typical district presently receives more than two-thirds of its operating funds from Federal sources. This heavy reliance on Federal funds, coupled with voluntary local dues, places the districts in a dangerous financial position. Such financial dependence also poses the threat that the commissions will become nothing more than local offices for Federal agencies.

(3) Originally formed as associations of local governments, many substate districts have a minority of elected officials and no state officials on their boards. As a result, districts are often hampered in carrying out their plans because they do not have sufficient support and involvement from local and State elected officials. Racial minorities are generally underrepresented in comparison to their proportion of the regional population. Although it is difficult to represent all public and private interests, many boards are overrepresented with nonelected officials and employees of public agencies.

(4) The present A-95 review and comment process is basically weak. Although most regional agencies now perform this function, there is a wide variation in its effectiveness. Some districts perform an in-depth analysis of each proposal, while others routinely comment favorably on every grant application.

(5) Because membership is voluntary, many substate districts are

placed at the mercy of local governments. A local government can always threaten to withdraw when a controversial project is proposed. As a result, the regional commission will often drop a project because of such pressure.

(6) The regional commissions are presently either evaluated on a program basis or not at all. Although theoretically the boards of directors are ultimately responsible for their commissions' work, most members have neither the time nor the expertise to evaluate their agencies. In addition, most State and Federal agencies only evaluate the districts based on their particular programs and not on the overall work of the agency.

(7) The districts' goals of intergovernmental coordination and regional planning are often thwarted because many other agencies carry out their own plans and programs on a different geographical and administrative basis. It is not uncommon for a Federal or a State program to be administered in a particular area and not coordinated with that regional planning commission's plans and programs.

(8) The most important issue to face regional commissions is, and will continue to be, their ability to persuade local government to cooperate in undertaking programs which cross their political jurisdictions. Substate districts will have very little beneficial effect if their regional and intergovernmental plans are not implemented.

Recommendations

The following recommendations are presented as a means to improve not only Georgia's and Tennessee's districts, but also other States'

regional agencies.

(1) State and local governments should increase their combined financial assistance to approximately one-half of a typical regional commission's total budget. A substate district should receive approximately 25 percent of its total budget from local governments, 25 percent from the State, and 50 percent from the Federal government. Similarly, minimum per capita dues should be mandatory for all local governments.

Any State funds appropriated to a commission should be used exclusively for regional and intergovernmental planning. Such a restriction would prevent a commission from functioning exclusively as a local planning agency and would provide the incentive for at least a minimum amount of regional planning.

(2) At least 51 percent of a district's board members should be local elected officials. This proposal could be accomplished through State legislation which would require a minimum percentage of elected officials. Minority representation should be increased and made a requirement for participation in State and Federal programs.

Finally, there should be representation by State elected officials on the districts' boards. Local State senators and representatives should compose approximately ten to fifteen percent of the total board membership.

Even with the above minimum representation requirements, a district could still have almost thirty-five percent of its board members selected from the general population.

(3) The A-95 review process should be expanded to include almost every Federal and State grant to governmental, private, and semi-private

agencies. The districts should also be provided the necessary financial resources to do in-depth reviews. Under this proposal, reviews would be either approved or disapproved by the board members with a board of State and Federal officials having the final decision over any disapproved grants. Any agency that funded a project over the district board's opposition would be required to submit in writing its reasons for doing so.

(4) It should be mandatory for all local governments to be members of their substate districts. If the regional agencies are going to develop meaningful land use, housing, and environmental proposals, local and State officials must be involved in carrying out their plans. Mandatory membership is necessary because some proposals will not be popular with every local government.

(5) The regional commissions should be periodically evaluated in terms of their entire range of activities. An outside team of planning and related experts should perform these evaluations and report their findings back to the commissions' boards of directors. In addition, a State policy advisory committee composed of local and State officials should be set up to review the evaluation team's recommendations. This advisory committee would also have the responsibility to monitor the commissions' efforts in carrying out the evaluation team's recommendations.

At a minimum, each commission should be evaluated in terms of its (1) staff qualifications, (2) board composition and involvement, (3) work programs and accomplishments, (4) A-95 reviews, and (5) financial records. The findings from this review should be published in order that each commission can be compared to its counterparts.

(6) The State and Federal governments should require their respective agencies to use substate districts and their boundaries as much as possible. In some cases, such as a river basin study, it may not be possible to use the district boundaries. Nevertheless, many agencies could realign their programs to coincide with the districts' regions and could also use a district's staff on some projects. Less duplication of effort and better program administration could result. A list of programs of a typical substate district at all governmental levels can be found in Table 15.

(7) Finally, State legislation should be enacted to permit districts to provide specified services contingent upon their boards' approval.

For example, local governmental officials might wish to use one computer center to handle all their tax and utility records and billings. If a majority of the board of directors approved such a proposal, the regional agency should be empowered to set up and operate the center.

In some instances, a State agency might be better qualified to provide a particular regional service. Therefore, the necessary State legislation should be enacted to permit State agencies to carry out any services requested by a majority of a commission's board of directors.

Summary

In their brief ten or fifteen year history, substate districts have proved to be an effective and economical method of providing professional expertise to local governments. They have also demonstrated their ability to improve intergovernmental cooperation among all three

Table 15. Examples of Substate District Programs

Functions	Examples
Local Services	Management, administrative, and land use technical assistance
Area-wide Planning	Land use, recreation, water and sewer, housing, law enforcement, and transportation
Program Administration	LEAA and manpower grants
Coordination of State Services	Liaison with and location of State agencies' district offices in sub-state districts' headquarters
Inter-Substate District Planning	Health, human resources, and transportation planning
Coordination with State Planning	Site location for educational facilities, State transportation plans, law enforcement, and solid waste
Provision of Direct Services	Water and sewer, solid waste, and others

Source: Georgia Regional Executive Directors Association, Program Proposals for Coordinated and Cooperative Efforts by Georgia's Area Planning and Development Commissions and State Agencies, 1972, p. 1-18 and interviews with Mr. E. V. King and Mr. Rick Hinderlight, Office of Urban and Federal Affairs, Nashville, Tennessee, December 11, 1973.

levels of American government.

However, certain basic changes are needed if they are to remain effective. If the recommended changes are made, it is likely that the regional commissions will increase their effectiveness in serving local governments, improving intergovernmental cooperation, and implementing regional plans and programs.

APPENDIX

A RESOLUTION OF THE _____ COUNTY BOARD OF COMMISSIONERS

TO ESTABLISH THE MIDDLE GEORGIA AREA PLANNING COMMISSION

A Resolution to provide for the Middle Georgia Area Planning Commission.

WHEREAS, an Act of the General Assembly of Georgia, 1957 (No. 358), as amended, (Georgia Code Annotated 69-12, et, seq.) provides for the establishment and operation of regional, or area, planning commissions; and

WHEREAS, it appears to be advantageous to the welfare of _____ County, Georgia that a comprehensive and continuous planning program be undertaken; and

WHEREAS, the _____ County Board of Commissioners made an area planning commission to assist in the planning for the total development of _____ County and the Middle Georgia area which will, in accordance with existing and future needs, best promote public health, safety, morals, order, convenience, prosperity, and the general welfare, as well as efficiency and economy in the process of development;

NOW THEREFORE, BE IT RESOLVED, that the _____ County Board of Commissioners in cooperation with the governing authorities of other Middle Georgia Area Counties and municipalities, hereby establishes the Middle Georgia Area Planning Commission hereinafter called the Commission to be governed by the following provisions:

Section 1. Membership. The Commission shall be composed of members from each of the counties participating in the Commission according to the following:

- (1) Population of Participating Counties According to the most Recent U. S. Census
- | | <u>Number of Directors</u> |
|-------------------|----------------------------|
| Over 125,000 | 8 |
| 75,000 to 125,000 | 5 |
| 25,000 to 75,000 | 3 |
| Less than 25,000 | 2 |
- (2) The maximum elected and minimum non-elected officials who may serve on the Board of Directors of the Commission based on the 1960 U. S. Census:

	<u>Maximum Elected Officials</u>	<u>Minimum Non-Elected Officials</u>
Bibb County-----	2	6
Crawford County-----	1	1
Houston County-----	2	1
Jones County-----	1	1
Monroe County-----	1	1
Peach County-----	2	0
Twiggs County-----	1	1
	<u> </u>	<u> </u>
TOTALS	10	11

A majority of the members of the Commission shall be persons who hold no other public office in the municipality or county from which they are appointed.

Section 2. Term of Office. The term of office for all members shall be four (4) years, except that the initial appointments from _____ County shall be as follows: one member appointed by the County for _____ year(s), and one member appointed by the participating municipalities within the County for _____ year(s). All municipalities within _____ County shall make the single appointment to the office in the order agreed

upon by all participating municipalities. All elected officials appointed from _____ County shall be agreed upon jointly by all the participating governing bodies within _____ County. All persons appointed hereunder shall hold office for the term designated, and shall be eligible for one successive reappointment only. Any vacancy in membership shall be filled for the unexpired term by the governing authority making the appointment which has become vacant. All members shall serve without compensation.

Section 3. Organization, Rules Staff, and Finances. The Commission shall elect a Chairman and Vice-Chairman from among the appointive members. The term of office of the Chairman and Vice-Chairman shall be for one (1) year and until their successors are elected. The Commission shall appoint a Secretary-Treasurer who shall be the Executive Director of the Commission and who shall be a professional planner. The Commission shall meet at least once each month and at such other times as the Commission Chairman and/or Executive Committee may determine; shall adopt the rules for the transaction of business and shall keep a record of its resolutions, transactions, findings, and determinations, which shall be a public record. The Commission may appoint such employees and staff as it may deem necessary for its work. In the performance of its duties, the commission may cooperate with, contract with, or accept funds from Federal, State, or local public or semi-public agencies or private individuals or corporations, may spend such funds, and may carry out such cooperative undertakings and contracts. It may make expenditures for the purchase of required equipment and supplies. The expenditures shall be within the amounts appropriated for the purpose by the participating governing authorities, such appropriation amounting to twenty-five (25) cents per

capita based on the most recent official Bureau of the Census population figures.

Section 4. Powers and Duties. It shall be the function and duty of the Commission to make such careful and comprehensive research surveys and studies of existing conditions and probably future developments and to prepare such plans for physical, social, and economic growth as will best promote the public health, safety, morals, convenience, prosperity, or the general welfare as well as efficiency and economy in the planning for the development of the Middle Georgia area and each political subdivision participating herein. In general, the Commission shall have such powers and duties and responsibilities as set forth in Sections 2, 3, 4, 5, 6, and 24 of the General Planning Enabling Act of 1957, as amended (Act No. 358).

Section 5. Commission Advisory Only. The Commission shall act in an advisory capacity only, and any plan, or part thereof, or amendment, extension or addition thereto, adopted by the Commission shall constitute a recommendation only and shall have no binding effect on the governing authority or any political subdivision in implementing any plans and/or zoning laws.

Section 6. Effect on Local Planning and Zoning Commission. The passage of this resolution shall in no way affect the powers and duties granted to any existing local planning and zoning commission and any future amendments related thereto, or in no way affect the future creation of any local planning and zoning commission and any future amendments related thereto.

Section 7. Commission By-Laws. The Commission shall prepare by-laws that shall be effective only when approved by each of the governing bodies of the participating counties and/or municipalities.

BE IT FURTHER RESOLVED, that this resolution shall take effect upon the adoption of a similar resolution or ordinance creating the Middle Georgia Area Planning Commission by at least a minimum of five (5) of the following seven (7) counties -- Bibb, Crawford, Houston, Jones, Monroe, Peach, and Twiggs.

Adopted this _____ day of _____, 19__, by majority vote of the _____ Board of Commissioners in regular session assembled.

Attest:

Chairman

Clerk

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5. National Service to Regional Councils, op. cit., p. 2. (Since 1971 the Council has changed its name to the National Association of Regional Councils or NARC).
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89. In a letter to the author dated August 18, 1973, Governor Carter of Georgia stated that changes in APDCs should come about only as a result of local initiative by APDCs' Executive Directors and board members. The States must take a more active role with the districts than that suggested by Governor Carter.
90. The name of this office is misleading. It actually deals with Federal, urban, and regional affairs.
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