URBAN PLANNING AS A PROCESS

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Urban Planning - Nature, Scope, and Functions

The Urban Planning Process Defined

Because of the continuous cycle of growth, decay and renewal our urban areas are constantly in a state of flux, with readjustments being made by a whole spectrum of private and public acts, which can be called development and redevelopment. In order to plan for all these things effectively, urban planning, like all types of planning, should set goals, determine appropriate policies, select actions which will aid in implementation of these goals and policies, and finally, aid in implementing these actions through appropriate private, government and administrative procedures.

Aside from the question of objectives and policies, which will be discussed later, the particular feature perhaps which distinguishes urban planning is the existence of a plan for the physical development of a specified area—whether it is a nation, a region, a city, a village, or a smaller urban subdistrict. But the mere existence of a plan is not the desired end of urban planning; the plan itself is only a means to achieving ends or goals. In fact, we can *differentiate between the plan and planning*. Planning is a "consciously guided program of a whole range of public and private actions leading to development or redevelopment. Occasional crystallization into plan is only part of the process".[1] This view, expressed by Robert Mitchell, clearly points out that the plan is not an end in itself, but is merely one part of the overall process of planning.

But physical plan-making still is the feature which distinguishes urban planning from all other planning processes. Many people have a limited idea of what city planning is, and even in countries where city planning is quite advanced and accepted, many people have no idea of what the plan is for and how it relates to them. Some think that a plan is simply for making the city a beautiful place to live in, and though this may be one of the considerations, it is not the only one. "Today, the concept of the comprehensive plan not only reflects the planned physical developments but also indicates the proposed public programs for social and economic development".[2]

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[1] A. Benjamin Handler, "What is Planning Theory ?", *Journal of the American Institute of Planners*, XXIII, No. 3, (August, 1957), p. 145.

[2] Donald H. Webster, *Urban Planning and Municipal Public Policy* (New York: Harper & Bros., 1958), p. 129.

The plan is not an end but a tool, to be used to recommend to administrators and politicians, and in some cases, the public-at-large, certain directions for future change, determined in the light of existing available knowledge. In order for the planning to be truly comprehensive (one of the essentials of planning), it must not be "segmented and it must rest on a thorough knowledge of the social and economic conditions it seeks to improve".[3] As an important element in the urban planning process, the plan as an expression of planning at a certain point in time, must be as comprehensive as possible.

The Scope of Urban Planning

Several approaches to urban planning are possible, and depending on the approach taken, the scope of activities will vary. From one viewpoint, *the scope is as broad as all governmental activities.*[4] This assumes that urban planning must take into account all activities in an attempt to coordinate them for the development of plans and to meet overall goals. This coordination function and its place in plan implementation will be discussed later. On the other hand, urban planning may be looked at from the restricted point of view that all we want to accomplish is a better road system or a more beautiful city. In that case, the scope will be much narrower. Thus the scope will depend entirely on the objectives to be met.

In order to bring this into context, we must assume that the scope of planning is as large as all activities carried on in the urban area, and also the affect that the urban area has on non-urban areas. This, in essence, is all development, but with its particular end in physical development. As a special field of study, the concern of urban planning should be the:

> planning of unified development of urban communities and their environs and of states, regions, and the nation, as expressed through determination of the comprehensive arrangement of land uses and land occupancy and the regulation thereof.[5]

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[3] Robert A. Walker, *The Planning Function in Urban Government* (Chicago: University of Chicago Press, 1950), p. 112 and 119-22.

[4] Henry Fagin, "Planning Organization and activities within the Framework of Urban Government", *Planning and the Urban Community*, ed. Harvey Perloff (Pittsburgh: University of Pittsburgh, 1961), p. 111 and Walker, *ibid.* p. 110.

[5] American Institute of Planners "Constitution of the American Institute of Planners," *Membership Roster 1962-1963*, p. 9; also see John T. Howard, "City Planning as a social movement, a governmental function and a technical profession," *Planning and the Urban Community*, pp. 150-70.

At this point, the important consideration is the scope of the activities—subject matter and spatial reference—that are of direct interest to the urban planner. The suggestions that follow are drawn from programs of various governments around the world. It is important to note that all of these programs should have a firm legislative base, guaranteeing a certain degree of support from the policymakers and administrators. In a sense, this determines if the matter is of sufficient importance to the government or not. The concern of the urban planner may or may not be limited to one of the programs or he may have an interest in all of them, especially with the way in which they will affect the development of urban land.

1. National

— Programs of Social and Economic Development. (Community development, agrometric studies, marketing analyses for import-export, five- or ten-year economic development plans, government priorities, national budgeting, approach to population problems, education, etc.) These are some of the general overall programs that may be of concern to the urban planner. They are quite often measured in terms of gains in production, industrialization, standard of living, etc. Although they are not quite so directly related to the more specific problems of the urban planner, they may be of the utmost importance as boundary considerations, since the planner's work is aimed at a maximization of potentials through proper coordination of programs and policies within a given urban area.

— Urban Planning Support. (Financial aid, approval of plans, setting of standards and requirements, land policy and taxation, provision of staff, and in some cases, the actual doing of plans.) These are the various points at which different national governments fix their interest directly on urban planning. Primarily, the actual planning is done at the local or regional level with the national government providing the basic support services. To this writer's knowledge, there have been very few national physical development plans, although there are policies with regard to land.

— Housing. (Initiating programs of public housing, setting standards, research, financial aid, mortgage, insurance, etc.) This, in some countries, is the one program initiated at the national level, which is of direct relevance to urban planning. Once again, a housing program may be entirely determined locally or there may be a great deal of national involvement.

— Urban Renewal. (Financial aid, research, advice, plan approval, etc.) Urban Renewal has been America's greatest contribution to urban planning, as an aid in redevelopment. Even though it has been a national program, there is still a fair deal of local determination, whereas in other countries, this may not be true. In the last few years, the scope of urban renewal itself has widened in America, and so redevelopment is only one aspect of it. The programs for community development may very well become coincidental with the overall planning process, if urban renewal continues to increase in scope.

— Open Space and Resources. (National Parks, reforestation programs, resource surveys, agricultural space needs, "Greenbelts", etc.)

— Transportation and Communication. (Electricity, telephone systems, telegraph, highways, railroad, airlines, shipping, etc.) The involvement of the national governments in these programs will vary according to needs and may take the forms of advice, subsidy, ownership, forcing development, etc., whichever one is relevant. To the urban planner, these are key factors in the development of urbanized areas, and he should make known to the policymakers what effects such programs could have on urban areas.

2. ***Regional.*** (A region may be geographically, economically, politically, or even socially defined. Usually, to be realistic the urban planners' primary interest is in the geographic or political region with the other factors entering in as boundary conditions to be considered.)

— Plans and Programs (social, economic, and physical).

— Resources and Conservation.

— Transportation.

— Industrialization and Commercial Development.

— Open Space and Agriculture.

3. ***Local Plans and Programs*** (including metropolitan areas). This is most clearly the province of the urban planner. His involvement at the national or regional level is usually subsidiary to his primary interest in the planning of local urban areas. Such an area may be a small, as yet unurbanized village, or it may be a large metropolitan area (which could only logically be approached as a regional problem [6]). Although urbanized areas are of greater importance, the planner must also consider those areas which in the future may urbanize, either because of government policy or because of the force of economic factors which indicate possible industrialization or commercial development. The scope of the planner's activities in such local areas is great and varied, and include such things as:

— Master Plans (area studies).

— Housing Supply (with regard to incomes, class structure, family size, etc.)

— Urban Renewal (area studies and project plans) for Slum Areas.

— All Forms of Land Use and Land Development.

— Health and Sanitation.

— Special Projects—Downtown Plans, Civic Centers, etc.

— Aesthetic Treatment of the Urban Area—Architecture, Landscaping, etc.

— Transportation and Traffic.

— Public Facilities—Schools, Play Areas, etc.

This has not been an attempt to include all of the activities of interest to urban planners, but simply to indicate the scope of such interests (economic, social and physical) in relation to a spatial approach (nation, regional, and local).[7]

Overall Functions of Urban Planning

Although the planning office will have many specific operating functions, at this point, we will concern ourselves with the overall planning functions as they relate to the more important areas of responsibility.

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[6] For a discussion of the evergrowing metropolitan areas, see Jean Gottman, *Megalopolis*, 20th Century Fund, 1961; and Lewis Mumford, *The Culture of Cities*, 1938.

[7] Matters of international interest could also be important to planners, indirectly or directly. For further information on this subject, see the many publications of the United Nations, some dealing directly with urban planning, and others dealing more generally with the problems of urbanization, economic development, population problems, etc.

The job of the urban planner is not to specifically accomplish social and economic reform, nor is it to carry out specific tasks usually performed by other government officials and professionals. Many urban planners, not sensing the need to limit their activities, assume many tasks usually assigned to line departments, thus limiting their own effectiveness.[8] The planner must be an objective person, able to evaluate all viewpoints in order to direct them to a common objective. He must avoid becoming involved in fights between different groups or in "building up departmental empires". His function is to help to develop departmental programs which will consistently work toward master plan implementation. The planner should try to stimulate variety and differentiation within the government—a variety in both thought and action, "rather than a retreat into dead-end specialization. This can only happen as the specialist comes to view his skill as an instrument of a transcending complex of community growth directions in the formulation as discovery of which he is taking a critical part".[9]

What, then, are the overall functions, assuming that the planning process is a process of guiding more than anything else? If the planning agency becomes bogged down in the minutiae of daily administrative details, then it loses its reason for being. The contribution of a planning agency is not found in the duplication of the work of other agencies but rather in that it supplies the element of comprehensiveness and hence integration, which is necessary for development of the urban area.[10] The overall functions to be discussed are: (1) goal formation, (2) advice and research, and (3) coordination.

1. Goal Formation. Perhaps the most fundamental of all of the functions of urban planning is to define and evaluate objectives for the community. Not only is goal formation fundamental to any planning generally, but it is also fundamental to the whole operational aspect of the planner's work, because goals will serve as measures for making daily decisions. (Goal-formation will be discussed in the next section.)

2. Advice and Research. In an attempt to translate these goals into reality, the planner must undertake research into all areas of the community—economic, social, and physical—in order to develop a program of policies and plans that will help toward the attainment of the goals. This research and advice function is also one of the most basic operational functions of the planning office, and includes such matters as survey and analysis, master plan formulation, design, implementation procedures, etc.[11] But since the planner in a staff position has little or no power to actually

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8 This paper recognizes urban planning as a staff rather than a line operation.

9 Robert C. Hoover, "A View of Ethics and Planning," *Journal of the American Institute of Planners*, XXVII, No. 4, (November, 1961), p. 95.

10 Walker, *op. cit.*, p. 113.

11 Fagin, "Planning Organization . . . .", p. 112.

carry out works, he must advise others. Administrators, legislators, other professionals in the government, and private individuals will make the final decisions regarding programs, policies and works, and so the planner must be ready at all times to advise the community-at-large, by making known the results of his research and findings and conclusions.[12] His ideas may carry more force and should be made more definitive as he presents suggestions on design, implementation procedures, etc., but once again, the decision is not his to make.

> Planning is an arm of government. It should not be an independent, separate operation .... As a process, planning must provide the information and relatively reliable estimates of results stemming from alternative decisions. The planning process is a means of providing the decision-makers, not the planners, with the information they, not the planners, need to make the decisions that will result in the development they, not the planners, want. This, of course, does not prevent the planner from trying to persuade the decision-makers from taking a particular course of action, but it does mean that the planning operation must feed to the decision-makers the information and analysis that will enable the decision-makers to make informed judgements.[13]

There may very well be some variation from this approach, depending on the particular society within which the planner works, but normally the final decisions will not be made by the planner; so, whatever the conditions are, the planner must be ready and willing to advise whatever sector of the community requests his advice (or sometimes without a request)—whether it be from the public or the private sector, whether it be a group or an individual.

3. Coordination. Related to the giving of advice, but establishing a more positive function for the planner, is the fact that the planner should assume a coordinating function as well. This is partly achieved by advice-giving, but other instruments such as capital budgeting, project designs, legislation, etc., become more important in terms of actual coordination. Many public administrators agree that this function is above all, the most important one for the planner.

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12 Charles M. Haar, *Land Planning Law in a Free Society*(Cambridge: Harvard University,1951), p.18; and Joseph Robbie, "The Planner in the Political Climate," *Proceedings of the 1961 Annual Conference of the American Institute of Planners*, p. 156.

13 William L. Slayton, "The National Interest," *Proceeding of the 1961 Annual Conference of the American Institute of Planners*, p. 34.

Goal Formation

The Ultimate Objective

Perhaps the most fundamental aspect of all work, planning or otherwise, is to know toward what end the work is being done. This concept of an objective or a goal is especially important in urban planning or other aspects of public service. Goals in these fields of endeavor cannot be measured so simply as with production or income goals—and it is to this problem that we now turn our attention. First, we will try to state what the ultimate objective should be, and second, what purpose the objective may serve in the decision-making and policy-formation stages of planning.

Most people probably would state that the main objectives in planning are beauty, efficiency, health, etc.; and they would be correct, except that they have stated goals that are of secondary importance to overall planning. For example, a more efficient transportation system may be a stated objective, but can it really stand by itself, or must it be part of a more fundamental objective? Why do want to have a more efficient transportation system? Why do want to eliminate slums? So long as there is something more basic than all of these other goals, than we really haven't yet defined what we are working toward; and in actuality, the slum clearance, efficient transportation system, and other proposed objective, are policies leading to a more ultimate objective (means and not ends). What, then, is this ultimate objective?

It has been stated in a variety of ways, such as "the creation of a better community in which to live"[14] Implicit in this definition and others similar to it, is the concept that urban planning is more than mere physical planning since it includes considerations of functions and activities (social and economic) as well as land development.

Another definition commonly used, is "a well-balanced and integrated community", and to clearly establish such a goal, the planner must keep in mind the fundamental values of his society so he can provide an environment which will provide the greatest freedom for all.[15] A community, whether it be a nation, region, or municipality, should be the focus for providing the maximum means of expression for all its citizens.

Objectivity and the Ultimate Objective as a Measure

Regardless of the values on which a society is based, the planner should try to maximize

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14 Walker, *op. cit.*, p. 110.

15 Webster, *op. cit.*, p. 7.

those values which are perceived as being good and minimize those perceived as being evil.[16] This in itself requires a great deal of understanding on the part of the planner as to his role and the role of his work. He must derive a satisfactory goal, one which can be used as a basis for decision-making at all levels and concerning all functions affecting the public sector. The planner then should translate this goal into more realistic terms that can be understood by all decision-makers; and to do this while maintaining a high degree of ethics and moral conviction, means that the planner must be able to devise some means for measuring just what the public interest is and how it can be best be served.[17] The planner, in presuming to deal with whole patterns of occupancy (and therefore of life), places himself in the middle of this difficult process of goal definition. Values such as efficiency, and economy, amenity, tradition, urbanity, and others must be weighed in the translation process.[18] How, then, can the planner measure the public interest? What are some of the measures he might then use for aiding in the decision-making and policy-formation process? Clearly, the planner will first have to develop an understanding of the ultimate objective whether it is explicitly stated or implicitly understood. In other words, how can the planner inject objectivity into this most subjective of elements—using "public interest" as a measure?

In trying to identify more definitively "public interest", we find ourselves constantly having to make value judgements—judgements that involve preference, criteria, and goals. To aid us in making these judgements, a large degree of factual data will be necessary to help us understand more clearly what the values are and to verify the validity of these assumed values.[19] So, perhaps, we might say that having firmly established what our ultimate objective is, we next want to determine what the important values are which will aid us in fulfilling this objective. Or, in other words, we should try to break this objective down into other objectives (values) such as efficiency, change, rationality, aesthetics, or economics. At this point, we should continue to focus on what the desired outcome should be and not only the particular means of achieving it.

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16 Martin Meyerson and Edward C. Banfield, *Politic Planning and the Public Interest* (Glencoe : The Free Press, 1955), p. 314; and John R. Secley, "What is Planning? Definition and Strategy," *Journal of the American Institute of Planners*, XXVIII, No. 2, (May, 1962), pp. 91-97.

17 For an excellent discussion of "public interest," see Meyerson, *ibid.*, pp. 322-29.

18 Pritton Harris, "Plan or Projection," *Journal of the American Institute of Planners*, XXVI, No. 4, (November, 1960), p. 266.

19 Paul Davidoff and Thomas A. Reiner, "A Choice Theory of Planning," *Journal of the American Institute of Planners*, XXVIII, No. 2, (May, 1962), p. 107.

The next step is to determine how to use these values (objectives) as measures. It is fundamental to planning, as an ethical and moral proposition, that the objectives be fundamentally social and not commercial. The *distinction is that between building for people and building for profit.* Planning is a long-term investment and does not necessarily bring fast returns or quick profit.[20] Stated more succinctly, it has been said, "The objectives of private and public planning differ. Corporations plan in order to make a profit; local governments should plan for maximum returns in terms of public welfare".[21]

So, once we understand what we are working toward, this then becomes our measure for judgements, not only for values that we want to enhance, but for all the numerous decisions, minor and major, that will be made throughout the planning process. This may be stated in another way—*planning should be "geared" to valid public objectives rather than toward specialized functions.* If we aim at public objectives, we hopefully will create growth which results from differentiation. If we become too specialized, then we might unknowingly impose standardization, which in turn inhibits growth and variety. So planning cannot simply be a process of imposing efficiency; it must be something spiritual as well. The planner must take an unknown road in some cases, seeking to innovate; and this road-taking is basically an ethical decision, requiring a sound footing in the knowledge of what the ultimate objective is.[22]

By the nature of the whole topic of objectives and values for planning, there is a great deal of subjectivity involved. Basically, the ultimate objective is that of the "public interest" or "public welfare", with the other goals (values) of efficiency, beauty, etc., assumed as being inherent in such an ultimate objective. Clearly understanding what this means in terms of overall planning leads us to use these objectives as measures for public decision-making. Therefore we do not plan for profit, nor should we limit ourselves to specialized activities; instead we should seek diversity and innovation. We must now try to measure as objectively as possible the "public welfare", since all too many decisions in planning or in the public sphere are clearly subjective decisions based on politics or simply personal preferences. How can this be done?

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20 Charles M. Haar, *Land Use Planning: A casebook of the use, misuse and re-use of urban land* (Boston : Little, Brown & Co., 1959), p. 58.

21 Walker, *op. cit.*, p. 109.

22 Robert C. Hoover, "A View of Ethics and Planning," *Journal of the American Institute of Planners*, XXVII, No. 4, (November, 1961), p. 293. This article is an excellent study based on the assumption that "Valid planning emphasizes variety and differentiation over specialization and standardization."

The best work so far, with specific relation to urban planning, has been reported out by Nathaniel Lichfield. His basic assumption, and one that we have tried to develop is that

> City planning is adopted by government for the better attainment of certain community goals (ends, values, objectives) in the evolution of cities. The city planning process is devised to translate these goals into reality.[23]

All too often, the planner, unlike other specialists, is lost when trying to explain or verify the public welfare goals when he is advising or when he is trying to state alternative choices with validity. He is also sometimes lost in simply justifying some of his decisions to himself. What is clearly needed then is a means of testing (measuring) public welfare—injecting objectivity into the planning process. What Mr. Lichfield suggests then is an application of cost-benefit analysis to this problem. Analysis should result in a set of social accounts which forecast project implications for different community interests (which are assumed to define the public interest). To do this, then, we must: (1) distinguish between producers and consumers, (2) include direct and indirect costs and benefits, (3) include measurable as well as non-measurable costs and benefits, (4) present findings in either capital or annual terms, (5) include real and transferable costs, and (6) use a double-entry system.[24]

This approach is very much in keeping with trying to validate public decision-making by measuring, in this case, the effects of decisions on the "public interest". It has grown out of the increased interest in operations research and systems analysis which, in the future, will probably become an integral part of the total administrative process.[25] For better or for worse, planners are going to lose some of their "spirituality" in decision-making and will be forced to substantiate their alternatives against the measurable effects that these alternatives will have on the public interest. But regardless of whether the process remains intuitive or becomes more objective, —the "public interest" will and should remain as the ultimate measure for decision-making in planning and throughout public activity.

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23 Nathaniel Lichfield, "Cost-Benefit Analysis in City Planning," *Journal of the American Institute of Planners*, XXVI, No. 4, (November, 1960), p. 273.

24 *Ibid*, p. 278.

25 An excellent publication in this area of study is Ronald MacKean, *Efficiency in Government Through Systems Analysis*, (Wiley & Sons, 1963).

Policy Formulation and Decision-Making

Once there is some means of measuring what effect policy decisions will have on the "public interest", the objectives must be translated into meaningful policies and programs that the decision-makers can choose from. To some degree, the planners will have to make decisions regarding which policies or programs should be presented to these decision-makers. As was stated before, the most important tool that the planner has is the master plan, which in essence is a policies plan expressed primarily in physical terms.

Therefore goals are expressed in various policies and programs, and the first step is to derive valid policies based on a long-range viewpoint. The *policy "is an effective general rule intended to promote the accomplishment of an organization's goals or purposes".*[26] The policy, as prerequisite to the creation of more specific programs is a statement of direction which sets the framework for further decision-making, just as the objectives set the stage for formulating policies.

When we begin to creat specific programs of action, there should be a constant feedback to test the validity and assumptions of our policies, using our objectives as guides for testing. The results may indicate that a change in program or even in policy will be required, if the program will have sufficient impact. The objectives themselves cannot be changed without creating an entirely new system for operation and decision-making, since the objectives above all else provide the continuity necessary for all programs.

Some of the policies that may be suggested for urban planning are as follows:

1. Community Public Service

a) Efficient and economical means of public mass transportation on land, water, and in the air.

b) Safe and rapid systems of streets and highways, with sufficient off-street parking.

c) Practical and adequate systems of sewage, water and flood control.

d) Attractive and pleasant public spaces, churches (wats), parks, streets, and shade trees.

e) Suitable locations for government offices and military buildings and grounds.

f) Attractive and healthful places for public recreation, exercise, amusement and culture for all ages.

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26 William J. Siffin, "The Art of Policy Making," *Thai Journal of Public Administration*, II, No. 3, (January, 1962), p. 584.

g) Adequate protection for vital natural resources, open spaces, architectural landmarks, and places of interest.

2. ***Land Use***

a) Safe, comfortable, convenient, and healthy housing for all.

b) Convenient and efficient locations for industry of all types.

c) Convenient and economical locations for shopping and marketing.

d) Convenient and efficient locations for warehousing, transfer, and shipment of goods.

e) Elimination or renewal of unsafe, insanitary, or unsightly districts or those destroyed by fire.[27]

The next step would be to state these policies in terms of definite programs of development and redevelopment—physical, financial or social plans and adequate implementation procedures. This is *the real test of the planning process—the final development of action-oriented programs,* without which, all the objectives and policies in the world are meaningless. So, although the development of sound objectives and valid policies are prerequisites to action programs, they in turn are dependent on the success of the proposed actions.

In order to select policies and programs, a decision must be made. The planner normally would present a set of alternatives to the decision-makers, but in order to derive these alternatives, he himself must make certain basic assumptions and decisions. To aid in the decision-making process, the ultimate objective as a measure and some means of testing for the benefits that would accrue from each of several alternatives must be used. Decisions in the public sector may have far-reaching implications that only careful analysis, with as much objectivity as possible, can evaluate. The final unit to be tested for is the individual, and his freedom to choose from a range of possibilities.

Knowing that we must convert ends into means, how do we decide what the best means are and how do we select standards for decision-making? Systems analysis and cost-benefit analysis (after Lichfield) are possible methods; but Davidoff and Reiner have suggested a general approach that may be useful in most cases without getting involved in highly involved formula. Their approach is as follows:

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[27] Cyprus Nims, *What is Comprehensive Planning,* (unpublished staff report, City Planning Office, Ministry of Interior, Bangkok, April 1962), p. 3.

1. Identify a universe of alternative means consistent with the values (goals and policies as statements of values).
2. Weigh the above alternatives—the degree to which that means satisfies the ends and the probability or likelihood that an end will be associated with the means.

'The standards to be used for means-identification are:

1. Identify a set of means that includes the one that is "best".
2. The alternatives must be measurable at least with regard to some features so we can later assess the success of the programs.
3. Identification should be consistent. Alternatives being used to reach a goal should be consistent with alternatives used to pursue another goal—optimization being thus insured. If optimal consistency is unattainable, then, at least those means that are least inconsistent should be selected.
4. The methods of means-identification should be manageable, so that there are not too many irrelevant or excessive alternatives. The means being sought must be both probable and productive.[28]

As a most important aspect of administration, standard procedures are commonly overlooked. Efficiency and control and consistent quality of decision-making rely heavily on standards. They cannot be put aside in an attempt to simply produce something, regardless of implications. *The process of developing a program requires some substantive (and objective) measures and standards.*

As an example in urban planning, let us look at the decision-making process in selecting a particular project design. For this example, we must assume a hierarchy of decisions, many already having been made at a higher level and with broader implications. Unless, in feeding back our specific project decision when checking for validity, we decide to change policies or programs at the higher administrative level, we must accept the fact that these wider-scope decisions must act as boundaries when making specific project decisions. The choice of a specific project must relate to the problem at whose solution the project is aimed and the choice must recognize the economics of development. Some criteria, as suggested by Lichfield, are:

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[28] Davidoff and Reiner, *op. cit.*, p. 112-13.

> First, would the particular project design bring adequate total benefits for the tota costs involved or would some alternative show a better relationship of benefit and cost ?
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> Second, would the incidence of costs and benefits be satisfactory, that is consistent with the municipal government's principles of equity, or would a redistribution of incidence (of costs and benefits) be more satisfactory if achieved ?[29]

This process of decision-making is not as easy as presented here. There are external factors which can easily upset the process, such as political maneuvering, tradition, etc. Whether we follow the suggestions of Davidoff and Reiner, Lichfield, or others will depend on the time and budget available as well as the freedom allowed to those responsible for making decisions. Another difficulty is the feedback principle which must be recognized, and finally, the fact that planning is and should be more than trying to maximize specific goals. Perfect rationality need not, and probably cannot be attained, but there must be progress—in approaching decision-making as objectively as possible and always moving towards objectives. Planners have long overlooked maximization and rationality in their approach to planning and design of urban areas, and current attempts to establish means of measuring and proper standards should be carefully looked at.[30] Yet the planner must also be a "utopian" at the same time he is being economic. He must recognize and identify, if possible, an "ideal state", but at the same time recognize that it is impossible to achieve because planning is a process influenced by traditional norms, a "client that is a "complex interest", etc.[31] In order to be most effective then, he must work toward goals rather than toward an impossible ideal state,[32] and these goals must be "goals of equity and legality and social acceptability as well as efficiency".[33]

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[29] Lichfield, *op. cit.*, p. 278. Davidoff & Reiner's Proposal for objectivity, although not as detailed as Lichfield's, is excellent, but needs further defining into measurable units.

[30] Some readings on this subject include:
Davidoff and Reiner. "A Choice Theory of Planning," *op. cit.*
John W. Dyckman, "Planning and Decision Theory," *Journal of the American Institute of Planners*, XXVI, No. 4. (November, 1961).
Lichfield, "Cost Benefit Analysis in City Planning," *op. cit.*
MacKean, *op. cit.*
Meyerson and Banfield, *op. cit.*

[31] Dyckman, "Planning and Decision Theory," pp. 335-45.

[32] A master plan is not an ideal state, since it is always subject to changes.

[33] *Op. cit.*, p. 335.

Moreover, the feedback mechanism is constantly in effect, ensuring that planning be a process, a continuing thing, rather than the attainment of an "idealized state". Or we might say that an idealized state of today is not the idealized state of tomorrow even if they are both the conception of the same man. Although man should recognize the need to progress toward some ideal state, he has to constantly re-examine his ideas in the light of experience, something which could be called "feedback". For example,

> The plan initiates a course of action which produces events experienced by the agent, in the light of which he modifies the plan; so that, in a sequence of phases, the plan is continuously initiating action or being modified by the results of actions: and this modification is not merely an efficacious employment of means to an originally intended end (a continuous adjustment of the feedback principle), but also a modification of the end in view, a revision of intention, a recasting of desires, a development in understanding.[34]

Therefore it is all-important that the planner's approach be free from political influences before it reaches the decision-making stages. The planner's decisions should not be made to satisfy the political climate. In other words, the planner should not compromise his recommendations before they reach the decision-making stage. Once again, the politician or administrator will be the one who rejects or approves, and the planner must work within an atmosphere of neutrality and noncompromise. He must be the objective viewer who is both an idealist and a practical realist.[35] Once decisions are being made, the planner may enter the fight to gain greater acceptance for a particular alternative which he feels is better than others.

Organizing for the Urban Planning Process

Having discussed some of the more general aspects of planning as an administrative process, at this time we turn to some of the more specific features of that process. Actual detailed information about the subject matter of urban planning is available in any number of excellent

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[34] *Ibid.* p. 342. Quotation from H.J. Blackman, *Political Discipline in a Free Society*, (London: Allen & Unwin, 1961).

[35] Robbie, *op. cit.*, p. 156.

volumes;[36] here we only want to point out some of the more relevant elements that may help to clarify what has been discussed previously.

The Planner as a Professional

Who is the urban planner? It has been suggested that he is anyone concerned with the physical urban environment of a community, region, or nation. This would include many groups of specialists—including architects, engineers, budget specialist, etc. But what must be pointed out is that there is something more basic which indicates than urban planning can stand by itself as a profession. Because its scope is so broad, because the planner should not only be an idealist but also a realist, planners have been called generalists rather than specialists, even though their field of interest is a special one. But their scope of interests is a general one, and this is the fact that distinguishes the planners from the other specialist working for a better urban environment. Their ultimate goal, as pointed out, is a general one rather than a specific one, and their concern is for the total environment rather than any one specific aspect.

As a profession, then, what should planning be? It is not simply a matter of gaining power to put one's ideas into practice. There are involved certain criteria that are basic to planning as a profession (and relevant to most other professions as well).

1. *Operates from Principles.* A profession operates from principles rather than rule-of-thumb procedures of simple routine skills. There must, then, be a command of principles and not alone of skill. The command of principle, however, implies capacity to relate it concretely to particular situations, and not merely to state it in abstract propositional form... doing, not merely abstract knowing.

   ... one learns how to go on learning from his continuing professional experience. Unless experience is analyzed and carried back to illuminate and correct understanding of basic principles, it is not liberating but enchaining. On the other hand, a discerning sensitivity to new experience leads back to a reconsideration of principle, and that in turn enables to next situation to be viewed more freely and adequately.

2. *Use of Technical Means.* A professional must make use of technical means, but the technical means are servants; not masters. They are used to free, not to fetter think-

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[36] Donald H. Webster, *Urban Planning and Municipal Public Policy* (New York: Harper & Bros, 1958). International City Managers' Association, *Local Planning Administration* Chicago, 1959, and Chapin, *Urban Land Use Planning*.

ing and action. The professional uses technical means to try to solve problems that have arisen out of situations that transcend these technical means.

It is not these means in themselves with which he (the professional) is to make emotional identification .... They are ... tools, ... they are only servants, means rather than ends. The ends lie in the people they are designed to serve.

3. *Operates in Some Direct Way for Human Welfare.* The city is intended to serve humans; humans are not intended to serve the city.

4. *Self-Limitation.* A part of his professional ethics lies in his consciously self-imposed limitation on his own activity at any points where others are better equipped .... But professional self-limitation means more than acknowledgement of such extremes (of knowledge). It also implies responsibility for getting help from another profession at any point where it is better fitted to help the concrete situation.

5. *Professional Groups.* Each person acts not only as an individual but also representatively, that is, as a member of his profession.[37]

The Planner as a Public Servant

The planner, in addition, must also act responsibly as an agent of his client, who will make the final decisions. Whether this client is the general public or administrators or politicians or all of these combined, the planner cannot simply invoke his own ideas of right and wrong. Values cannot be verified entirely by objective measurements, and each decision affecting the physical environment is not value-neutral. So the planner cannot be entirely neutral; he must recognize values and goals and the possible affects his decisions may have on the attainment of these. In suggesting alternatives, the planner should understand that he should be expanding choices while he is providing a means for change, rather than restricting choices.[38]

The planner must recognize the existence also of such a thing as the public interest, and this, above all, sets the basis for ethical judgements. It has already been pointed out that political compromise is something for the politicians and administrators, and that the planner should be concerned with his principles, and that his suggestions are consistent with and can be identified

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[37] Seward Hiltner, "Planning as a Profession," *Journal of the American Institute of Planners*, XXIII, No. 4, (November, 1957), pp. 163-64.

[38] Davidoff and Reiner, *op. cit.*, James A. Norton, "The Neutrality of the Planner," *Proceedings of the 1961 Annual Conference of the American Institute of Planners.*

with the public as a goal. There must also exist a strong element of probability in his alternatives—the everpresent qualities of idealism and economic and social reality being combined into a range of probabilities. To properly organize and administer a planning program, the planner must recognize that administration by personality or seeking for personal aggrandizement is not going to provide a basis for continuity in operation. Thus the concept of public welfare should become the basis for his actions. Without this basis, the planning process is deemed to failure—simply because the comprehensiveness and continuity and wide scope cannot be conceivably attained with anything less. What occurs otherwise is decision by emotion rather than judgements aimed at attaining goals and based on standards and measures which are objective means of measuring alternatives and choices.

The American Institute of Planners, in their "Code of Professional Conduct", has stated it thusly:

1. The professional planner shall strive to enhance public regard and confidence in the profession. Sustained public acceptance is recognized as essential for planning achievement and progress.
2. Since the basic objective of planning is promotion of the general welfare, the professional planner will respect this as the paramount consideration in the conduct of his professional activities.
3. *The professional planner recognizes all land as a natural resource and acknowledges the primacy of the public interest.* Guided by these . . . basic principles, he will seek, in advising on comprehensive arrangements of land uses and their occupancy and their regulation, to promote and protect both public and private interests as may be proper and appropriate to each situation.[39]

Planning, then, as a profession serving the public interest, should recognize the existence of both mental techniques and physical techniques, with the latter being secondary. Included in mental techniques are principles—objects and interests, and methodology—references and procedures. In the case of planning principles, the object of interest is the "human community" in its physical setting"; and the interest should be "to benefit the human element of the total object by helping to overcome conflict and waste on the functioning of the whole". Clearly the responsibility

[39] American Institute of Planners, "Code of Professional Conduct," *Membership Roster 1962-1963*, p. 17.

is to mankind with no question of special interests or seeking of private advantage being suggested.[40] This indicates *an ethical commitment that must be substantiated by actions: a personal code of ethics consistent with ends and means.*

Administration and the Planning Process

Having given a quick picture of who the urban planner is and what his responsibilities are professionally and as a public servant, let us look more closely at the place of the urban planning process in the administrative organization of a government body.

Generally, we can state that the planning function has had (in practice and in theory), three possible positions in administrative organization: (1) advisory—the independent body; (2) departmental—executive staff function; and (3) "fourth power"—in addition to legislative, judicial, and executive powers.

"Efficient government... requires that governments be organized on the basis of their major function.... To avoid unnecessary confusion and duplication of effort, the function of each department and agency and their dividing lines need to be clearly defined".[41] In addition to this, the effectiveness of the planning process will depend on the type and "character of the administrative organization, the quality of the planning personnel, the amount of financial support, and the degree of understanding of the objectives of planning by the legislative branch, the chief executive, the department heads, and the public."[42]

Advisory. The first of the suggested positions for planning—as an advisory function—has historically been the major approach used in the United States. Planning as a social movement there grew out of pressures put on government by citizens' groups, and planners were asked to aid these independent groups. With time, the planning commission or planning board of citizens was ncorporated into the organization of the government, as an independent body. The planners themselves, had to act through this citizens' commission, but this allowed the planner a large degree of autonomy and freedom to do long-range planning; but at the same time, it was very difficult for the planner to be effective. As a result, the planning commissions became semi-autonomous, thus having the power to advise (through the commission's lay members) the executive

40 James E. Lee, "Planning and Professionalism," *Journal of the American Institute of Planners*, XXVI, No. 1, (February, 1960), pp. 27-28.

41 Webster, *op cit.*, p. 84.

42 *Ibid.*, p. 82.

or legislative branch. But, still, in many cases, the executives and other city officials do not look upon the planning commission as a source of advice and research. Instead, the commission's members are more likely to be overlooked completely in favor of the technicians themselves. So, what has developed has been the second position—a department of planning as part of the executive staff.[43]

Departmental. To deal adequately with this position, it should be made clear that "staff functions are not concerned with the operation of units which render services to the public, but rather with investigation, study, research, and planning designed to assist the chief executive and operational departments in rendering their services. Although staff officers (planning directors) do not command, they do provide information and advice and make recommendations for the purpose of aiding in both formulating and executing public policies. Auxiliary (housekeeping) functions are those which are of a secondary nature in that they render services to the government itself (minister to needs of line departments) and not directly to the public."

"To the extent that the planning agency performs a staff function, it has neither power of policy decision nor policy execution, except as matters which fall within the operations of the planning agency itself. As a staff agency, its function is to observe and study problems of government and administration which relate to the physical development of the community, to develop plans and proposals for their solution, and to make recommendations, *but not to act*. The planning agency has responsibility to advise.... It is neither a civic body acting as a watchdog over administration nor a public body exercising powers of veto."[44] Webster and others have made this clear time and again, but it also something that is easily forgotten, perhaps because it has become somewhat of a cliché.

But it appears at this time that planning as a staff function, whether as a permanent commission or a department *sans* commission, is the most effective administrative position for planning, despite some drawbacks. Some of these are; lack of opportunity to do long-range planning (if too much detailed work is assumed), too much concern for housekeeping functions, the

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[43] Walker, through the influence of his book, *The Planning Function in Urban Government*, was an important figure in the development of the planning department. For a more complete discussion of the independent commission, see the above book, pp. 133-65. For Walker's viewpoint on planning as an executive staff function, see pp. 165-84.

[44] Webster, *op. cit.*, pp. 85-86. See also Walker, *op. cit.*, pp. 166-84.

increased pressures of time, budget and politics while advising the chief executive directly, etc. But, in spite of these drawbacks, it appears that no matter at what level of government we are talking about—village, city, metropolitan, provincial, regional or national—this approach to organization for planning has the greatest advantage. To sum up; the planning department or commission should be directly responsible to the chief executive; its job is primarily a research function—gathering information and suggesting possible alternative decisions—with final policy decisions being made by the chief executive; and finally, the planning agency should be aware of how to implement different policies and should aid in coordinating departmental (line) planning.

Fourth Power. Historically, the executive branch of government, in democratic societies, has assumed all non-legislative and non-judicial functions, but in some interpretations, planning seems to hold apart from this, since it seems at times to have both legislative and judicial aspects.[45] It is thus felt that planning will not be very effective as a purely staff function, and so they have suggested that planning becomes a "fourth power" of government, in addition to the executive, legislative and judicial. Most outspoken of all these people has been Rexford Tugwell who feels that the development of planning as a "fourth power" is a logical step in developing control and management of government activities.[46] But it must be recognized that Mr. Tugwell sees planning not simply from the point of view of the physical planner, but from that of the economic and social planner as well. To quote:

> Planning is not direction when it is at the service of special interests in society; it becomes direction only when it can effect economic divisiveness; becoming a unifying, cohesive, constructive, and truly general force.[47]

He goes on to say that planners who realize the interrelationships and scope of planning have had difficulty confining their interests within the executive staff position, and they should not continue in this position; and

> in order to carry out its generalizing purpose, it must assume preferential control of improvement projects... it must be able to ensure the subordination of private interests to social ones.[48]

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[45] Robert Daland, "Organization for Urban Planning: Some Barriers to Integration," *Journal of the American Institute of Planners*, XXIII, No. 4, (November, 1957), p. 200.

[46] Haar, Land Use Planning, pp. 715-22. (Tugwell, "The Fourth Power").

[47] *Ibid.*, p. 717.

[48] *Ibid.*, p. 721.

This "fourth power" position is one that could conceivably develop, regardless of the type of government involved (centralized or decentralized), although it may be used in different ways, even as government is used or misused in many countries. It appears that although Tugwell's proposition may be logical with regard to the planning function, there are several inherent dangers that emerge as cities and countries become more complex as they increase in size. One is the lack of variety that may result and another is the lure of personal "empire-building". Clearly, Tugwell and others see planning as a necessity rather than recognizing the fact that there may be a loss of individuality or that some may lose sight of goals in a drive to achieve personal power, since there would be very few checks.[49] Generally, planning still is best carried out as an executive function, although the "fourth power" approach may be quite valid for nations who have minimum resources and who are still in the early stages of economic growth. That is, if it is used properly to benefit the public at-large and not specific individuals.

At this point, though, it appears that urban planning and planning at most levels of government should be a staff function, advisory to the executive. Conceding both the advantages and disadvantages of such a position in the administrative setup, the success or the failure of the planning process is going to depend on the quality of personnel and the quality of their work and on the extent of freedom allowed them.

The Planning Office

Next, in discussing the specifics of planning as a process, is the planning office itself—its personnel and the organization of these personnel.

The Planning Staff. It would be difficult to conceive of any planning office which did not have its own staff independent of other departments.[50] At the same time, the size of the staff and its background will vary according to the size of the planning unit and the budget available.

For purposes of brevity, we can suggest that within the planning office there must be both administrators and technicians with varying backgrounds, all having a common understanding of the planning process. It has been suggested by Walker and others that the staff

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49 There are many people involved in the pros and cons of planning as a "Fourth Power". Some of the more interesting writers, other than Tugwell are Barbara Wooton and Frederick Hayeck, *Road to Serfdom.*

50 Walker, *op. cit.*, p. 214. This staff may have only one person in the case of a very small unit, such as a village.

director need not necessarily be a planner by training, but he may simply be a person who acts in place of the old commission. In other words, he should be the liaison between the staff members and the executive branch. This would thus require a person of outstanding character with an ability to understand the complexities and purposes of the planning process. On the other hand, if available, the person best suited for the top position is the "general planner" as he has been described. Whether he serves directly under the chief executive or through a permanent commission, he (the general planner) is perhaps best suited for this all important position. Under his direction will be a number of assistant directors, the number depending on the budget available, the needs presented, and the depth of operations involved. Generally though, this would require one planner with a design orientation, one with a social science (research) background, and one with an administrative-legal orientation. In some cases, it may be advantageous to have an additional person with an engineering orientation (or he may replace one of the others).

Under these three (or four) assistant directors would come a whole range of skills represented by what we can call here—middle-level technicians. These will be surveyors, architects, planners, statisticians, engineers, lawyers, etc.

An organizational framework, suggested by Lee, seems to have relevance to a great variety of planning situations. In presenting it, we must remember that financial limitations may mean that there be a staff of only one person, and he is responsible for all functions. In such a case, it may be to the advantage of the planning process to set up a special interdepartmental committee of technicians and/or directors from the various line departments. They will serve a sounding board for ideas and can help in carrying out some of the technical work. (In almost all cases, the planning staff relies on other line departments for specific technical jobs for which these departments are better equipped. This is so regardless of planning staff size.) But assuming the budget is adequate, a staff may be organized as follows:[51]

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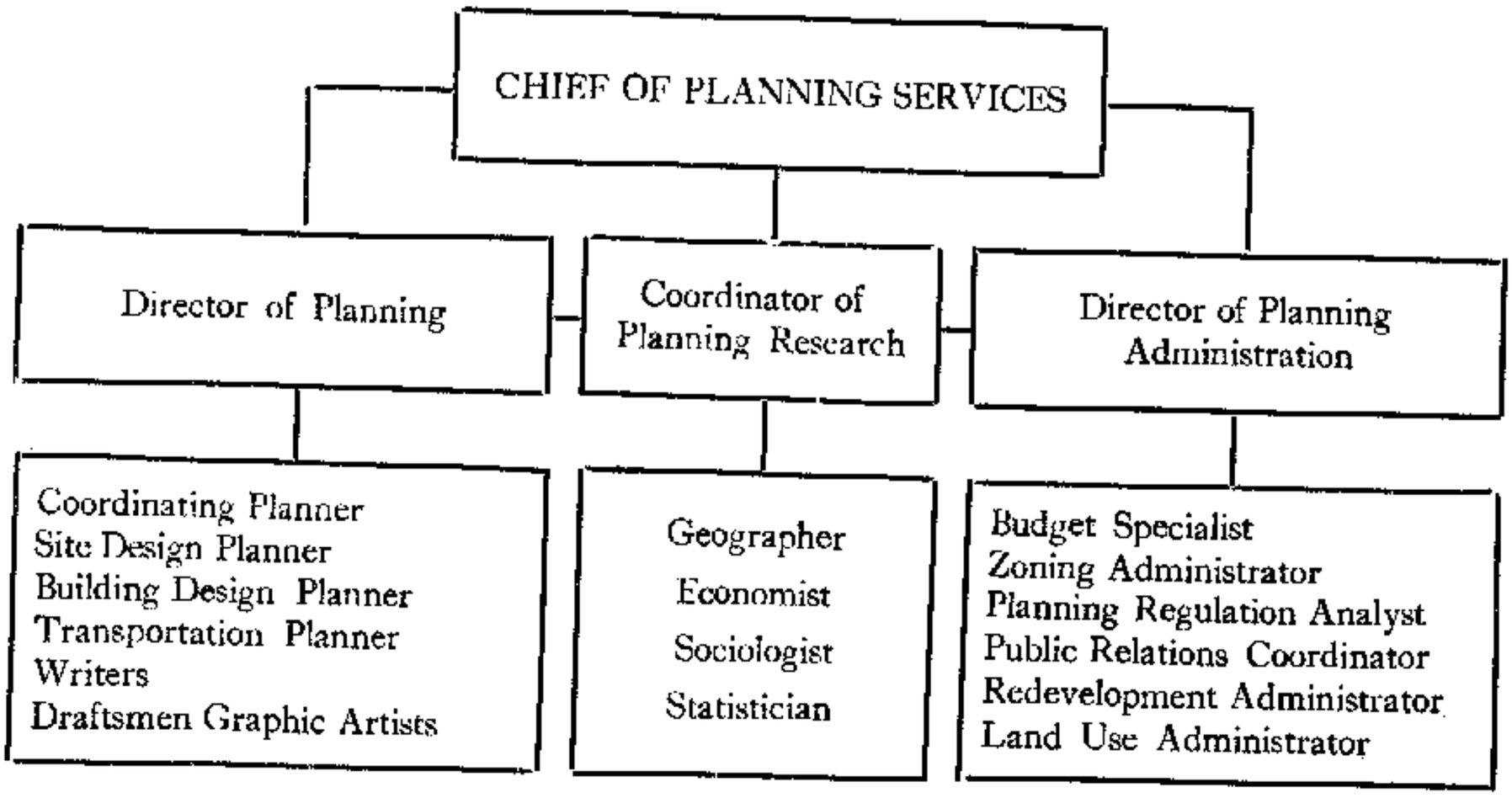
[51] James E. Lee, "The Role of the Planner in the Present: A Problem in Identification," *Journal of the American Institute of Planners*, XXIV, No. 3, (August, 1958), p. 156.



This type of organization emphasizes the research and coordinating functions that the planning office should be undertaking, rather than the everyday operations involved in the planning office, which would require a more functionally organized administrative setup.

Planning Education. There has been a great deal written on the problem of planning education, for it is a field, like most other branches of study, which must undergo constant curriculum revision, and the effect on planning has been a constantly widening scope. It now includes social sciences in depth as well as the more technical subjects such as engineering.[52] This has resulted from the tendency to try to train the "general planner", often to the neglect of training middle-level technical people. Of course, the opposite is true, with too many technicians present, and no one qualified to assume the overall coordinative and organizational function within the office (planning for planning).

In a newly developing staff, the needs must be looked at objectively, and in some cases, special courses oriented directly at filling specific needs will have to be developed. This is especially true with regard to the "less-developed" countries.[53] In these countries, training in the United

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[52] Harvey Perloff, *Education for Planning: City, State and Regional* (Baltimore: John Hopkins Press, 1957). United Nations, *Training for Town and Country Planning* (New York: 1957)

[53] William A. Doeble Jr., "Education for Developing Countries," *The Town Planning Review*, XXXIII, No. 2, (July, 1962). H. Peter Oberlander, "Planning Education for Newly Independent Countries," *Journal of the American Institute of Planners*, XXVIII, No. 2, (May, 1962) and United Nations, *Training for Town and Country Planning*.

States or Europe is inadequate and unsuited for the needs extant within the students' own country; and since the opportunities to gain working experience is severely limited overseas, he returns with an education that is untried in a more mature operational atmosphere. In most cases, then, he returns home to a practically new planning organization without having had the chance to test his knowledge under working conditions; and sometimes he may be overtrained for the job he will hold upon his return home. As a result, it is more difficult for the young technician to make the switch from the highly industrialized society where he has been educated to his own less-industrialized society, with a whole set of different needs and levels of sophistication.

Just as it is questionable to train economic development people in Europe and America, because of the great differences between these countries and his own, so, in urban planning, the same problem exists. As a result a re-evaluation of needs and education will have to occur to take into account the varying structures of government, the varying stages of development, and consequently the varying needs.

Plan Preparation

Although the planning office should have a staff relationship with the chief executive, the operations within the office itself are both staff and line in character. It is a necessity that these be differentiated in order that the staff functions (research, coordination and long-range planning) may receive the utmost attention. Line operations, such as administration of ordinances and actual project design should be kept to a minimum (with relation to overall functions). In fact, in some cases, these line functions have been taken out of the planning office altogether because of the dehabilitary effect (time and effort) that they have had on the overall planning process.[54] The planning director, must, as a generalist, be able to distinguish between these staff and line functions within his office, and keep them separated. It also may mean that he will have to reject some projects because they are not necessary to the overall planning process and will detract from the effectiveness of carrying on an adequate planning program.

Assuming that this is clear, how then should the planning program be organized within the office to achieve the most effective results? This can be termed "planning for planning", distinguishing between planning and the master plan, since *the master plan is not the end-product of the planning process.*

[54] Example—zoning administration offices in America. Of course, the opposite is true—not enough time is given to these line operations because of the needs of overall planning.

Although the master plan or other physical plans are only elements of the process, to the urban planner whose main interest is fixed on the distribution of land uses, his chief responsibility is to finalize his thinking in the form of a plan or plans, recognizing the need for procedures that must follow. The plans should provide a physical basis for making intelligent policy and program decisions, but the actual planning process is a complex one, which should recognize a comprehensive and thorough approach which has a final action orientation. At the same time, feedback to check and review proposals for consistency with objectives, policies, and resources is necessary.

To be presented here is a simplified step-by-step analysis intended to indicate a general approach to the planning operation rather than anything detailed.[55] To be recognized throughout is the need for feedback and for a close working relationship between those doing the planning and those whom the planning is being done for.

The first step is to prepare to do the planning by a proper organization of the staff and available resources. In essence, this is planning for planning, an all-important factor that must be recognized. It includes such matters as budget, division of staff responsibilities, communication within the office between different sections, time schedules, work standards and procedures, determination of the planning area, preparing base maps at proper scales for various purposes, and setting up coordination with various government agencies for support services and information. The last is very important, since it is necessary to recognize that other agencies are more than likely much better equipped and trained to carry out certain surveys and analyses than the planning office. It also may be true that a great deal of information has already been collected and this will save a great deal of effort and time for the planning agency, who can then collate the data, bringing it up-to-date and applying it to the problems at hand.

The next step is the development of objectives and policies. In some cases, overall objectives and policies may be handed down to the planners from the executive, and the planner would then analyze and break these ideas down into meaningful data and comprehensible presentations. It may necessitate the changing of some policies or objectives, if surveys and analysis show that some up-dating needs to be done. But whether or not these overall directives exist, the planners should approach the establishment of these in detail as follows: (1) gathering background information including the transportation pattern, social, economic and physical goals and objectives

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[55] Material used here come from Walker, *op. cit.*, Webster, *op. cit.*, and especially Nims, *op. cit.*

as stated, past history and growth trends, local and regional economic development potentials, site conditions, amenities and problems, existing land use pattern, existing public works, utilities, improvements, facilities, and buildings, and legal and administrative conditions. These may take the form of general surveys such as population data, building construction data, economic base studies, school enrollment and school capacity data, recreation facilities, traffic surveys of all kinds, etc.; (2) future projections such as population, future land development potentials, and future economic development potentials. To be recognized at this stage are the plans or programs as set forth by different agencies, and the possible effects they might have on the physical planning program; (3) analysis of all factors and the derivation of needs that must be met in the future such as transportation; shopping and marketing space, residential land, manufacturing and warehousing land, public improvements, etc.

The next step in the overall program is to derive a preliminary plan which would indicate possible physical plans as well as social and economic needs. The main purpose of the preliminary plan, as suggested by Nims, is for checking and review, the next step. This feedback process includes not only clearance through administrative channels but also a check to see if the plan is consistent with ability to pay, the trends as indicated, and the needs as derived. Because the planner should include in his planning certain recognized principles which may be overly idealistic for the given situation, this feedback mechanism serves as a positive check on the plan and gives the planner the opportunity to develop policies and programs which are both progressive and at the same time realistic. The plan is thus aimed at the development of policies and programs of action regarding land use and the provision of services to meet these needs.

Once the review and checking is over and the planner is satisfied, then attention is turned toward the development of a comprehensive plan. It must be kept in mind that the planner, while going through the stages prior to checking and review, and while developing a comprehensive plan should remain free from influence of outside factors, except as he feels they are necessary elements. The checking and review is included for this purpose of letting others have their say, and other than this, the planner, as a professional, should remain as autonomous as possible. In the creation of the comprehensive plan, the main concern is to develop a plan for community action. Included in the plan are certain future elements such as objectives, policies, and land use plan (sometimes mistakenly thought to be the master plan), and a series of more detailed plans including

the transportation system, utilities plan, public buildings and facilities plan, central area plan, government building, housing plan, industrial and commercial plans, parks and recreation plan, suggested neighborhood or planning unit approach, etc. There will also be certain recommendations (programs) for action—a capital improvement program, land use regulations, building regulations, land value measures, administrative measures amenity and livability measures (standards based on the community structure), housing and renewal proposals, and special project plans.

Finally, it is the job of the planning office to write a report, prepare proper maps and charts that are comprehensible, write regulations, see that all of these are published, printed and distributed to the public, and especially to those who control the power structure, and to present and explain any proposals when called upon to do so.

Presented in page 109 is a generalized flow chart (revised) as suggested by Nims.[56] Although it tends to minimize the feedback effect, it does present a picture of the direction and approach suggested in the above discussion.

Implementation

In the steps of a planning program as described in the last section there are activities, which although necessary to a planning program, may also be considered to be operational (line) activities within the framework of total government. Some of these may or may not be carried out by the planning staff itself; the staff primarily giving advice for these activities. But in some cases, the planning staff may have to assume certain line functions—generally considered to be procedures for implementing the planning program. Depending on the resources available, the activities and that part that planners will assume in implementation will vary. Administratively, they may be set apart as a separate function within the office, allowing more time for the overall functions; and in cases where there is enough money and personnel, a separate agency may be created for administering these line operations. However they may be approached, the following list includes many governmental actions that can be considered relevant to plan implementation. *Since the plan itself is not the end product, these operations are what contribute to making planning a continuing thing—a total process within government.* Each of these has limitation though, and one or all may be necessary, depending on the situation in which they will be used.[57] Generally

[56] Nims, *op. cit.*, Chart A.

[57] Davidoff & Reiner, *op. cit.*, pp. 113-14.

there are two main classes of implementation procedures—(1) formal, usually legal, and (2) informal, usually persuasive and educational in nature. At all times, the goal is plan implementation using the plan as a guide for producing a better environment physically, socially, and economically. The plan, then, is the basis for deriving all actions and in most cases, especially in the formal procedures, *the master plan is a prerequisite.* Although it will not be presented here, it is important to point out that standards must be derived which are applicable to the particular community, based on surveys and plans. One final point is that implementation is now consciously moving away from negative controls to take a more permissive stand—the most important of which are area plans and project plans plus review, with controls and regulations becoming secondary.[58]

Conclusion

All of the proposals presented in this paper are based on a general view of urban planning as process of government. In some countries, urban planning is a local matter, in others it is provincial, but in many of the developing countries of the world it is a matter of national importance and consequently is administered nationally. Since one of the main functions is coordination, thus providing a more efficient distribution of resources, urban planning should be recognized at the top level of government, probably within the agency concerned with overall planning for the nation, or at least with overall domestic policy.

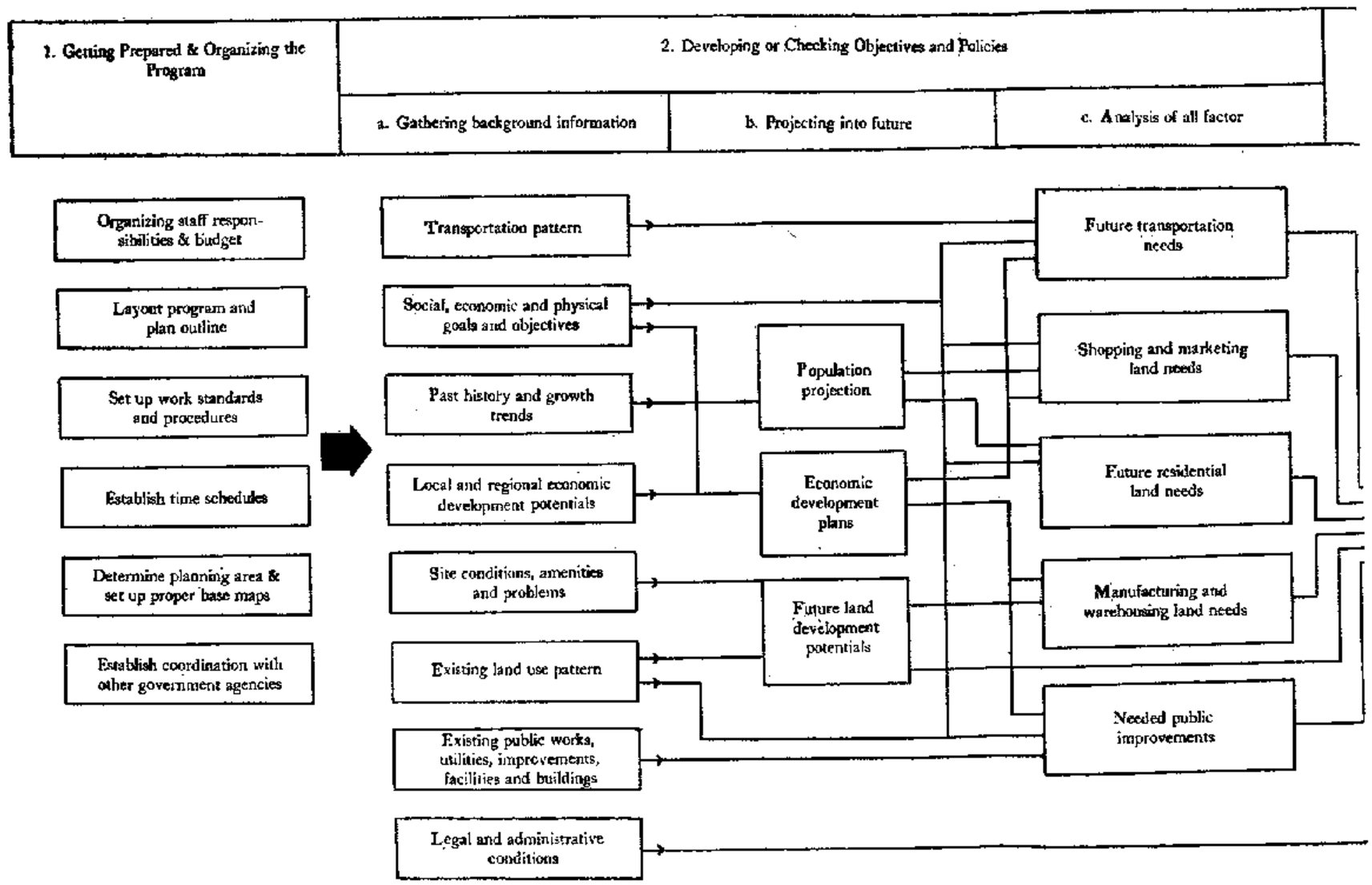
It has been suggested that the following steps be taken to put physical planning into its proper perspective in countries where economic and social planning at the national level is regarded as important:

1) There should be a unit concerned with the overall physical development pattern;

2) There should be a manual indicating the methods of preparing master plans and the items which should be included in such plans by government departments and agencies;

3) There should be created a review and coordination function related to the work of the overall physical development unit. The responsibilities would be to assist in

58 Carl Feiss, "Planning Absorbs Zoning," *Journal of the American Institute of Planners*, XXVII, No. 2, (May, 1961), p. 125.


1. Getting Prepared & Organizing the Program
2. Developing or Checking Objectives and Policies
a. Gathering background information
b. Projecting into future
c. Analysis of all factor
Organizing staff responsibilities & budget
Layout program and plan outline
Set up work standards and procedures
Establish time schedules
Determine planning area & set up proper base maps
Establish coordination with other government agencies
Transportation pattern
Social, economic and physical goals and objectives
Past history and growth trends
Local and regional economic development potentials
Site conditions, amenities and problems
Existing land use pattern
Existing public works, utilities, improvements, facilities and buildings
Legal and administrative conditions
Population projection
Economic development plans
Future land development potentials
Future transportation needs
Shopping and marketing land needs
Future residential land needs
Manufacturing and warehousing land needs
Needed public improvements

PLANNING PROCESS FLOW CHART

3. Making Preliminary Plan	4. Checking & Reviewing	5. Making Comprehensive Plan			6. Implementation Procedures	7. Review and Revision
		a. Major elements	b. Recommendations for action	c. Completing the plan		

Preliminary General Plan

Clearance through Channels

- Land use plan
- Transportation system
- Utilities plan
- Public buildings and facilities plan
- Central areas and government buildings
- Housing plan
- Industrial and Commercial plan
- Parks and recreation plan
- Neighborhood layout

- Capital improvement program
- Land use regulations
- Building regulations
- Land value measures
- Administrative measures
- Amenity and livability measures
- Housing and renewal proposals
- Special projects plans

Write report
Prepare maps
Write regulations
Publish & printing
Presentation & explanations

- Public regulations, control of development, and use of property
- Coordination of Public Activities
- Public land acquisition
- Design and education

Up-dating of data
Analysis and plan review
Necessary revisions of plan

the establishment of planning units and to stimulate and assist government departments and agencies in the preparation and revision of physical plans;

4) There should be collaboration between the over-all physical development unit and other appropriate officials in preparing physical, social, and economic criteria to help guide budgeting decisions.[59]

Whether or not the government recognizes the need for physical planning, the importance of the ideas suggested herein exists in the fact that planning, no matter for what purpose, is an important element of government operations (line or staff). The purpose of evaluating goals and objectives as means for measuring action is of prime importance. Also, a plan or program is not simply a policy, but an important means for implementing policies or helping to define policies; and the importance of distinguishing, selecting, and deriving means and criteria for resources use is a most essential action for all countries of the world. Planning as a necessary step in good government cannot be overlooked.

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[59] Charles M. Haar, Benjamin Higgins and Lloyd Rodwin, "Economic and Physical Planning: Coordination in Developing Areas," *Journal of the American Institute of Planners*, XXIV, No. 3, (August, 1958), pp. 172-73.