

INTEGRATING ADVANCED PLANNING WITH THE
CAPITAL IMPROVEMENTS PROGRAM

by

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I. INTRODUCTION

A. PROBLEM STATEMENT

Planning theorists and practitioners have long noted that plans are often not successfully carried through to the implementation stage. This "implementation gap" was reported in the August 1980 issue of the Kansas Government Journal as one of the problems plaguing Kansas governments. (4: 226) For municipalities, the problem involves making the jump from a plan, often a comprehensive, long-range one, to the various devices available to a city for acting on the environment, e.g., zoning, subdivision regulations, annexation, taxation, special districts and the capital improvements program or CIP.

An interesting and important part of the problem generalized above is the relationship between the advanced planning process* and the capital improvements program. The CIP delineates and specifies the timing, sequence, location and costs of public improvements, which can, in turn, generate effects larger than the improvements themselves. For instance, a programmed road extension can generate land speculation in its environs, or the sizing of sewer lines might influence the density of development in an area. These effects, coupled with the significance of public improvements in themselves, point to the need for a strong relationship between a rational determination of community needs, as formulated through a formalized planning process and the CIP.

Yet, this relationship is often lacking, for a number of reasons. For one, city policies and recommendations may become incomprehensible by the variety of inputs necessary for realistic programming, emanating from diverse sources such as city line departments (public works, police), the finance department, chief executive, planning department, CIP review committee, political

* See p. 3 for definitions.

leaders and the citizens of the community. Also, the instruments designed for expression of the city's recommendations, such as the comprehensive plan, may be ineffective either because they are not formulated properly or because administrative processes and structures relating them to the CIP are not developed. Lack of resources, financial or otherwise, is another problem that faces all cities to a greater or lesser degree and limits their ability to articulate policy recommendations as a factor in determining the nature of capital facilities. These problems will be addressed in the following sections.

B. PURPOSE OF THE REPORT

Although the need for better integration between advanced planning and the CIP is well documented, there appears to be little research into how this integration may be achieved. In his book, Urban Land Use Planning, F. Stuart Chapin notes that further research is needed in linking planning to action.

(2: 102) More specific to capital improvements, another source notes that

what is missing from much of the literature describing the attempts to link capital facilities planning to development goals are descriptions of administrative structures and processes in sufficient detail to serve as a guide to other communities. (1: 81)

This report will focus on the process of linking planning to action by concentrating on the relationship between advanced planning and the capital improvements program. Alternative processes and organizational structures allowing the CIP to better reflect stated policies, goals and objectives will be examined. Hopefully, the report will help planners and potential planners develop practical strategies for implementing advanced plans through the CIP. In covering the CIP itself, the report will also make planners more aware of its formulation.

C. STUDY SCOPE AND DEFINITIONS

The report is primarily concerned with the relationship between advanced planning* and the capital improvements program** within municipal governments. A sample of some specific areas to be covered includes: 1. the degree to which advanced planning influences line department decisions in formulating project requests for the CIP, 2. the role the municipal planning function plays in reviewing a proposed CIP, and 3. the ability for the plan document to be "translated" into a CIP. Alternative processes and organizational structures for improving the linkages between advanced planning and the CIP will be the focus of the report, however. These may be expected to include methods for improving the dialogue between municipal agencies, capital project rating using city policy rating criteria, and ways that the advanced planning process can incorporate inputs from those responsible for influencing the CIP (line departments, the finance officer, political leaders, citizens, etc.).

To limit the scope of the report to a manageable form, the report focuses on Kansas municipalities with an in-house planning function (planning commission or planning staff and commission). This, of course, does not necessarily preclude the adaptability of the findings to municipalities in other states or to other levels of government.

D. RELATED ISSUES

Some issues related to the topic include: the structure of comprehensive

- * Capital improvements programming- planning to "authorize, acquire and/or construct a number of capital improvements, according to a schedule over a fixed period of time." (3: 3) Capital improvements are major projects that frequently require funding outside of normal operating revenues.
- ** Advanced planning- adapted from Chapin's concept of advance plan making: "the formulation of coordinated sets of land use and guidance system proposals, set up ahead of time to assist in making whole classes of subsequent planning and action decisions." (2: 69) Also, to expand on Chapin's definition, planning aspects besides land-use will be included in the concept, e.g., transportation, community facilities and services, etc.

plans, growth management, debt management, and the technical aspects of fiscal impact analysis, cost/benefit evaluation, and revenue and expenditure projection. These all provide necessary inputs into attempts at integrating advanced planning with the CIP. They are, however, large subjects in their own right and will not be covered in great detail. Also, though the capital and operating budgeting process can be viewed partially as an output of the CIP process, it will not be covered in detail because its time-frame is too immediate (see the definitions on p. 3).

E. FRAMEWORK AND METHODOLOGY

The remainder of the report is organized as follows.

II. Background:

Opening with a general description of the capital improvements programming process itself, and the reasons for preparing a CIP, this section will next describe the major elements of the advanced planning process and relate the reasons why advanced planning should precede the formulation of the CIP as a justification for efforts to do so.

III. Study of the Status of Advanced Planning and its Relationship to CIP Formulation Among Kansas Municipalities:

Before alternative processes and organizational structures for integrating advanced planning with the CIP can be proposed, it is necessary to identify the current problems of its integration with advanced planning so that they will be addressed by the alternatives presented. The problems dealt with by Kansas municipalities with an existing planning function are recorded in this section. They were not identified by directly contacting the municipalities, but by selectively interviewing several professionals with a more overall perspective of the problems faced in Kansas. Their response was synthesized into a number of conclusions regarding the "implementation gap" discussed above. In addition, their ideas regarding possible solutions to the problems were recorded and used in formulating alternative processes and structures for

integration.

IV. Objective:

Based on the discussion and study contained in (II) and (III), this section states the objectives to be achieved by the alternative integration processes and structures, contained in (VI).

V. Objective Criteria:

After presenting the objectives to be achieved by the alternative methods, criteria are developed upon which to base an evaluation of these methods. Some examples of objective criteria are the costs and complexity of the proposed process and its ability to integrate inputs from many sources both inside and outside of the municipal government.

VI. Presentation of Alternatives for Integrating Advanced Planning With the Capital Improvements Programming Procedure:

Based on the study contained in (III) and a survey of the literature on the topic, several alternative integration approaches are presented. These alternatives are evaluated using the objective criteria developed in (V) in an effort to show their workability at solving the problems with planning/CIP integration among Kansas cities. The alternatives include administrative structures, improved information flows, decision-making techniques and processes with varying degrees of simplicity and ease of implementation.

REFERENCES

- 1 American Society of Planning Officials. Local Capital Improvements and Development Management. Washington, D.C.: HUD, Office of Policy Development and Research, 1977.
- 2 Chapin, F. Stuart Jr. and Kaiser, Edward J. Urban Land Use Planning. 3rd ed. Urbana: University of Illinois Press, 1979.
- 3 League of Kansas Municipalities. A Guide for Capital Improvements Programming and Budgeting in Kansas Cities. Topeka: League of Kansas Municipalities, 1975.
- 4 Neu, Carl H. and Sumek, Lyle J. "Municipal Leadership Issues: Current Trends and Implications." Kansas Government Journal (August 1980): 225-7.

II. BACKGROUND

A. GENERAL DESCRIPTION OF CAPITAL IMPROVEMENTS PROGRAMMING

The capital improvements program is a schedule of major non-recurring public expenditures for physical facilities, usually prepared for a 6-year period along with an estimate of costs and revenues. The purpose of a CIP is to develop an orderly schedule of improvements needed by a community and to provide a means of evaluating the long-range needs of the community. Capital programming goes beyond just determining needs by providing a device for establishing priorities and offering a means of analyzing the city's ability to pay for major improvements. Not only can a CIP help to schedule and coordinate projects, it can help to clarify a desirable pattern of distributing funds. (3: 36)

It is easy to understand capital improvements programming as a step by step process. Following is a somewhat generalized description of each step:

1. Establishing CIP policy and procedures-- for cities that never produced a CIP, this stage involves:
 - a. Deciding who will serve as the coordinator of the programming process. Alternatives might be the city manager and staff, mayor, planning director, or a committee composed of key department heads, political leaders and members of the planning commission or school board. Choice is determined on how efficient or representative a process is needed.
 - b. Determining the nature of projects to be included in the CIP-- whereas outlays for building renovation or items such as pumps and police cars might be determined to be relatively minor and recurring expenditures in larger cities, and therefore to be included in the operating budget, a small town would find them major and non-recurring and thus appropriate elements for the CIP.
 - c. Determining the capital programming period-- although accuracy is lost when programming extends for more than two or three years into the future, there are several advantages to forecasting beyond this range (see II B). Consequently, most cities project for a five or six year period.

- d. Establishing a capital improvements programming calendar-- policy on who undertakes each programming activity and when.
- e. Developing a financial policy-- establishing limits to property tax rates and levels; limiting other revenue sources, especially debt service levels; and developing a policy on general expenditure types and usage of outside funding. (9: 8-12)

For cities with existing CIP policies and procedures, this step merely involves their update or modification to reflect changing conditions.

2. Formulating project requests-- although political leaders, the planning department and the general citizenry may draw up and submit requests for desired capital projects, typically, most requests come from the various city line departments, such as public works, sanitation or fire. Before developing requests, it is necessary for the departments or finance officer to inventory existing capital facilities. The inventory determines the condition of the facility. Also, a system for determining usage levels and operating costs over time should be developed as a means of establishing policy on when maintenance outlays, expansion or replacements are justified. The status of the capital program should then be examined to see which projects should be rescheduled, modified or eliminated. (7: 115-16) Requests fall into three categories, each requiring a different initial procedure:

- a. Requests representing maintenance of existing service levels-- data on existing facilities coupled with a policy on minimum levels of service acceptability should define the scheduling and nature of a maintenance program.
- b. Requests for expansion of existing services to new areas-- the city comprehensive plan should indicate patterns of growth in the city and where new public facilities will be required. This data should provide a background for project plans and requests, particularly for new utility

lines and parks.

- c. Requests for service improvements-- this type of request represents an innovation, in that no comparable services are currently provided. Citizens' demand on political leaders for new facilities and community goals and objectives, contained in various planning documents, are especially important because community needs may not be anticipated by department personnel. Also, some programs may not fit into existing structures, so requests would be handled by the city manager, planning staff or city council (commission).

All types of requests should contain the following information: project name and reference number, requesting party, brief description of the project, the reasons it is needed and discussion of its relation to city plans and policies, year(s) in which expenditures will be made, amount of expenditure, type of expenditure (planning and design, land acquisition, construction, equipment, etc.), proposed location, funding sources (current revenues from the general fund, enterprise revenues, federal and state funding, special assessment, debt funding, etc.), amount and type of annual operating budget impact, and data on the current status of the project. The last item is needed because most capital projects are multi-year ventures, e.g., the land for the facility was acquired this year, but engineering and construction are scheduled for future years. Thus, a record of cumulative appropriations, expenditures and encumbrances is maintained. The departments may seek the advice of the city engineer on pricing projects and the finance officer, bond counsel, planning department, etc., on available funding sources. The detail of project information will be much greater the closer the year of the proposed appropriation.

3. Developing a financial plan-- the first step in preparing a plan for financing the project proposals is to develop forecasts of the city's future operating expenditures, debt service, and recurring revenue sources,

e.g., sales and property tax (but not special assessments). Revenue and expenditure forecasts are developed prior to CIP project selection because, together with the fiscal policies (see p. 7) they indicate the extent current revenue may be applied to the CIP and the amount of debt which may legally be incurred, thus establishing limits on the number of projects to be included. Although the requests, developed primarily by the departments, contain funding preferences, fiscal forecasting may show a need for funding shifts. The fiscal plan, when finalized, is integrated with the completed CIP.

4. Project review stage--

The objective at this juncture is to pull together a CIP that is sensitive to the policies that have been adopted; that contains projects related to city development objectives; and that results in a product that the manager or mayor can submit to the city's legislative body. (4: 135)

The review stage is the most crucial programming step because it represents the first effort at establishing priority projects for inclusion in the CIP.

The program coordinator(s) (see p. 6) serve as the review entity. Inputs into project review are completed project requests submitted by the departments, financial projections, financial policy (p. 7) and policies, goals, objectives and recommendations from various sources, including the planning documents. The coordinating agency should first develop standards or criteria for determining the urgency, and thus the scheduling of projects, keeping in mind the political acceptability of each proposal in addition to city policies, goals, etc. The possibilities of combining projects, developing better alternatives and exploring opportunities for intergovernmental or private sector cooperation in service provision should also be explored. Comments from the planning commission and review of city plans is an especially important element of this process. The departments also have the opportunity to present their requests to the

coordinating entity at hearings.

In general, there are two systematic methods used to attach a priority (urgency) rating to proposals. The first uses criteria that stress the unquantifiable nature of values, such as the protection of life, health and public safety; maintenance of existing investments or provision of social benefit. The second approach seeks to quantify as many of these values as possible, using mathematical calculations to rate, or establish the relative merit of each proposal. (12: 36-8) Because of the uncertainty in attaching numerical quantities to values, the second approach is used only in an advisory way with the first approach to determine the projects to include. Usually, however, priority determination is a highly unsystematic process involving extensive negotiation and "haggling" between the various parties at interest.

When consensus is reached, the projects and their plan for financing are submitted by the chief executive and become the executive capital improvements program.

5. Legislative review and approval-- copies of the executive CIP are made available to the city councilmen or commissioners for their examination. Typically, the legislature allows the various department heads to discuss their proposals in executive sessions with them and in public hearings. It is more common for the municipal legislature to delete projects from the CIP than to add them, however, if issues dictate that expansion or addition of programs should be made, the coordinating entity should be allowed to comment on these. After final determination of the impact the proposed CIP would have on the operating budget, and funding levels are made, the legislature adopts the first year of the capital program (called the capital budget) as a companion to the operating budget. The remaining four or five years of the program are accepted subject to revision with each

successive year. Authorization of funding initiatives (bond sales, special districts, grant applications) are also made for the capital budget, some of which are subject to voter approval, as usually required by state law.

6. The capital budget year-- municipalities commonly use the calendar year as the fiscal year. Capital appropriations are made for this period and their use is monitored by a manager assigned to each project. The manager then informs the coordinating entity of the progress made in project implementation.

B. REASONS FOR CAPITAL PROGRAMMING

While one might recognize the need for a capital budget as a means of specifying what capital projects will be undertaken in the next year, as well as the levels and sources of funding for those projects, the need for scheduling activities several years in advance may not be as obvious. The following list includes input from several sources, (8: 104-5; 6: 4-5; 13: 1-2) justifying the effort of going beyond a capital budget to a five or six-year capital program.

1. Avoiding waste in resources and opportunity-- knowledge of what activities are likely in the future can preclude wasting resources in the budget year. For example, a city may need to reserve land now to meet a deadline for a federally-funded project to be constructed on that land in a coming year. Likewise, opportunities may pass if they are not identified enough ahead of time to preclude other events, as when the opportunity for redeveloping a CBD passes after the opening of a suburban mall makes it an unrewarding venture.
2. Directing attention toward community goals-- the preparation of a CIP allows community leaders and administrators to focus attention on goals because the multi-year perspective requires decisions be made on which projects are most capable of meeting goals and solving problems and, hence, to be scheduled for the near future. Without such a mechanism, projects of varying

importance might receive similar attention in a capital budget.

3. Improving citizen involvement-- the programming process allows and often solicits citizen and group input in both its executive and legislative stages. Community needs are thus expressed in a direct manner. Once the CIP is approved and published, it becomes an instrument for informing developers, investors, governmental entities, community groups and the general citizenry of the municipality's intentions. They are thus able to plan for their own activities.
4. Improving intergovernmental coordination-- knowing what projects are likely to be undertaken in the next few years buys time to coordinate projects with other jurisdictions, thus avoiding waste. There is a greater likelihood taxpayers will approve funding initiatives for coordinated, rather than uncoordinated projects.
5. Improving intragovernmental coordination-- by requiring an analysis and statement of future needs, departments are more certain of their own intentions and can pattern more immediate actions accordingly. Advanced knowledge of the intentions of other departments also improves the execution of interdepartmental programs.
6. Enhancing opportunities for receiving federal and state aid-- federal and state programs providing financial assistance for local projects often require long waiting periods before funds become available. It is therefore important that the need for projects be addressed now, and their effect on other program items analyzed so as the properly time the steps required preparatory to funding.
7. Stabilizing financial programs-- because unprogrammed capital projects tend to be concentrated in rather short periods of time, followed by periods where project activity is at a minimum, sharp changes in bonded indebtedness and the tax structure may occur, causing debt payment problems, political

dissatisfaction, uncertainty on the part of potential community investors and potential loss in credit rating. Projects should therefore be timed in a CIP so that their aggregate financing level is relatively constant.

C. GENERAL DESCRIPTION OF THE ADVANCED PLANNING PROCESS

Capital improvements programming does not take place within a vacuum. Each participant in the process has made at least some prior determination of what they would like to see in the program. Such determination represents a planning process, though it may not be called "planning" or be centralized within a planning department or commission. Often the planning done is highly fragmented and unsystematic, thus wasting the potential of the CIP. The next section discusses the problems encountered with this approach and explains the reasons why the CIP should be integrated with a more coordinated set of proposals as formulated through an advanced planning process. First, however, it is important to explain the essential steps of advanced planning, the various levels at which it occurs, some common organizational structures for planning and the different views on the nature of planning.

The planning process is a problem-solving method. The steps followed in formally solving a problem are:

1. Defining the problem so as to build on available knowledge.
2. Obtaining information essential for dealing with these problems.
3. Analyzing and interpreting these data in accordance with clearly defined rules.
4. Communicating the results of these efforts to others. (10: 1)

Several factors distinguish the public planning process from this model. First, the problem to be solved is a collective one, hence it must be presented to the public (or representatives of the public) to determine its salient features. These become the goals and, on a more operational level, the objectives of the community regarding the problem. Next, criteria are developed from the goals. These may be thought of as the "clearly defined rules" that help in determining the degree to which certain alternative solutions would accomplish

the goals and objectives. For example, if locating a new jail facility so as to save on operating costs were an objective of a city, the distance from the proposed jail to court would be a criterion upon which to evaluate the adequacy of several proposed locations, because costs of transporting prisoners would likely increase with distance. The development of alternative solutions and evaluation of these to determine the most effective one can be equated with steps two and three of the problem solving process because they involve gathering relevant information on the problem and analyzing data. Communicating the results (step four) in public planning occurs where a solution (recommendation) is placed before a legislative body for review and adoption. To summarize the planning steps, the following list of elements in the advanced planning process is presented.

1. Problem analysis.
2. Formulation of goals, objectives and criteria.
3. Formulation of alternative solutions.
4. Evaluation of alternatives.
5. Adoption and the advocating of particular plans and policies. (2: 61)
(The plans should include recommendations representing the best alternatives for accomplishing the goals plus means of carrying out the recommendations.)

These steps do not necessarily occur in sequence and in actual practice some may only be tacitly considered, as where there is only one realistic way of accomplishing a goal, making consideration of all other alternatives unnecessary.

The documented results of the planning process represent community decisions intended to influence municipal actions at several levels. At the least operational level are municipal policy statements regarding generalized directions the city would like to take such as the type of industry to actively attract, the areas where future growth should occur, or the number of people to be served by each operating facility (swimming pools, fire stations, etc.). Policy statements at this level are not the result of the complete planning process. Rather, they are only a statement of goals for the community upon which further planning may be based.

Perhaps the most discussed advanced planning activity is the preparation of the comprehensive plan-- sometimes called a master plan. The comprehensive plan is tied more to specific situations than are municipal policy statements, yet it is usually a general, rather than a specific guide to utilization of the municipal powers: the police power (zoning, subdivision regulations, building codes, etc.), the power to spend (influenced by operating and capital improvements budgets and programs, revenue generating practices, etc.), the autonomy to annex land to the city, the power of eminent domain and to inform and exhort. The following excerpt from the Kansas Statutes Annotated explains the requirements to be followed by the planning commission in formulating a comprehensive plan:

12-704. Powers and duties of commission; comprehensive plan; review. The planning commission is hereby authorized to make or cause to be made a comprehensive plan for the development of such city and any county in which such city is located, which in the opinion of the commission forms the total community of which the city is a part. In the preparation of such plan, the planning commission shall make or cause to be made comprehensive surveys and studies of past and present conditions and trends relating to land use, population and building intensity, public facilities, transportation and transportation facilities, economic conditions, natural resources, and may include any other element deemed necessary to the comprehensive plan. Such proposed plan, which may in addition to a written presentation, include maps, plats, charts and other descriptive matter, shall show the commission's recommendations for the development or redevelopment of said territory including: (a) The general location, extent and relationship of the use of land for agriculture, residence, business, industry, recreation, education, public buildings and other community facilities, major utility facilities both public and private and any other use deemed necessary; (b) Population and building intensity standards and restrictions and the application of the same; (c) Public facilities including transportation facilities of all types whether publicly or privately owned which relate to the transportation of persons or goods; (d) Public improvement programming based upon a determination of relative urgency; (e) The major sources and expenditure of public revenue including long range financial plans for the financing of public facilities and capital improvements, based upon a projection of the economic and fiscal activity of the community, both public and private; (f) Utilization and conservation of natural resources, and (g) Any other element deemed necessary to the proper development or redevelopment of the area. (5: 78)

Of special importance to capital improvements programming are requirements d and e.

At a more detailed level are plans and reports that recommend actions for a

much shorter time-frame into the future than the comprehensive plan (which is typically 20 years). Other plans may detail only one element or dimension, such as water improvements or solid waste disposal, or a specific area of the city, such as the central business district. In preparing these plans, the same basic process is followed, only at a more operational level.

Ideally, the policy statements will be influential in the formulation of both the comprehensive plan and any other plans which are produced. Similarly, the "operational plans" should be an extension of, or at least not be in conflict with, the comprehensive plan. All instruments should ultimately guide municipal actions, though at different levels. For example, a community policy on equitable revenue sources would influence a series of ordinances to raise user charges and perhaps lower property tax rates. At a more detailed level, a water resource plan might influence the depth of a new municipal well.

The advanced planning function, when centralized, is usually placed in one of three alternative settings relative to the formal organization of municipal government. These alternatives are diagrammed in Fig. 1. All three patterns employ a planning commission as a link between the planning staff and governing body. The planning commission is appointed from the general citizenry by the chief executive or by the governing body. The commission's responsibility in preparing the plan has already been noted (p.14). Moreover, the commission fills three roles:

1. the representation roles, bringing detailed knowledge of the community and the attitudes and values of its citizens to bear upon public actions to guide development;
2. the interpretive roles, seeking to inform, promote, and stimulate interest in planning and to protect the professional staff from public misunderstanding; and
3. the advisory roles, involving assistance in formulating development policy and helping to coordinate the total governmental planning effort. (4: 69)

In smaller communities, the planning commission must usually rely on consultants to provide technical assistance in preparing the comprehensive and other plans. When an in-house planning staff is employed, it may be considered

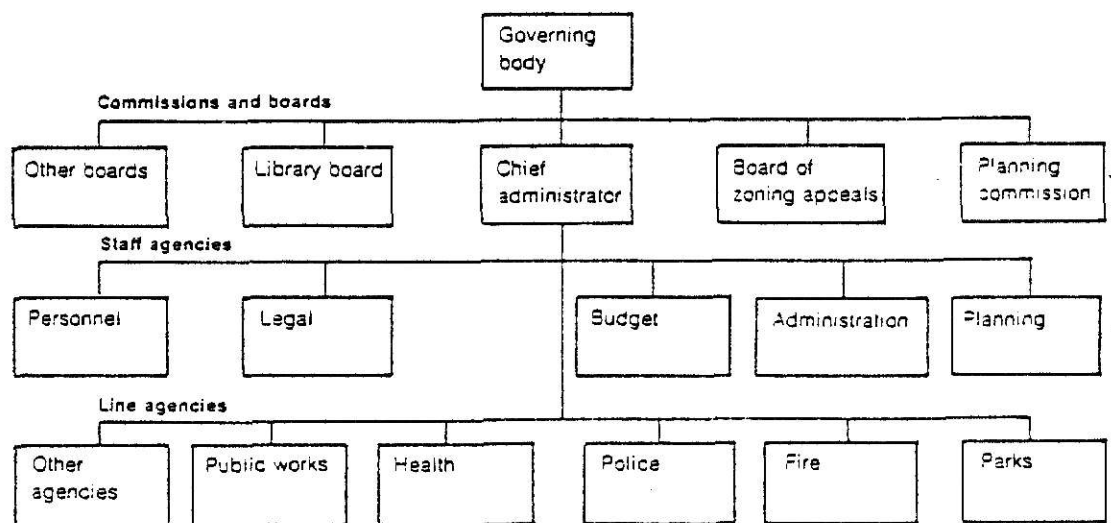
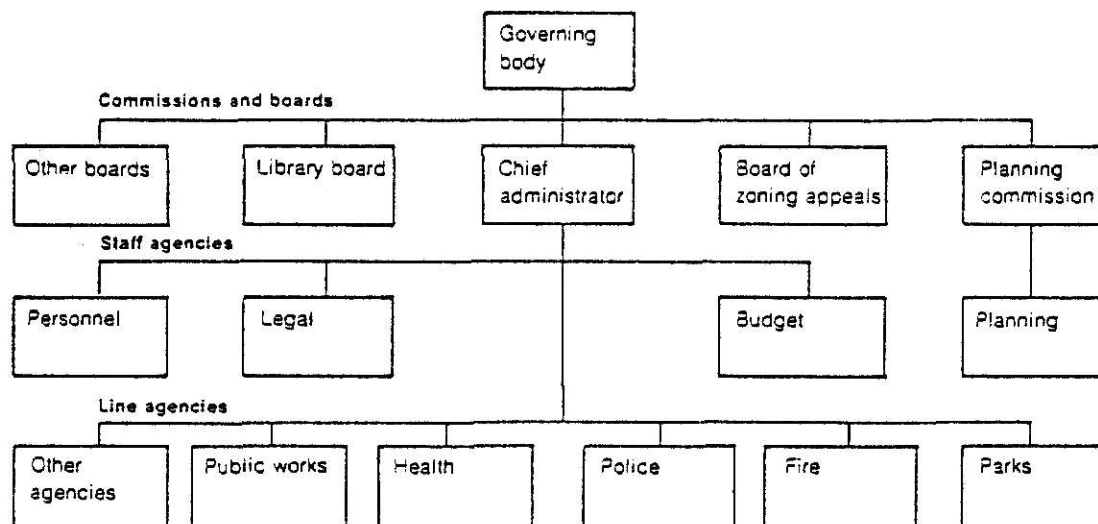


Fig. 1. Alternative Models for a Planning Organization

(4: 70-1)

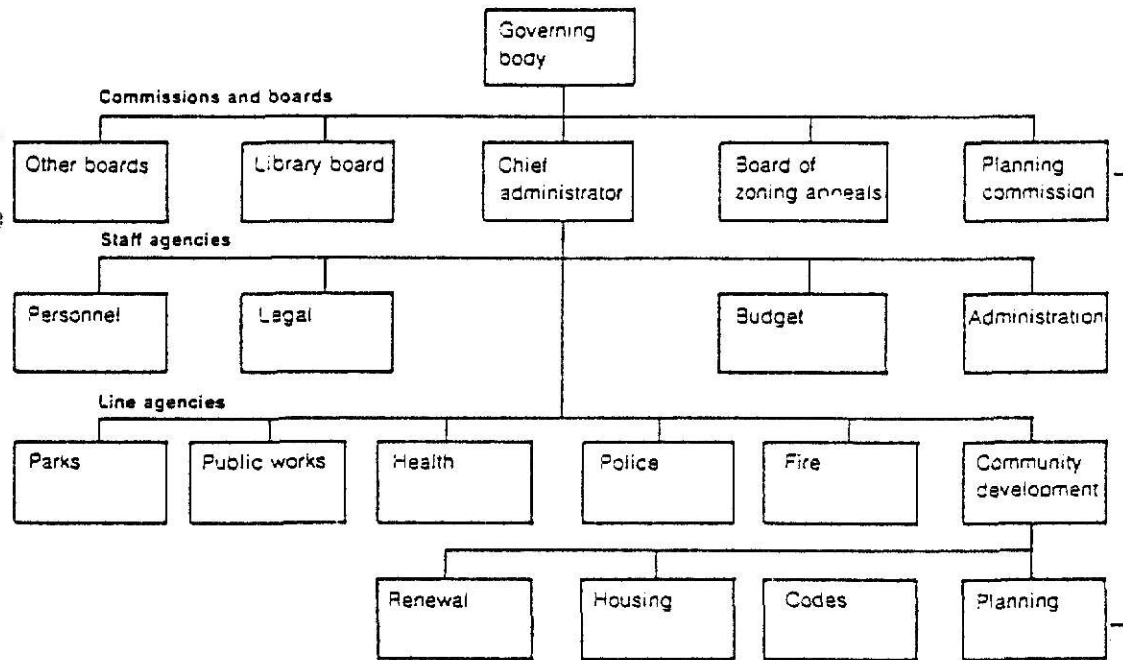


Fig. 1. (Continued).

as a staff agency and placed under the direction of the commission or it may be placed under the chief administrator with the commission providing only general policy direction. If it is considered as a line agency, it may become a function under the community development department or other line departments, such as engineering. Here also, the commission provides only general policy direction to the agency's activities.

Internally, the planning department may be specialized by function, process, time frame associated with the work done (long or short-range planning), geographic area of the city or a combination of these. (4: 75)

A final note should be added regarding the nature of advanced planning. The planning structures and processes described previously, though commonly employed in practice and supported by planning enabling legislation, are not universally subscribed to by planning practitioners and theorists. While some writers believe planning should be a highly "rational" activity, i.e., it should be formally structured, allowing all conceivable information to influence determination of the best alternative among many achieving desirable future conditions, others believe such a model is unattainable due to resource constraints and would rather allow "unrational" inputs, such as political bargaining influence the future of the city incrementally. Most planners share both approaches to some degree. While realizing the direction and avoidance of problems achieved by applying a pre-determined and detailed "best" solution to future problems, they recognize that the intricacies and uncertainty of human behavior tend to preclude finding such a solution, leaving many aspects of problems to be addressed pragmatically. Their preference is reflected in a trend in comprehensive plan orientation away from the "long-range proposition" toward a policies plan that examines "present conditions and problems, establishes policies to deal with these, and then recommends specific techniques and priorities for changes and improvement." (11: 64) They also

increasingly recognize the need for better interaction with municipal entities, especially political leaders, to improve the value of their work.

D. WHY ADVANCED PLANNING SHOULD PRECEDE THE FORMULATION OF THE CIP

Although formulating a CIP is itself a planning function, in that it involves making decisions that will guide actions several years into the future, there are several reasons why the programming process should be preceded by advanced planning.

1. Long-range orientation-- not all planning has a long-range orientation, but long-range consideration should precede the CIP. Three general reasons are given below:
 - a. Identification of future problems-- projecting community systems into the future should help identify what should be done to check the occurrence of future problems, i.e., they should help in formulating objectives regarding the problem. For instance, a study indicating that an environmentally sensitive area will become attractive for development in several years may lead the community toward the objective of discouraging growth in this area.
 - b. Avoidance of future problems by today's actions-- the long-range orientation does not become essential, however, until an action is required now to avoid future problems. This is important in determining recommendations toward already formulated goals. In the example above, the planner may have recommended to purchase development rights now rather than paying a higher sum later in order to accomplish the objective of managing growth. A city may wish to place a sewer line under an unpaved road now, before it needs surfacing, rather than waiting until it is justified by new development and tearing up the pavement. Numerous "crisis" situations can be avoided by anticipating problems and taking action before they occur.

- c. Anticipating the implications of long-range expenditures-- a city should be responsible not only to its current residents, but also its future residents. Because most capital facilities will have long-range implications, it is necessary to evaluate alternative programs in terms of their long-range impact on community relationships. These effects cannot be anticipated without the basis of a comprehensive plan.
2. Goal orientation-- an essential feature of a plan, whether it has a long or short-range orientation, is a statement of goals and objectives the community would like to accomplish through future programs and activities. These may be oriented toward general opportunities, e.g., making the CBD a more attractive area in which to shop, or specific problems (usually of a more immediate nature), e.g., widening a major thoroughfare through town. Regardless of their level, statements of goals and objectives have the following advantages:
 - a. They can direct activity toward a common end. The danger in relying on capital programming is that diverse objectives emanating from many interests, both inside and outside of municipal government may be impossible to focus during the stages of executive and legislative review. Assuming that the planning process includes an effort to determine goals of community consensus as well as weighting conflicting goals against each other (e.g., more central area parking vs. mass transit), these difficult determinations will not have to be estimated in formulating the CIP.
 - b. A broad range of input is utilized in their formulation-- many planning departments put special effort into obtaining citizen input in goal determination. This input, coupled with knowledge of community systems and problems provides a broader and more realistic basis for programming than do objectives made within the individual departments

or by political adventurers.

- c. They are statements of operating needs-- capital projects should not be viewed as ends in themselves, but rather means toward accomplishing operating objectives. (8: 98) A fire station meets the operating need of providing fire protection and a park meets the operating need for increased recreation. Goals, when stated as operating needs to be met, clarify the real purpose of capital projects.
3. Consideration of alternatives-- the planning function should also identify and evaluate alternatives for reaching community goals. The evaluation may be between several projects which could potentially appear in the CIP or between project and non-project alternatives, as where the need for a new indoor recreation center could be met by more fully using existing facilities in the schools.
 4. Coordination-- because the centralized planning function deals with numerous dimensions: housing, transportation, land-use, recreation, etc., and because it is concerned with influencing the powers used by a municipality to modify the local environment, it is in a position to coordinate the activities represented by these elements. Advanced planning should also address opportunities for interjurisdictional coordination. Coordination through advanced planning is further discussed below:
 - a. Interdimensional coordination-- is addressed by the "comprehensive" nature of the comprehensive plan, which should insure that all relevant dimensions are related to each other. Although the comprehensive plan contains sections dealing with each dimension, plans focusing on only one or two may also be comprehensive if they tie in considerations from dimensions not explicitly covered. For instance, coordination between a thoroughfare plan and the social dimension would be indicated if it recommended that proposed routes not split existing social areas. If it "tacitly" considered all other relevant dimensions, it could be

considered a comprehensive thoroughfare plan. Without having previously determined how recommendations concerning specific dimensions can also enhance other dimensions, it becomes difficult in the project review process to take advantage of the numerous opportunities to do so, especially when line departments (usually representing different dimensions) see each other as adversaries.

- b. Integrated powers-- the capital improvements program is a means of determining how a municipality should best use its power to spend. This, however, is only one facet of the total power available to a city government for controlling and influencing the community. The others include the police power, annexation, the power of condemnation and the power to inform and exhort. The most obvious example of integrated powers occurs in the area of growth management, where all or some of the following specific devices are coordinated: the CIP, zoning and subdivision ordinances, service districts, land acquisition, negotiation, and formal and informal pricing policies. (1: 32) The plan can insure that conflicting goals are not served by different instruments. For instance, a water main may be undersized in an area to be zoned for high intensity use, representing a conflict between the CIP and the zoning regulations.
- c. Interjurisdictional coordination-- there are numerous opportunities to eliminate duplication in services through intergovernmental agreements, resulting in facilities such as city/county jails, shared community centers, treatment plants, etc. Often, this type of coordination is used with semi-public or private concerns as well. Treated wastewater may be used to cool a power generating plant, or a private irrigation company may arrange for water stored in its reservoir to be diverted for municipal use.

- d. Interproject coordination-- most proposed projects have at least some relationship to other projects. Advanced planning can identify these linkages and enhance them, or generate ideas for compatible projects where they otherwise would not have been formulated. For example, a project to acquire and develop land for a solid waste disposal site could be linked to a proposal for a new park once the site is filled. This advantage is similar to a., in that interdimensional relationships may be considered.
5. Collection of information-- although the gathering of data on existing and potential conditions in the city is necessary before preceding with the planning steps of identifying problems, goals and objectives, and evaluating alternative recommendations, the presentation of data should not be the focus of a plan. Even so, the information gathered in the preparation of a plan is often the most important link between the advanced planning process and the CIP because department heads and others employ it in their own planning for potential projects.

To summarize, advanced planning should precede the formulation of the capital improvements program to increase the effectiveness and efficiency of municipal operations. Effectiveness is enhanced when projects are coordinated in an efficient fashion.

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III. STUDY OF THE STATUS OF ADVANCED PLANNING AND ITS RELATIONSHIP TO CAPITAL IMPROVEMENTS PROGRAMMING AMONG KANSAS MUNICIPALITIES

A. EXPLANATION AND METHODOLOGY OF STUDY

A study was undertaken to determine the current status of planning and its integration with the CIP among Kansas municipalities with an in-house planning function. It represents a statement of needs towards which objectives for alternative integration solutions are directed.

The study employed a survey of several Kansas officials (see appendix) who were selected based on their demonstrated knowledge of the areas of planning and/or finance, plus their more statewide perspective on conditions within Kansas municipalities (as opposed to only single city orientations). The complexity of surveying representatives from numerous cities throughout the state and synthesizing large volumes of data was thus avoided. Also, it is hoped that the approach taken insured a greater degree of candor, as particular cities were not spotlighted.

The survey instrument was a questionnaire (see appendix) administered in person. Both a one to five rating scale and a series of open questions were employed, however, the entire questionnaire was used only as a tool to generally guide responses, rather than to rigidly categorize them. Respondents were asked to give general impressions on conditions within the state as a whole, rather than focus on particular cities.

The questionnaire is divided into three sections. The first two request information on the conditions and problems of municipal advanced planning and capital improvements programming, respectively, and also their relationship to each other. The questions detail particular aspects or steps in these processes, but each section also includes requests for more general impressions on the nature of advanced planning and the CIP. The third section seeks information on efforts to provide better integration of planning to programming for capital facilities and suggestions for improving the relationship.

B. ANALYSIS AND CONCLUSIONS

No respondent could relate conditions for a complete range of topics covered or city types (size, location, etc.) however, the individuals selected came from a variety of backgrounds, thus their collective response could be expected to provide a realistic perspective on the subject.

Because each question yielded considerable response, it was possible to organize the information in matrix form. One side consists of areas of inquiry, representing survey questions or groups of questions. The other side is areas of response, subdivided into four parts:

1. Current practice-- status of municipal practice relative to each aspect or step in advanced planning, CIP, etc.
2. Satisfaction with current practice-- average of respondents' feelings regarding the adequacy of current practice.
3. Hindrances to effective planning/CIP integration-- elements of current practice that contribute to the plan "implementation gap."
4. Suggestions for improvement-- respondents' ideas on how to better integrate advanced planning and the CIP.

Several additional points should be noted. Only information inferred from the interviews is included. Several matrix elements are left blank because relevant data was not available from the interviews. Also, suggestions for improvement usually, but not always, address the problems of integration identified for each question. Finally, the extent of the problems stated can be determined by noting the degree of satisfaction with current practice. Many problems may be stated, but their salience may be minimal.

The following matrix contains the conclusions of the study.

AREAS OF INQUIRY

AREAS OF RESPONSE

ADVANCED PLANNING	CURRENT PRACTICE	SATISFACTION WITH CURRENT PRACTICE 5= high, 1= low	HINDRANCES TO EFFECTIVE PLANNING/ CIP INTEGRATION	SUGGESTIONS FOR IMPROVEMENT
General Attributes:				
Maximum time into the future considered	Most cities use 20 yrs. for comprehensive plan.	3	20 yr. plan unimplementable unless detailed by short-range (5 yr.) plans.	Anticipate problems and conditions beyond 5 yrs., but recommend action for 5-10 yrs. Incremental plans needed to update comprehensive plan. Frequent update.
Scope- areas of inquiry included	Most cities include enough salient areas, but some plans have unneeded data and some are too physical in nature. Sometimes public facilities not considered.	4	Limited scope conceals need for facilities, making plan ineffective guide to CIP.	In depth consideration, but only of truly salient areas.
Comprehensiveness- integration of all relevant inputs	Generally good, especially in city mgr. cities. Some problems with complex issues, e.g., urban blight.	4	Simplistic problem interpretation, leading to ineffective facility suggestions.	More comprehensive analysis of complex problems.
Comprehensive Plan Elements:				
Goals- whether oriented more toward immediate problems or future possibilities.	Weak part of plan. Most cities don't state goals. Of those that do, usually immediate problem oriented, but trend toward policy plan means more future oriented plans.	1	If immediate problem oriented, goals city should strive for are lacking-- little direction for CIP. If future possibility oriented, difficult to operationalize.	More attention to this stage of planning process. Planning commissions should assist consultants more in setting goals. State goals and objectives.

AREAS OF INQUIRY

AREAS OF RESPONSE

CURRENT PRACTICE	SATISFACTION WITH CURRENT PRACTICE 5= high, 1= low	HINDRANCES TO EFFECTIVE PLANNING/ CIP INTEGRATION	SUGGESTIONS FOR IMPROVEMENT
Recommendations	Many cities don't state recommendations in plan. When stated, are sometimes unworkable with limited resources.	3 If recommendations absent, no basis for implementation strategies. Unworkable suggestions are ignored in CIP.	State recommendations, including land use plan (map). Match recommendations with resources available.
Implementation recommendations (strategies)	Although many cities don't include, when present, tend to be general "nut shell" of what steps should be taken without fiscal consideration.	2 Absence of workable financial implementation strategies in plan. Means toward recommendations not politically workable.	Include "financial package" with plan and consider political and fiscal limitations to implementation.
Short-Range or Narrow Functional Area Plans:			
Existence of short range plans	Common, especially in cities with in-house staff. Often result of fed. requirements or particular interests of commissioner. In small cities, a 10 yr. plan serves as a short range plan because conditions change slowly.	5	
Integration with other elements: comprehensive plan, special studies, exec. policy, etc.	Stronger relation to sources other than comp. plan, usually outside stimulus (fed. directives) but also particular concerns of commissioners.	5	

AREAS OF INQUIRY

AREAS OF RESPONSE

	CURRENT PRACTICE	SATISFACTION WITH CURRENT PRACTICE 5= high, 1= low	HINDRANCES TO EFFECTIVE PLANNING/ CIP INTEGRATION	SUGGESTIONS FOR IMPROVEMENT
Capability of use by departments for CIP requests.	City depts. heavily involved in making this type of plan. Many levels of plan specificity employed. Time range sometimes tied to political terms.	4	Lack of spicificity of some plans limits use by depts. for requests. If time frame too limited, future projects not considered.	
Planning Organization:				
Type of planning staff used	Fewer than 15 in-house planning staffs in state. Zoning admin., engineering dept. or community development dept. often act as planning staff. Consultants heavily used-- also regional staffs, but they consult out too.			
Placing of planning function with respect to remainder of govt.	Usually line function under chief exec. Often attached with engineering, public works or community development depts. Regional staffs considered line.	4	If staff function, tends to be aloof to needs of depts. If line function, can be buried in dept. It is attached with and tend toward narrow viewpoint-- a hindrance to project review.	Place planning staff under chief exec. If attached to other dept., need to distinguish somewhat so it can fairly serve all depts.
Adoption of plans by legislative body	Moderately common. More are being adopted, though it is not a legal requirement.	3	Inadequate commitment of legislative body to plans-- recommendations de-emphasized in CIP.	Should adopt all major plans to enhance commitment to plan recommendations for capital projects.

**THIS BOOK CONTAINS
NUMEROUS PAGE
NUMBERS THAT ARE
ILLEGIBLE**

**THIS IS AS RECEIVED
FROM THE
CUSTOMER**

AREAS OF INQUIRY

AREAS OF RESPONSE

CURRENT PRACTICE	SATISFACTION WITH CURRENT PRACTICE 5= high, 1= low	HINDRANCES TO EFFECTIVE PLANNING/ CIP INTEGRATION	SUGGESTIONS FOR IMPROVEMENT
Additional comments on the nature of municipal planning	Tied to staff size and financial resources-- lacking except in larger towns.	Lack of financial resources for complete planning program.	Planners and planning commissioners need better horizontal and verticle communication. Make affordable comp. plans.
CAPITAL IMPROVEMENTS PROGRAMMING			
Project request stage	Almost all requests from depts. or as response to outside requirements (EPA). Exception: citizens' demand for innovative projects (hard to determine and sometimes conflicting). Mostly requests for coming yr. Little consideration of long-range needs and goals, especially in smaller cities. Instead, maintain current problems (crisis mgmt.). Also, inadequate project development (details and inter-project relations). Many projects assumed un- affordable by political leaders.	3 Inability or unwillingness to seek or produce goals, objectives and data to guide project requests. Planning commissions not effectively advising govt. of citizen needs. Lack of aggression in requesting long-range programs.	Prior determination of need for projects through factual and policy back- ground and clear statements of goals and objectives. Planning commission involvement in requesting less immediate projects and in surveying and conducting hearings with citizens to determine needs, especially for innovative projects (some without rep. from existing depts.). Consider and request less immediate projects. Fuller utili- zation of CIP as a tool to develop and coord. extended projects. Establish calendar for request formulation.

AREAS OF INQUIRY

AREAS OF RESPONSE

CURRENT PRACTICE	SATISFACTION WITH CURRENT PRACTICE	HINDRANCES TO EFFECTIVE PLANNING/ CIP INTEGRATION	SUGGESTIONS FOR IMPROVEMENT
Attaching costs to projects and formulating a financial plan	In small cities, dept. heads and councilmen price projects; engineer in larger cities. Not much problem except costs may be underestimated for greater acceptability. Financial plan compiled by bond counsel, city clerk or city mgr. in small cities; grantsman or finance officer in larger. Political (grantsmanship). Problem relating funding sources to timing. Small cities lack knowledge of funding sources.	4 Lack of information on funding alternatives (especially fed.). Incomplete knowledge of potential projects by finance administrator, thus hindering financial planning, e.g., knowing how to apply available federal funds.	Better communications between depts. and financial function. More aggressive in seeking funding. Need network analysis to help relate projects, funding and timing.
Project review stage	Usually manager and staff, including planning, but mgr. makes final determinations. Close contact with political leaders. Standards for project selection established from negotiation or past practice. Depts. present requests at hearings-- open to emotional "appeal", e.g., senior centers vs. sewers. Prioritizing projects usually in staff "give and take" sessions. Open to conflict. Highly subjective because can't weigh criteria in different project types against each other. Alternatives, as between a capital project or operating	3 Desire of political leaders to be flexible in influencing project selection over-shadows willingness to follow policy on selection criteria, establish financial constraints or follow facts and advice on "best" project, project mix or implementation strategy.	Planning dept. works closely with depts. on plan elements to increase identity with plan-- more consensus. Determine alternative service delivery prior to CIP. Establish goals, standards, and limits for preparing the CIP, e.g., maintain 9 mills. Apply standards equally to rate projects of same type. Program for functional, geographic, time and fiscal balance of projects. Space out projects to avoid over-taxing contractors (especially in small cities). Committee seeks

AREAS OF INQUIRY

AREAS OF RESPONSE

CURRENT PRACTICE	SATISFACTION WITH CURRENT PRACTICE 5= high, 1= low	HINDRANCES TO EFFECTIVE PLANNING/ CIP INTEGRATION	SUGGESTIONS FOR IMPROVEMENT
Project review stage (cont.)	program may not be considered unless by planning staff or in costing stage. Seek interlocal and private coop., but could do more. Some cities lack policies on financial limits (debt).	3	opportunities for coord. by sending project sheets to other jurisdictions. Also, city/county planning for more coordination.
Legislative review and approval	Tend to modify exec. CIP to reflect interest in present. Not much consideration of future operating costs. Special interest groups dominate more in rural areas. Sometimes only consider capital projects after completing operating budget. CIP and funding initiatives (special districts) approved at same time, because CIP includes financing mechanism. Some mayors do good public relations work.	3	City mgr. or clerk review CIP with political leaders frequently prior to legislative stage. Long-range operating budget.
Overall comments on the nature of capital improvements programming	Few cities in Kansas do multi-yr. CIP. They realize the need but don't want to update and think it through well. System deals with immediate satisfaction and not much with long term. Political leaders perceive their job this way. Costs are considered, but not costs of avoidance. CIP works effectively where done.	3	Perhaps a different type of CIP or more promotion. Get cities committed to a CIP and involve the business community. Compare costs of action and inaction. Explore funding alternatives.

AREAS OF INQUIRY

AREAS OF RESPONSE

CURRENT PRACTICE	SATISFACTION WITH CURRENT PRACTICE 5= high, 1= low	HINDRANCES TO EFFECTIVE PLANNING/ CIP INTEGRATION	SUGGESTIONS FOR IMPROVEMENT
Efforts at integrating advanced planning and the CIP	Very few formalized structures and processes for integration besides rating forms in the largest cities. Instead, plans informally influence staff, mgr., political leaders, etc. May not greatly modify pre-conceived ends of leaders but are used to strengthen compatible positions. Community development often is used because more problem oriented and achieves visible results. KS Statute 12-704 requires planning commission review of projects. Statute often unknown or ignored. Planning commissions usually not involved with capital facilities. Preference in small cities for informal relations between govt. entities and with citizens.	2 Lack of in-house communication channels. Citizens' input sometimes causes confusion of objectives. Unawareness of statutory requirements for planning commission review. Little or no contact between planning commission and CIP. Infrequency of planning commission meeting in small towns.	The planning commission should influence project requests early and consult with citizens, elected officials, dept. heads and planning staff to increase identity. Spend less time on zoning. Long and short term goals in comp. plan. Community development no substitute for comp. plan. Develop explicit criteria for project review. Multi-yr. operating budgets, synchronized with CIP. Publicize planning commission review requirements and implement.

IV. OBJECTIVES

The discussion and study in parts (II) and (III) identified issues and problems of planning, capital improvements programming and their integration, focusing on conditions within the state of Kansas. This section develops objectives upon which solution strategies should be based. The objectives are directed toward the issues and problems identified in the previous sections. Their relative importance should not be inferred from their placement on the list.

Strategies for improving the integration of advanced planning to the capital improvements program should:

1. provide focus of purpose for coordinating different dimensions (transportation, housing, sanitation) and guidance elements (CIP, zoning, subdivision regulations) by directing attention toward common goals and objectives;
2. enhance the usability of advanced planning by making it operational, realistically considering project needs, financial, political and other factors, yet including a long-range and comprehensive analysis of community conditions and needs;
3. increase identity with and commitment to policies and plans (including long-range considerations) as components of capital facilities planning;
4. provide better communications channels between the planning commission and staff, line departments, chief executive, financial function and the city council (commission) for an improved flow of information necessary to the CIP;
5. increase planning commission involvement with the CIP;
6. consider all significant inputs into the process for programming capital projects: citizens, planning commission and staff, the chief executive,

financial staff, line departments, city legislature, other jurisdictions, etc.;

7. enhance the relationship between the CIP and the operating program;
8. provide an effective integration structure or process that is as informal, simplified and inexpensive as possible; and
9. provide for fuller utilization of the CIP for relating funding sources, projects and timing in an effective manner.

V. OBJECTIVE CRITERIA

The following criteria are derivatives of the preceding objectives. They are used to measure the effectiveness of the alternative structures and processes for planning/CIP integration presented in section VI. Some may appear ambiguous until reference is made to the objective they are derived from. The figures at the left are the reference numbers for the objectives.

Criteria:

1. 1-- Clarity of goals and objectives.
2. 2-- Number of points from which statements of goals and objectives are derived.
3. 3-- Inclusion of short-range and more detailed inputs, such as financial, departmental and political contributions, as a component of the advanced planning process.
4. 4-- Participation of line departments, political leaders, the chief executive, citizens, etc. in plan formulation.
5. 5-- Existence of criteria, standards, guidelines, review and communications procedures, etc. designed to relate policy, planning and other long-range inputs into the CIP process.
6. 6-- Strength and directness of communications channels between the planning commission and staff, line departments, chief executive, financial function, the city council (commission) and the CIP.
7. 7-- Extent of planning commission participation in review, communication, coordination, etc. relative to programming capital project.
8. 8-- Number and significance of entities influencing capital programming decisions.
9. 9-- Use of long-range operating budgets or other mechanisms to relate the CIP to operating needs.
10. 10-- Reliance on formalized structures and processes.
11. 11-- Complexity of structure and processes.
12. 12-- Relative expense of implementing integration model.
13. 13-- Availability of expertise (technical ability) at relating projects, funding sources and timing in an effective manner.

VI. PRESENTATION OF ALTERNATIVES FOR INTEGRATING ADVANCED PLANNING WITH THE CAPITAL IMPROVEMENTS PROGRAMMING PROCEDURE

Below are seven alternative recommendations for improving the relationship between advanced planning and the CIP. They were arrived at through a survey of the literature and review of the study results (III). Each alternative is detailed in separate sections to follow.

- A. Greater planning commission involvement in planning and programming capital projects
- B. Citizen formulation of plans and assistance in CIP approval
- C. Operationalized advanced plans:
 - 1. Short-range functional plans
 - 2. Community development and/or growth management inclusive model
 - 3. Operationalized comprehensive plan
- D. Policy based project rating
- E. Multi-year fiscal forecasts

Contained in each section is first an explanation of the recommendation, together with a diagram (in most cases) illustrating the formal and informal relationships between entities. Next, suggestions on how the recommendation might be implemented are presented, followed by a discussion of the advantages and disadvantages of the alternative. This discussion provides an explanation for the rating each recommendation receives according to their ability to fulfill the criteria developed previously. The ratings appear on p. 73 after all recommendations have been presented. They are evaluated under each criteria separately and receive a 1, 2 or 3 rating with 1 representing a low performance in the area, 3 representing a good rating and 2 as a moderate rating. A procedure for determining a recommendation's applicability to particular municipal conditions is also included. The next element contains suggestions on each recommendation's possible applicability to these particular municipal

conditions, relative to its strengths and weaknesses, as determined in the evaluation. For instance, a costly alternative that scores well on most other criteria might still be appropriate for a city with adequate financial resources.

It is important to note that each model only presents certain elements of a total integration program so that the merits of the various structures and processes may be better evaluated. "Best fit" solutions will only be achieved by combining elements of several alternatives into an integration program unique to each city's conditions.

A. GREATER PLANNING COMMISSION INVOLVEMENT IN PLANNING AND PROGRAMMING CAPITAL PROJECTS

Because few cities in Kansas have an in-house planning staff, the planning commission is often the only comprehensive, centralized planning function within city government. Yet, as the study showed, planning commissions are generally underutilized in planning and programming capital improvements. Zoning administration, subdivision regulation and formulating the comprehensive plan occupy most of the commission's time. Involvement with capital facilities is not perceived as a legitimate concern of the planning commission, so this responsibility is undertaken primarily by the chief executive (administrator) and city legislature (council or commission). Yet, if public improvements are as important as zoning and subdivision regulations in determining the future nature of the community, as many believe is true, then there is a need for greater involvement of the commission. Several methods of attaining this involvement are listed below. The commission should:

1. assist consultants or the planning staff more in formulating goals and objectives;
2. improve communication with other governmental entities for increased identity;

3. survey and conduct hearings with citizens (and citizens' groups) to determine needs-- especially for innovative projects;
4. influence departmental requests early through better communication;
5. request long-range projects; and
6. review project requests.

In addition, the planning commission should be instrumental in shaping the nature of planning documents for more effective usage in CIP formulation. However, the characteristics of planning documents will be focused upon in other recommendations, thus, this essential planning function will be generalized here.

Fig. 2 on the next page is a diagram showing the relationships implied by the preceding suggestions.

A well structured program for citizens' input lends political influence to goals and objectives derived from it. The strength of the informal relationships is thereby enhanced, particularly relationships with the legislature. Informal relationships with city line departments, the chief executive, etc. are achieved by discussing means of optimizing project proposals. Also, because the planning commission actively seeks input from governmental entities in formulating statements of goals and objectives and planning recommendations for capital improvements, the likelihood these entities will refer to them during the CIP process increases.

The factor that could lend the most weight to informal linkages with the planning commission and advanced planning, however, is the role the commission could play in project review. KSA 12-704 (h) states:

1. No public improvement, public facility or public utility of type embraced in plan shall be constructed without first being submitted to and being approved by the planning commission as being in conformity with the comprehensive plan.
2. If the commission fails to report within 60 days, the project is deemed to have been approved.
3. If commission disapproves it must report in writing to the governing body proposing the same advising why the project does not conform.

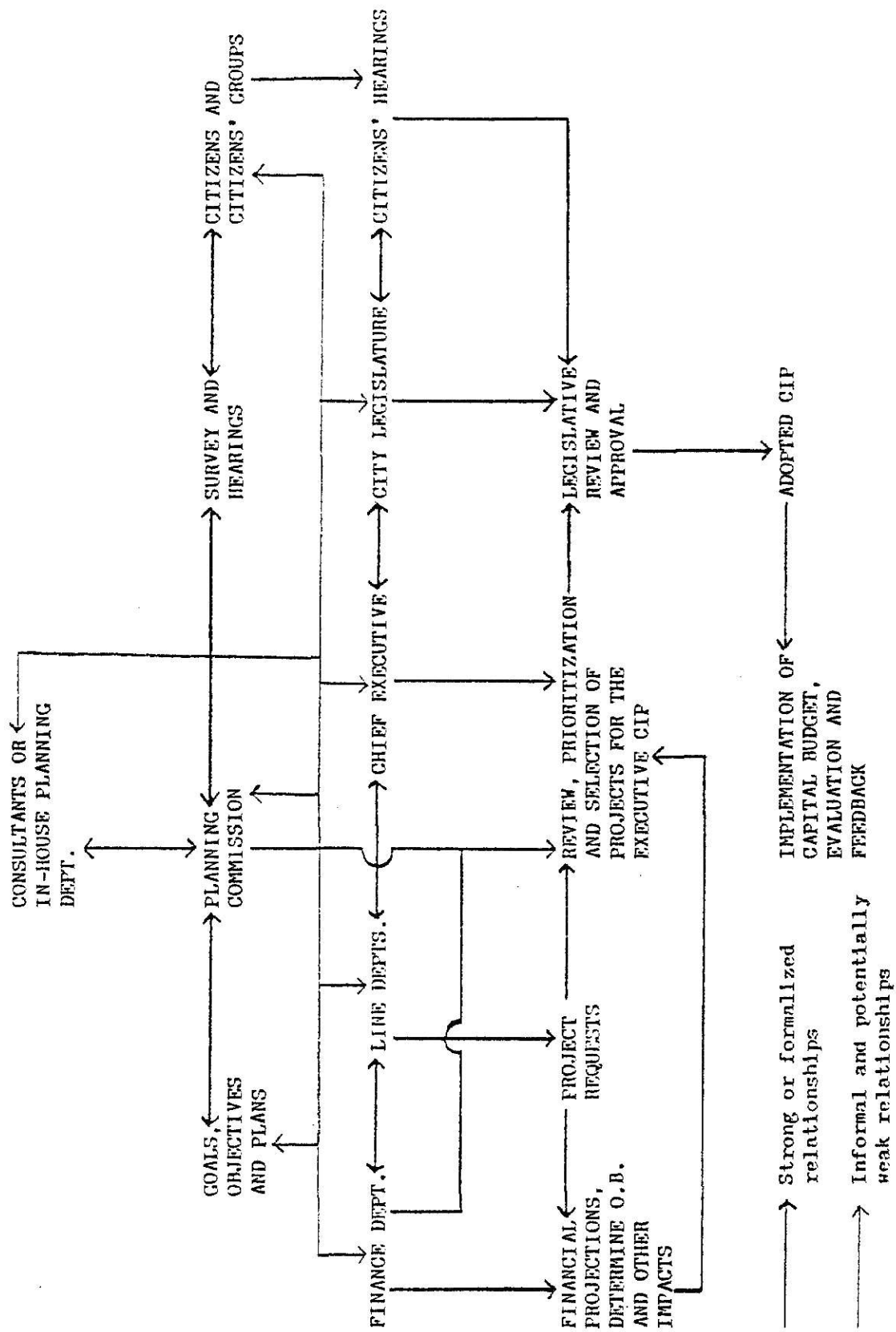


Fig. 2. Planning Commission CIP Involvement Model

4. Governing body of unit proposing project may by three-fourths majority vote overrule commission disapproval and plan shall be amended to reflect same (4: 7)

The plan, as an important product of the commission, is likely to be the basis of the commission's decisions on the acceptability of various project requests submitted for review. Thus, the perceived importance of prior communications with the commission is enhanced. As mentioned earlier, the statute is largely unknown. Yet, due to its potential for positive influence on the CIP, greater publicity is warranted.

In many cities, the program coordinator submits compiled requests for commission comment. However, a structure that has been successful in some cities is for the commission itself to serve the program coordinating function, along with the director of finance and selected line department officials.
(9: 110)

The preceding review requirement can be instrumental in modifying proposals not in conformance to the city plan, but it does not necessarily provide for consideration of proposals necessary to implement the plan. For this reason, the planning commission also should submit their own project proposals for carrying out the plan. Staff assistance should be engaged where needed.

All of the suggestions require increased time be spent by various city entities, but especially by the planning commission. In cities already burdened with numerous issues for consideration (especially zoning and rezoning), increased financial outlays may be needed as consideration for the greater time spent. However, in smaller cities, where the planning commission may meet only once every three months, increased involvement would not seem especially burdensome. Simplification of other procedures occupying the commission's time may be necessary, e.g., revised zoning codes.

Refer to the evaluation sheet on page 73 for evaluation of this recommendation. Note that unity in goal statement and participation of the commission in review and coordination of projects is high. It is also a rather

inexpensive and uncomplicated model, relying heavily on informal processes. Yet, short-range interests may not be adequately brought into the advanced planning process. Strong integration of financial and other technical matters with effective usage of the CIP may also fail to occur, except through the plan's influence on various city entities and the commission's technical expertise. In addition, integration with the operating budget is potentially weak.

The model may prove highly adaptable to smaller communities where informal communications patterns are more effective and where the number and detail of projects to be considered is low.

B. CITIZEN FORMULATION OF PLANS AND ASSISTANCE IN CIP APPROVAL

This recommendation is an adaptation of the programming procedure used in Ft. Worth, Texas. (8: 42-8, 58) The general concept behind it is quite simple. Citizen's groups are instrumental in formulating neighborhood (sector) plans. They are also engaged in review of the proposed CIP. Thus, project proposals representing a gross diversion from the sector plans would likely be disapproved in the review process and be politically unacceptable in the legislature.

Specifically, the city is divided into sectors, each with an appointed citizen's planning organization (as in Wichita). With technical assistance from the planning department, the organizations formulate plans for their sector, including a statement of goals, objectives and policies; a land-use plan; an inventory of existing conditions and sometimes special studies on community resources. (8: 44)

The sector plans, though comprehensive, would not include basic recommendations on community-wide subjects, such as provision of a mass transit system or regional park. They would also be short-range plans-- perhaps for 5 or 6 years into the future. For these reasons, it would be necessary to produce a longer range plan or statement of policies of a citywide nature, as a tool for coordination and integration of all elements.

In Ft. Worth, no attempt was made to place financial constraints on sector plan recommendations because this would serve to pre-condition citizen inputs. In the model, financial implications are considered when the finance officer reviews department requests to determine two things:

1. The proposal's impact on the operating budget.
2. Its impact on the future fiscal condition of the city, e.g., tax rates, debt service, assessed valuation, matching requirements, etc.

The finance officer also gives technical assistance on bond and federal funding to the departments making requests. The financial analysis is submitted, along with the project requests, to the chief executive who prioritizes and selects projects to be included in the CIP. Prior to this, however, they are reviewed by the planning department for compliance with the sector plans. An option that could be used in a city requiring less specialization is for project review, prioritizing and selection to occur in one stage, within a committee composed of the planning commission, finance officer, chief executive, city planner, selected department heads and council members or a workable, yet representative mix of these choices.

After the executive CIP is finalized and submitted to the city council (commission) for review, and work sessions with the staff are completed, meetings with the citizen's planning organization for each sector are held. These sessions are designed to obtain feedback on possible program modifications. Because the organizations are made aware of the financial impact the proposed CIP will have (especially on the tax rate) they may intelligently propose alternatives, if necessary. The organizations may feel modifications are necessary for several reasons:

1. The CIP may not follow citizens' recommendations, as stated in the sector plans. Financial constraints may be an important and legitimate reason for noncompliance.
2. Conditions may have changed since formulation of the sector plans, hence a

CIP based upon them would need adjustment.

3. The level of financing required to implement the plan based CIP is unacceptable.

The outcome of the meetings is recorded in a report for review by the council. The council would need to resolve any conflict between citizens' recommendations, e.g., requests for project reductions, but in other sectors besides one's own. In deciding on the CIP, the council authorizes the necessary financing mechanisms, some of which are subject to voter approval. A campaign to inform the public of the needs and fiscal impacts generated by funding initiatives is made to increase the responsiveness of the vote. After voter approval, the budget year of the CIP is approved and the remainder accepted subject to revision.

Fig. 3 shows the relationships discussed.

The success of this alternative largely rests in the knowledge and motivation of the citizen's planning organizations. The planning staff should provide a policy on the extent to which the organizations may influence decisions of various type and geographic extent. They should also inform them of any long-range considerations relevant to production of the sector plans. Once the plans are produced, it is important that they be reviewed by the line departments. A requirement that a project's relationship to the sector plan be stated on the request could enhance this potentially weak relationship. An informal but good relationship between the planning commission/staff and the chief executive in particular would help insure that long-range considerations will not be ignored in the project review stage. Yet, the classic orientation of citizens toward the present may already have skewed the requests away from important future factors, despite staff advisement. It may therefore be necessary for the commission to submit its own requests prior to the review stage.

After the review stage is completed, an explanation of the reasoning behind project selection would seem essential to expedite the subsequent meetings with the citizen's planning organizations. Particularly, financial constraints would need to be highlighted. Legislative resolution of sector differences (the next stage) would probably be highly subjective. Yet, the availability of knowledge on staff reasoning to citizens and their organizations would serve to provide more balance through the public hearing mechanism embedded in the step. The special attempts at informing citizens of project needs and implications would also avoid the problem of public rejection of projects whose need was urgent but unknown, e.g., sewer repair.

The primary advantage of this alternative to integration efforts is that it politicizes plans, in that citizen derived recommendations will carry more political impact. It also provides for strong technical (particularly financial) input, which is necessary to balance citizen inexperience with city government. All elements of municipal government contribute to the process, though their role is subordinated somewhat to the citizen's organizations. One negative effect of this is that it may be difficult to inject unifying statements of long-range goals and objectives into consideration while the organizations are formulating the various short-term sector plans. Important contributions from the departments into the sector plans may also be limited.

Perhaps the most significant factor limiting the citizen's model is the complexity, reliance on formal structures and extensive resource requirements needed to meaningfully organize and direct citizen's formulation of plans and the CIP review. Only a motivated citizenry, willing to devote numerous hours to community planning would insure its success. See p. 73 for an evaluation of the model.

The model would be best suited to cities which could be easily viewed as aggregations of distinct social units whose residents have relatively little interest in city-wide concerns, yet are highly motivated by neighborhood issues.

Small towns, however, could be viewed as one sector communities and the model applied in a similar manner.

C. OPERATIONALIZED ADVANCED PLANS

One of the principal findings of the study was that, while there are limits to the effectiveness of the long-range comprehensive plan, there appears to be very much satisfaction with short-range functional (one dimension) plans which are produced often within city line departments without strong input from comprehensive plans or other long-range policy sources. Yet, as noted in II D, there are very important reasons for maintaining a comprehensive, longer-range viewpoint. The problem, therefore, is how to insure that comprehensive, long-range goals, objectives, policies and recommendations are considered while seeking an operationalized solution to community problems upon which to base CIP proposals. This section will consider several approaches. The first recommendation is collaboration between the planning function and other city entities, especially the line departments, in producing short-range, functional plans from which project requests are derived. The second explores a modification of the functional planning concept, i.e., grouping those functions relative to community development (neighborhood housing, transportation, recreation, etc.) and/or those elements relating to growth management (environmental protection, service extension, land acquisition, etc.). The third considers ways of operationalizing the comprehensive plan itself.

Citizen formulation of plans, as discussed in B, is another means of operationalizing advanced plans by making them responsive to more short-term and localized needs. It is not included in this discussion because its geographic (sector) orientation and requirements for citizen's input necessitate a considerably different structure.

1. Short-Range Functional Plans

The comprehensive plan, whether a policy plan or a more traditional,

future oriented plan should contain objectives and recommendations that imply particular capital outlays. For instance, a recommendation to jointly open a new sanitary landfill with the county implies an outlay for land acquisition. It also poses numerous issues which cannot be resolved until conditions relative to the outlay can better be determined, e.g., the exact location of the proposed site, cost estimates or the percentage of financing to be handled by the city. Such matters would be included in short-range, functional plans, produced primarily by the line departments. As noted by the study, short-range plans are often not based upon centralized, long-range and comprehensive planning, but are rather instigated by the need to meet federal requirements for funding qualification, the particular motivations of commissioners, special studies of pressing problems (street flooding), and so on.

In an effort to provide centralized policy guidance to the line departments in the formulation of their capital programs, the city of Tucson proposed planning department assistance to the departments in producing the functional plans. Through the communications and influence of the planning staff, the relationship between the comprehensive plan and the functional plan would be enhanced. In Kansas, functional plans are highly utilized in making requests for capital projects, thus, influencing them would serve to complete the linkage between comprehensive plans and the CIP. If the Tucson model is used, the functional plans would include an "analysis of need, constraints, service standards and criteria, medium-range capital requirements and guidelines for meeting performance objectives." (13: 4) The planning department would assist in defining the general aspects of each project, using the comprehensive plan as a resource as well as communications with city officials; primarily other department heads, the finance officer, city engineer, chief executive, council members and the planning commission. The finance officer would assist in detailed aspects such as developing service standards and criteria and

performance objectives for replacement projects.

A modification of the above approach would give more control to the planning function by making functional plans the primary responsibility of the planning department, with inputs from the other entities. Specifically, if one looks at a recommendation of the comprehensive plan as an objective of a short-range functional plan, then inputs would be needed mostly in establishing the best method of accomplishing the objective. The detail required at this level would be unmanageable without contributions from line personnel.

To arrive at even greater consensus between the departments (responsible for project requests) and the planning department (responsible for review and prioritizing requests) the city of Tucson established a dialogue during the request stage with the line departments. This insured compatibility of viewpoints where possible, and modifications in thought processes for both groups.

The review stage in Tucson directly involved the planning department. Other entities could be employed, however, if a means of communicating the findings of the planning department were provided (such as a report). In any event, the chief executive would make the final selection of projects. Fig. 4 shows the functional plan model for planning/CIP integration.

Because the functional plans are collectively an operational restatement of the comprehensive plan, each plan should be adopted by the planning commission. This requirement strengthens the relationship between the planning department and the line staff in producing the plans.

Not all documents produced by city line departments could or should be considered as functional plans because they do not include the elements discussed in II C. The status of the functional plans would be enhanced if a brief explanation were included in other documents, as well as the CIP requests, explaining their relationship to the functional plan.

The dialogue between the planning department and the line departments

during the request stage should be purely informal, yet the planning staff should research each project and understand the position of the chief executive, other line personnel, legislature, etc. relative to the proposal prior to discussion with the department.

The model has a number of important advantages (see p. 73 for evaluation). It incorporates short-range detailed elements into advanced planning while maintaining a longer range, comprehensive basis for these elements. It also allows intra-governmental coordination to influence project requests through the planning department's communications with various entities while assisting in functional plan formulation and prior to communications with the line departments. If the model were combined with the citizen's model (described in B) by soliciting citizen input into functional plans for each sector with line department influence, then a highly balanced pattern of influence would emerge. Yet, the complexity and expense of such a model would probably make it impractical.

The same issues threaten the workability of the functional plan model for most cities in Kansas. The model relies heavily on an in-house planning staff, which is lacking except in a handful of Kansas cities. In other cities, planning consultants would need to be engaged for each functional plan produced, whereas engineering consultants alone may have previously sufficed.

The model is adaptable mainly to cities with an in-house planning staff or cities willing to extensively engage a planning consultant.

2. Community Development and/or Growth Management Oriented Model

In the 1970s, two approaches to planning gained considerable importance: community development and growth management. Community development is defined as:

A process of social action in which the people of a community organize themselves for planning and action, define their common and individual needs and problems... execute these plans with a maximum reliance on community resources, and supplement these resources when necessary with services and materials from governmental and non-governmental agencies

outside the community. (6: 1)

In practice, community development programs and projects are heavily supported through federal funding authorized by the Housing and Community Development Act of 1974. The Act consolidated categorical grants for urban renewal, neighborhood facilities, open space land, basic water and sewer facilities, and other projects into one block grant program distributed to cities and states on a formula basis. (11: 22)

Citizens are organized for community development in many Kansas cities and receive technical support from community development departments under the chief executive.

The concept of community development is popular because it is oriented toward present problems (with an emphasis on low income areas) and achieves visible results, such as a new recreation center or housing project. It addresses many of the issues covered by comprehensive planning, but only for a shortened time frame.

Because, like the comprehensive plan, the community development work program cuts across functional (departmental) lines, it is necessary to determine the project responsibilities for each department implicit in the program. Close communication between other departments and the community development department is thus necessary, regardless of who actually formulates the requests.

The community development department must also have strong ties with the comprehensive plan and any functional plans produced by other departments, because, with citizens formulating the goals and objectives of the program, there may be conflict with the goals and objectives formulated from other sources.

Growth management, the second approach, is a means to coordinate a number of tools for regulating the location, density and quality of land uses (see p. 23). The tool for coordinating the various control devices is a growth management policy code representing "an important intermediate step between the often cumbersome comprehensive plan and the day-to-day land use decisions made

by local government. (5: 24) The code contains statements on how the various regulation tools will be used to implement growth management objectives, which are also included. A code has several advantages over the comprehensive plan: it may be developed rather easily by collecting the written and unwritten development policies of the community, it is often a shorter and more easily understood document than the comprehensive plan, and it is formally adopted by the legislative body, whereas the comprehensive plan may not be. (7: 351)

One could view growth management policy codes as an operationalized extension of the comprehensive plan, intended to direct some, but not all capital improvements projects. Although line departments need to consult the policy, especially when requesting projects affecting fringe areas of the city, the primary point where the code is considered within the programming process is in the review stage during project prioritization.

Fig. 5, on the next page diagrams the relationships created in a city with both a community development program and a formalized growth management policy.

To implement the model requires an established community development committee, drawn from the citizenry, and a community development department (often composed of one person) whose primary responsibilities are to assist the committee in formulating goals for the community development work program and in lending technical support for the program, particularly in securing funding. If the planning department is structurally integrated with the community development department, there should be little problem in relating the elements of the comprehensive and functional plans with the work program. This arrangement also makes it easier to relate project implications of the program to line departments, because the planning department would have an established communications channel (dialogue) with the other departments.

The growth management code could be compiled by the planning department, because it is related primarily to land use concerns and is also partially developed from the comprehensive plan. Once adopted, it becomes the

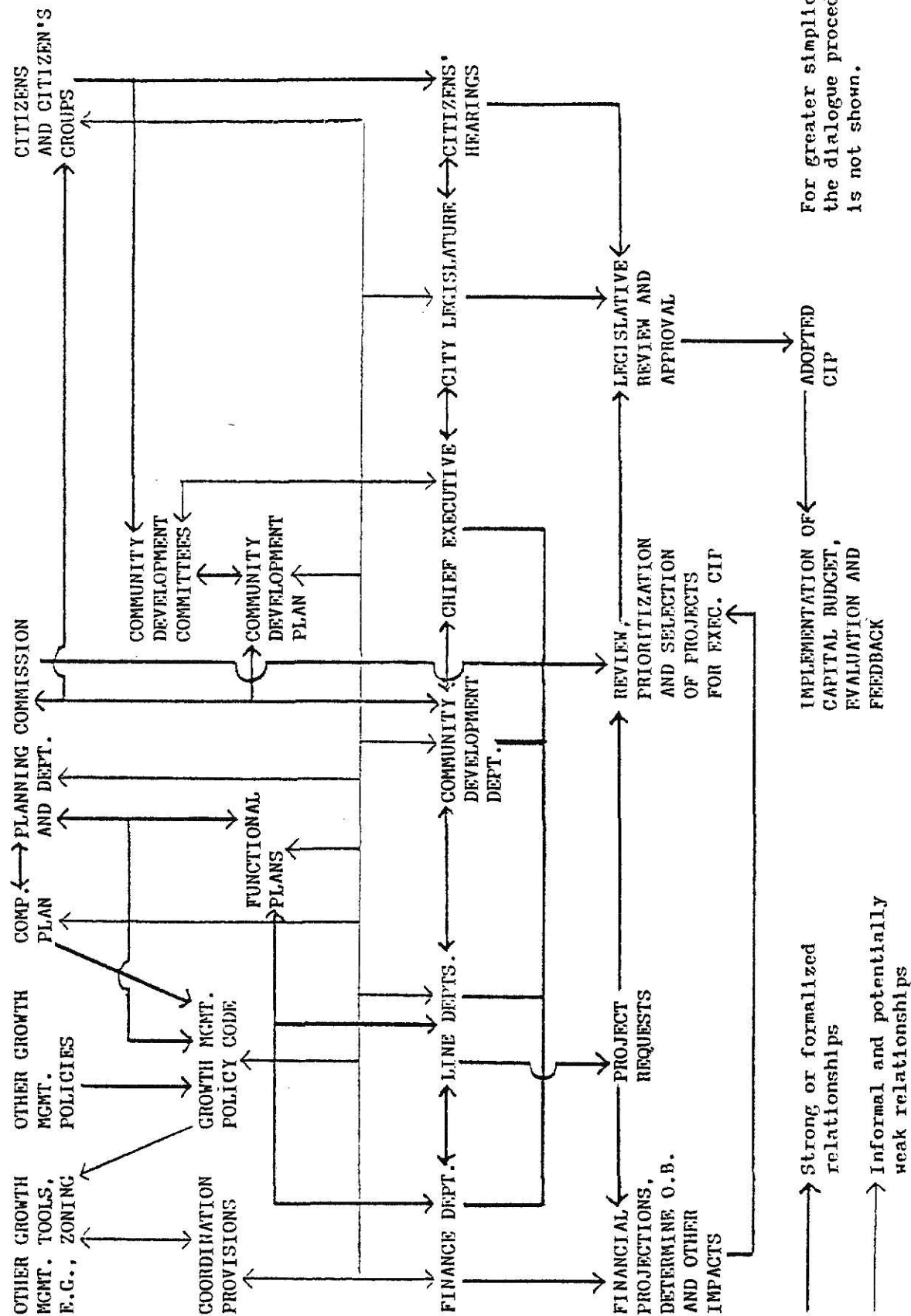


Fig. 5. Community Development and/or Growth Management Oriented Model

responsibility of all government entities to adhere to, but it should be especially influential to the participants in project review when establishing criteria for project selection. In addition, the legislative body would need to communicate the results of city/county growth management efforts (as called for in the code) to city administrative officials, because interlocal agreements would have a profound effect on some project requests.

An examination of the evaluation sheet (p. 73) shows that the ability to achieve advanced planning/CIP integration objectives is not visibly harmed by adding a community development and growth management program except that goals and objectives may tend to be dispersed if the comprehensive plan is not applied to inform community development participants of city policies. A well balanced pattern of input from sources both inside and outside of government without as much complexity as that of the citizen's model (B) is achieved. Yet, adding the two elements creates additional expenses which serve to limit its acceptability.

A growing number of communities throughout the state will see the need to effect a growth management policy as the trend toward greater fringe area development continues. As noted above, developing a growth management policy code is not particularly difficult and so it would not be as limited to particular types of communities as other integration techniques discussed. The limiting factor is the resources required to establish a community development department and process or, more commonly, creating an in-house planning staff to provide constant and overall policy direction to it. Such an arrangement is most feasible to large and medium sized municipalities.

3. Operationalized Comprehensive Plan

Many steps toward improving the relationship between advanced planning and the CIP may be taken within the process of producing a longer range, comprehensive plan, regardless of whether short-term plans will be produced later. Many smaller cities lack the resources to produce short-range and/or

functional area plans and so must rely solely on the long-range plan for documented CIP guidance. Also, where conditions change slowly, a ten year comprehensive plan may be used as an operational instrument. Following are several recommendations for making the comprehensive plan more influential in guiding the CIP. They were developed mainly from study response:

1. Anticipate problems and conditions in the plan beyond five years, but place a limit to recommendations for action at from five to ten years* into the future.
2. Include within the plan a clear statement of goals for the community, objectives developed from these, recommendations for implementation strategies and, especially if the plan is not to be followed with short-range plans, means of accomplishing the recommendations.
3. Identify capital projects implied by the plan.
4. Consider the fiscal implications of the plan, especially for those recommendations to be implemented in the near future.
5. Solicit input from all intra and inter-governmental entities effected by the plan.
6. Legislative adoption of the comprehensive plan.
7. Annual update.

Suggestion four is essential because fiscal implications not only are detailed later in the CIP, but considering them is perhaps the most important way of improving the integrity and usefullness of the plan.

Part of the data base used in comprehensive planning should be an analysis of the capacity of existing service systems, such as sewage treatment plants, major roads, utilities, land-fills, etc. Such data should be available from the departments (see p. 7). Also, if funding permits, studies should be

* The exact time frame would vary from city to city, but an effective comprehensive plan, standing by itself, would usually require a shorter time frame.

made of the impact of different land development alternatives on the provision of services, and their financial implications. Such background data can be instrumental in helping municipal decision-makers develop goals and objectives for community services. It is also of primary importance in determining what additional facilities are needed to accomplish the goals and objectives.

In developing recommendations for service delivery systems, consultation with other governmental entities is essential, both as a way of determining the best means, location and timing of service delivery, but to foster greater identity with the plan. The financial function may be utilized in conducting cost benefit evaluation of several alternatives presented and in helping with less rigorous financial evaluations of alternative recommendations.

After selecting the best future courses of action to follow, the capital improvement requirements implied by the plan for the next five or six years should be listed, together with a rough estimate of their capital and operating costs. If the city has developed a long-range fiscal forecast, the expenditures can be compared with it and financing methods developed. In keeping with the concern for growth management, the plan should also include a financial program outlining the city's ability to provide required services to areas expected to be developed within five years. (2: 6)

The planning process thus produces a package of projects for the CIP which have already been analyzed to determine possible financing strategies. To increase its impact, the plan should next be adopted by the legislative body, but it is even more important that the planning staff or commission discuss elements of the plan with the line departments and chief executive for possible inclusion in the CIP. Because the recommendations contained in the plan are related to clear policy statements, and because departmental input has been substantial in the plan, there will be fewer points of diversion, which could particularly improve the process of project review. Members of the planning commission or staff should be included in the review committee.

Annual update of the comprehensive plan would then insure that changing conditions are taken into account and that approaching projects are considered in greater detail each year.

The evaluation on page 73 shows that one strength of this recommendation is its ability to focus activity on one set of goals. It could also potentially integrate large amounts of technical expertise into the project planning process as inputs of the comprehensive plan. Yet, except for the legislative adoption requirement and planning participation in project review, it relies almost totally on informal communications channels. Also, some fiscal evaluation may become quite costly, requiring outside specialists. These factors may be outweighed, however, by its structural simplicity.

Smaller to medium sized cities within the state not wishing to produce rigorous functional plans could use the comprehensive plan as a partial substitute following the above recommendations.

D. POLICY BASED PROJECT RATING

Within the project review stage are made perhaps the most important decisions regarding the nature of the capital improvements program. Projects requested by governmental entities must be prioritized, hopefully using criteria based upon community desires. This section details the rating systems used to prioritize projects according to their ability to meet various criteria, and how these criteria may be used to reflect community policies. Guidelines for project review are also discussed because they can achieve the same end.

Before explaining the various rating systems, it is necessary to list specific areas of concern to be addressed by project review criteria and guidelines.

1. Community goals and objectives contained within the comprehensive plan, other planning documents, and policy statements such as a growth management code. A criterion developed from the policy of improving access

to the downtown area would be the improvement in travel time to be gained by the proposed project.

2. Intra-project coordination-- the integration of the proposed project to other projects either existing or anticipated.
3. Coordination with other jurisdictions, private and semi-private parties, e.g., a criterion would be the degree of joint funding to be used in constructing the project and in operating it once it is ready for service.
4. Financial policies. A guideline developed to reflect the financial policy of leveling out capital expenditures would be to schedule multi-million dollar projects in two or more funding periods.
5. Functional, fiscal, geographic and time balance of projects, expressed as guidelines to evaluate the proposed CIP as a whole.

To evaluate projects over a wide range of functional and geographic areas of the city, criteria and guidelines must be based on rather general objectives. Hence, "reducing crime" might be used as a basis whereas, "supporting public housing for the elderly in X neighborhood" would prove an irrelevant objective for most projects.

One way to increase the detail of criteria and guidelines is to first group goals, objectives, policies, etc. of the city into functional or geographic areas, develop criteria and guidelines for these, and then rate projects relevant to that area. Next, all projects may be rated on a more general, city-wide basis.

Note that this style of project evaluation in many ways replicates the evaluation of alternative recommendations undertaken in the advanced planning process-- community goals and objectives are the basis of both. Project recommendations of the comprehensive plan should thus be similar to those developed out of the review stage, unless details such as immediate financial constraints prove especially influential.

As noted on p. 10, there are basically two types of systematic project

prioritization procedures: one stressing non-quantifiable "subjective" values and the other seeking to quantify as many values as possible, hopefully making the selection process more rational.

A highly subjective process, which also has little potential for considering the five elements presented above, is to categorize projects as to whether they are urgent, essential, necessary, desirable, acceptable or deferable. (12: 38) The criteria used, then, is relative urgency. Opinions as to what is urgent and what is essential could vary widely among the review committee. Also, because the departments are usually asked to rate their own requests prior to submission, one could understand a tendency to place one's own projects in a higher category of urgency than would perhaps be justified.

Another non-quantifying method has a greater potential to include policy considerations. Fig 6 is a priority setting checklist proposed for Franklin, Massachusetts. Note that growth management and other policies are implied in the criteria. Also note that this simple checklist avoids the necessity of functionally and geographically grouping projects by allowing a "not applicable" response. The questions are phrased so that a "yes" answer is a positive response.

Other jurisdictions attempt to quantify criteria. Wichita has developed a matrix system to evaluate, among other things, various drainage project proposals, Fig. 7. On one side of the matrix are listed several factors, measures (comparable to criteria) and criteria scores, or different values of the criteria. On the other side are the numerical assignments applied to each criteria. Because all factors may not be of equal importance, a numerical weight may be given to each one, with the higher weights indicating the more important factors. By multiplying the weights for each factor by the respective criteria score given to the project, and then adding the products for all factors, a project score is derived which can be compared to the scores for

	Yes	No	Not applicable
1. Will this project either leave unchanged or slow the rate of population growth in Franklin?	—	—	—
2. Is the amount of growth that this project is designed to serve consistent with the most recent projections of the planning board?	—	—	—
3. Will this project either leave unchanged or increase the ratio of jobs in Franklin to residents of Franklin?	—	—	—
4. If the project is likely to stimulate residential development in an area, as opposed to townwide,			
a) Will that development be totally in the center or suburban district?	—	—	—
b) Will that development be partially in the center or suburban district?	—	—	—
c) Can the stimulated growth in that area be serviced with roads, schools, utilities, etc., without further town investments?	—	—	—
d) Are existing development controls adequate to relieve all other concerns about the stimulated growth in that area?	—	—	—
5. If the project is likely to slow residential development in an area, as opposed to townwide,			
a) Is that area in the rural district?	—	—	—
b) Are one or more public service systems in the area being used at or near capacity?	—	—	—
6. If the project is likely to stimulate commercial or industrial development in an area, as opposed to townwide,			
a) Is that area now zoned for commerce or industry?	—	—	—
b) Can the stimulated development be adequately serviced with roads, utilities, etc., without further town investments?	—	—	—
c) Are existing development controls adequate to relieve all other concerns about the stimulated growth?	—	—	—
7. If located in a rural district, will this project itself be free of characteristics leading to an urbanized "character"?	—	—	—

Fig. 6. Priority Setting Checklist

(3: 71)

Drainage Project Evaluation Worksheet

Project Name _____

No.	Factor	Criteria Score				Raw Score	Wt. Score
		Measure	Weight	10	7	4	1
1.	Severity of Flooding	Potential Hazard		Life Endangered	Extensive Property Damage	Emergency Equipment Movement Impaired on Street	Minor Street Flooding or Local Nuisance
2.	Probability of Flooding	Frequency of Flooding		Once every 0-2 years	Once every 3-5 years	Once every 6-10 years	Once every 11 years +
3.	Project Permits or Protects Development	Type of Development		New Residential Development	New Industrial/Commercial Development	Redevelopment in Existing Built-up Areas	Protects Existing Development
4.	Relationship to Other Capital Improvement Projects	Nature of Related Project		Street Improvement Project	Other Development Project	Redevelopment Project	No Project Related
5.	Right-of-way Availability	Acquisition Difficulty		Currently Available	Available with little difficulty	Condemnation Required	Displacement of homes and businesses
6.	Project Cost	Cost per Acre served		Less than \$1,000/Acre	\$1,001 to \$5,000 per acre	\$5,001 to \$9,000 per acre	More than \$9,000/Acre
Project Score							

Page ____ of ____

Fig. 7. Drainage Project Evaluation Matrix (15: 5)

other projects.

A similar method, shown in Fig. 8, was employed by Anaheim, California. Here, the matrix is formed by priority items (similar to criteria) and by a number of potential street improvement projects. Each priority item is ranked by a constant interval, representing its relative importance. The street projects are also ranked by a constant interval, which shows their relative ability to address the priority items. The two values are multiplied and the products for each priority item summed for a measure of each project's value in comparison with each other.

Note that both examples given concern only narrow functional areas. Yet, rating projects of widely different type is almost impossible to accurately undertake, due to an inability to compare relative values. One could not readily say, for instance, that a lake dredging project is 3.2 times more important than a new pedestrian bridge. The process of assigning numerical values to objectives is risky even within narrow functional categories, and supporters of the quantitative approach will suggest its use only as a guide to prioritizing and not as a direct means of selecting projects. Nevertheless, there has been some experimentation with quantifying and comparing the value of all potential projects a jurisdiction may receive.

Wichita developed a matrix which ranked each function performed by the city and also a scale of urgency, Fig. 9. A highly sophisticated quantitative method was developed by the state of Rhode Island.

The Rhode Island point system has seven general categories of priority considerations: (1) circumstances influencing preference; (2) general purposes; (3) specific needs in terms of functions served; (4) availability of outside funds; (5) priority requested by sponsoring agency; (6) time of desired undertaking; and (7) impact on operating costs...

However, the Rhode Island system took this approach one step further by applying "ratings" to the various projects according to subdivisions in each of these categories. For example, "general purposes" (item #2) are rated as follows:

Social service	200 points
Education	190 points

PRIORITY CHART

PRIORITY ITEMS	STREET NAMES	KNOTT STREET ***	MAGNOLIA AVENUE	BROOKHURST STREET	HARBOR BLVD. ***	KATELLA AVENUE	BALL ROAD	ANAHEIM BLVD.
11	CITIZEN'S INPUT	1 11	2 22	4 44	7 77	6 66	3 33	5 55
10	STREET WIDTH NOT TO EXIST. CITY STDS.	2 20	1 10	6 60	5 50	4 40	3 30	7 70
9	INTERSECTION CAPACITY	1 9	3 27	5 45	7 63	4 36	2 18	6 54
8	AVERAGE DAILY TRAFFIC	1 8	5 40	6 48	7 56	2 16	4 32	3 24
7	TRAFFIC SIGNAL DEFICIENCY	2 14	7 49	4 28	6 42	1 7	3 21	5 35
6	ACCIDENT RATE (ACCIDENT/ MILE/YEAR)	2 12	1 6	4 24	7 42	3 18	6 36	5 30
5	LINEAL FOOTAGE OF PARKING RESTRICTIONS	1 5	6 30	3 15	7 35	5 25	4 20	2 10
4	STORM DRAIN DEFICIENCY	1 4	4 16	6 24	5 20	3 12	2 8	7 28
3	EXISTING CONDITION OF PAVEMENT	1 3	4 12	5 15	3 9	2 6	7 21	6 18
2	FREQUENCY OF STREET MAINTENANCE	1 2	4 8	7 14	3 6	2 4	5 10	6 12
1	STREET LIGHTING DEFICIENCY	4 4	5 5	6 6	7 7	1 1	3 3	2 2
	TOTAL POINTS	92	225	323	407	231	232	338

* EXAMPLE: Ball Rd. & Average Daily Traffic (ADT) Priority Item
 ** Project Receiving Lowest Priority
 *** Project Receiving Highest Priority
 8 = Priority of ADT
 4 = Priority of Ball for ADT
 8 x 4 = 32 Points

Fig. 8. Street Improvements Priority Chart

(1: 6)

Priority of Urgency	Priority of Function									
	Numerical Value									
		Protection	Residential Growth	Inner City Redevelopment/Growth	Industrial/Commercial Growth	Transportation	Maintenance of Existing Developed Areas	Recreation	Heritage, Cultural, City Beautification	General Government
	Numerical Value	1	2	3	4	5	6	7	8	9
Hazard	1	1	2	3	4	5	6	7	8	9
Preserve Existing Capital Inv.	2	2	4	6	8	10	12	14	16	18
Economic Advantage	3	3	6	9	12	15	18	21	24	27
Improve Cost Efficiency	4	4	8	12	16	20	24	28	32	36
Minimize Operating Expenses	5	5	10	15	20	25	30	35	40	45
Increase Service Levels	6	6	12	18	24	30	36	42	48	54
Convenience	7	7	14	21	28	35	42	49	56	63

A matrix score for a proposed CIP project is obtained by:

1. Classifying the project as to its category of urgency and category of function.
2. Multiplying the numerical value of the urgency category by the numerical value of the function category.

Fig. 9. CIP Priority Rating Matrix

(14)

Public service (parks, highways, airports, ect.)	180 points	
Special services (police, institutions, National Guard)	170 points	
Conservation	160 points	(12: 39)

A priority rating system is developed by the planning department or a planning consultant, with assistance from other entities, primarily the finance officer. To be successful as an integration device, a list of goals and objectives relevant to the provision of city services should be first compiled from the various plans and policies of the city. Next, the criteria and guidelines should be established from these and the type of rating system to be employed determined. If a quantitative system is used, the values to be given each criteria should also be formulated by the planning department. The system should be tested before approval by the legislative body. Its use is only advisory, however.

As seen from the variety of rating systems presented, they are adaptable to almost all municipal resource levels. Although a sophisticated device is generally to be preferred over a simpler one, there is a point beyond which greater sophistication can shadow the positive merits of subjective (political) give and take between participants in the review process. To be effective, project rating systems must be based on well formulated policies and particularly generalized goals and objectives. The more detailed statements and recommendations must be considered through other communications channels. Hence, project rating systems are a useful tool in integrating advanced planning with the CIP but do not adequately consider the detailed elements of advanced planning. See p. 73 for an evaluation.

E. MULTI-YEAR FISCAL FORECASTS

Whereas the methods discussed earlier incorporate a multi-year fiscal forecast of selected municipal revenues and expenditures as an input into the project review stage, this model employs a comprehensive multi-year fiscal

forecast as the centerpiece of a strategy to integrate advanced planning with the capital improvements program. The model is an adaptation of the procedure used in San Antonio, Texas, where a long-range financial plan was developed to "bridge the gap between the City's Master Plan, Capital Improvements Program, and Annual Budget." (10: 62) The financial plan is a composite of all three elements and its formulation represents a significantly different procedure than those discussed earlier for producing the CIP.

The financial plan is actually an aggregate of six year revenue and expenditure forecasts produced separately by each line department with assistance from the finance department (budget and research in San Antonio). To direct plan formulation is a council-adopted set of economic and policy assumptions. These assumptions should be created through the joint effort of all city entities, but particularly the chief executive, planning department, finance department and legislature. The comprehensive plan and other policy statements should be an essential resource document in drawing up the assumptions. The effectiveness of the plan toward this end will be enhanced if it includes reasonable demographic and economic forecasts, translates as many policy statements as possible into standards of service, e.g., X acres of public open space per capita, (12: 3) evaluates the fiscal impacts of different scenarios (such as land development alternatives) and examines the fiscal implications of projects needed to implement the plan's recommendations. Data stated in easily quantifiable terms will be easiest to develop into statements of policy assumptions, e.g., "water treatment capacity will be increased to X gallons per capital by 19__."

The plans produced within the departments include the following elements:

1. the department's major programs and services;
2. departmental goals and objectives for the next 6 years;
3. major events that could effect departmental operations...;
4. the additional resources required to maintain the existing level of service assuming normal increases in work-load due to population growth, and considering the impact of mandates, new Council-adopted policies, and new capital projects (i.e., on operating and maintenance

- costs); and
5. recommended service improvements or changes, and their resource requirements. (10: 63)

Operating requirements are stressed, which is a proper basis for capital project requests. The comprehensive plan would also exert a direct influence in departmental planning by identifying requirements and opportunities not covered in the assumptions.

The finance department forecasts revenues from property taxes, sales tax, and intergovernmental sources while the departments forecast other revenue sources, including enterprise revenues. All forecasts are made according to the adopted assumptions.

The finance department also works with the line departments in attaching costs to the service requirements contained in the plans. The extent of debt and intergovernmental financing needed to fund excesses over guidelines for expenditures of other revenue sources would be determined.

Next, the financial plan is compiled, containing the program plans from all the departments with accompanying estimates of all capital and operating costs for the next six years. The plan can then be adopted by resolution.

The described process is completed prior to the beginning of the capital improvements and operating budgeting process. Projects for the capital budget may thus be drawn from the financial plan. Because the financial plan is a public document, discrepancies between it and the capital improvements and operating budgets will be noticed and potentially create political issues, thereby serving to improve the quality of all three documents. Fig 10 diagrams the process.

The model will be implemented more smoothly if a simpler forecasting method is incorporated first, to be followed by more technical projection models in successive years, after more familiarity with forecasting is achieved. It is also important that the legislature actually be involved in formulating the assumptions, not only to increase their acceptability, but

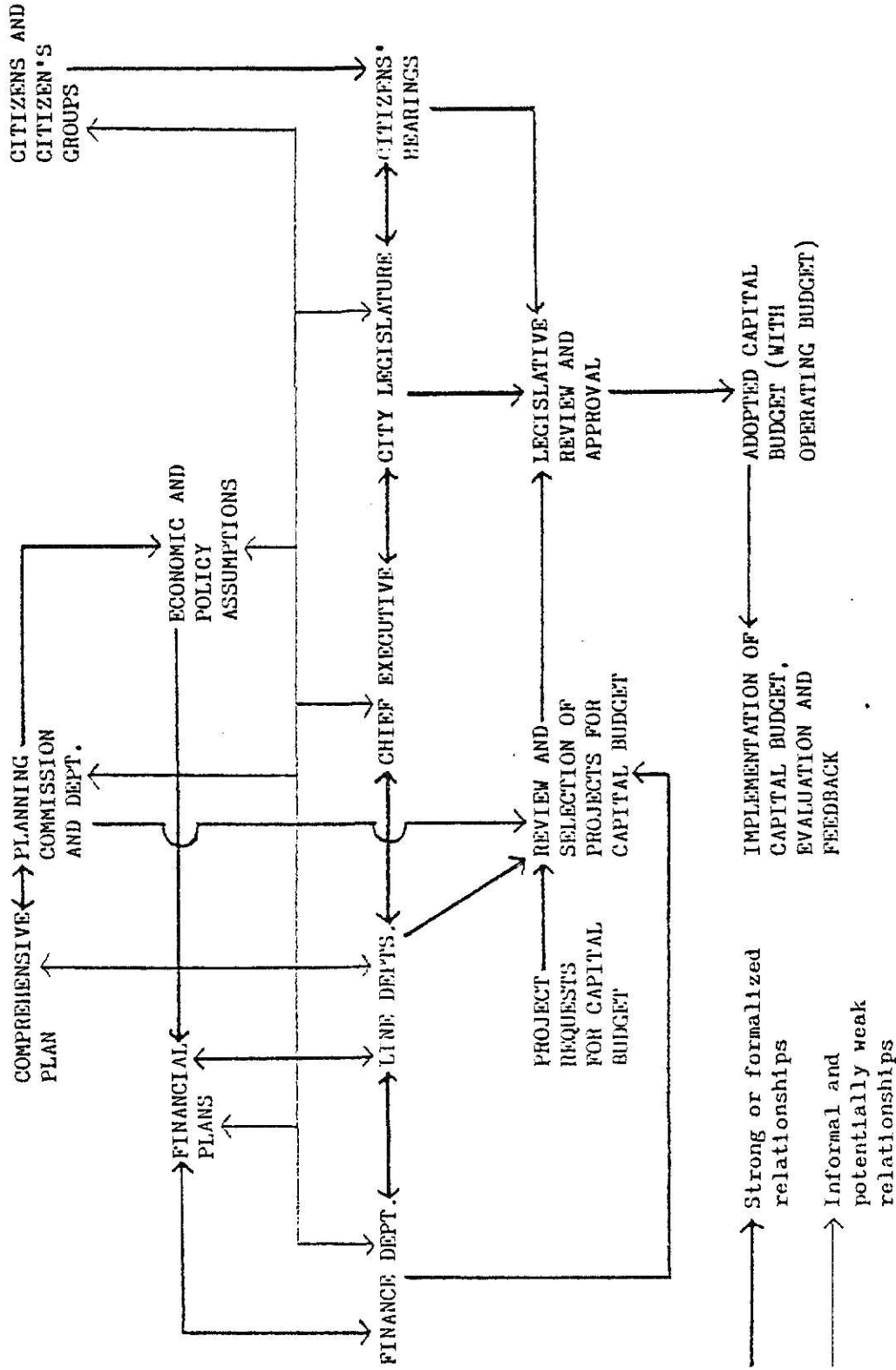


Fig. 10. Long-range Fiscal Forecast Model
(Adapted from procedure used in San Antonio (10: 62-71))

because they are highly political statements which the legislature will be highly accountable for later.

The model has the advantage of securing adoption of assumptions largely based upon the comprehensive plan and other policies. The long-range forecasts also force line departments to consider less immediate needs in detail, with large amounts of technical assistance, available mainly from the finance department. The requirement for technical expertise is the chief disadvantage of the model and, thus far, comprehensive multi-year fiscal forecasting has only been employed by fairly large cities. Unless legislators understand the elements, their commitment to multi-year forecasting will be weak, allowing the financial plan little impact in influencing capital budgeting decisions. See p. 73 for evaluation.

A final note should be made on the type of in-house planning staff used, if such an option is available. As seen by the study, there is a general preference for placing the planning staff under the chief executive, even though it serves a largely advisory function. This serves to make the department less aloof to the line departments and places more responsibility for city policy under the chief executive, thereby allowing greater unity. If the staff is to be placed within another department, however, it should never become so integrated with that department, in terms of shared responsibilities, that it loses its multi-function orientation.

RECOMMENDATION EVALUATION SHEET AND CRITERIA.

The matrix on the following page gives a general evaluation of each recommendation's performance in meeting criterial and objectives for integrating advanced planning with the capital improvements program. The criteria, objectives and alternative recommendations are listed below the matrix beside their code number or letter.

To rate each project, the following scale is used:

3. Good performance in meeting the objective as measured by the criteria.
2. Moderate performance.
1. Low performance.

Recommendation Evaluation Sheet

OBJECTIVES	OBJECTIVE CRITERIA	A	B	RECOMMENDATIONS					D	E
				C 1	C 2	C 3				
1.	1--	3	1	3	2	3	2	3		
	2--	3	1	2	2	3	2	2		
2.	3--	1	2	3	3	2	2	3		
3.	4--	2	2	2	3	2	2	3		
	5--	2	2	3	3	2	2	3		
4.	6--	2	1	3	3	2	1	3		
5.	7--	3	2	2	2	2	1	1		
6.	8--	2	3	2	3	2	2	2		
7.	9--	1	2	3	3	2	3	3		
8.	10--	3	1	1	1	3	2	1		
	11--	3	1	1	1	3	3	2		
	12--	3	1	1	1	2	3	1		
9.	13--	1	3	3	3	3	3	3		

Objectives:

1. Provide focus of purpose for coordinating different dimensions (transportation, housing, sanitation) and guidance elements (CIP, zoning, subdivision regulations) by directing attention toward common goals and objectives.
2. Enhance the usability of advanced planning by making it operational, realistically considering project needs, financial, political and other factors, yet including a long-range and comprehensive analysis of community conditions and needs.
3. Increase identity with and commitment to policies and plans (including long-range considerations) as components of capital facilities planning.
4. Provide better communications channels between the planning commission and staff, line departments, chief executive, financial function and the city council (commission) for an improved flow of information necessary to the CIP.
5. Increase planning commission involvement with the CIP.
6. Consider all significant inputs into the process for programming capital projects: citizens, planning commission and staff, the chief executive, financial staff, line departments, city legislature, other jurisdictions etc.
7. Enhance the relationship between the CIP and the operating program.

Objectives (Continued):

8. Provide an effective integration structure or process that is as informal, simplified and inexpensive as possible.
9. Provide for fuller utilization of the CIP for relating funding sources, projects and timing in an effective manner.

Objective Criteria:

- 1-- Clarity of goals and objectives.
- 2-- Number of points from which statements of goals and objectives are derived.
- 3-- Inclusion of short-range and more detailed inputs, such as financial, departmental and political contributions, as a component of the advanced planning process.
- 4-- Participation of line departments, political leaders, the chief executive, citizens, etc, in plan formulation.
- 5-- Existence of criteria, standards, guidelines, review and communications procedures, etc. designed to relate policy, planning and other long-range inputs into the CIP process.
- 6-- Strength and directness of communications channels between the planning commission and staff, line departments, chief executive, financial function, the city council (commission) and the CIP.
- 7-- Extent of planning commission participation in review, communication, coordination, etc. relative to programming capital projects.
- 8-- Number and significance of entities influencing capital programming decisions.
- 9-- Use of long-range operating budgets or other mechanisms to relate the CIP to operating needs.
- 10-- Reliance on formalized structures and processes.
- 11-- Complexity of structures and processes.
- 12-- Relative expense of implementing integration model.
- 13-- Availability of expertise (technical ability) at relating projects, funding sources and timing in an effective manner.

Recommendations:

- A. Greater planning commission involvement in planning and programming capital projects.
- B. Citizen formulation of plans and assistance in CIP approval.
- C. Operationalized advanced plans:
 1. Short-range functional plans.

Recommendations (Continued):

2. Community development and/or growth management inclusive model.
3. Operationalized comprehensive plan.

D. Policy based project rating.

E. Multi-year fiscal forecasts.

Because the applicability of the criteria toward defining a recommendation for use in a city will vary, depending on that city's particular conditions and problems, it is necessary to weight the criteria to reflect the occurrence of those conditions and problems by either explicitly or tacitly considering the following factors:

- Size of the municipality: 1, 2, 3, 5, 8, 10, 11, 12.
- Size of the municipal government: 1, 2, 5, 6, 8, 9, 10, 11, 13.
- Frequency of improvements projects: 3, 9, 10, 11, 13.
- Similarity of values and attitudes among the community and the municipal government: 1, 2, 3, 4, 8, 10, 11.
- Organizational integration of the planning function with the remainder of municipal government: 4, 5, 6, 7, 10, 11.
- Informal influence of the planning staff in relating longer-range considerations to other entities of the government: 5, 7, 10, 11.
- Informal influence of the financial staff in relating long-range budget implications to other entities of the government: 5, 9, 10, 11.
- Availability of financial resources: all criteria.
- Availability of technical resources: 3, 4, 5, 9, 13.

After each factor, the number corresponding to the criteria it especially affects are listed. Note that the importance of each criteria is influenced by more than one factor. For instance, size of municipality, similarity of its values and attitudes, and availability of financial resources, etc., are all factors determining the importance of clarity in statements of goals and objectives (criterion 1) as a criterion for selecting a recommendation. Yet, for this criterion, the size of the community and the similarity of values and attitudes may be deemed more important determinants of the criterion's

applicability than availability of financial resources, as in the case of a small, homogeneous community where it has never been necessary to expend much money to determine what community goals and objectives are. The weighting factors themselves will have to be weighted. In this case, availability of financial resources will receive a smaller weighting factor.

Only after attaching weights to all factors modifying each criterion (using comparable scales) is it possible to multiply the weighting factor by another figure, representing the extent to which that factor occurs within the municipality. For instance, the size of the community can be compared with other cities within the state, and placed within one of three categories with equal range: small, medium sized or large. A number value may then be attached to each category: 1 for small, 2 for medium sized, and 3 for large, with the larger number corresponding to the condition that enhances the importance of the criterion the most. In the example, larger cities tend to have more difficulty in developing clear statements of goals and objectives, thus the importance of a recommendation that can meet this criterion will increase with size.

To determine a total weight for the criterion, multiply the weighting value of each factor by the value attributed to its occurrence in the specific case and add the products. The following table illustrates the process for the example given.

FACTORS	FACTOR WEIGHT	HIGH	MODERATE	LOW	WEIGHT SCORE
Size of municipality*	2 X			1	2
Similarity of values	3 X	1			3
Availability of funds	1 X		2		2
CRITERION WEIGHT 7					

To compare the various criteria weights, it is necessary to place them in similar terms. This can be done by first noting the potential range of weights

* Note the reversal of the scale for the "size of municipality" factor.

for each criteria. In the example, the range extends from 3 to a high value of 27, achieved when all three factors are deemed to be very important and the occurrence of each factor is low (high, in the case of the size factor). Next, the range may be divided into three equal categories and a number assigned to each. The category in which the criteria weight falls will determine the value to be associated with that criteria. In this case, a 1 value is assigned because 7, the formulated criteria weight, is comparatively low. The same procedure is followed to standardize the other criteria weights.

Now it is possible to multiply the standardized criteria weights by the value assigned to each recommendation and total the products for a numerical (and rough) indication of the relative applicability each recommendation would have in a particular municipal setting.

If the number of elements within each scale employed is kept low, the problems of making "hair splitting" value judgements will be avoided.

Because the recommendations represent administrative changes, the chief executive should be primarily responsible for making the previous evaluation. The administrator will probably note several recommendations that score well for the municipality. It will be necessary, therefore, to combine elements of each, e.g., combining a more active planning commission involvement in the CIP with the use of policy based project rating criteria, etc.

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VII. CONCLUSION

As mentioned earlier, capital improvements programming is only one device used by municipalities to act on the environment. Efforts to integrate advanced planning with the CIP should also be coupled with attempts at improving the relationship between planning and zoning administration, subdivision regulation, the administration of operating programs, taxation strategies, etc. Capital improvements programming offers perhaps the greatest challenge to integration efforts because of its inherent complexity and highly politicized subject matter. Yet, a community that effectively links its goals, objectives and policy statements to the CIP should find it easier to devise mechanisms to improve linkages with the other devices, in an effort to improve the implementation of advanced planning.

Such initiatives, however, will be unsuccessful if they do not also improve the inputs of governmental and non-governmental entities exclusive of centralized planning. In capital improvements programming, for instance, the orientation of advanced planning for a "best fit" combination of future projects is only one direction from which the programming problem can be approached. The others include an accounting approach, emphasizing the need for proper timing of financial outlays; the economic approach, stressing the effect improvements have on generating economic growth in the community; the engineering approach, stressing the CIP as a means of scheduling the efficient construction of projects; or the administrative approach, viewing the capital program primarily as a tool to implement the operating program. (1: 99-100)

This paper has tried to recognize the need for a balance between the various approaches, as embodied in the many contributors to the CIP, both within and outside of the municipal government, while at the same time focusing on the contributions of the planning function. Some of the alternatives presented, of course, place more stress on inputs of a certain type. The long-range,

fiscal forecast, for example, places more emphasis perhaps on the accounting and administrative approach than on the planning approach, whereas the models specifying considerable citizen input may stress an economic approach.

As mentioned earlier, none of the alternatives represent best fit solutions, and all can be exploited by those seeking to disrupt the "balance" of the various inputs to serve their own ends. Those recommendations relying most heavily on informal communications channels would be most susceptible, namely the planning commission CIP involvement model and the operationalized comprehensive plan model.

To determine optimum integration solutions requires a careful analysis of the existing conditions and value structures within the municipality so that a proper balance between the approaches may be achieved. This is the reason for discussion of the criteria weighting factors, beginning on page 75. A suggestion for further study would be to conduct such an analysis, using more detailed factors on a case by case basis, drawing from municipalities of varying size, administrative structure, capabilities, etc. Next, the study could develop appropriate mixes of the integration strategies, develop them in detail and apply them to the cities' unique conditions.

Finally, it should be noted that no attempts at integrating advanced planning with capital improvements programming can be effective unless political leaders in particular are willing and able to forfeit some flexibility in legislative freedom for perceived gains from advanced planning (see II D). The recommendations described above can create pressures to do so, but, under the current status of relatively short terms of office for city legislators, general unconcern among the citizenry for less immediate issues and legislative de-emphasis of planning in Kansas, such efforts will not be totally successful. Yet, the prospects for changing these conditions appear limited at this time.

1 Moak, Lennox L. and Hilhouse, Albert M. Concepts and Practice in Local Government Finance. Chicago: Municipal Finance Officers Association of the United States and Canada, 1975.

APPENDIX

OFFICIALS CONSULTED

This discussion explains in detail how respondents to the survey questionnaire (see p. 83) were selected. The questionnaire was employed to study the status of advanced planning and its relationship to capital improvements programming in Kansas municipalities (section III).

The selection process began with a survey of statewide organizations involved in either the areas of planning, municipal finance or both. The researcher's major advisor, Prof. Vernon Deines, was able to provide assistance in selecting contacts due to his familiarity and involvement in the state over a period of 24 years.

Following is a list of those organizations selected.

League of Kansas Municipalities

City Clerks and Municipal Finance Officer's Association of Kansas

Kansas Chapter of the American Planning Association

Kansas Department of Economic Development

Kansas Association of Regional Planning Commissions

In the case of the first two organizations, the directors themselves agreed to an interview. In the other cases, they identified members within their organizations who they felt were especially knowledgeable of the research topic.

During the course of the interviews, two additional individuals were identified as good potential interviewees: one representing a federal agency serving the state, namely the Kansas Cooperative Extension Service, and the other a private planning consultant who has contracted with numerous Kansas municipalities.

Thus, the complete list of respondents is as follows:

INTERVIEWEE:	AFFILIATION:
William Eberle	Planning and Land-Use Specialist Division of Cooperative Extension Kansas State University
Mike Elson	Director Flint Hills Regional Planning Commission, Strong City, KS.
Bickley Foster	Planning Consultant Topeka, KS.
Robert Lakin	Executive Director Wichita-Sedgwick County Metro. Area Planning Dept., Wichita, KS.
Stan McAdoo Ed Riemann	Community Development Division, Kansas Dept. of Economic Development, Topeka, KS.
E. A. Mosher	Executive Director League of Kansas Municipalities, Topeka, KS.
Paul Mossman	President City Clerks and Municipal Finance Officer's Assoc. of Kansas, El Dorado, KS.

Below is a table showing the range of organizational perspectives and general functions of the respondents interviewed:

INTERVIEWEE	AGENCY TYPE	GENERAL FUNCTIONS
W. Eberle	statewide	information and educational assistance to local government
M. Elson	non-metro./regional	public planning agency
B. Foster	local/statewide	planning consultant
R. Lakin	metro. regional	public planning agency
S. McAdoo E. Riemann	state/statewide	technical assistance to local government
E. Mosher	statewide	technical assistance to local government
P. Mossman	local	finance

**THIS BOOK
CONTAINS
NUMEROUS
PAGES WITH
THE ORIGINAL
PRINTING ON
THE PAGE BEING
CROOKED.**

**THIS IS THE
BEST IMAGE
AVAILABLE.**

5. Stated recommendations - action to be taken toward the goal, problems and objectives of the plan.

Not workable	1	2	3	4	5	Highly workable
Not appropriate	1	2	3	4	5	Highly appropriate

6. Stated means of accomplishing recommendations. Example: list of physical improvements needed to carry out the plan.

Statements of means not						Highly developed
included in plan	1	2	3	4	5	statements of means
Stated means not						Stated means highly
workable	1	2	3	4	5	workable

- 2) To what extent do municipalities in the state rely on the following organizations to formulate municipal comprehensive plans:

	Heavily utilized	Proportion- ately utilized	Rarely utilized
In-house staffs	1	2	3
Private consultants	1	2	3
Regional planning			
staffs	1	2	3
Other organizations			
(name)	1	2	3

- 3) Is it common practice for municipalities in the state to produce operational plans, i.e., plans of lessened time frame or scope than the comprehensive plan? Example: 6 year development plans or a CBD plan.

Very common	1	2	3	4	5	Rare
-------------	---	---	---	---	---	------

- 4) Are the operational plans generally an outgrowth of the comprehensive plans or are they based primarily on other inputs: special studies, executive recommendations, etc.

Strong relationship to

Strong relationship

comprehensive plans 1

2

3

4

5

to other sources

- 5) Are the operational plans specific or detailed enough to provide a basis for city line departments and others in making requests for the CIP?

Not capable of being
utilized for CIP

Very capable of
being utilized

requests

1

2

3

4

5

for CIP requests

- 6) Is adoption of plans by the legislative body a common practice in Kansas?

Rare

1

2

3

4

5

Very common

- 7) Are there any common inadequacies regarding the location of the planning function in its relation to the rest of municipal government (such as reporting structures)?

- 8) Please express any additional ideas or comments you may have on the nature of municipal planning in Kansas.

II. CAPITAL IMPROVEMENTS PROGRAMMING

1) Please comment on any common deficiencies with the execution of the following capital improvements programming steps:

1. Determination of capital projects to request, by department heads, political leaders, the planning department, citizen's groups, etc.

a. Determining facilities and equipment to be replaced in order to maintain current levels of service for existing community.

b. Determining facilities and equipment needed to accommodate new growth at present levels of service.

c. Determining facilities and equipment needed to expand levels of service either for the existing community or the projected future community.

d. Other common inadequacies with the request stage.

2. Determining probable costs of projects.

3. Compiling a plan for financing proposed projects: uncertainty of funding sources, e.g., federal aid or bond financing; inadequate financial projections; tax increment financing; relating to operating budget, etc.

4. Departmental hearings.

5. Prioritizing projects as to their appropriateness:

a. Establishing standards for selection.

b. Weighing various criteria against each other: time urgency, necessity, costs, benefits, beneficiary groups, etc.

Example: A park is not an urgent need at the present time, however, the land must be acquired soon before development blocks this opportunity.

6. Selection of projects to be included in the executive capital program.

a. Establishing financial limits to the size of the CIP such as debt ceilings or percentages on pay-as-you-go financing.

- b. Considering alternative service delivery systems, Example; dispersed or centralized sewage treatment.

- c. Combining project proposals for greater efficiency in service delivery. Example: Schools with recreation centers, city/county jails, etc.

7. Determining the impact of the proposed CIP on debt structure, future operating costs and revenues, tax assessments, etc.

8. Legislative review and approval.

9. Funding initiatives - bond elections, grant applications, establishing special districts.

- 2) Relate any other areas where common programming deficiencies occur.

- 3) Overall comments on the adequacy of the CIP process as practiced.

III. INTEGRATION OF ADVANCED PLANNING WITH CAPITAL IMPROVEMENTS PROGRAMMING

- 1) What organizational structures and/or processes are commonly used within the state to insure that goals, objectives, recommendations, etc., arrived at through a comprehensive planning process are considered in the capital improvements program. Ex. Project rating forms based on criteria derived from pre-stated goals and objectives; planning commission review of combined requests; 6 yr. operational plans, etc.

2) Rate each of these structures and processes according to the following criteria:

1. Ability to identify and modify requests not in conference to the comprehensive planning recommendations.

Ineffective 1 2 3 4 5 Very Effective

2. Ability to introduce requests necessary to implement the comprehensive plan.

Ineffective 1 2 3 4 5 Very Effective

3. Ability to include inputs from the various "actors" in the planning and programming process, namely political leaders, the chief executive, functional departments, finance officer, the citizenry, etc.

Ineffective 1 2 3 4 5 Very Effective

4. Ability to significantly increase the likelihood of long or short range plan implementation.

Ineffective 1 2 3 4 5 Very Effective

5. Avoidance of unnecessary complexity and conflict in organizational structure and processes.

Ineffective 1 2 3 4 5 Very Effective

6. General acceptability to the various parties involved.

Unacceptable 1 2 3 4 5 Highly acceptable

- 3) Please discuss legislative efforts to tie the CIP to the planning process and their adequacy in accomplishing this end.

- 4) What suggestions do you have toward improving the integration between advanced planning and the capital improvements programming process.

IV. OTHER COMMENTS

Please relate any other comments or suggestions you may have for this study.

INTEGRATING ADVANCED PLANNING WITH THE
CAPITAL IMPROVEMENTS PROGRAM

by

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B. A., Hastings College, Hastings, Nebraska, 1979

AN ABSTRACT OF A MASTER'S REPORT

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requirements for the degree

MASTER OF REGIONAL AND COMMUNITY PLANNING

Department of Regional and Community Planning

KANSAS STATE UNIVERSITY
Manhattan, Kansas

1981

Planning theorists and practitioners have long noted that plans are often not successfully carried through to the implementation stage. This "implementation gap" was reported in the August 1980 issue of the Kansas Government Journal as one of the problems plaguing Kansas governments. For municipalities, the problem involves making the jump from a plan, often a comprehensive, long-range one, to the various devices available to a city for acting on the environment, e.g., zoning, subdivision regulations, annexation, taxation, service districts or the capital improvements program (CIP).

The capital improvements program and budget has proven to be an especially important element of the municipal system for acting on community problems. Hence, it is important that the CIP be strongly related to a careful determination of the city's needs, as expressed through an "advanced planning" process.

Yet, as a highly political device, the CIP is subject to manipulation from many sources. Although such inputs are essential for a realistic CIP, they can often drown out the effects of a more rational determination of community needs. Structures and processes therefore need to be developed that improve the integration between the planning process and the capital improvements program without avoiding the contributions of "non-planned" inputs. The report presents a series of alternatives for accomplishing this end. Each alternative is evaluated relative to its adaptability toward the planning/CIP problems of municipalities in Kansas. To determine what these problems are, a study is included focusing on deficiencies among Kansas municipalities regarding the planning process, the capital improvements programming process and their relationship to each other. The study also contains suggestions for improving administrative structures and processes for better planning/CIP integration. Coupled with information gained from a review of the literature on the topic, the study provides background material for the presentation of

alternative methods of integration. Other background material is provided through a general description of capital improvements programming and the advanced planning process, together with a justification for improving the relationship between the two processes.