



THE UNITED STATES URBAN DEVELOPMENT EXPERIENCE

A Selective Analytical Compendium



prepared for the
OFFICE OF URBAN DEVELOPMENT • BUREAU FOR TECHNICAL ASSISTANCE
Agency for International Development

June 1974
Department of State

by
Dialogue Systems, Inc.
55 West 44th Street
New York, New York 10036

THE UNITED STATES
URBAN DEVELOPMENT EXPERIENCE:
A SELECTIVE ANALYTICAL COMPENDIUM

The United States
Urban Development Experience:
a
Selective Analytical Compendium

June 1974

Project Staff

Project Director:

Reginald L. Powe

Staff Associates:

Colleen Benton
Robert Hoffman
Jill Ross Klevin
Ardith Maney

Consultants:

Carlos Campbell
Joseph Revis
Sumner Rosen, Ph.D

This compendium prepared for the Office of Urban Development, Bureau for Technical Assistance, United States Agency for International Development, Department of State under contract #AID-CM-Ta-C-73-48. Viewpoints or opinions stated in this report do not necessarily represent the official position or policy of the United States Department of State.

Director, Office of Urban Development:

William R. Miner

Urban Development Advisor:

Eric Chetwynd

Dialogue Systems, Inc. is a private, research and consulting firm founded in 1970. The corporation's research and technical assistance activities are directed toward the solution of emerging problems of human resource, and urban development.

DSI's staff includes specialists in manpower, economics, planning, health, education and public administration. Offices are located at:

55 West 44th Street
New York, N.Y. 10036
Telephone: (212) 972-0997

PREFACE

This compendium of selected aspects of U.S. domestic urban experience seeks to improve the perception of that experience for its usefulness and adaptability in developing countries.

In a period of about one hundred years, the United States was transformed from an agriculturally developing country, to an industrially based society, and recently to the world's first service oriented economy. The transition has been an uneven confrontation with the problems and opportunities of urbanization. The approaches and programs designed to address these circumstances have not always been successful, and sometimes the achievements have been diluted by unanticipated side effects and unintended consequences. Better ways of improving the quality and vitality of American cities continue to be sought.

Inaccurate perceptions of the U.S. experience in urban development abound. They range from the notion held by many Americans that the United States has little or nothing to share because it has not overcome many of its own serious urban problems to the widespread tendency in developing countries to adopt without reservation U.S. models or patterns as "answers" to their urban development needs. All too often professionals in these countries who studied in the United States have not had the benefit of subsequent reappraisals, revisions, and redirections in U.S. programs and approaches.

In sharing the U.S. experience, it is recognized that the rate and scale of urbanization in developing countries are without precedent. Unlike the experience of the United States and other economically advanced countries, developing nations are having to deal with rapid urban growth concurrently with the phenomena of growing population (rural as well as urban), growing unemployment, and economies whose opportunities for expansion and development are affected seriously by established and inflexible international business and trading relationships, the role of multinational corporations, and the policies of international lending agencies. Added to these are traditional constraints, such as culture, climate, and the availability of natural and other resources, and the more recent concern for the preservation of the environment.

While the circumstances differ from country to country, our hope is that this compendium may be instructive to others as they wrestle with the problems and harness the potential of rapid urban growth. We hope also that others will be encouraged to share their experience, for we believe that a dialogue between institutions and nations is important to development and that urbanization is one of its major dimensions. Through a mutual sharing of experience, past lessons will not be forgotten and the knowledge held in common will be expanded.

TABLE OF CONTENTS

Page

1.0	<u>HISTORICAL BACKGROUND ON UNITED STATES URBAN DEVELOPMENT</u>	
1.1	Introduction.....	1
1.2	Population.....	1
1.3	Immigration.....	2
1.4	Slums and Ethnic Ghettos.....	2
1.5	Development.....	3
1.6	The Growth of Suburbs.....	4
1.7	Impact.....	5
1.8	Politics, Citizen Participation & Social Unrest	7
2.0	<u>URBAN HOUSING AND BUILDING</u>	
2.1	Historical Background on Urban Housing & Building	9
2.2	Housing Problems.....	12
2.3	United States Problem-Solving Approaches.....	13
2.4	Conclusion.....	26
3.0	<u>URBAN TRANSPORTATION</u>	
3.1	Historical Background.....	28
3.2	Illustrative Urban Transportation Cases.....	37
3.3	Conclusions and Findings.....	50
4.0	<u>SOCIAL SERVICES</u>	
4.1	Introduction.....	57
4.2	Welfare Services.....	58
4.3	Education.....	66
4.4	Health Services.....	78
5.0	<u>MANPOWER AND LABOR MOBILITY</u>	
5.1	Historical Background.....	97
5.2	Urban Manpower Problems of the 1960's.....	99
5.3	U.S. Approaches to Manpower Problems of the 60's	100
5.4	Efforts to Overcome These Weaknesses.....	103
5.5	Role of Non-Federal Institutions.....	105
5.6	Special Manpower Programs.....	108
5.7	Job Creation.....	111
5.8	Lessons to be Learned from U.S. Experience.....	112
6.0	<u>PLANNING, GOVERNANCE AND GROWTH POLICY</u>	
6.1	Comprehensive Planning.....	114
6.2	Planning and Governance.....	118
6.3	Urban Renewal.....	119
6.4	Model Cities.....	121
6.5	New Towns.....	124
6.6	Urban Growth Policy.....	129

APPENDIX

Sources of Information.....	1-97
-----------------------------	------

HISTORICAL BACKGROUND

1.0 HISTORICAL BACKGROUND ON UNITED STATES URBAN DEVELOPMENT

1.1 Introduction: Perhaps the most remarkable factor in the history of the United States is not its ultimate power and size, but the speed of its growth. Other nations have reached great heights; their cities have spawned huge populations and exerted tremendous influence on the rest of the world. But none has reached its zenith overnight. America has risen from colony to world leader in less than 200 years, which makes the enormity of its growth difficult to comprehend.

America's growth in terms of sheer size, from a population of approximately 3 million in 1790 to over 200 million in the 1970's, is a phenomenon in itself. The fact that, in the process of attaining such size, the country totally reversed its character and changed its lifestyle from rural-agrarian to urban-industrial in only a few generations, is a unique development in the history of nations. The results of the "overnight" transformation have been twofold. America accomplished the impossible in technology, and in doing so, the nation has encountered problems of a nature and magnitude never before experienced in human history. Because America has never stopped growing or changing, it has difficulty isolating and defining its problems and planning comprehensive solutions. In no area of American life is this more evident than in housing and urban development.

1.2 Population: America's population has never declined. From the first census in 1790, when it totalled about 3 million, to the mid-1860's, it doubled approximately every 23 years without appreciable slackening. By 1860, the United States was the fourth most populous nation in the world, exceeded only by Russia, France and Austria. Likewise, in 1790, only 2.8% of the 3 million lived in urban areas. Only the populations of Philadelphia and New York exceeded 20,000. By 1860, the nation included 43 "cities," with New Orleans, Cincinnati, and Chicago rivaling the eastern metropolises. In addition, there were 300 towns that boasted populations of over 5,000.¹

1. Thomas Bailey, The American Pageant (Boston, 1961), p. 323

- 1.3 Immigration: A high birth rate, so necessary to agrarian labor, was a constant factor in America's profile from the beginning, and it continued. By the 1840's the arrival of hundreds of thousands of immigrants exacerbated the problem of congestion. Before 1840, the rate of immigration was 60,000 per year; in the following decade it tripled; and by the 1850's, 240,000 was the average. To peasants faced with economic despair and the failure of revolutions in their homelands, the lure of democracy and the opportunities it offered were irresistible. The influx was expedited by the introduction of transoceanic steamships which reduce migration time from weeks to days.

Farming, trade, and construction opportunities tempted immigrants to go across the country. Skilled English-speaking laborers, who were fortunate enough to possess some capital, were assimilated with relative ease. However, unskilled laborers with no money and a language barrier were forced by necessity to remain where they had landed -- in the coastal cities and metropolitan areas. The United States passed its first restrictive laws in 1882, but by that time almost 20 million immigrants (and rural migrants as well)² had swelled urban populations beyond their capacities.

- 1.4 Slums and Ethnic Ghettos: Even before the Civil War, there was poverty in both rural areas and cities, but the problem of slums and ethnic ghettos had not yet been nationally recognized as a major urban problem. When the problem was recognized, conditions had progressed to a deplorable state. Insufficient housing, and consequently high rents, forced immigrants into stables, cellars, and attics with inadequate sanitation facilities.³ Tenement houses were introduced in the mid-1930's, and as many people as possible were crowded into buildings without adequate light and air. "Sweatshop" labor added to the problems of disease, crime and vice.

When they became aware of the problems, some city officials strove to provide satisfactory housing, transportation and police and fire protection. Some effort was made to fight crime and disease. But

2. Thomas Bailey, The American Pageant (Boston, 1961), p. 542.

3. This was true especially of new arrivals, who reportedly were coming at the rate of 2,100 a day in 1882. See Thomas Bailey, The American Pageant (Boston, 1961), p. 542.

generally "the low productivity of society and the great gap between the rich and the poor made this distinction seem natural and inevitable."⁴ The slum, then, was either considered "God's will" or taken for granted.

- 1.5 Development: The country remained unquestionably rural in lifestyle and outlook during this period (1790-1860), even though cities were developing. From colonial days, when Jefferson dreamed of an agrarian utopia, America's economy was primarily self-sustaining. Exportation of such staples as tobacco, grain, and cotton was a source of income for port cities, but, by and large, a "to-each-his-own" system of farming was prevalent. The first great cities were "the offspring of farm, forest, mine, and commerce -- not industry."⁵ At the very beginning, extensive regional trade was impossible because of the lack of efficient transportation; not until after the Civil War did industrialization and technological advances in both production and transportation change the face of the nation from rural to urban.

Before the Civil War, America had not, of course, remained static. By 1812, most northeastern cities were linked by turnpikes, which, in addition to expediting traffic, brought income to the states. By 1820, steamboats had opened the Mississippi River as a viable trade route. In 1825, the opening of the Erie Canal provided access to the markets of the Great Lakes Region. But the greatest advance in transportation came in 1869 with the link-up of the Transcontinental Railway. Together with the lines in the East and the rebuilt railroads in the South, the joining of the Union Pacific-Central Pacific signalled the beginning of a country-wide network.

The railroad had an impact on every phase of American life. Not only did it link the states in a physical sense, but, more than any other single factor, it spurred the rise of industrialization, opened new markets for manufactured goods and channeled raw materials to the factories. The railroad brought the farmer his necessities, carried his produce to the workers in the cities, and provided support for the burgeoning steel industry.

4. Marshall B. Clinard, Slums and Community Development (New York, 1966), p. 39.

5. Allan Nevins, "The American City in History," Cities of Destiny (New York, 1967), p. 313.

The Industrial Revolution, with its mass production techniques and countless mechanical inventions, flourished in the decades after the Civil War. It sealed America off forever from a primarily agrarian outlook, although industry began to develop the most productive agricultural economy the world had ever seen. The South became industrialized as cotton manufacturing came into its own. Urban centers, with overabundant factories and offices, demanded laborers, and the lure of cities and good wages changed America into an industrialized nation.

In 1860, no American city had a million citizens. By 1890, New York, Chicago and Philadelphia had exceeded the million mark. By 1900, New York was the second largest city in the world, after London. The urban influence on the entire country was strong and widespread. In contrast to previous years when the "gentleman farmer" was the point of comparison, standards and manners began to be set by the cities, marking the emergence of cities in the European sense of the word.⁶

The technology of the cities made available services that were unknown in the smaller towns and on the farms. Central heating, public water systems, indoor plumbing and sewage disposal, asphalt pavement and public transportation created a standard of living for the city worker that was better than anywhere else in the world. But the elevator and the "highrises," which began to spring up in the last quarter-century, created congestion which taxed city service capabilities.

- 1.6 The Growth of Suburbs: Mobility, a result of the advent of the automobile and road construction (especially beltways and freeways), began to create another significant demographic shift in the 1920's. Middle and upper-income workers discovered that work and leisure could be divided between the city and "the country" (areas surrounding the city which are not legally incorporated). By 1930, suburban areas "began to play a significant role in urban growth."⁷ Suburban development soared after World War II. Industry and business found lower taxes and better facilities in the outlying areas. The worker no longer had to commute, and as a consequence central city growth began to decline.

6. Thomas Bailey, The American Pageant (Boston, 1961), p. 547.

7. Urban-Rural America: Policies for Future Growth (Washington, 1968), p. 12.

Between 1950 and 1968, the central city area grew only 1.2%, while suburban and other locations within metropolitan areas (but outside city centers) grew more than 27%. Today, the core areas are "uncrowding" as density ratios shift to fringe areas under development. By 1970, for the first time, suburban population was larger than urban population. Most land development experts see no signs of reversal in this central city-suburb split.⁸ However, the energy crisis could effect a gradual back-to-the-city movement, depending upon the availability of well-developed transportation systems.

- 1.7 Impact: The face of American cities looks vastly different today from 25 years ago. It is clear that little of the change can be attributed to the intentions of public policy. Federal mortgage policies for middle-class homeowners intensified the drive to the suburbs, enriched the private mortgage industry without stimulating it to make needed reforms, and then presented the problem of how to transport suburbanites back to the cities to work. The federal highway program, first developed for national defense, was found to overburden the cities with private automobiles at the expense of badly run private railroads and severely undercapitalized municipal mass transportation systems. Downtown business districts have built new office space and luxury housing, but often at high social costs to those uprooted by renewal which frequently failed to relocate people either in relation to housing at prices they could afford, or to potential jobs for which they had the skills.

A recent study of a section of New York City has shown how delays and bottlenecks affected one area designated for redevelopment. In the twelve years since the first designation as an urban renewal area, housing stock in Brooklyn's Brownsville section has substantially deteriorated and no new housing has been built. In fact, deterioration came because of the area's being chosen as an urban renewal site.

... commencing with urban renewal designation in May of 1961 and continuing to the present, massive deterioration has occurred within the total project area, including the rehabilitation and redevelopment sections. The statistics also document the failure of the rehabilitation program and the gradual transition in basic project treatment from conservation to

8. "HUD-Brief," Department of Housing and Urban Development, (January 1971), p. 1.

clearance. The pattern of decline strongly suggests that the cause rested, in part, with the slow pace of city action. The result was no rehabilitation program for Brownsville.⁹

Some public housing built within the last 25 years has already deteriorated to the point that tenants will not live there. The 1968 Housing Act renewed the pledge of decent housing but its goals lie embarrassingly unfulfilled today.

United States cities have different problems and are working out differing solutions. The old eastern manufacturing cities (Newark, New Jersey; Boston, Massachusetts; Rochester, New York) are losing population to their suburbs. They differ substantially from cities in the sun belt -- Los Angeles, San Diego, Houston, Dallas, Miami, and others -- which depend on a kind of public investment and development of the military-aerospace-oil-industrial sector. Both kinds of large cities differ from the smaller cities with populations around 100,000. The rapidly expanding cities with a large publicly subsidized industrial base may be similar to cities in developing countries. The eastern manufacturing cities, however, face the problem of replacing an aging industrial base.

The United States urban experience has developed new professions in urban affairs, such as city planners and municipal program officials. More recently, however, there has been a shift away from the urban experts to local elected officials and community groups, who have had to develop expertise in using federal programs. The later careers of the urban entrepreneurs, such as Robert Moses, Edward Logue and the mayors for whom they worked provide some interesting insights into the power of urban experts.

The spectacular growth in the number and dollar value of urban programs has led to genuine debate about how to finance state and local government. The change from program to block grants and the various proposals for revenue sharing among federal, state and local governments have involved discussions about how money is raised, who should spend it, and for what purpose it should be spent. These are fundamental questions of public policy and the introduction of revenue sharing in some form marks an important point from which one can look back and assess urban policy.

9. State Study Commission for New York City, Urban Renewal in Brownsville, January 1973, p. 58.

- 1.8 Politics, Citizen Participation and Social Unrest:
 Urban areas have found strength in presidential elections to compensate for their traditionally weak position in the American constitutional system. The strength has come in the difference large voting blocks make in the electoral college, which, in turn, depends on the large, populous states. In recognition of the votes received from urban areas, especially from among blacks and other minority groups, the government began to direct some federal programs to the cities without passing through state governments. This practice reached its zenith after the presidential election of 1960.

Urban policy has been an evolving process in which many independent actors under a number of systematic, economic, political and ideological constraints have participated. Specific governmental initiatives have been in operation long enough to be affected by feedback from business and private groups, elected local officials, and residents of urban areas.

Some urban residents, particularly those affected by renewal plans promising physical changes to their neighborhoods, responded by mobilizing political power to challenge urban programs and specific plans. Increased political activity ranged from sit-ins, to court orders, to blocking bulldozers, to electing anti-renewal candidates to city councils, city halls, and Congress. Federal officials rewrote plans to include participation by panels of local citizens in the local planning and administrative processes. Urban concerns became inextricably tied to the two most pressing domestic problems of the 1960's: the discovery of the presence of vast numbers of Americans living in poverty, and the demand for political and economic equality for blacks and other minority groups. When it became clear to policymakers and to the public that many of the poor were minority people and that they were increasingly concentrated in the cities that were in serious need of help, that combination of factors gave rise to concern for the "urban crisis."

Citizen participation is a multi-faceted issue. It is the general political power of urban residents voting in national elections for candidates who are sympathetic to the problems confronting urban life and who can bring changes to specific programs. It is the specific voting power of urban populations which brings partisan advantage. It is the 1960's experimentation with new forms of representation by groups in programs

such as Model Cities and Community Action. It is urban unrest which has had a history of use as a way to bring grievances to public attention exemplified in recent demonstrations by Irish populations in South Boston, blacks in Watts and other cities, and residents in Forest Hills blocking construction of high-rise housing.

Urban goals, themselves, have been in a state of flux. Much more is known about the context of urban life and about what makes cities alive and useful than at any time in our history. We have had to find ways of preserving neighborhoods because the people living there felt at home in them. The methodology for providing decent housing for all has progressively shifted from clearance to rehabilitation. In retrospect, the United States urban experience has been a story of unanticipated side effects and unintended consequences.

URBAN HOUSING AND BUILDING

2.0 URBAN HOUSING AND BUILDING

2.1 Historical Background on Urban Housing and Building:

Until the 1930's in the United States, supply and financing of urban housing was almost entirely a function of the private sector. It was assumed that the market mechanism -- the interplay of demand and supply -- allied with the so-called "filtering process" would fulfill the housing needs of the American people regardless of their level of income. The filtering process is based on the assumption that as upper- and middle-income groups move into new or better housing, lower income groups move up the housing ladder into the less expensive vacancies left behind while the sub-standard vacancies left at the bottom are retired from the housing stock.

Mortgage policies geared toward the middle class provided financial incentives for the private mortgage industry and builders to apply mass production techniques to the construction of suburban housing.

Builders like Levitt led the way in developing large tracts of single-family homes in suburbia. This type of development began in the mid-40's and reached its peak during the late 1950's.

This same period marked the emergence of so-called "bedroom communities," composed of both high-rise and one- or two-story garden apartments and single family dwellings. These suburban communities were within easy commuting distance from metropolitan areas and clustered around major transportation arteries.

This philosophy guided the U.S. housing market for decades, but it has been unable to meet the test of time. Rapid urban growth in the second quarter of the 20th century created a demand for housing and housing finance that the market, unaided, was unable to satisfy. The suburbanization movement, involving primarily upper- and middle-income groups, put large segments of the housing market beyond the reach of the poor, who were forced by economic necessity to remain in the central city, close to their sources of employment. Until the civil rights movement of the 1960's, racial prejudice made the real estate market in large areas of some cities virtually inaccessible to racial

minorities, thus forcing them to live in poorly maintained ghetto and slum areas. Finally, upper- and middle-income groups have proven to be rather sluggish in their tendencies to change residence, thus depriving the housing market of much of the rapid turnover of housing units required to make the filtering process work.

The federal government could not and did not remain insensitive to these problems. Beginning with the late 1930's, programs and studies were organized to help cope with them, sometimes with considerable success; sometimes leading to serious unintended consequences.

The first specific Public Housing Act was passed in 1937 in order to set up the United States Housing Authority, an agency empowered to make loans to local housing agencies for up to 90% of the development cost of a project. Revenue for the loans came from the sale of tax-exempt bonds. The act contained provisions to assure the availability of housing to low-income families.

The act also changed two previous practices: the government removed itself from direct responsibility, giving to communities, through local governments or local housing authorities, the decision to participate and to dictate the terms of projects. The U.S. Housing Authority retained rent and review power, but ownership and management was local. The second provision required "equivalent elimination": for all new units built, a "substantially equal number" of dilapidated housing had to be condemned and removed or rehabilitated. Selective slum clearance was linked to public housing, and quality (rather than merely quantity) was to be considered in housing needs.¹

As a result of this measure, as well as other wartime production projects, approximately 170,000 units of public housing were in operation by 1949. In that year, while retaining the dual construction-demolition-rehabilitation method, a new Housing Act clarified and amended the 1937 policies. But the original act became a landmark in the evolution of public-housing policy, for it defined the national housing pledge by setting a definite goal. Congress

1. Building an American City: Report of the National Commission on Urban Problems (Washington, 1968), pp. 108-109. (Hereafter referred to as "Douglas Commission.")

authorized the construction of 810,000 units of public housing over a period of 6 years. It was thought that these units, combined with the units already produced, would house close to 4 million people and "break the back of the housing shortage for the poor."²

But the needs were not met. By 1967, only a little over half the authorized quota was built and commissioned. Subsequent administrations had been hesitant to make new authorizations. The delay cannot be blamed on Congress alone. Delays in getting started, bureaucratic red tape, failures to design and provision for those most in need, and organized public opposition (based on racial prejudice and a distaste for the poor as well as objections to government expenditures) kept the public-housing programs from achieving even their marginal goals. Therefore, the 1968 goal called for a minimum of 26 million housing units in 10 years (with 6 million earmarked for low-income housing) to meet the needs of the Nation.³

Considerable changes in public-housing policy were set forth in the Housing Act of 1968, passed in the wake of reports by two Presidential study groups: The Douglas Commission (The National Commission on Urban Problems) and the Kaiser Committee, named for its chairman, West Coast industrialist Edgar Kaiser (The President's Committee on Urban Housing).

Reaffirming the goal of the 1949 act, the 1968 act set unprecedented emphasis on the needs of large low-income families. It sought improved tenant services, greater ease in purchasing units (including the provision that rent would not exceed 25% of the tenant's income), better management personnel, a restriction on stultifying high-rise projects, and better design in general. It shifted the emphasis in urban renewal from high-income luxury houses to low-to-moderate income families. For example, it provided for improved programs for rehabilitation loans and grants, interim assistance grants in blighted areas, relocation payments to families displaced during demolition and rehabilitation, and housing code administration and enforcement. Finally, it authorized grants and loans for initial investment money and housing services for non-profit, limited-dividend and cooperative-housing groups. The lack of such a provision had traditionally been a major limitation for moderate-income programs.

2. Douglas Commission, p. 110.

3. Douglas Commission, p. 153.

2.2 Housing Problems: According to the findings of the Douglas Commission, data concerning housing needs was "weak and inadequate." The only numerical data at its disposal were Bureau of Census records (1960) and projections. Evaluation systems were sketchy or non-existent. Even workable definitions of what constitutes "decent" housing and a "suitable" environment had never been drawn. The previous definition of standard housing as "an almost weathertight box with pipes," grossly understated needs defined by national policy.

Based on even the most conservative estimates, the Douglas Commission concluded:

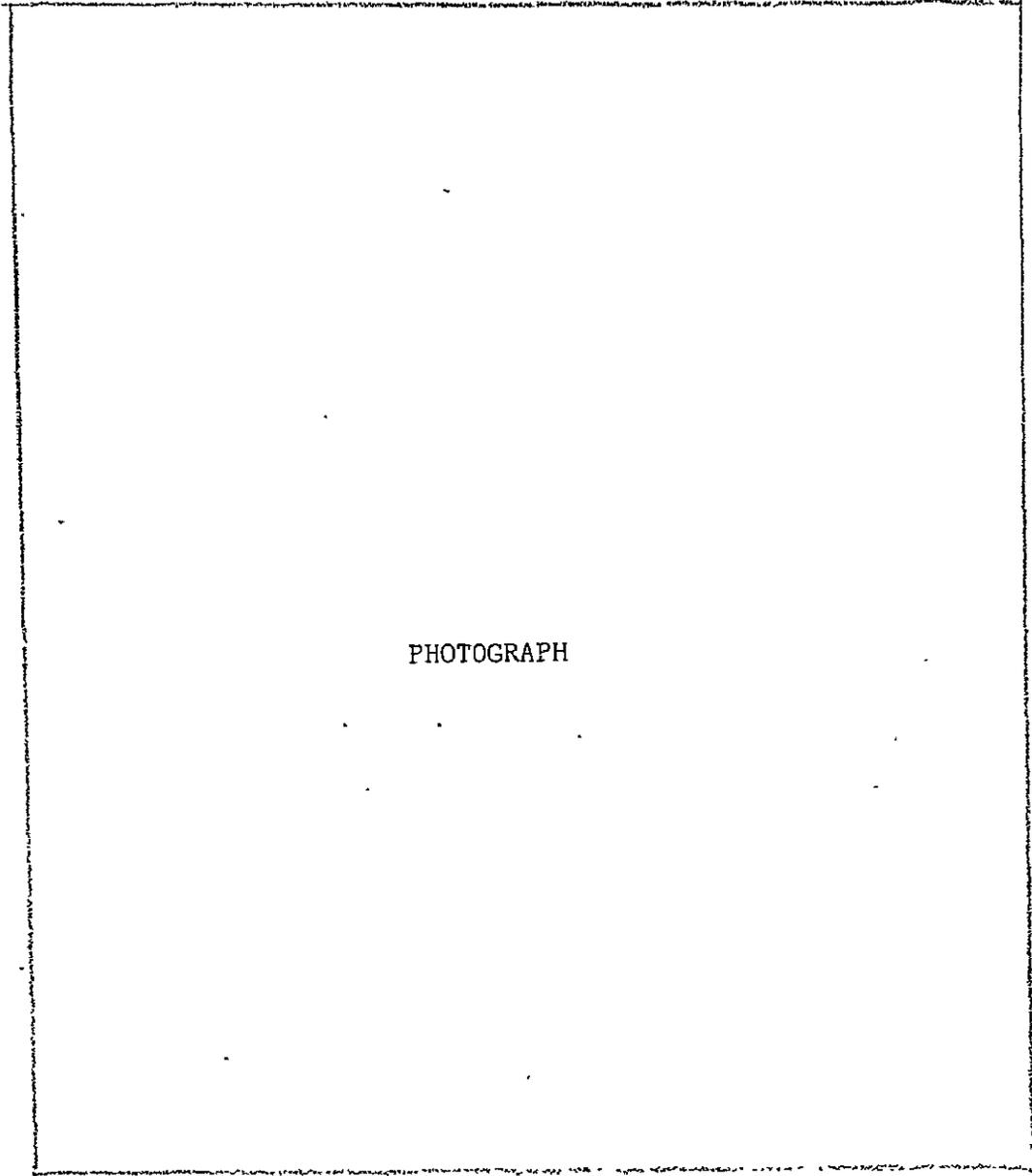
- .. About 7 million substandard dwellings need to be removed or replaced because they are so dilapidated or lack adequate plumbing.
- .. There are another 4 million standard, but overcrowded, units.
- .. About a third of the families in the nation cannot buy or rent decent housing at market rates by paying a reasonable portion of their income for shelter (no more than 20 to 25%).

The Commission found 19% of national housing to be substandard -- with 10% of urban and 36% of rural housing in this category. The high percentage of bad rural housing was explained largely by the differences in the plumbing between the average rural and urban dwelling. Central city and suburban areas were very similar at 11% and 10% substandard respectively. This suggests that the rural-urban fringes of the metropolitan areas have their share of poverty and draws attention also to the fact that there are many industrial and low-income suburbs.

An analysis and projection drawn up for the Commission's study detailed needs of the core cities in metropolitan areas. Yet the Commission believed that its statistical conclusions were overly optimistic. The author of the study listed significant qualifications:

- .. First, the criteria of housing quality used ignored the "suitable-living-environment" aspects of housing. This weakness becomes more serious as the rising incomes and expectations of more and more people make neighborhoods and environmental conditions increasingly important in their considerations.

13-A



PHOTOGRAPH

Aftermath of 1968 Riots, Cleveland, Ohio
photo by HUD

- .. Second, progress in housing quality during the past 18 years has been unevenly distributed. Although the housing status of even the lowest income groups has been improved since 1950, the greatest gains have been made in the middle and upper-income brackets. Thus, the gap in housing status between the poverty group -- roughly one-fifth of all households -- and the more affluent four-fifths has been widening.
- .. Third, an acceleration of the nation's rate of progress can be accomplished only by focusing on the households of greatest need -- the poverty and near-poverty groups among whom are concentrated the greatest proportion of housing-deficit families.⁴

2.3 United States Problem-Solving Approaches:

Public Housing Programs: Public housing programs, during their 30-plus years of existence, have probably been among the most controversial of the federal initiatives. But by the time the Housing Act of 1937 was designed, the housing problems of the United States were already acute. The Depression had cut the house-building boom of 1925 by 90%. Unemployment numbered 12 to 14 million. To provide for the poor in both housing and construction work, the Public Works Administration, initiated in 1933, began the next year with direct federal construction. By 1937, some 22,000 houses were started in 50 projects.⁵

The Housing Act of 1949 recognized the need for more specific construction goals and set the definition of national policy which has been echoed in housing legislation since that time.

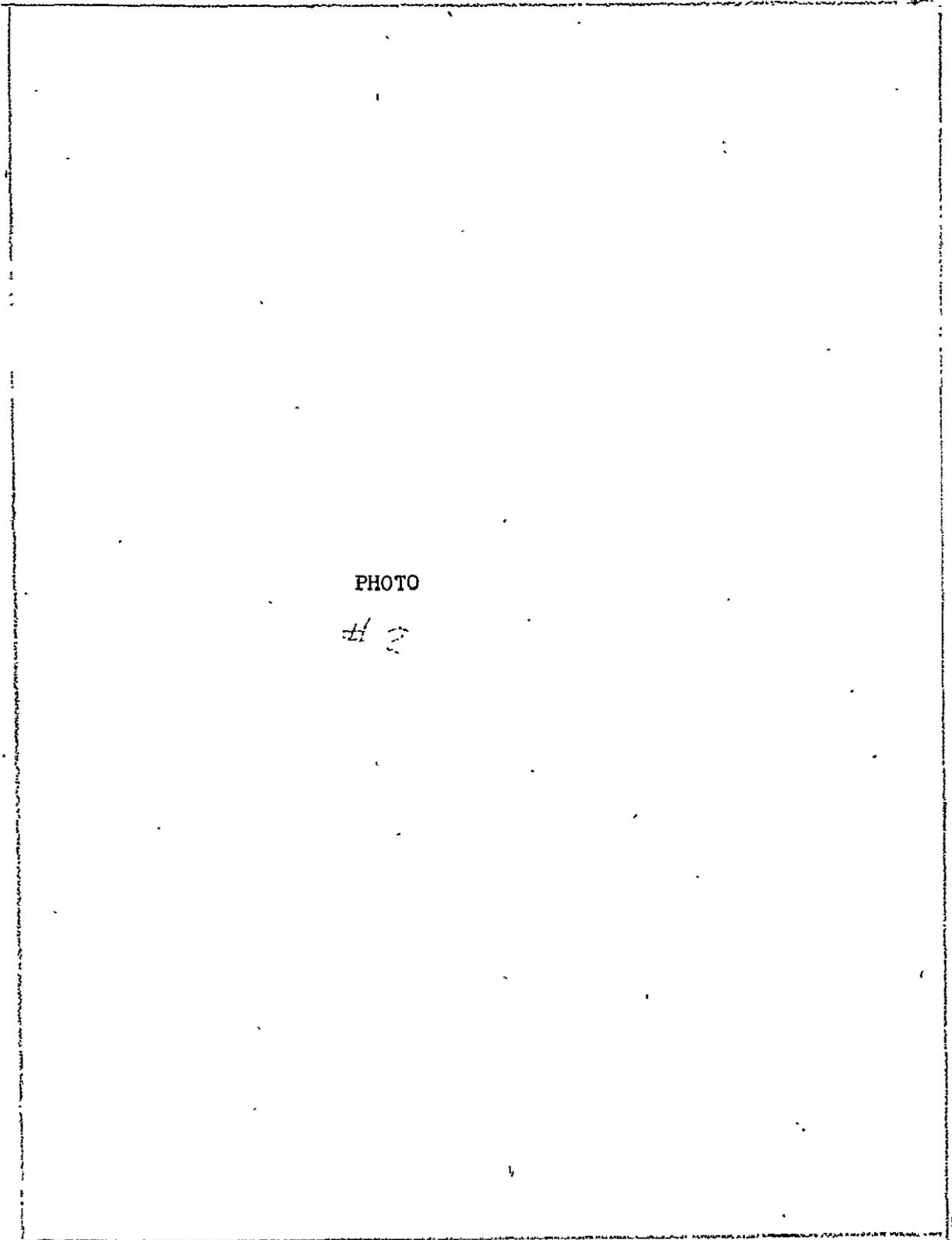
Its goals were to assist:

- .. the production of housing of sound standards of the design, construction, livability, and size for adequate family life;
- .. the reduction of the costs of housing without sacrifice of such sound standards;

4. Frank Kristof, "Urban Housing Needs Through the 1980's", Research Report #10 to the Douglas Commission (Washington, 1968), pp. 75-76.

5. Douglas Commission, p. 108.

13-B



PHOTO

3

Detroit, Michigan, after the Riots of 1967
photo by HUD

- .. the use of new designs, materials, techniques and methods in residential construction, the use of standardized dimensions and methods of assembly of home-building materials and equipment, and the increase of efficiency in residential construction and maintenance;
- .. the development of well-planned, integrated, residential neighborhoods and the development of well-planned ... communities;
- .. the stabilization of the housing industry at a high annual volume of residential construction.⁶

However, as noted above, the 1949 act fell far short of its production targets and its goal of "a decent home and a suitable living environment for every American family." In the Housing and Urban Development Act of 1968, the Congress recognized the shortcoming and reaffirmed this national housing goal, stating that "it can be substantially achieved within the next decade by the construction and rehabilitation of twenty-six million housing units, six million of these for low and moderate-income families."

Public Housing Results: Public-housing programs have given "decent and dignified" shelter to nearly 2.5 million people who otherwise would have been in desperate need, despite the fact that construction has fallen far behind the needs.

Many occupants express a high degree of satisfaction with housing projects in comparison with what was available (or not available) elsewhere. And housing has been accomplished with relatively low rents, or at least low in comparison with comparable housing in the private sector. Vacancy rates, large numbers of applicants and low average turnover rates indicate this satisfaction, as well as the need for this type of housing. The average vacancy rate for projects in the 50 largest cities was only 2.2 percent in 1967, compared to a 5 percent rate for privately-rented apartments. In New York, out of 64 thousand apartments, there were only 117 vacancies and more than 80 thousand requests for admission. In Chicago, there were only 173 vacancies out of 32,400 units with a ratio of 126 applications to every vacancy. When other cities reporting showed high ratios of vacancy and turnovers, however, they were symptomatic of a pattern of problems.⁷

7. Douglas Commission, p. 118.

Shortcomings in Public Housing: Weaknesses in public housing are related to the following problems:

- .. Excessive delay in planning, approval, and construction of projects. In the past, the process of public housing began with the local housing authority and continued to the publication of the contract. This process required 45 steps and took up to 308 days -- almost a year. Only then could site-acquisition, demolition, and construction take place. The average time between need and fulfillment was three to four years.⁸ Some of the delay could be traced to the traditional contract procedure: when the local housing authority, after acquiring the site through acquisition or condemnation, had prepared a bidding plan for competition and reviewed the plans and specifications of the architects and builders, it could award the contract to the low bidder. A recent HUD program called "Turnkey" has now reversed the process, and in doing so, has saved much precious time. Turnkey permits the local housing authority to enter contracts to commit purchase of land and buildings (a housing project) from private developers who must agree to build the project on their own sites in accordance with their own specifications and plans (subject of course to local housing authority approval). The purchase price is fair to both.⁹ Not only does this save time, but also establishes a kind of partnership between the local builders and real estate community and the local housing authority, thus removing the opposition to public housing that existed in the past. It has been argued that elimination of the competitive-bidding system might reduce quality; a combination of economy and quality, of both techniques, would result in an optimum system.
- .. A failure to coordinate minimum required standards for public housing (low and moderate income) with those of Federal Housing Authority (FHA) housing (mortgage insurance directed to middle-income home ownership). There is a general lack of enforcement of existing standards as well, because of the lack of building codes or incredibly complicated overlapping building codes, development standards, etc., that exist in each city.

8. Ibid., p. 118.

9. "HUD Brief," p. 11.

- .. A failure to use new cost-reduction methods of construction. Again, building codes, labor restrictions, and complicated scheduling of programs prevents much implementation of innovations in the building field. However, Operation Breakthrough is initiating research in this area; it should be noted that in private industry, relatively few developers have taken full advantage of any new cost-reduction methods.
- .. Disregard for the needs of children and large families by concentration on one and two-bedroom apartments. Local housing authorities have encouraged the housing of small families and elderly people instead. For the sake of economy and statistical progress, those people who direct public housing have concentrated on getting as many housing units as possible built for a given amount, rather than on housing a maximum number of people. This attitude is a result of the limits set on the expenditures on each unit of housing. An emphasis on cost-per-square-foot or per-room rather than cost-per-housing-unit would save money and provide needed space. It might be noted here, too, that for those who wish it, family planning, as a regular part of tenant guidance services in public housing projects, might be helpful.¹⁰
- .. A failure to implement adequate training programs for public housing personnel. Housing experts have recommended refresher courses for existing project managers. In addition, it has been strongly recommended that full courses in housing management be set up in conjunction with local universities or high schools. The studies would include maintenance, repairs, and upkeep; the fixing and collection of rents; the selection of occupants; the problems of security and behavior; the development of constructive activities, and so on.¹¹ Housing management should be treated as a profession. Too often managers are regarded by their own tenants as wardens:

10. Douglas Commission, p. 127.

11. John Macey, Publically Provided and Assisted Housing: Report on HUD's Management Policies and Programs (Washington, 1972), Chapter 4.

The Turnkey II experimental program takes advantage of private expertise and cuts the number of publicly-employed managers by utilizing private management in public housing projects. Also, HUD has launched a tenant-management system to train managers on a cooperative basis.¹²

- .. Neglect of services essential to modern life. As the number of children in public housing projects increases, so does the need for such services as day-care centers and counseling staffs. Also, there should be provision for meeting places and activity centers for large and small groups.
- .. A neglect of "the importance of design and of beauty, which are elements in the good life along with space, light and shelter." Also, a failure to design projects so that community life is fostered and occupants not stigmatized by the "poor town" appearance of their dwellings.¹³

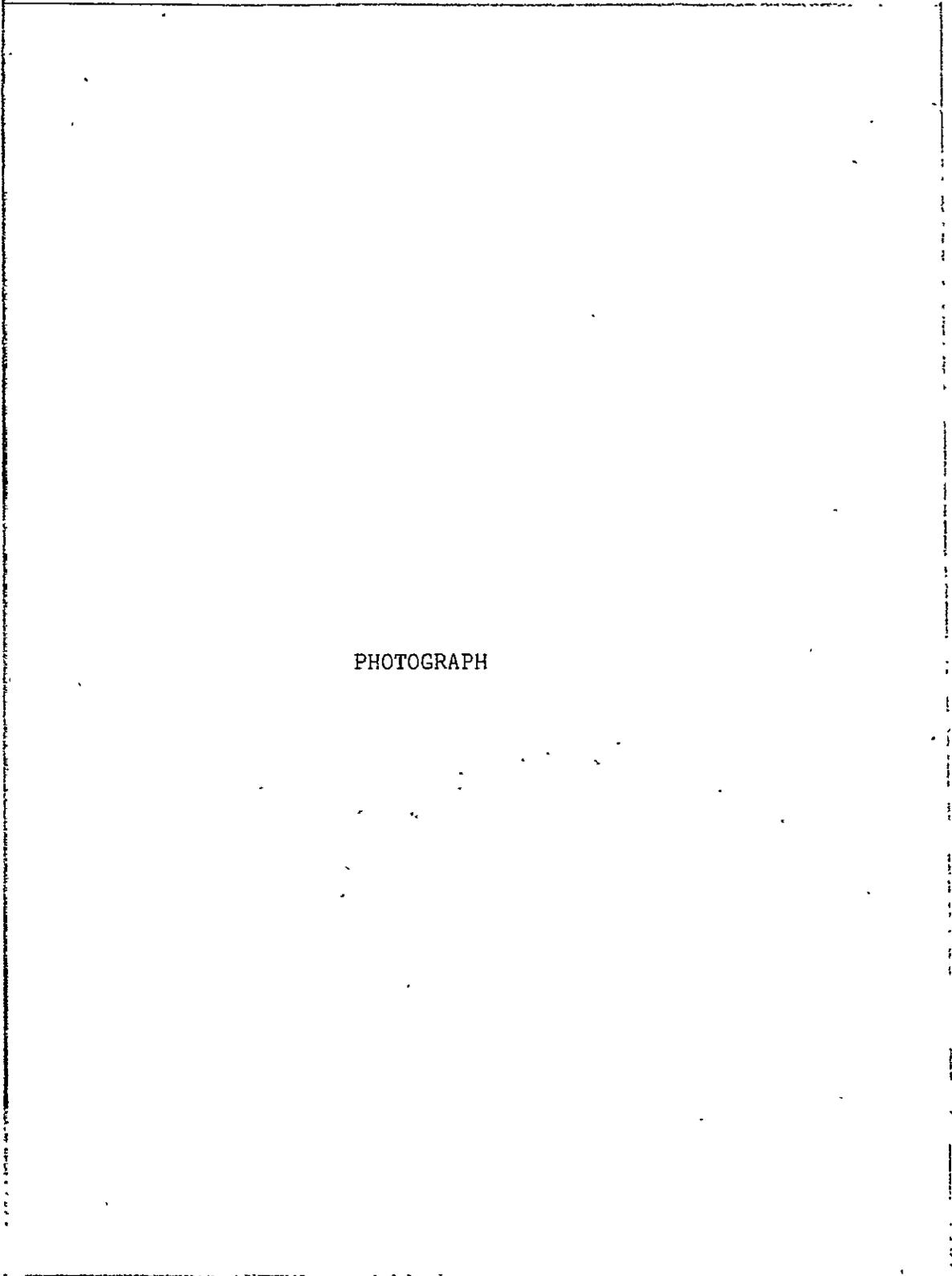
A case in point is the infamous \$36 million Pruitt-Igoe project built in St. Louis in 1954. This integrated project was made up of 43 eleven-story buildings of 2,800 units, creating a density of approximately 50 units per acre. In cost-of-land savings (a problem in inner-city areas where land costs are high), the high-rise design was indeed very economical. It won a prize for design excellence and was hailed as a landmark in economical design and planning. However, problems proliferated when the families moved in.

Economic measures reduced services and access to a minimum. For example, one building of 72 units housing 280 persons (over half of whom were children and young people under 19) was serviced by one elevator. An elaborate skip-stop operation left two-thirds of the tenants without on-floor elevator access. People having to use secluded interior stairways found them to be pockets of crime. The overcrowded service areas caused rapid deterioration and decay. Vertical system failure (incinerators, elevators, etc.) threatened the entire building. And the psychological effects of such vertical density were widespread.

12. "HUD Brief," p. 11.

13. Douglas Commission, p. 119.

17-A



PHOTOGRAPH

Fence and new lights improve conditions at Pruitt-Igoe housing project.
August 8, 1968. Photo by Paul Ockrassa. St. Louis - Globe-Democrat.

17-B

PHOTOGRAPH

Fruitt-Igoe building collapses March 17, 1972 after being clouted by 90 pounds of dynamite. St. Louis - Globe-Democrat. Photo by Ken Winn.

17-C

PHOTOGRAPH



"Fruit-Igoe demolition, April 21, 1972. St. Louis - Globe-Democrat.
Photo by Bob Moore.

When Pruitt-Igoe's lesson was finally learned -- the results of not providing related support services -- nearly \$40 million was spent to tear down two buildings completely, slice the tops off six to eight more, and generally reconstruct the whole project. In the future, there will be provision for parks, theatres, stores, factories, and playgrounds, providing jobs and community services, and recreation facilities.¹⁴

The effects of high-rise dwelling may not be detrimental to the elderly, providing service areas are well-spaced, but for young children they almost always are. The lack of direct access to the outdoors limits play and outdoor activities. Open space becomes dead space. Smaller projects and horizontal cities in scattered sites may be the answer here.

But these problems in design are not limited to public projects. The private sector has yet to learn the lessons of cost-benefit analysis. That is, by operating on a fast-profit motive, they seem to overlook the long-range profits that can be realized by utilizing good design in the first place.

For example, a real estate management consultant in Los Angeles recently catalogued a series of abuses he found in one week: (1) an apartment house built so close to the Hollywood freeway that all windows had to be kept closed on a 90° day to keep out the noise, (2) numerous buildings with so-called private balconies too small (30") to be used for any purpose whatever, and (3) a building built around a small central court with all kitchens and living rooms overlooking it. Visitors in the court are assailed by tenant's private conversations as well as the noise of airconditioning units, and so on.¹⁵

Designing for people, rather than economy, seems to be the only answer, regardless of the income level of the tenants.

-
14. "After 160 Billions to Rescue Cities --", U.S. News and World Report, April 10, 1973.
 15. Los Angeles Times, July 30, 1972.

Additional Public Housing Assistance: Other HUD programs aid in financing public housing. HUD is providing assistance both to potential homeowners and renters in low and moderate-income sectors. Assistance for both is based on the prerequisite that tenants train and take part in planning, developing, and operating the projects.

For example, an FHA rental assistance plan makes interest-reduction payments to the investor (the mortgagee) in order to make up the difference between the amount the project mortgager pays and the amount of the debt at the market rate of interest. These savings must be passed on to tenants eligible for lower rent payments. The tenant pays 25% of his income or his rent at a 1% rate, whichever amount is higher.

In addition, the FHA subsidizes homeownership by filling in payments at the current market rate of mortgage interest for the tenant. The home-buyer pays 20% of his income or of the amount necessary to cover his housing expenses with a mortgage at the rate of 1%.

Building Codes: In 1968, the Douglas Commission specifically undertook a study of building codes to determine:

- .. how local property owners and private enterprise can be encouraged to serve as large a part as they can of the total housing, and building need;
- .. how state and local urban and suburban housing and building laws, standards, codes and regulations impacted on housing and building costs, how they can be simplified, improved and enforced on the local level and what methods might be adopted to promote more uniform building codes and the acceptance of technical innovations including new building practices and materials.¹⁶

The Douglas Commission came up with numerous recommendations concerning housing and building codes, some of which were implemented later in "Operation Breakthrough," a government program to stimulate experimentation with the system's approach to housing construction. On the local level, the Commission recommended the uniform application of up-to-date building and mechanical codes over an area large enough

16. HUD Laws, p. 602.

to allow mass production methods and specialization. Such an area should, at the minimum, cover any of the major metropolitan areas of the United States.¹⁷

Minimum standards were established, below which no community might fall, and maximum limits were designed to prevent restrictive practices. Members of the mobile-home industry, prefabricated-housing manufacturers, makers of plumbing and electrical units and producers of new products could be guaranteed an opportunity to build and sell on a competitive basis. An appeals procedure was also recommended whereby any arbitrary decision of a local inspector could be appealed, quickly and without prejudice, by the builder or manufacturer to a body composed of both competent technical personnel and people representing broad public interest.¹⁸

Housing Codes: Housing codes are applications of state powers delegated to local jurisdictions and put into effect by local ordinances setting the minimum standards for safety, health, and welfare of the occupants of housing. They cover three main areas:

- .. the supplied facilities of a structure; that is, the toilet, bath and sink;
- .. the level of maintenance, including both structural and sanitary maintenance, leaks, broken bannisters, etc.;
- .. occupancy, which concerns the size of dwelling units and of rooms of different types; the number of people who can occupy them, and other issues concerned, on the whole, with the usability and amenity of interior space.¹⁹

In a survey of existing housing codes, the Commission found that the provisions established in the codes for minimum standards of health, safety, and welfare are often inadequate to provide even the minimum level of standards for the bulk of the population. A house can meet the legal standards set in a local code, pass a housing-code inspection and still be unfit for human habitation according to the personal standards of most middle-class Americans.

18. Douglas Commission, p. 265.

19. Ibid., p. 274.

Minimum standards, while enforceable, are often unenforced and generally carried out only in the medium areas, ignoring both the best and the worst of an area. This is due in part to various federal policies; for example, code enforcement funds have been available mainly in those areas where blight can be arrested and dwelling upgraded. Areas which have hit bottom, or in which blight has not yet set in, have been largely ignored.

Further, according to census figures for housing codes in the country, hundreds of cities and counties, most states, and virtually all rural areas do not have housing codes. Thus a third need is to extend the coverage or application of housing codes to those jurisdictions whose residents do not now enjoy that type of environmental health protection.

The Commission's overriding recommendation was that criteria be drawn up defining a "decent home in a suitable environment."²⁰

A Footnote on Codes: In America, a plethora of codes have been promulgated by various organizations. The purpose of these codes is to establish minimum safeguards in the erection and construction of buildings, to protect the human beings who live and work in them from fires and other hazards, and to protect the public.²¹

However, it should be recognized that the codes themselves can produce many problems. It is argued that unnecessarily restrictive codes, and even the overlapping of codes within one jurisdiction, add a great deal to the cost of housing; that they delay construction, prevent the use of up-to-date, modern materials and inhibit creative design; that they are antiquated and outdated, and that provisions for amending and modernizing them are slow, laborious, lacking objective standards and controlled by a small clique in the industry.²² Moreover, enforcement can be a major headache for local authorities.

20. Douglas Commission, p. 275.

21. County and City Data Book, 1972, U.S. Department of Commerce, Washington, D.C.

22. Ibid., p. 255.

Systems Building and Mobile Homes: The goal set in the Housing Act of 1968 may have been too modest. Population projections are sketchy at best, and the failure to meet even the most elementary goals of 1949 is disheartening. And what good is housing that no one can afford? The costs of construction, labor and material, the shortage of lumber and the spiraling cost of land have made it imperative that the United States drastically change its idea of "housing."

Mobile Homes: One alternative in existence since the 1950's is the mobile home, a movable housing unit built to be towed on its own chassis and wheels. In the early 1960's, the mobile-home industry produced approximately 100,000 units a year, used mostly as second homes or vacation retreats. However, the latest estimated production is around 450,000 and a growing number are purchased for use as first homes.

Mobile homes must be located in the suburbs or the outer city; inner cities simply have no space to house them. In mobile home parks, there are many amenities, such as paved sidewalks, adequate street lighting, and underground utilities. For use as a permanent home, all that is required is connection at the site. All utilities are built-in. The home can be expanded to provide extra space, and add-ons can change the basic box shape to resemble a conventional house.

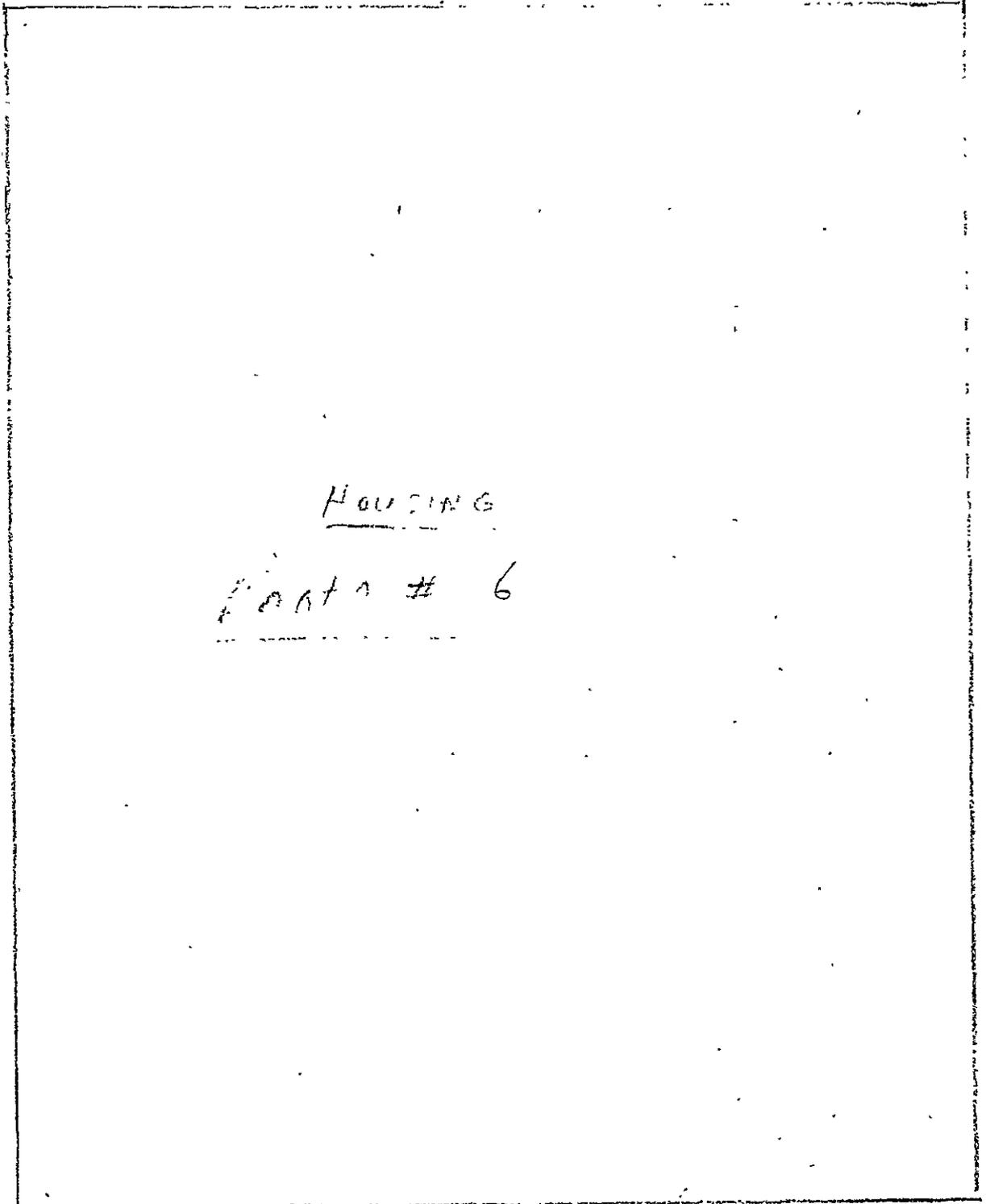
Perhaps the mobile home's main appeal is its adaptability. It can be used without a permanent foundation for year-round living. Its cost is another plus: a mobile home sells for as little as \$6,000, while the average standard home sells for around \$27,000. Once financed like a car, they are now being built to meet FHA standards, and can be financed under FHA mortgage insurance programs.

Projected production between 1970 and 1978 is 4 million units, or one out of every six housing units in the United States.²³

Systems-Building: Basically, the terms "industrialized building" and "systems-building" mean houses (or any other structure) built at a factory, rather than on-site, and shipped to construction areas where panels are assembled and joined or modules placed on a foundation.

23. "HUD Brief," January, 1971, pp. 3-4.

22-A/22-B



Modular, Mobile Homes
photo by HUD

Once called "pre-fab" (for pre-fabricated housing), systems-building has been used more in Europe than in the United States (if mobile homes are not included in the category). The term also implies the use of new construction materials, such as metal, and fibrous materials, such as resins, glass, plastics and pre-cast concrete.

In 1969, recognizing the serious "shortfalls" in housing goals from year to year, HUD initiated "Operation Breakthrough," an experiment in the use of these systems. Its goals were (1) to develop improved land use; (2) to develop performance criteria and building-code improvement; (3) to encourage improved housing systems; (4) to encourage new techniques and materials, and (5) to foster economy and creativity in land use.²⁴

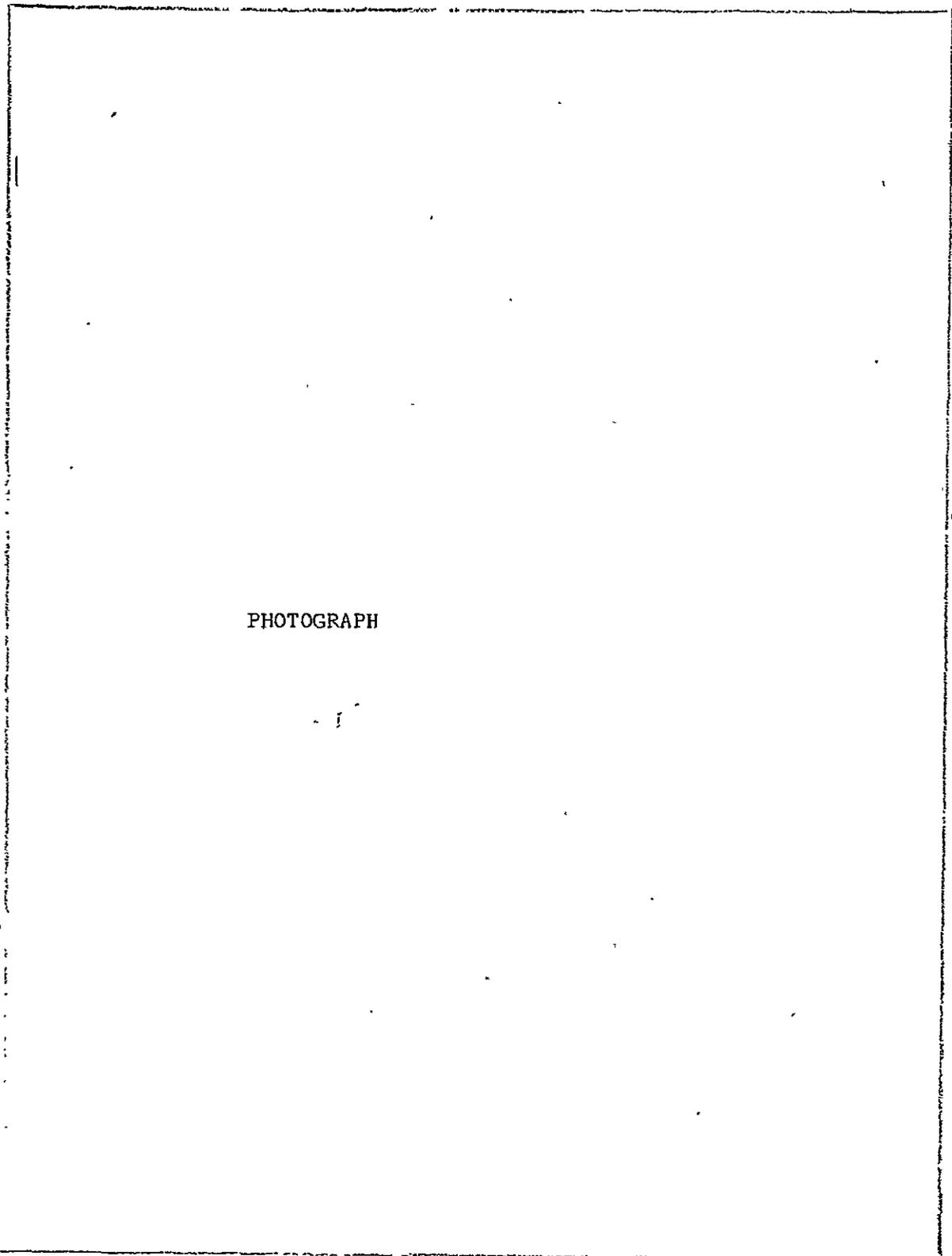
In implementing the program, HUD requested proposals for prototypes, which would implement not only new building materials and forms, but also new construction management techniques, and inventive land use, such as "cluster" housing -- a technique which provides common use of open space without sacrificing amenities. From private developers' systems proposals, HUD selected 10 sites through which the systems could be watched, tested and evaluated from construction to occupancy and beyond.

In its initial stages, Operation Breakthrough has experienced successes. It has acted as a catalyst in the evolutionary movement of U.S. housing into industrialization. This move was perhaps inevitable, but would have been much longer in coming without government support. Operation Breakthrough has opened dialogue between components in the building industry where there was no communication before. This alone removes the primary barrier to the dissemination of new technology. Also, because HUD can wield power over city building codes, many archaic and restrictive codes are being removed, opening the way for new building systems.²⁵

But problems still exist. Some of the major restraints to Operation Breakthrough's success were outlined by the Battelle Institute in a study for the AFL-CIO: "restrictive zoning, building codes and

24. "HUD Brief," May, 1971, pp. 5-6.

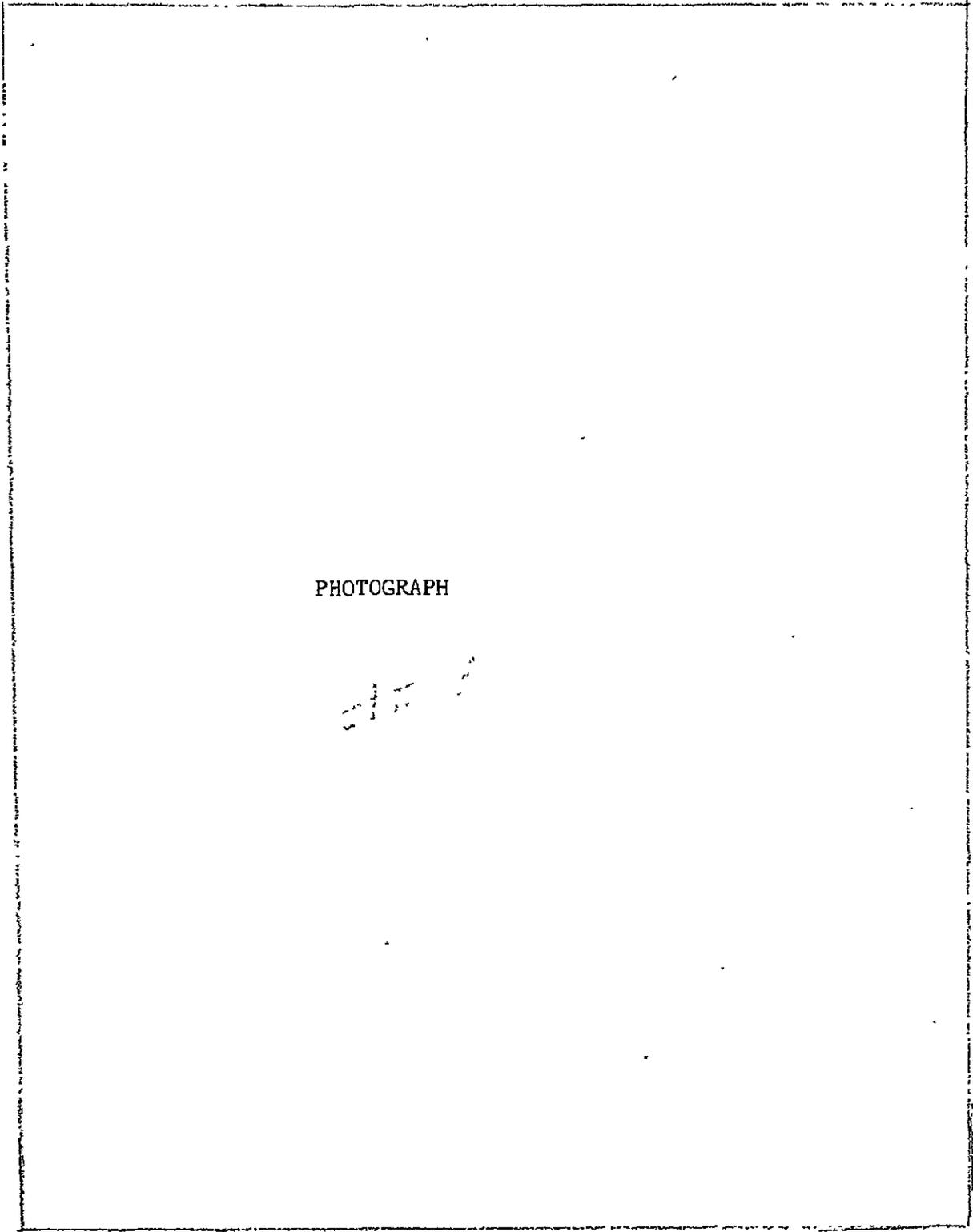
25. "Operation Breakthrough," Government Executive, May, 1971, p. 1.



PHOTOGRAPH

Operation Breakthrough, Housing development
photo by HUD

23-C



PHOTOGRAPH

Operation Breakthrough, Pre-fabricated Housing
photo by HUD

regulations, transportation, tradition, and the structure of the construction industry." The latter two, it felt, constituted the main barrier to a real breakthrough. Since job protection is a main function of labor unions, those unions are not going to endorse systems-building. Not only do systems eliminate on-site construction jobs, but newer and faster techniques cut down on man-hours -- the very basis for a laborer's pay.²⁶

The Kaiser Committee, though supportive of the idea, warns that if Operation Breakthrough is to work, HUD must spend more on research and development. Compared to other agencies, such as Transportation with \$294 million, Defense with \$7,796 million, and HEW with \$1,331 million, HUD's budget was only \$7 million in 1968.²⁷

Financial Assistance: During the past forty years, the federal role has increased markedly in the area of providing financial assistance to housing. For the most part, the following instruments created by the government at the national level have been active in housing: The Federal Housing Administration; The Veterans' Administration; The Federal Home Loan Bank Board; The Federal Home Loan Mortgage Corporation; The Federal National Mortgage Association; and The Government National Mortgage Association.²⁸

- .. Federal Housing Administration (FHA): FHA provides mortgage insurance to cover single-family homes up to \$33,500 and is financed through interest premiums of 1/2% charged to the buyer. This program has never cost the taxpayer money, and it is currently estimated that FHA has a cash excess of about \$1.7 billion.
- .. Veterans' Administration (VA): VA insures mortgages for home buyers qualifying as military-service veterans in the amount of \$12,500 or 60% of the value of the property, whichever is less.

26. The Ill-Housed, ed. by Donald Canty, (Washington), p. 46.

27. Ibid., p. 47.

28. Tables 1 and 2 on the following page illustrate this trend.

Table 1

No. 1177. RESIDENTIAL LOANS UNDERWRITTEN BY FHA AND VA: 1950 TO 1972

[In millions of dollars. FHA-insured loans represent gross amount of insurance written; VA-guaranteed loans, gross amount of loans closed. Figures do not take account of principal repayments on previously insured or guaranteed loans. See also *Historical Statistics of Colonial Times to 1957* series N 179-153]

LOAN	1950	1955	1960	1965	1968	1969	1970	1971	1972
FHA-insured loans.....	4,343	3,897	6,293	8,689	8,275	9,129	11,982	14,685	12,320
Home mortgages:									
New properties.....	1,637	1,289	2,197	1,705	1,572	1,551	2,667	3,900	3,459
Existing properties.....	856	1,816	2,403	5,760	4,924	5,570	5,447	8,475	4,608
Project type mortgages.....	1,157	75	711	591	1,123	1,318	3,251	3,641	3,448
Property improvement loans ¹	694	646	932	634	653	693	617	674	505
VA-guaranteed loans ²	3,072	7,156	1,955	2,652	3,774	4,072	3,440	5,961	8,293
Home mortgages:									
New properties.....	1,865	4,532	1,554	876	1,430	1,493	1,311	1,694	2,539
Existing properties.....	1,207	2,554	423	1,776	2,343	2,579	2,129	4,267	5,754

¹ Not ordinarily secured by mortgages.

² Includes refinancing loans, loans on mobile homes (beginning in 1971), and a small amount of alteration and repair loans. In the latter category, only loans of more than \$1,000 need be secured.

Source: U.S. Board of Governors of the Federal Reserve System. Current data in *Federal Reserve Bulletin*.

Table 2

MORTGAGE DEBT OUTSTANDING ON
NONFARM 1- to 4-FAMILY PROPERTIES

(In billions of dollars)

End of period	Total	Government-underwritten			Conventional
		Total	FHA-insured	VA-guaranteed ¹	
1964.....	197.6	69.2	38.3	30.9	128.3
1965.....	212.9	73.1	42.0	31.1	139.8
1966.....	223.6	76.1	44.8	31.3	147.6
1967.....	236.1	79.9	47.4	32.5	156.1
1968.....	251.2	84.4	50.6	33.8	166.8
1969.....	266.8	90.2	54.5	35.7	176.6
1970.....	280.2	97.3	59.9	37.3	182.9
1971.....	307.8	105.2	65.7	39.5	202.6
1972.....	346.1	113.0	68.2	44.7	233.1
1971—III.....	299.7	102.9	64.4	38.5	196.8
IV.....	307.8	105.2	65.7	39.5	202.6
1972—I.....	314.1	107.5	66.8	40.7	206.6
II.....	324.6	109.6	67.6	42.0	215.0
III.....	335.8	111.5	68.4	43.1	224.3
IV.....	346.1	113.0	68.2	44.7	233.1
1973—I.....	353.9	113.7	67.9	45.8	240.2
II.....	365.7
III ²	376.6

¹ Includes outstanding amount of VA vendee accounts held by private investors under repurchase agreement.

NOTE.—For total debt outstanding, figures are FHLBB and F.R. estimates. For conventional, figures are derived.

Based on data from FHLBB, Federal Housing Admin., and Veterans Admin.

- .. Federal Home Loan Bank Board (FHLBB): This agency was created in 1932 and regulates and charters Savings and Loan Associations. The FHLBB covers about 5,000 member banks and also sets the ceiling on the interest rate that can be charged. The FHLBB is financed through premiums from the Federal Savings and Loan Insurance Corporation.
- .. Federal Home Loan Mortgage Corporation: This agency, authorized under the Emergency Home Finance Act of July 1970, deals in the secondary mortgage market and sells securities which are then mortgaged back in order to provide liquidity to existing assets of Savings and Loan Associations.
- .. Federal National Mortgage Association: This agency is a private corporation, more popularly known as "Fanny Mae", and purchases mortgages in the secondary (resale) market. These mortgages can be either VA, FHA or conventionally backed. "Fanny Mae" is used primarily to infuse money into the mortgage market when traditional sources dry up and, in 1973, dealt with over \$6 billion. In 1968, the Housing Act "spun off" a sister organization which remains a government agency -- the Government National Mortgage Corporation, or "Ginny Mae."
- .. Government National Mortgage Corporation: "Ginny Mae" also deals in the secondary-mortgage market and functions to support low and moderate-income housing. In the fall of 1971, "Ginny Mae" infused about \$2 billion into the housing market at above market prices for the purchase of mortgages in the secondary market; this effort also departed from normal practices and included mortgages for non-subsidized units under a special arrangement known as the tandem plan.

2.4 Conclusion. The approaches to housing in the United States, whether public or private, seldom have met the housing needs of the nation's poor and low-income families. A "decent home for every American" continues to be an elusive and unfulfilled goal many years and many programs after it became national policy.

The private sector has provided and continues to furnish most of the financial resources for meeting the housing needs of middle- and upper-income families and individuals. Financial and other incentives have not been sufficient for private investors to become engaged in meeting the more acute housing needs of poorer people.

Both "Fannie Mae" and the more recent "Ginny Mae" programs have been predicated on the existence of an excess of capital and a network of financial institutions. Thus, the lending institutions in eastern USA, with an excess of capital which could be made available for investment purposes, have provided financial support to build the western part of the country. Organizations in several developing countries have been structured on the "Fannie Mae" model.

Federal loan programs, such as FHA-insured and VA-guaranteed loans, have been major instruments in housing for the past thirty years. Through their lending policies and locational practices, these programs virtually shaped urban residential patterns, especially in suburban USA. It should be noted that the FHA insurance program, for example, has operated at a profit; it has cost the taxpayer nothing. Nevertheless, it has served mainly middle- and upper-income families.

In the efforts to address the problem of housing the poor, there has been a consistent failure to perceive the so-called "housing problem" for what it actually has been -- namely, a complex of problems including unemployment, lack of transportation, racism, classism, and the inaccessibility of traditional lending institutions, as well as the shortage of housing units. Thus, approaches, while beneficial, have been insufficient. They often have been piecemeal and lacking in comprehensiveness; they have been short-lived because commitment and financial support have been wanting; and they have resulted in unintended and sometimes exacerbating consequences. Public housing was an early "answer." This was followed by urban renewal, Model Cities, and a number of other federally sponsored programs, each, in turn, giving way to another "solution."

It is significant that the quest for that elusive goal of a decent home for every American continues.

URBAN TRANSPORTATION

3.0 URBAN TRANSPORTATION

3.1 Historical Background: An examination of the history of urban transportation in the United States must reach back to well before the turn of the century, particularly if the examination is to consider the relationship between urban, public and private transportation.¹ It is not our purpose to define with historical precision the points at which public transportation assumed its present form. It will help, however, to have some understanding of how the transit industry emerged because it provides considerable insight into the nature and character of the present day problems of urban transportation in the United States.

Emergence of Public Transportation: It is generally agreed that urban transportation in the United States probably began in New York City in 1831 with the introduction of a horse-drawn cart called an omnibus which seated about eight passengers and travelled on existing streets.² These vehicles travelled on fixed routes and interestingly enough, were subjected to congestion delays similar to those today. The introduction of the omnibus was coincidental with the evolving practice of physically separating the work place from the home, a phenomena directly attributable to the industrial revolution.

This growing industrialization required large concentrations of labor, concentrations which could only be found in urban areas. As urban areas expanded, particularly in terms of the concentration of employment centers, the need for transportation to bring

1. The term public is taken to refer to the right to ride on a vehicle upon the payment of a proper fare. It does not refer to ownership of a system since there are both publicly and privately owned public transit systems. Private transportation refers to privately owned vehicles for which the user has total cost responsibility.
2. The historical data that follow were drawn from a recent study by the Institute of Public Administration for the Urban Mass Transportation Administration, The Present Condition and Characteristics of the Transit Industry and How They Evolved, August 1971.

people from their residences to jobs grew steadily and substantially throughout the 19th and 20th centuries. For example, at the beginning of the nineteenth century there were only five cities in the United States with a population of over 8,000. By 1840, this number had risen to forty-four, and by 1860, there were 141 such cities. The percentage of urban population in the United States rose from 3.3% in 1790 to 8.5% in 1840, 40% in 1900, and 67% by 1970.³

Up to the late 1800's, the boundaries of the city rarely extended more than two miles from the core. This was a result of the slow speed of the omnibus and of the reluctance of its users to engage in trips exceeding 30 minutes. The introduction of the horse-drawn rail vehicle made possible higher travel speeds and capacities for the same amount of power. Both attributes allowed a modest increase in service range. However, it was the new comforts of the steel wheel on rail (in contrast to the omnibus on cobblestone streets) that attracted large transit patronage. It also introduced what was to become a general pattern -- the use of an exclusive right-of-way and the stimulation of intensive land development alongside the right-of-way. The termini of such systems and the intersection of several routes became centers of dense commercial and industrial development, and from the middle of the 19th century on, the impact of mass transit on urban development patterns can be clearly traced.

Of particular importance was the invention of cable-drawn railcars in 1873, a technological breakthrough towards a more efficient and less vulnerable system of power than horses. With a speed of more than nine miles per hour, the cable-drawn vehicle was twice as fast as the typical horsecar. In 1890, these systems were moving 375 million passengers annually, and succeeded in pushing the development horizons of the city to over four miles from the city core. The impact on transit patronage was not fully felt, however, until the application of electric locomotion to streetcars in the 1880's. Streetcars, taking advantage of

3. There are important distinctions, however, between the early 19th century growth patterns and the growth patterns that emerged after the 1920's and particularly following World War II. The earlier urban growth and land-use patterns were particularly conducive to and interrelated with mass transportation. Growth after the 1920's produced dispersed low density development, even in high density cities such as New York and Chicago.

existing rights-of-way used by horsecars and existing operating procedures of transit systems, again accelerated the growth of city boundaries. The more flexible and less costly technology of the electric streetcar enabled routes to be extended considerably beyond developed boundaries to a wide range of destinations, including satellite towns. The experience of intense development of land surrounding the right-of-way continued, although overall densities became progressively lower as population was able to move away from the core of the city.

Decline in Mass Transit: At the start of the 20th century, the transit industry was in a very strong financial condition. Streetcar enterprises and their rapid rail counterparts were earning high profits.⁴ However, net revenues had declined by 1914 to a point where many operators were in serious financial difficulty. In 1920 alone, 116 companies with more than 2,000 route-miles had fallen into receivership. The underlying causes of this phenomenon were the low population densities at the extremes of the corridor and the failure to adopt higher fares to compensate for declining average line densities.⁵ Fares were generally regulated and were negotiated at five cents in the late 19th century in order to obtain exclusive service franchises. Operators were so eager to obtain such franchises and exclude competition that they willingly agreed not only to such fares, but also to a number of nuisance services (e.g., street cleaning along rights-of-way). As travel distances increased, the increased ownership and operating costs incurred in serving these riders

-
4. One of the first rapid rail transit systems to open was in New York City in 1904, and, "by the mid-1920's, it was throwing out long tentacles into the developing fringes of the city, five to ten miles from the center, and it was carrying four million passengers a day." By 1966, the New York system had 238 route miles of track (158 subway and 80 elevated) and carried over 1.29 billion revenue passengers in over 7,000 rapid transit cars.
 5. The Federal Electric Railway Commission, appointed by President Woodrow Wilson to identify the causes of the decline, ascribed them primarily to poor financial practices and low fares which combined to produce large negative cash flows.

30-A

North Station streetcar waiting area, photo by DOT. Boston M.B.T.A.

were not compensated by the fares.⁶

By the middle of the 1920's, the automobile began to assert itself as a form of urban transportation. Times were affluent, the country was in an expansionary mood, and those who acquired automobiles tended to use them for all types of trips. In 25 years, the automobile population expanded phenomenally: in 1900 there were 8,000 automobiles in the United States; by 1925 the number had risen to 17 million.

By the late 1920's, the pattern of competition between the private automobile and public forms of transportation in urban areas was quite evident. (Table 1 summarizes transit trends from 1924 to 1959.) In terms of passengers carried (except for the interlude of World War II), transit usage peaked in 1926, but by 1930 patronage was back to 1922 levels as a result of the economic depression. By 1970, the volume of passengers had declined to under 6 billion, according to the American Transit Association. The trends show no sign of reversing.

In response to growing suburbanization, sometime in the 1920's the public transportation industry began a shift from rail on exclusive rights-of-way to buses traveling the same rights-of-way as automobiles. In 1922, almost all transit patrons were carried by street-car and rapid rail. By 1925, over one billion passengers were being carried by internal combustion buses; by 1930, 2.5 billion. The shift away from the fixed guideway type of right-of-way put the public transportation industry into competition for patronage on the private automobile's own ground where the latter performed considerably better. Though the impact on the transit industry was substantial (measured in terms of its own survival), of even greater importance was the impact in terms of the development of urban areas.

6. In this regard, the situation in the 1920's was apparently similar to that facing the transit industry today. However, one very important distinction must be noted. During the early 1920's, patronage was higher than ever before, and, even in the period between 1922 and 1925, when automobile ownership was becoming a force in urban transportation, mass transit patronage was still increasing. For example, in 1922, the industry carried over 15.7 billion passengers; in 1925 it carried almost 1 billion more people. Thus the financial difficulties of the early 1920's were not precipitated by an erosion of patronage as is the case today.

Table 1
 TRANSIT TRENDS IN THE UNITED STATES
 1924-1959

<u>YEAR</u>	<u>TOTAL VEHICLES</u>	<u>TOTAL VEHICLE MILES (millions)</u>	<u>TOTAL PASSENGERS CARRIED (millions)</u>	<u>RIDES PER CAPITA</u>
1924	NA	NA	16,301	271
1925	NA	NA	16,651	270
1926	86,166	2,669.7	17,234	274
1927	88,336	2,753.0	17,201	267
1928	88,292	2,748.0	16,989	257
1929	88,120	2,762.4	16,985	252
1930	86,263	2,707.0	15,567	226
1931	83,683	2,549.0	13,924	200
1932	80,403	2,363.0	12,025	172
1933	78,634	2,259.0	11,327	160
1934	76,759	2,312.0	12,038	169
1935	74,844	2,327.0	12,226	171
1936	76,039	2,433.0	13,146	182
1937	74,367	2,505.0	13,246	182
1938	73,137	2,434.0	12,645	173
1939	75,156	2,470.0	12,837	174
1940	75,464	2,596.0	13,098	176
1941	79,999	2,676.4	14,085	188
1942	86,893	3,047.7	18,000	239
1943	88,106	3,262.4	22,000	291
1944	89,160	3,284.5	23,017	309
1945	89,758	3,253.8	23,254	312
1946	89,845	3,304.3	23,372	282
1947	<u>91,782</u>	<u>3,342.4</u>	22,540	269
1948	90,507	3,311.1	21,368	252
1949	88,129	3,183.6	19,008	219
1950	86,310	3,007.6	17,246	195
1951	85,335	2,913.4	16,125	180
1952	82,336	2,814.5	15,119	167
1953	78,875	2,695.5	13,902	153
1954	76,198	2,548.8	12,392	135
1955	73,089	2,447.5	11,529	124
1956	70,373	2,366.6	10,941	117
1957	68,971	2,289.5	10,389	111
1958	67,149	2,201.0	9,732	104
1959	65,780	2,158.9	9,557	102

Source: Wilbur Smith & Associates, Future Highways and Urban Growth, (New Haven 1961).

The development pattern of the urban environment, which had been to a considerable extent influenced by the fixed right-of-way technology associated with rail systems, was further disrupted with the abandonment of their rights-of-way in favor of the bus.⁷

The decline of the public transportation industry to its present level would undoubtedly have been reached considerably sooner had it not been for the economic depression of the 1930's and the Second World War. The depression had a two-fold effect: first, urbanization was fed by accelerated failure of farms, thereby swelling the ranks of potential patrons; and second, the adverse economy temporarily halted the rapid rate of growth in automobile ownership. The effects of World War II on transit ridership are quite clear. In 1945, patronage stood at over 23 billion or almost twice that of 1935. This patronage was, of course, induced by the absence of automobiles, the lack of gasoline, and the high pace of industrial activity.

With the end of World War II, the transit industry's reprieve also ended. During the intervening decades, the urban public transit industry in the United States has continued its economic decline. (For example, the number of passengers carried by subway and elevated-rail systems declined to only 1.8 billion in 1966 from a peak of 2.8 billion in 1945.) While fares have more than kept pace with the consumer price index, patronage has not offset increased operating costs. As a result, more and more systems have experienced operating deficits, and many privately owned systems have either ceased to operate or sold their depleted operations to the municipalities they served. For temporary relief, some systems have cut back service, increased fares, or both, and still others obtained relief through local operating subsidies or capital grants. However, the pressure of decline continues and does not seem to be reversible by current levels of aid.

7. There is considerable evidence in cities like Toronto and San Francisco that the availability of high density rail transit systems does encourage high density of development along its right-of-way and provides a means of controlling the character and land use configuration of the metropolitan area.

33-A

Urban Mass Transportation Authority, Path Train. Photo by DOT.

Cause of Decline in Mass Transit: The decline in the public transport industry in urban areas can be attributed to a number of interdependent causes. A basic cause is clearly the rapid growth of urban population outside the central cities in which most public transportation systems are located. From 1960 to 1970, the population outside central cities increased by about 34 percent as against 1-1/2 percent in central cities. In fact, in 1970 the population outside central cities actually exceeded that in central cities by about 14 million. With low housing and population densities and the dispersion of origins and destinations, conventional public transit normally cannot operate profitably and is usually not even available to the suburbanite.

These conditions, of course, have increased the dependence on and desire for ownership of private automobiles, especially for suburban living. The evidence for this trend is widely documented. Even comparisons over the last decade alone indicate marked change -- for example, the sharp increase in the number of two or more automobile households from 13 percent in 1960 to almost 30 percent in 1970. By 1970, only 20 percent of households were without automobiles, and these were, of course, concentrated in the categories of those who were poor and/or old.⁸

In addition to the growing separation between urban residences and employment centers, rising automobile ownership, escalation of public transit fares, the extensive freeway construction, and lack of innovation in the transit industry have contributed to the difficulties of public transportation. Different model federal programs have been inconsistent with one another and frequently have accentuated the problems of urban transportation. (See further, pages , on various federal programs.)

Another factor contributing to the complexity of the urban transportation picture is the use of federal planning funds available from the Department of Housing and Urban Development (so-called "701" planning funds) for comprehensive urban planning. This program has encouraged comprehensive and regional urban planning, but only in recent years have major efforts been mounted to develop these plans in coordination with transport planning.

8. Automobile Manufacturers Association, Inc., Automobile Facts and Figures, 1968 and 1971. Data were estimated by the Association from official census information.

34-A

United States Highway financed with Federal Funds. Photo by DOT.

Key programs available from the Urban Mass Transportation Administration include capital grants and technical studies; both are designed to encourage and help mass transportation. Unfortunately, budgets have been small in the face of needs, no form of operating subsidy is available, and these efforts do not include means for dealing with the problems of the automobile and its impact on the urban environment, or with the needs of the elderly and young people who are unable or who do not choose to drive.

Findings of the Transportation Study of 1968: The first comprehensive study to look at urban transportation "in light of modern technological capabilities to deal with modern urban problems" was completed in 1968.⁹ This study identified eight problem areas, which are indicated below with the key findings.

Equality of access to urban opportunity: "Present urban transportation tends to immobilize and isolate nondrivers: The poor, secondary workers in one car families, the young, the old, and the handicapped."¹⁰

Quality of service: Such items as walking distances to the transit facilities, waiting times, safety, reliability, comfort, crowding, and noise have often led to reduced patronage.

Congestion: This is often an expensive and difficult problem to correct, except at the planning stage.

Efficient use of equipment and facilities: This problem can be alleviated through sound management and organizational techniques.

Efficient use of land: In the United States, the problem is obtaining and making appropriate use of right-of-ways. Alternatives such as increasing communications and reducing the need to travel must be given strong consideration during the planning stages.

Urban pollution: The automobile is the major source of air pollution. In addition, there is also noise and aesthetic pollution resulting from "all current modes of urban transportation."

-
9. Citation for Kerner Commission report.
10. Citation for Kerner Commission report. This problem was underscored by the Kerner Commission which noted that transportation was an important element in linking jobs with isolated labor supplies, such as blacks in the inner city.

Urban development options: "Transportation investments can be used creatively in the orderly development of urban areas" if there is effective planning. "New Town settlements, as well as other concentrations of urban growth, could be feasible options for land development patterns with improved intra-urban transportation services."

Institutional framework and implementation: An improved legal, financial, governmental, and inter-governmental institutional framework is needed to eliminate rigidities and anachronisms which prevent the adoption of new technologies and methods.

Highlights of Federal Programs: Historically the planning and programming of transportation does not suggest that the different transportation modes were coordinated to effect orderly growth. For the most part, each mode has been the product of separate governmental assistance. Assistance from the federal government has been mainly in the area of capital investment rather than in the area of operating needs. During the past fifteen years, the majority of capital funds available have been used for building highways and freeways on the Interstate System. Of the Department of Transportation budget authority for fiscal year 1970, \$5.3 billion was for highways, \$4 billion went to air transportation, and only \$177 million went for mass transit. In that same year, the Federal Highway Act, the Urban Mass Transportation Assistance Act, and the Airport and Airways Development Act did make available a wider range of funding opportunities, particularly in the area of mass transportation.

The point of departure for the modern highway program was the \$26 billion Interstate System launched in 1956. The "Interstate and National Defense Highway System" ties together all major population centers in the United States. The annual rate of financing for this system is about five billion dollars. These funds are provided mainly by gasoline and truck taxes which are channeled into the Highway Trust Fund and used almost exclusively for the capital costs of highways. This has not only encouraged the use and ownership of automobiles, it has also introduced rigidities and misallocations into transport investment decisions. The use of these funds for the urban network has been restricted until very recently. In addition, the heavy

36-A

San Francisco, California. Bay Area Transit System. Photo
by DOT.

contribution of the federal "share" (e.g., 90 percent federal and 10 percent state) has encouraged road building at the local level without its being subject to careful economic, social or environmental scrutiny. Thus, the automobile has been the principal mode of transportation used in the inner city and within urban areas, accounting for approximately 91% of the mileage of the United States intercity passenger movements.

In an effort to counteract the blight which existed around many highways, the Highway Beautification Act of 1965 was passed "to improve the quality of the environment by preserving and enhancing the highway corridor through the reasonable control of outdoor advertising and junkyards, and to increase the safety and pleasure of the motorist by providing scenic overlooks and safety rest areas with provisions for tourist information centers, comfort stations, and limited recreational accommodations."

Only eight of the twenty largest metropolitan areas in the United States have rapid rail transit systems in existence or under construction. These are New York, Chicago, Philadelphia, San Francisco, Boston, Washington, Cleveland, and Atlanta. Federal aid to rapid transit did not begin until 1961. This aid was in the form of loans and demonstration grants. Through the 1961 Housing Act, the subsequent Urban Mass Transportation Act of 1964 and amendments in 1966, Congress appropriated a total of \$445 million (through 1968). The Mass Transportation Demonstration Program, initiated in 1961, included experimental projects on service and fares, testing new equipment, application of new technology and improving service to low-income areas.

- 3.2 Illustrative Urban Transportation Cases: As already noted, the increasing urbanization, growing affluence and expanding motorization of American consumers has resulted in increased pressure on existing urban transportation systems. More and more urban areas are finding it difficult to cope with these rising demands, particularly in view of the fact that the growing population concentration in urban areas has made urban transportation one of the most important segments of the national transportation system.

The urban transportation systems of the United States operate reasonably well, despite the great complexity and diversity of uses to which they are put. However, a number of specific problems are clearly identifiable: congestion, the limited choice of public

transportation services (particularly for those who do not have automobiles), the undesirable social, economic and environmental impacts related to the largely auto-dominant character of urban transportation networks, and the poor coordination between comprehensive and transportation planning. The latter results in urban transportation facilities not being used for fostering particularly desirable development patterns that might alleviate some of the previous problems. Two of these major problems, urban congestion and the relationship between urban transportation and undesirable environmental impacts, are examined below.

The Problem: Urban Congestion. In the United States, as well as in other developed countries, the most acute transportation problems exist in urban areas, and the severest relates to the trips to and from work. Traditionally known as the journey-to-work trip, it takes place in a one-to-two-hour period (in the morning and again in the evening). In the aggregate, journey-to-work trips create heavy demands on the capacity of the transportation networks. Designed capacity for all modes is generally based on meeting these peak demands, and the problem is compounded by the fact that the trips are peaked in space as well as time. In most American cities, work trips are concentrated in the most intensively developed parts of urban areas contributing further to the congestion problem.

This rhythm of urban traffic movements occurs daily, is predictable within limits, is extremely pronounced, generally results in high costs and in considerable irritation and loss of time. The ten weekday peaks cause major mismatches in supply and demand, which have existed for decades, although major efforts have been made to cope with them. The peaking phenomena is evidenced by vehicles on freeways, passengers on subways or buses, people in terminal lobbies, or aircraft parked at gate positions requiring access to runways for take-off and landing.¹¹

To some extent, in many of the larger urban areas, the extreme demands being placed on facilities have resulted in some spreading of peak period as users of the transportation network, particularly automobile users, attempt to plan their trip so that they may avoid congestion. In many cities, this results in peak periods

11. Eric Mohr, "Urban Transport Peaks and Work Schedule Innovations," in Proceedings, Transport Research Forum, Fourteenth Annual Meeting, Volume XIV, No. 1, pp. 277-280.

38-A

Highway passing through United States City - DOT.

stretching for 2 hours or more, generally from the hours of 7:00 to 9:30 a.m. and from 4:00 to 6:30 p.m. However, the major peaks within these stretches still tend to occur within a one-hour period. For example, peak-hour commuter railroad trips typically account for 20 to 25% of their total daily travel; rail rapid transit, 15 to 20% of the daily total; and for buses, 10 to 15%.¹²

There has been considerable study of urban congestion, and the empirical characteristics of peaking have been well described. However, the causal factors of congestion are less perfectly understood; it would be generally accepted that they are many and inter-related. Without attempting to catalog all the factors responsible for urban congestion, the primary ones are considered to be the following:

- .. Very heavy demand for access to the central business district (CBD), particularly for the journey-to-work, results in very large capacity requirements during the peak period.
- .. Because of the major advantages of the automobile for door-to-door service in conjunction with dispersed land use, public transit is less able to serve suburban residential locations outside the CBD. The result is high levels of automobile use and convergence of trips on the CBD.
- .. The inability of public transit to provide adequate access to many locations outside the CBD has had the feedback effect of further modal shifts to automobile usage, resulting in increasing financial pressure on transit services, leading to further shifts away from transit, resulting in decreasing availability of public transit both in terms of frequency of service as well as in the level and quality of service, resulting in further congested conditions both on transit and highways as more auto trips are stimulated.
- .. Though automobile users tend to pay out-of-pocket costs, there is increasing evidence that they do not, in fact, pay the full costs of congestion and environmental and social costs -- particularly air and noise pollution. This underpricing results

12. United States Department of Transportation, 1972 National Transportation Report (Washington, D.C., 1973), p. 189.

Table 2

PERCENT OF URBAN AREAS IN THE UNITED STATES
PRACTICING SPECIFIC NON-CAPITAL TRANSPORTATION IMPROVEMENT PROGRAMS
BY POPULATION SIZE OF URBAN AREA¹

Alternative	Entire Country	Over 2 million	1 - 2 million	500,000- 1 million	250,000- 500,000	100,000- 250,000	50,000- 100,000
Number of urban areas	296	14	15	29	37	84	117
Staggering of work hours	25.7	35.7	53.3	48.3	21.6	22.6	18.8
Measures to encourage car pooling	6.8	14.3	13.3	6.9	2.7	6.0	6.8
Banning private automo- biles from CBD	0.7	0.0	0.0	0.0	2.7	1.2	0.0
Raising tolls on toll bridges and tunnels during peak hours	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Lowering tolls on toll bridges and tunnels during off-peak hours	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Increasing CBD daytime parking rates	19.6	28.6	33.3	24.1	16.2	21.4	15.4
Raising transit fares during peak hours	0.3	7.1	0.0	0.0	0.0	0.0	0.0
Lowering transit fares during off-peak hours	3.7	42.9	6.7	0.0	2.7	3.6	0.0
Unrestricted entry of taxicabs	21.6	50.0	26.7	20.7	18.9	17.9	21.4
Unrestricted entry of jitneys	9.8	7.1	20.0	13.8	2.7	10.7	9.4
Reserved lanes for buses	7.8	50.0	20.0	13.8	8.1	4.8	1.7
Restrictions on curbside loading & unloading in congested areas	51.0	85.7	73.3	58.6	48.6	56.0	39.3
Evening delivery by trucks in downtown areas	9.1	21.4	20.0	10.3	10.8	6.0	7.7

1. Classification of urban areas by population based on projected 1990 population groups.
Source: U.S. Department of Transportation, 1972 National Transportation Report, July 1972,
Washington, D.C. Table VI-17, page 247, based on reports from states and urban areas

40-A

Bus operated by the Chicago, Illinois T.A. Photo DOT.

in more auto travel than would be true if all costs were included, and therefore represents a distortion in resource use.

- .. Lack of coordination between comprehensive urban planning and urban transportation planning has resulted in land-use configurations which tend to continue the high levels of concentration in the central business district area without consideration of the relationship to congestion.

Relevant U.S. Approaches to Congestion. Most of the approaches to the problem of congestion in the United States have been directed toward dealing with one or more of the causal factors enumerated above, and address either the supply or demand side of urban transportation. On the supply side, there are the possibilities of (1) improving public transportation facilities and providing for increased capacity of public transport, (2) generally improving the flows on the street network through traffic management and traffic controls, (3) increasing the supply of freeway and urban expressway facilities, (4) improving utilization of automobiles through encouragement of car pools and increased car occupancy methods, and (5) improving utilization of public transit vehicles through priority lanes for buses or through the construction of busways.

On the demand side, approaches to the reduction of congestion have included (1) the use of staggered work hours at major employment centers, (2) providing for some restraint on motor vehicle use either through direct pricing on the use of motor vehicles (parking charges, increased fuel charges, etc.) or direct increases in ownership costs, (3) indirect restraints such as motor vehicle free zones or restricted motor vehicle use in certain areas of the city, and (4) designing urban activity and land-use systems that minimize or reduce the need for travel.

All these solutions have been tried in one form or another in the United States. Selective effort has been made on the demand side. Where employment structure has permitted, work hours have been staggered -- the prime examples being Washington, D.C. and New York City. In Washington, the large proportion of government employees (i.e., a single employer) has permitted work arrival and departure times to be staggered, resulting in the spreading of congestion over time. Similarly, in New York City a program of staggered hours was

introduced in Lower Manhattan with the apparent result of spreading peak-period congestion.¹³

Although some tentative efforts at restraint on motor vehicles have been made, no major policy of restraint has been implemented in the United States. To the extent that there is active consideration of restraint policies, it must be attributed to pressure from environmentalists -- more specifically, from the need to meet air and noise pollution and safety standards set forth in recent U.S. legislation and to conserve depleted gasoline and oil supplies.

Most of the effort to reduce congestion has been on the supply side. Capital grants for improving or expanding transit facilities have been available for over 15 years. Similarly, in recent years, highway programs designed to improve urban traffic flows (Traffic Operation Program for Improved Capacity and Safety, or TOPICS) and efforts to designate urban arterials for federal aid programs have received increasing attention from the federal highway establishment.

One result of pressure from environmentalists has been a re-examination of the efforts on the supply side, and an increasing acceptance of the conclusion that changes are inadequate. There is increasing awareness that even though substantial improvements in mass transit are necessary for solving the congestion and, therefore, the air pollution problem, it is not a sufficient condition. There is a growing body of evidence which suggests that major diversions from the automobile to mass transportation will not occur, even with high pricing policies, unless other major restraints are placed on motor vehicles. Furthermore, there is an expanding recognition that even when changes on the supply side result in improvements in travel conditions (reductions in congestion), they are apt to be relatively short-lived unless accompanied by some form of restraint on motor vehicle use. Otherwise, the very improvements intended to reduce congestion soon generate new traffic and conditions rapidly return to their former state.

Urban transport programs have been directed increasingly toward more direct competition with the private automobile through car-pooling or taxi types

13. Ibid., p. 239 ff.

of systems, such as Dial-A-Ride and similar efforts. The Federal Highway Administration is placing increasing emphasis on greater bus utilization techniques (busways, priority lanes, etc.). Table 2 from the 1972 National Transportation Study confirms the growing importance of the use of some form of restraint, especially for the very large urban areas.

In the long run, of course, increases in supply will have to be provided, and as part of that effort some relief to congestion may be found through the development of improved technological alternatives. In the U.S. Department of Transportation's 1972 study of urban transport needs, it was noted that a large number of new technological concepts offer potential in the long run for substantial improvements in the urban transportation network, although some of them may eventually prove to be technically or economically unfeasible.¹⁴ Of particular importance are the solutions which will provide flexible routing, including public automobile systems (e.g., U-Drive-It Taxi and electric or low-pollution types of vehicles for short trips within highly concentrated areas) and demand-responsive systems (e.g., Dial-A-Ride) which may be expanded from manual dispatching to more complex computerized systems incorporating vehicle location and identification systems.

A second major set of alternatives are the fixed guideway concepts, including people mover, moving sidewalks, and similar systems, personal rapid transit, and high-speed transit links between concentrations of population and activity centers.

Finally, there are the dual mode systems which encompass a variety of systems and bring together flexible routing and fixed guideway capabilities. A number of experiments have been undertaken in the United States, including the concept of "rail-bus" with a capability of operating both on rail and on paved surfaces. More advanced concepts usually envision automatic control on some form of fixed guideway with changes in the propulsion and suspension systems when moving from one mode of operation to another.

Another approach for reducing urban congestion in the long run lies in the direction of changing the basic urban framework so as to minimize travel demands. This would include selection of urban growth strategies

14. Ibid., p. 222 ff.

43-A

BART Station San Francisco, California. Photo DOT.

that contribute to this goal (e.g., new towns, clusters, radial fingers or satellite cities). There are, of course, no "correct" or "best" solutions since what form a city should take is to a considerable extent a subjective decision. However, it is quite clear that the form selected can play an important part in reducing traffic demands, and requires careful coordination and interchange between planning (urban and transport), implementation, and system operation.

In the United States, considerable effort to develop this kind of coordination and interchange has not met with great success. The lack of success illustrates the difficulty of developing an appropriate mechanism within the framework of American urban political institutions.

The Problem: Urban Air Pollution. As already noted, one of the major problems associated with urban transportation in the United States has been the generation of a number of undesirable environmental impacts, primarily air and noise pollution.

While many of these impacts previously were largely ignored, attempts are being made increasingly to introduce some rebalancing between transport investment decisions and environmental and social concerns; in particular, greater consideration is given to what might be done to transportation systems to help reduce air and noise pollution.

Emission control legislation in the United States is expected to result in major reductions of motor vehicle emissions by 1977. The heavy emphasis is on motor vehicles, the major source of pollution in most urban areas in the United States. Table 3 summarizes the Environmental Protection Agency's estimates for 1969. It confirms the role of urban transportation in contributing pollutants. Even if differences in the effect of pollutants are taken into account, motor vehicle emission is an important contributor, especially in urban areas.¹⁵

The high levels of air pollution found in most major American cities are largely the result of the large number of vehicle miles traveled (VMT). This is particularly true of the VMT generated during the

15. For more detail, see Department of Transportation 1972 National Transportation Report, op. cit., pp. 65 ff., and especially Table 111-48.

Table 3

PERCENTAGE DISTRIBUTION OF AIR POLLUTION EMISSIONS
BY TYPE OF POLLUTANT AND SOURCE OF EMISSION

1969

Source of Emission ^{a/}	Carbon Monoxide (CO)	Partic- ulates	Sulfur Oxides (SO _x)	Hydro- carbons (HC)	Nitrogen Oxides (NO _x)
Stationary Power Sources	1.2	20.5	73.1	2.5	42.0
Industry Process	7.9	40.9	22.5	13.0	.8
Solid Waster Disposal	5.2	4.0	.6	5.6	1.7
Miscellaneous	12.0	32.4	.6	26.0	8.4
Transportation	73.6	2.3	3.3	52.9	47.1
TOTAL	100.0	100.0	100.0	100.0	100.0

Transportation Sources:

Gasoline-powered vehicles	86.8	37.5	18.2	85.4	67.9
Diesel motor vehicles	.9	12.5	9.1	1.0	9.8
Aircraft (total emissions)	2.6	12.5	9.1	2.0	3.4
Railroads	.1	12.5	18.2	.5	.9
Ships	1.5	12.5	27.3	1.5	1.8
Non-highway use of motor fuel	8.1	12.5	18.2	9.6	16.1
TOTAL	100.0	100.0	100.0	100.0	100.0

a/ May not add due to rounding.

Source: U.S. Department of Transportation, 1972 National Transportation Report, Tables III-46 and III-47, pages 66 and 67.

45-A

The Brooklyn-Queens Connecting Highway at Columbia Heights New York.
The multi level expressway diverts traffic from crowded local streets.

journey-to-work with its concentration of traffic during a few hours of the day and in central business districts. These concentrations of VMT and emissions are frequently aggravated by meteorological factors which result in stagnant air conditions. These circumstances, combined with the low level of use of public transit in most American cities, have caused the level and intensity of air pollution to increase rapidly.

Relevant U.S. Approaches to Air Pollution. Many ways have been proposed for controlling motor vehicle emissions in urban areas, and a 1972 study categorized them as short, medium, and long term solutions.¹⁶ Table 4 summarizes these approaches along with their estimated impact on travel patterns and motor vehicle emissions. Within the framework of 2-5 years, major solutions to controlling motor vehicle emissions include programs such as vehicle inspection, maintenance and the use of retrofit devices, utilization of gaseous fuel systems, improved traffic flow, management techniques, and bypassing of through traffic. Requiring somewhat longer periods of lead time for implementation are the medium-term transportation controls, including improvement in public transportation and motor vehicle restraints (both pricing and non-pricing alternatives). Finally, there are the long-term solutions that would require somewhere in the range of 10-20 years for implementation. These include major programs of work schedule changes and changes in land-use control. Changes in land-use controls in particular would require substantial changes in present public policy with respect to comprehensive urban and transportation planning.

In appraising the emission reduction potential of each of the proposed approaches, this study reached a number of important conclusions:¹⁷

- .. In most metropolitan areas in the United States, overall emission reductions of at least 50% from existing levels appear to be required to meet national ambient air standards for carbon monoxide by 1975. Achieving the standard for other emission elements appeared to be even more difficult.

16. Citation for Kerner Commission Report.

17. Ibid., pp.

Table 4

IMPACT OF TRANSPORTATION CONTROLS ON
TRAVEL PATTERNS AND MOTOR VEHICLE EMISSIONS
(CARBON MONOXIDE FROM LIGHT DUTY MOTOR VEHICLES ONLY)

Transportation Control Candidates	Impact on Travel Patterns	Impact on Motor Vehicle Emissions
<u>SHORT TERM (2 to 5 Years)</u>		
Inspection, Maintenance and Retrofit	No changes in modal mix, trip generation or origin-destination patterns	10 to 25 percent. Upper range less likely
Gaseous Fuel Systems	No changes in modal mix, trip generation or origin-destination patterns	Less than 15 percent. Approp- riate only for lage centrally- maintained fleets
Traffic Flow Techniques	No changes in modal mix; possible increase in trip generation. No changes in origin-destination patterns, at least for short term.	Less than 20 percent. However, emissions appear to decrease for only the year immediately following implementation, after which time emissions may increase <u>above</u> original levels
Bypassing Through Traffic	No changes in modal mix; possible increase in trip generation. No changes in origin-destination patterns, at least for short term.	Less than 5 percent. Measures requiring new construction (e.g., circumferential routes) not implementable within 5 years. Modest bypassing may be possible through signs/signals.

Source: Institute of Public Administration, Interim Report - Evaluating Transportation Controls to Reduce Motor Vehicle Emissions in Major Metropolitan Areas, Washington, D.C., March 1972, pp. 9-12. Office of Air Programs Publication No. APTD-1364.

18

IMPACT OF TRANSPORTATION CONTROLS ON
TRAVEL PATTERNS AND MOTOR VEHICLE EMISSIONS
(CARBON MONOXIDE FROM LIGHT DUTY MOTOR VEHICLES ONLY)

Transportation
Control Candidates

Impact on
Travel Patterns

Impact on
Motor Vehicle Emissions

MEDIUM TERM (5 to 10 Years)

Improvement in
Public Transportation

Changes in modal mix by improvements in public transport; no change in trip generation or origin-destination patterns at least in the short run.

Less than 5 percent. Improvements in public transport are a necessary but not sufficient condition for reducing motor vehicle emissions.

Motor Vehicle Restraints

Changes in modal mix by improvements in public transport and motor vehicle restraints. Only minor changes in trip generation, or origin-destination patterns at least in the short term.

5 to 25 percent. Potential emission reductions depend upon the severity of restraints.

LONG TERM (10 to 20 Years)

Work Schedule Changes

Changes in modal mix, possible reduction in trip generation (particularly for the journey to work) and changes in origin-destination patterns due to additional recreational trips.

Less than 3 percent. Work trips would be reduced but increased; leisure time would probably generate additional recreational trips.

Land Use Controls

Change in modal mix; change in origin-destination patterns; change in trip generation.

Could not be implemented with any appreciable effect on emissions in the short term. Medium and long term effects not known.

Source: Institute of Public Administration, Interim Report - Evaluating Transportation Controls to Reduce Motor Vehicle Emissions in Major Metropolitan Areas, Washington, D.C., March 1972, pp. 9-12. Office of Air Programs Publication No. APTD-1364.

- .. Measured against this scale, most transportation controls considered to be capable of being introduced in a period of 2-5 years offered the potential for only modest reductions and even those controls which were considered easiest to implement would take several years to develop and put into effect.
- .. All the proposed transportation controls would involve substantial implementation costs and would require a considerable lead time if they are to be successfully carried out.

In terms of the specific transportation control strategies, the study proposed the following:

- .. Though vehicle inspection maintenance and retrofit devices were considered to have potential for reducing motor vehicle emissions, other strategies such as the use of gaseous fuel systems appeared to have more limited application largely confined to cities in which large centrally-maintained fleets account for a high proportion of the vehicle miles traveled (e.g., taxis in the Manhattan area of New York City).
- .. Traffic flow control techniques could reduce congestion and thereby emission levels. However, these emission reductions (without restraint on motor vehicles) would tend to induce or generate new trips and the improved emission levels would be short-lived. Furthermore, it could render public transportation (particularly bus) less attractive, thus worsening the condition of mass transit and reducing alternative options to the motor vehicle even more.
- .. Through traffic in the United States may account for anywhere from 5 to 20% of total traffic volume, even at peak hours. From the point of view of controlling air pollution, bypassing would (1) shift VMT away from the already congested central city and (2) smooth traffic flows by separation of through and local traffic in the areas affected. A number of efforts have been made to implement this basic means for improving emission levels; however, only limited applications have been undertaken in the United States.
- .. Extensive examination of experience with public transportation improvement in the United States reveals that these improvements alone hold little promise for attracting motorists out of their

automobiles. Improvements in public transportation are, therefore, a necessary but not sufficient condition to reducing motor vehicle emissions. They are necessary because reducing motor vehicle use in high pollution areas will require substantially improved public transport to provide an alternative means of making trips. They are not sufficient, however, since public transportation improvements unaccompanied by motor vehicle restraints will reduce motor vehicle traffic only modestly. Indeed, some improvements (especially rapid rail) could actually result in increases in emissions in the downtown and densely developed areas where they were already bad.

- .. Many of the transportation controls proposed for short to medium term solutions require some form of motor vehicle restraint to be effective. None of the restraint measures will be politically popular and the quality and quantity of public transportation must be importantly and visibly improved in conjunction with any strategy to reduce motor vehicle use.
- .. In view of the difficulty of implementing motor vehicle restraints, they should be considered as more than short-term measures. Restraints may be justified on longer term grounds (e.g., reducing noise, reducing congestion or preventing certain land uses) and should therefore be evaluated against a long-term time frame, which includes such pollution reduction strategies as work schedule changes, four-day work week, land-use controls and changes in urban design and development goals.¹⁸

3.3 Conclusions and Findings: For the developing countries, restraints on motor vehicles, and especially road pricing, are likely to be the most effective means of avoiding air pollution and congestion. In these countries, the income for owning and the habit of using the private automobile are not so deeply embedded as in the United States and other developed countries. As one writer noted (in contrast to the United States, where motorization took place over a half century ago,

18. Ibid., pp.

50A

Washington, D.C. - Interstate 95 passing through the L'Enfant Plaza
Employment area.

and disillusionment with the motor car has occurred only in the last ten years), "In the developing countries ... the periods of motorization and of serious misgivings about it are happening almost simultaneously."¹⁹ This situation establishes the need for effective integration of urban transport planning and policy goals now if some of the urban problems which exist in the United States are to be avoided elsewhere.

The importance of developing a combined strategy for solving the problem of urban transportation and urban development emerges not only from the impact of pollution, and congestion but also from the projected growth in population and motorization. A study on the developmental and environmental aspects of transportation in urban areas noted that the vehicle fleets in Asia were growing at rates close to ten percent per annum (excluding Japan), in contrast to annual growth rates of about four percent for North America and the world as a whole.²⁰

The congestion and environmental problems of developing countries are enmeshed in the issue of general economic development. Many of their cities serve as seaports for productive hinterlands, and changes in these functions tend to have direct repercussions on the cities' viability. The same is true for major railheads or distribution centers. Urban policy will have to be evaluated in the total context of its effects on economic development. As was noted in the U.N. study cited above,

As cities develop, their transportation needs are continually changing and environmental conflicts inevitably arise since earlier periods of the city's growth demanded less sophisticated and extensive transportation systems. As expanded transportation networks become more necessary for supporting economic growth, these conflicts become more and more acute.²¹

-
19. Wilfred Owen, Automobiles and Cities: Strategies for Developing Countries (Paris Organization for Economic Cooperation and Development, Environmental Directorate, Division of Urban Affairs, 1973), p. 2.
 20. Joseph Revis, assisted by A. Karavangelos, Development and Environmental Aspects of Transportation in the Context of Human Settlements, for the U.N. Conference on Human Development (United Nations Department of Economic Social Affairs, Resources and Transport Division, June 1971), p. 14 ff.
 21. Ibid., p. 5.

These conflicts between environmental and economic development considerations make coordination between transport and urban planning more insistent.

Within the context of growing urbanization in the United States (and other developed countries), transportation is only one of the many factors contributing to the problems of metropolitan areas. Because transportation is so closely associated with changes in land-use, it often serves as a substitute for careful comprehensive planning. As Owen observed, the cities of the world frequently suffer from traffic congestion because of haphazard urbanization.

The haphazard location and arrangement of urban activities, the poor environment and the lack of physical relationship between housing, jobs, and services means that conventional cities must rely on travel to compensate for disorder.²²

As urbanization and affluence expand, there is increased demand for more transportation capacity to meet the rising appetite for mobility. Demand for all trips grows, not only those related to work, but for shopping, social, recreation and other purposes as well. Rising trip demand, coupled with growing motorization, generates a chain reaction of congestion, deterioration in the level and availability of transportation services, undesirable social, economic and environmental impacts, and lack of coordination between comprehensive urban planning and transport planning.

Truck and car use of streets and arterials conflict, often at the very times when congestion is at its worst. Congestion pressures generate high costs of operation, inefficient use of transportation facilities, reductions in development, and distortions in the direction and rate of urban growth. Growing affluence and diversion to the private automobile result in declining passenger volumes on mass transportation facilities and in further declines in the level and quality of service.

"Spinning off" from the forces of congestion, auto dominance, and deterioration in public transport are undesirable social and environmental impacts. For the economically disadvantaged, or the physically handicapped,

22. Wilfred Owen, Automobiles and Cities: Strategies for Developing Countries, op. cit., p. ii.

the lack of an automobile forces them to public transport. It increasingly is unable to serve their needs because of an inevitable decline in service offered as land-use patterns shift to the lower suburban densities made possible by increased automobile usage. Environmental impacts in terms of air and noise pollution are byproducts of this urban sequence of forces, as is aesthetic pollution (multiple stacked levels of highway interchanges, row upon row of automobiles unshielded from view by either trees or walls, the decaying waterfronts and the rail marshalling yards).

Efforts to solve these problems in the United States have been fragmented and uncoordinated at every level of government. Political pressures to solve the problem of congestion frequently fall on operating transportation agencies, while planning is in the hands of regional organizations out of touch with the operational agencies. The regional planning agencies are plagued by fragmented political jurisdictions and authority, and the net result is uncoordinated and unintegrated urban development.

The need for appropriate institutions cannot be minimized. In the United States, the lack of institutions has played as important a part as any other factor in generating the urban problems so characteristic of American cities. In developing countries, the opportunity for coordinated efforts may not be blocked by planning and operating agencies with a long history of vested self-interest and empire building or by jurisdictional and political dispute. Furthermore, because urban areas in the developing countries are growing at a very rapid rate, the sense of urgency is correctly greater. With the expansion in economic development, particularly increased efficiency in agriculture and the growth in manufacturing, the urban areas in the developing countries tend to be characterized by high growth rates. As affluence grows and spreads to more and more segments of the population, motorization also grows rapidly, and the problems generated by car ownership -- congestion, deterioration in mass transit, dispersion and lowering densities of population -- manifest themselves in the developing countries. What is needed is a frontal assault, using every available means of technology, economics, and public administration.

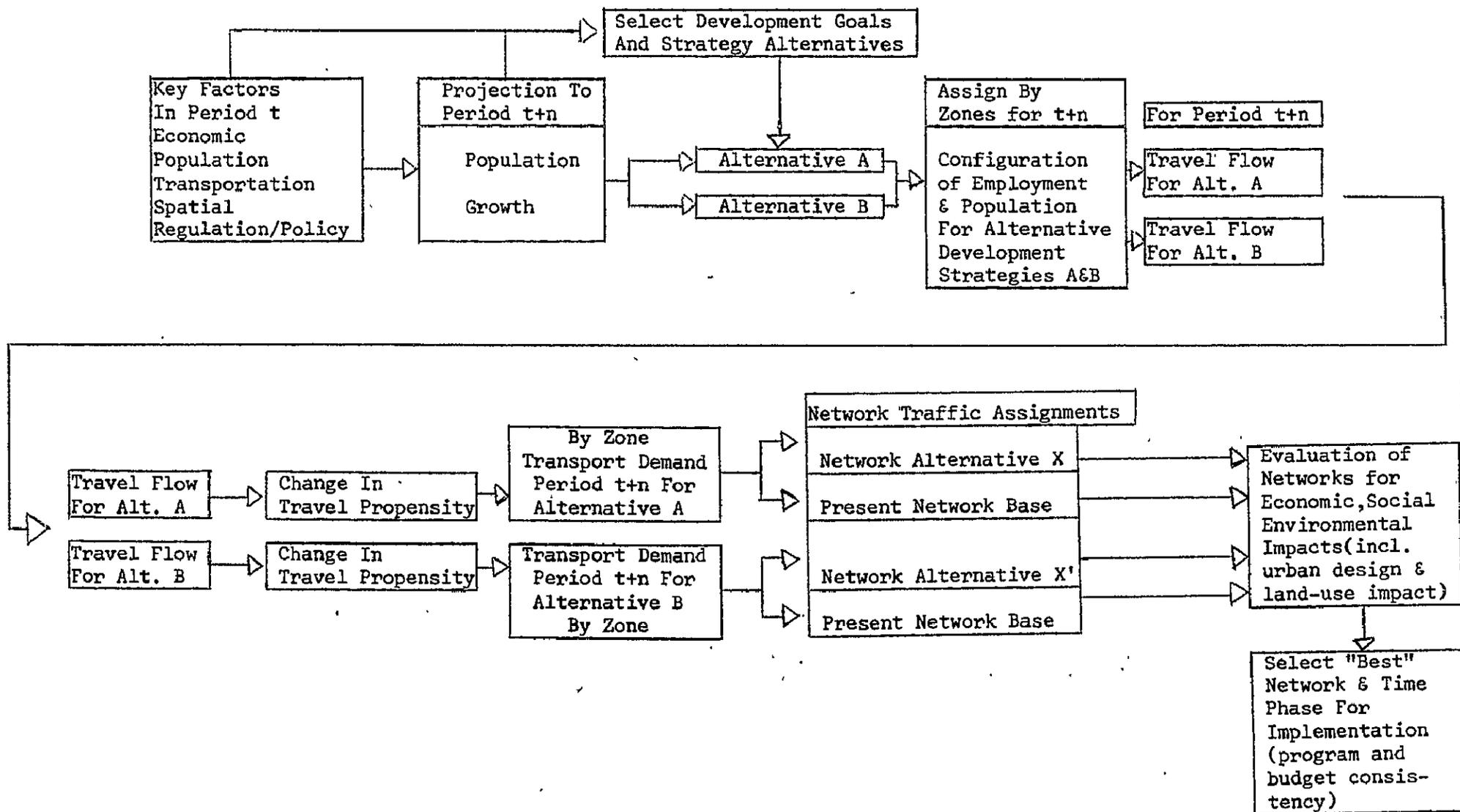
Some of the key policy conclusions that emerge from the American experience are as follows:

- .. The automobile, whatever else its shortcomings may be, is the major form of transportation preferred by most people. Even in the face of higher taxes on use and ownership, people continue to drive under very adverse conditions of congestion and pollution.
- .. In terms of comfort and convenience, the automobile is presently superior to any mass transit technology now in use. With major support for public transportation, the demands for auto use and congestion on urban streets would not be eliminated unless some form of restraint is used. There are many countries in the world that have built and provided massive investments for high quality public transit and are still being pressed by the demands of traffic congestion (e.g., Japan and most European countries).
- .. In the long run, solutions to the urban transportation problem are inextricably embedded in the question of urban development policy and growth strategy, including the policy adopted with respect to land-use and urban design.
- .. The type of mass transit technology selected can have a major influence on how an urban region develops; therefore, the process whereby urban development goals and urban transit systems are selected will be critical.
- .. It would appear that mass transit revenues capable of covering costs can only be drawn from the kind of patronage drawn from high intensity development. However, because urban transit systems generate a wide range of benefits or external economies not easily measured, selection of a transit system on the basis of financial viability is not an adequate evaluative and selection technique for transport investments.

It is not easy to illustrate the way in which to carry out the "process" of planning and implementation. Chart 1 illustrates a process for testing and selecting transport investments. The process envisions the selection of one or two "best" development patterns and strategies, and then evaluating alternative transportation networks proposed as feasible for these development alternatives. It indicates the steps required to relate transportation planning to urban planning.

Chart 1

NETWORK ANALYSIS FOR ECONOMIC EVALUATION
OF PROPOSED URBAN TRANSPORTATION INVESTMENTS
(TWO DEVELOPMENT STRATEGIES TESTED)



URBAN SOCIAL SERVICES

4.0 SOCIAL SERVICES

- 4.1 Introduction: The settlers of the New World brought with them familiar institutions and concepts. Once they were past the initial period of settlement -- a time when sheer survival was dependent on mutual aid -- they invoked with little modification or adaptation the laws and customs of the homeland.¹

Essentially religious people, the colonists established churches as the first community institutions, followed closely by schools. The sacredness of human life, a paramount tenet, required them to manifest a basic compassion for the young, aged, infirm, and handicapped. At the same time, the harshness of life led to stern measures to protect the settlements against the able-bodied but idle poor, among others. The measures were based ~~age~~ only on the necessity for hard work, but also on the belief that poverty or social maladjustment was the responsibility of the individual and that the government's involvement was to supplement only, in order to protect the general welfare. Early social services, therefore, were locally determined, financed, and administered, and tended to be negative controls for the most part.²

In this section, the U.S. experience with welfare, education, and health services in urban areas is reviewed. It is not always easy to differentiate between national or general social services and those which are specifically for urban areas; nevertheless, this distinction is made wherever possible. Often it is the special nature of cities -- the specific institutions to which they give rise, the accessibility they allow, and the special problems and advantages created by the concentration of human beings -- that gives urban social services their distinctive character. This is particularly the case in the United States, which has become mainly a nation of cities and their environs; nearly 90% of the population lives in urban areas.

1. Ralph E. and Muriel W. Pumphrey, editors, THE HERITAGE OF AMERICAN SOCIAL WORK (New York: Columbia University Press, 1961), pp. 9-26. See also, Robert W. Kelso, HISTORY OF PUBLIC POOR RELIEF IN MASSACHUSETTS, 1620-1920 (Boston: Houghton Mifflin, 1922), p. 195; and Karl de Schweinitz, ENGLAND'S ROAD TO SOCIAL SECURITY, 1349 to 1947 (Philadelphia: University of Pennsylvania Press, 1947).
2. *Ibid.* The principle of local responsibility stemmed from the English Poor Laws.

4.2 Welfare Services: As life became less stringent in the colonies, care for the poor was better organized and possessed elements of rehabilitation and efforts to secure against economic hazards -- of course, to the end that public expense would be limited and of short duration. On the large estates, including the plantations of the South, a strong sense of noblesse oblige prevailed -- that is, a personal feeling of responsibility toward persons of inferior economic and social status. As early as 1656 private philanthropy, in the form of gifts and bequests to towns, supported such governmental activity as the provision of almshouses and other institutions for the care of the indigent.

Another form of urban philanthropy appeared at this time. It was the Scots' Charitable Society, based on ties of common nationality in a strange land, which took care of its members and fellow countrymen. Regarded as the oldest social agency still functioning in the United States, it is the "prototype for thousands of nationality, religious, and fraternal organizations which have waxed and waned during the three centuries since its founding."³

The venerable concept, that the prosperous ought to do "good works" in the name of charity over and beyond the "prudential care" given by the town government, was tempered by a strong emphasis on self-help and moral virtues and on a limited definition of "neighbor". Thus,

private donors were assumed to have the right to select their beneficiaries and to set up descriptions of 'unworthy' persons who were to be denied aid. Problems of collection, safekeeping, and administration immediately arose, and there was continuing need for redefinition of purpose as mutual aid and neighborly interest became structured and formalized.⁴

This was especially true in a growing number of commercial cities along the eastern coast, such as Boston and Philadelphia, which were "points of interchange between the colonial hinterlands and the commerce, the politics, and the culture of Europe and the rest of the world."⁵ One example in the 1750's was the founding of

3. Pumphrey, op. cit., p. 30.

4. Ibid.

5. Ibid., p. 38

the Pennsylvania Hospital in Philadelphia, the oldest hospital in continuous operation in the United States. As the Pumphreys noted, this project "moved far beyond the crudities and uncertainties of most colonial social welfare efforts" to emphasize restoring the victim of illness or injury to the community as a self-supporting, contributing member, and to stimulate mutually supporting use of voluntary and governmental resources from the colony as a whole.⁶

Growth of Cities: The transition from an agricultural to an industrial economy brought a concomitant rapid growth of American cities during the first half of the nineteenth century. Population expanded at a rapid rate from immigration, increasing from 17 million in 1840 to 31.5 million in 1860.⁷ This tide was increased by the influx of workers from rural areas, as men, women, and children sought employment in the new industries. As immigrants poured in through the urban ports of entry and workers concentrated around factories, the character of the country began to change from rural to urban. The number of cities rose from 131 in 1840 to 236 in 1850 and to 392 in 1860.⁸

The expanding slums were a negative by-product of this transition, and human misery and need on such a scale soon revealed the institutional and financial shortcomings of purely local administration in delivering the necessary services. On both sides of the Atlantic the state began to assume new investigative, regulatory, financial, and administrative responsibilities for dealing with the problems in the cities. State boards of charity and corrections oversaw prisons, reformatories, mental hospitals, and other state welfare organizations. The proper role of government in these matters was a hotly debated social policy issue. A social reform movement gained momentum, stressing citizen vigilance to see that programs were carried out efficiently and effectively.

Social Reform: An integral part of the social reform movement was the collection of objective data in support of social legislation. The resulting studies influenced public opinion and therefore strengthened the reform movement. The abolition of slavery and the move for free

6. Ibid., pp. 39-44.

7. Encyclopedia Britannica, vol. 6, 1969, p. 527.

8. Ibid., note 1.

public education received the most attention from reformers. There was also considerable support for labor legislation to protect women and children. A few industrialized states passed such laws, but fear of competitive disadvantage prevented effective enforcement.

The social reform movement also spawned voluntary associations which advocated and tried different approaches to persons in need, especially those in the growing concentrations of poverty in the cities and industrial towns. They included the spread of the Poor Law to the Northwest Territory and to other parts of the frontier; the convening of investigative commissions and the issuance of official and unofficial reports on reforms of the English laws and other measures; organizing associations of benevolent societies locally and nationally for the exchange of ideas and to avoid duplication of effort; studying possible causal relationships between the system of low wages in a free labor market and the problems of poor relief; and social action activities aimed at improving the moral and physical environment in which the masses (both "needy" and "normal") lived.⁹ They reflected different philosophical understandings of and insights into the causes and meaning of people's difficulties. The most universally held was the concept of need as evidence of personal fault, compounded, or even brought into being, by the faulty operation of the charitable system. Technical and other procedures were introduced, with differences of opinion over their effectiveness and especially over their purpose -- that is, whether they were to be used primarily to protect contributors and taxpayers, or for the rehabilitation and reconstruction of the needy persons.

National Focus: Informal exchanges of experience and ideas among those who were concerned led to a recognition that many of these urban social problems and catastrophes were not isolated or local incidents. Thus, voluntary associations on a national scale were organized and helped to develop a national focus on social problems. However, because of the strong

9. The social service exchange or clearinghouse, the settlement house movement, children's homes, fresh air camps, foster home placement service, state and national associations and conferences on social welfare, scientific analysis and study of the causes of poverty and individual and societal breakdown, education for welfare workers, and the development of differential methodology, specialization, membership organizations, and other accoutrements of a profession -- all had their beginnings during the period of 1789-1895, the period of national development and expansion. Pumphrey, op. cit., pp. 44-251.

principle of local responsibility and control, very few pieces of national social legislation were enacted. A notable exception was the Marine Hospital Services Act of 1798; providing insurance for sick and disabled merchant seamen; it marked the beginning of the U.S. Public Health Service. Dorothea Dix's crusade on behalf of the mentally ill succeeded after several attempts in having Congress pass a bill in 1848 appropriating ten million acres of public lands to the states for the establishment of hospitals for the insane. However, the political scene was dominated by the states' rights controversy, and President Pierce vetoed the bill, declaring that charitable activities were a state function. This dictum controlled federal-state relations in social welfare matters for two generations.¹⁰

Philanthropic organizations proliferated everywhere during the riotous period of expansion in all aspects of American life following the Civil War.¹¹ Local responsibility for poor relief continued and state supervision increased. Specialized programs of care were developed under state administration. "Scientific" charity with a theoretical base in the physical and social sciences became "little short of a mania" for a few prominent and vocal groups. A degree of humility was forced on charity organization leaders, exponents of "scientific" charity, when their theory-based programs were tested in the economic depression of 1893-1894. While the bulk of the direct service still was provided by volunteers, full-time paid agents were being used increasingly in urban areas toward the end of the 1800s, leading to the evolution of the social work profession during the succeeding forty years. The main issue, never fully settled, was whether the social work profession's "primary obligation was to serve individuals or to promote the good of society in general, thereby providing a

10. Pumphrey, *op. cit.*, pp. 125-126.

11. The powerful industrial barons felt strongly that they had a right to exploit human and natural resources in creating and distributing goods and services. Many, however, became philanthropists. While they opposed government involvement with social welfare, nevertheless, they wanted to improve civic and social conditions. Through their philanthropies many urban social programs were initiated. Consequently, the early social workers were not encouraged to seek social reforms, and the development of governmental programs was effectively deterred.

better environment for every person."¹²

Except for the National Quarantine Act of 1878, which was enacted to prevent contagion from epidemics abroad, President Pierce's dictum of 1848 prevailed, and there was little national social legislation until the beginning of the twentieth century. A wave of reform in the first decade brought legislative regulation, limitation, and prohibition on the employment of women and children and a wide range of other economic and social proposals and innovations. For example, the Employers' Liability Act of 1908 for railroad workers encouraged the passage of workmen's compensation and unemployment insurance laws in many states.

A major break in the concept that the federal government had no responsibility in social welfare matters came with the convening of the First White House Conference on Children in 1909 and the subsequent establishment of the United States Children's Bureau in 1912. The White House Conference also gave impetus to the development of mothers' pensions (or allowances) as a governmental program.¹³ Pensions for the blind, and programs for unwed mothers, orphans, crippled children, emotionally disturbed children, children with school problems, the aged, and others followed, as social welfare moved from the undifferentiated stage under the Poor Laws to the establishment in urban areas of highly specialized forms -- a pattern which has persisted.

At the state, county, and city levels of government, public welfare and public health departments were growing and were extending their services, and public libraries and public parks were expanding.¹⁴

12. With the passage of the Social Security Act of 1935, many social workers concentrated on technical developments. Some worked to develop the administrative relationships, regulations, and procedures which would make the new programs more sensitive to individual needs. Others focussed on developing more refined methods of working directly with people. Pumphrey, op. cit., pp. 137-140 and 255-257.
13. The leaders of the new juvenile court movement supported this development, while social work leaders fought earnestly, sometimes bitterly, against governmental auspices. Among the considerations was the problem of differentiating the citizen's right to a pension from the stigma of relief when both were based on a poverty (or means) test.
14. Many philanthropic foundations oriented toward the "general welfare" became prominent during this time, including Carnegie, Rockefeller, and Russell Sage Foundations. The rise of organized labor also was influential in weakening further the "poor laws" attitude.

Since most social legislation was based on federal-state cooperation, states enacted their own programs. The result was a wide variation among the states, not only in terms of eligibility and coverage.

Social Legislation: Much of the social legislation was concerned with employers' liability for the health and safety of their workers. When some state laws survived court tests, efforts were made to develop some national standards, beginning with federal legislation in the field of child labor. Congress enacted laws in 1916 and again in 1919, but they were voided by the Supreme Court as being beyond the powers of Congress. Nevertheless, there was a steady trend toward the adoption of the insurance principle as a basis for social legislation.

Unemployment and destitution, especially in the cities, were so extensive in the early 1930s, as a result of a severe economic depression, that city and state governments found themselves near bankruptcy. Nevertheless, the concept of local responsibility for welfare still was so established that several temporary and piecemeal measures were attempted before the Social Security Act of 1935 gave new perspective to social welfare policy. Possibly the most significant piece of social legislation ever enacted by Congress, it provided a nationwide program of grants to states for old age assistance, aid to the blind, aid to dependent children, unemployment compensation, maternal and child health services, services for crippled children, child welfare services, and vocational rehabilitation, and federal contributory old age insurance and unemployment insurance. This and other pieces of social legislation were upheld by the Supreme Court,¹⁵ which also permitted state and local governments to experiment in areas not covered by federal legislation. In fact, there has been little initiation and innovation at these levels.

15. The Court accepted the arguments that the problem being dealt with was nationwide and that the benefits provided, though paid to individuals, were general and not particular. Pumphrey, op. cit., p. 433.

Changes in the Social Security Act since its enactment have resulted in separating out vocational rehabilitation, public health, and unemployment compensation, making each of them the subject of extensive legislation.¹⁶ Retirement insurance has been extended to cover disability, benefits are provided for dependents as well as the wage earner, health insurance (Medicare) is provided, and nearly all wage earners have been brought into the system.¹⁷ Changes also have been made in the public assistance and service programs.¹⁸ However, since all aspects of the act except retirement and disability insurance depend on state and local implementation, considerable variations remain in programs between the states and among the cities.

16. With the passage of the National Mental Health Act of 1947, there had been completed the reversal of President Pierce's veto of 1854. In addition to Dorothea Dix's original humanitarian emphasis on care and treatment, there were provisions for economic benefits, national defense considerations, and federal-state joint research programs.
17. By 1970, 90% of all those aged 65 and over were drawing benefits or could draw them if they retired from full-time work. Expenditures have increased from \$40 million in fiscal year 1969. Ida C. Merriam, "Financing Social Welfare: Expenditures," in *ENCYCLOPEDIA OF SOCIAL WORK* (Sixteenth issue), ed. Robert Morris (New York: National Association of Social Workers, 1971), pp. 416-425.
18. For example, nearly \$9 billion or 40% of all health and medical care expenditures were paid by public welfare agencies directly to doctors, hospitals, nursing homes, etc. -- i.e., vendor payments. (Comparable figures were 15% in 1929 and 20% in 1940.) Surplus foods are distributed to institutions, schools, and needy families; a food stamp program, in existence from 1939 to 1943, was reinstated in 1961. Other forms of support in kind which began during the 1960s were housing subsidies and rent supplements for low-income or special groups. Work relief and work experience and training were started again under the Economic Opportunity Act in 1964, after a hiatus of twenty years. Adult Basic Education, Head Start, Job Corps, Neighborhood Youth Corps, and work experience programs specifically for unemployed parents of dependent children and other needy persons were also introduced in the 1960s. These programs were part of the so-called War on Poverty after the United States officially "discovered" the urban poor. Ibid.

While private philanthropy still provides significant funds for child care, recreational, and other services, 75% of the identifiable social work and other welfare services are supported by public funds. Social welfare expenditures represent a notably larger share of state and local total revenues (55% in 1969) than of federal government revenues. Indeed, if social insurance trust fund expenditures are disregarded, the federal government is today allocating considerably less of its total budget to social welfare purposes than previously (22% in 1969, 39% in 1940, and 30% in 1929).

America's urban industrial economy has created not only an enviable standard of living but also has resulted in the crowding of people in cities, industrial pollution, and other negative consequences. In order to meet some of the needs, expenditures for social welfare purposes in the United States have increased in both absolute and relative terms, and the trend is towards a distribution of income that rests on a reasonable minimum and equity for those above that level.¹⁹ Private and voluntary agencies and programs which specialize in narrowly defined social problems continue, but the trend is toward programs that see the individual within the context of group and community life.²⁰

In the historical and cultural context of American life, an understanding and an acceptance of the need for society to provide collectively for certain basic goods and services have evolved slowly.

19. In 1969, public and organized private income maintenance and income support programs involved expenditure of \$63 billion (7% of GNP). Public programs -- social insurance, veterans' pensions, and public assistance -- accounted for 86% of the total, private plans 14%. *Ibid.*, p. 424.

20. Some examples are: the merger of family and children's service agencies; the merger of several specialized township or city governmental welfare agencies into a single multi-functional county or state agency; the expansion of a probation service into a family relations court service; and the closer collaboration and joint planning represented in the work of community welfare councils.

4.3 Education

Background: While the federal government has been involved in education to some degree from the beginning of the republic, the principal activities toward advancing education came from voluntary groups. These initiatives, for the most part, overshadowed the legislative developments.

The first steps toward public education were taken in 1647 in the Massachusetts Bay Colony. In 1785 land was set aside at the local level for public schools. Settlement in the public territories in the West, as specified by Congress in the Northwest Ordinances in 1787, provided for setting aside federal land in each jurisdiction for the construction of locally-operated public schools. The Morrill Land Act of 1862 provided for the system of state land colleges under the guise of federal grants for the establishment of agricultural schools. Vocational education, education for Indians and other special populations and aid to allow veterans to finish college represented other federal education efforts. The idea of free education was firmly established in the Civil War era. During this period only half of the states had efficient public school systems. The U.S. Office of Education was established in 1867; for almost its first 100 years its efforts were extremely limited to the areas of compilation of statistical information, some technical assistance, and the awarding of small categorical grants.

Schools for blacks had been set up in different parts of the country before the Civil War usually by religious or abolitionist groups and in some places blacks had gone to school in the common or private schools. During and just after the Civil War over 2000 schools for blacks were set up by the Freedman's Bureau, which, while publicly supported, represent a departure from the locally supported model of US elementary and secondary education because they were administered directly from the federal government. After the war, the common school spread in the south, which had lagged behind before, and blacks and poor whites benefitted from the private support from the northern philanthropist, George F. Peabody, whose Fund began in 1867 with a \$2,000,000 endowment to be spent on education. Also after the Civil War Hampton

Institute was set up, in 1868, with the idea of providing practical instruction to blacks, an idea developed further by Booker T. Washington when he founded Tuskegee Institute in 1880 and remained its guiding spirit for many years thereafter.

Many of the special programs later taken on by the public schools began as innovations by private schools, or by reform groups--abolitionists, feminists, and later the settlements. Jane Addam's Hull House in Chicago, Illinois began the first adult education classes. Beginning in 1780, churches held religious education classes. These so-called Sunday Schools were really the forerunners of public common schools for the urban poor. Later, urban immigrant groups developed their own private schools, often run by religious groups, and looked to informal education and literacy classes run by political parties, settlements, and church and charitable groups.

U.S. Educational Problems: Public education in the United States became overwhelmed by events after World War II. A dramatic rise in the numbers of the school-age population and large scale movement to the suburbs necessitated the creation of whole new school systems. Then in 1954, the United States Supreme Court in *Brown vs. the Board of Education of Topeka* declared racial segregation in the nation's schools to be inherently unequal. The South embarked on a campaign of defiance, a battle which included the courts, Congress and the President, and the various departments in the federal government.

The Civil Rights Act of 1964, the Economic Opportunity Act of 1964, the Elementary and Secondary School Act of 1965 and Model Cities Act of 1966 were the most notable of the federal government's efforts to respond to the black and liberal activism of that time. As civil rights efforts moved north to combat de facto discrimination in housing and education, the southern-based resistance movements were transformed into national voting strength.

While the desegregation controversy swirled around Little Rock, Arkansas, and other southern school systems in the late 1950's, the educational establishment was shocked in 1957 by the first Russian space satellite, and Congress responded with increased federal money for mathematics and the sciences in the National Defense Education Act of 1958. Prompted by the courts and the

spectre of the "cold war," the federal government was edging nearer to taking on major financial responsibilities for public education while the administration of these federal priorities remained the responsibility of local governments.

U.S. Approaches: Congress used a cash grant program in response to aid for the education of selected parts of the country during World War II by devising federal aid for "impacted areas," compensating cities for the impact on city services of newly arrived war workers in defense plants. However, no general education bill had come out of Congress after World War II because of the thorny issues of race and government involvement with church-supported schools until the Elementary and Secondary School Act of 1965. This program adapted the old "impacted areas" concept to a new purpose, school districts which had a high ratio of the educationally disadvantaged.

Thus, ESEA responded to the educational needs of the urban poor trapped in institutionalized poverty which had been publicized by studies such as Michael Harrington's The Other America. ESEA proposed to allow 25,000 school districts in 54 states and territories to spend over a billion dollars in the first 15 months of its operation on the educationally disadvantaged who were defined as those between 5 and 17 years of age whose family income reached only \$2,000.²¹

Title I, accounting for five-sixths of the total funds authorized for ESEA, was the predominant pre-occupation of school administrators at all levels, members of Congress, and those involved in federal fiscal management. Based on the apparent consensus that the use of federal funds to meet the needs of educationally disadvantaged children was appropriate and urgent, a novel grant provision allocated such funds to states and localities by formula, subject to the approval of specific programs and projects by state authorities.²²

ESEA is typical of urban policy-making at the national level in that it approaches urban problems indirectly, specifying education as an area for special national effort. Since urban areas support large schools they could be expected to benefit from more federal money in that area, but Congress did not say ESEA was urban legislation. Secondly, ESEA followed the practice

21. Stephen K. Bailey and Edith K. Mosher, E S E A: The Office of Education Administers a Law (Syracuse: Syracuse University Press, 1968), p.6.
22. Ibid., Note 21, p. 50.

68-A

+

+

PHOTOGRAPH

+

+

+

The goal of title I is to overcome education deprivation associated with poverty and race.

of singling out parts of a larger population for special concern -- in health programs federal money has been granted to the aged and those on public assistance as well as special populations of the mentally retarded or the incurably ill, and public assistance programs traditionally distinguished between the deserving and undeserving poor.

In this case, ESEA was aimed at children of the poor, increasingly a burden for urban school systems. The national concern for poverty, expressed in other federal programs as well, encompassed urban and rural poverty which also made it easier to gain legislative support from members of Congress representing differing constituencies. Urban and rural areas have been increasingly seen as two-thirds of a larger equation which includes suburban areas too.

In its second annual report, the National Council on Education for the Disadvantaged, a watchdog group outside the government set up in the original ESEA legislation, explained that money was going into these areas: classroom aides; extension of the school day or school week; preschool and early childhood instruction; and education of dropouts. Moreover, the injection of federal money was stimulating states to act with their funds to set up compensatory education programs.

Title I's ultimate goal is to overcome the educational deprivation associated with poverty and race. When this goal is reached, children of various income groups and children of various racial groups will be indistinguishable from one another on important measures of educational performance.²³

Representatives of large urban school systems, testifying in the Congressional hearings of 1969 for an extension of ESEA's authority, openly welcomed this money as nearly unrestricted general aid for their financially pressed schools. They argued against any attempt to spread the money around in rural and suburban areas and began to sound the note that meager appropriations

23. Title I, Year I. The Second Annual Report of the Elementary and Secondary Education Act of 1965, School Year 1966-1967. (Washington, D.C.: U.S. Department of Health, Education and Welfare, 1968).

had already cut into ESEA projects. Thus by 1969 observers were already beginning to claim that ESEA's promise was going to go unfulfilled.²⁴

By the late 1960's, the compensatory education strategy, which had never been tried at significant funding levels, became embroiled in controversies within the educational fraternity over the value of integrated education, the neutrality of standardized tests, and threats to the liberal premise that education could overcome economic disparities.²⁵ Such fundamental disputes among educators allowed maneuverability to those who had always doubted the wisdom of committing significant national resources to compensatory education. ESEA came up for another extension in 1973 and while the administration sought to recast ESEA into its reform plans for federal aid, five or six broad "revenue sharing" plans, the stalemate continues with the Congress and ESEA's future is in doubt.

The Financing of Education: Cities must finance their school systems in the same way they finance other city services, principally from the local property tax. In 1971, it was estimated that money for elementary and secondary education was raised in the following proportions: 40 percent at the state level, 50 percent at the local level; and 10 percent at the federal level. And the federal share included the immense relative growth that had been occasioned by four years of ESEA money.

Despite repeated criticisms of it, the property tax has retained its place as a major revenue source because it has helped the suburbs cut themselves off from the central cities.

24. The testimony runs to several volumes in the House and Senate hearings. Especially interesting are the comments of the superintendents of large city school systems in House Education and Labor Committee. Extension of ESEA Programs, Hearings on HR.514. 1969. Their testimony is a tribute to the inefficacy of Halperin's strategy as outlined above. If anyone was, they were the very educational establishment being inveighed against. They saw ESEA Title I funds as an opportunity to fund programs they had long had on the drawing board.

25. Particularly important have been two voluminous studies: James G. Coleman, Equality of Educational Opportunity (Washington, D.C., U.S. Government Printing Office, 1966) and Christopher E. Jencks, Inequality (New York: Basic Books, 1972) and the continuing controversy over I.Q. tests.

70-A

+

+

PHOTOGRAPH

7 2

+

Locally elected Board of Education meets to discuss school issues.

Amid discussion of a "taxpayers" revolt, there are numerous examples of school and other bond issues voted down in referendum which take the form of increases in or special assessments of the property tax level to meet debt payments on bonds. Since property tax assessment and administration are also carried out along local or jurisdictional lines, locally elected or appointed officials can be expected to represent the political attitudes of that jurisdiction in the course of the administration of the property tax, and thus, except again in the more hard-pressed urban areas, assessments are often pegged unrealistically low.

Because the bulk of local property taxes goes to support such an important social service, walling in wealthy counties from their less wealthy neighbors, the financial standing of a community and its ability to spend money on its schools become a crucial determinant in the decision of where to live. Combined with local governments' zoning powers to determine the residential-commercial-industrial mix, the property tax freezes the inequalities of the fragmented governmental structure. Thus, it is possible to imagine two communities: one is wealthy with homes able to bear higher assessed evaluations than a poorer neighboring community and able to spend far more on its public schools than its poorer neighbors who are assessed at a higher rate but still have less to spend on their schools.

It is this evidence which has been embodied in recent court cases which seek to challenge the property tax on the grounds that the result deprives poor children of the right to equal protection of the laws guaranteed by state and federal constitutions. This challenge may turn out to be the most serious to the continued operation of the local property tax. In the most noted case, *Serrano vs. Priest*, which arose in California, the equalization forces won a strong victory in that state's Supreme Court, only to be set back by the U.S. Supreme Court's refusal to hear a similar Texas case. Some states, however, have already taken action to modify their systems of educational financing because the property tax is a general purpose tax for local government -- the challenge in theory is not confined to education.

If the demand is to be equalization of aid per pupil or some such measurement, the remedy does not have to be elimination of the property tax as the main revenue source, but the incorporation of various forms of supplementary state aid and the expansion of existing

state aid programs. Indeed, a controversy is raging among lawyers and schoolmen about such practical considerations. But this attack on the property tax from the point of view of the equality of local governmental services leads in two directions, neither clearly visible at this early stage.

First, equal protection of the laws in education may lead to renewed attacks on the inequality of other municipal services within governmental units in areas such as zoning, which allows for invidious distinctions between governmental units, the richer areas erecting barriers and then living well within them. In the case of intra-unit unequal distribution of governmental services, the case has been made in the federal courts on the basis of discrimination by race (Hawkins vs. Town of Shaw, Mississippi), but it seems a short step to combine the facts of that disparity with challenges to zoning on the basis of poverty and the concomitant inability to raise revenues. It rests on whether the proposition that municipal services ought to be distributed equally is deemed important enough to warrant major changes in American society.

It is, however, one thing to argue that education expenditures (and other municipal services) ought to be brought up to the level that wealthy and successful school systems spend on their students, but quite another to show that central city schools (and other city services) ought to be pegged at a higher level to overcome past disadvantages (as in Title I's battle to spend more on the educationally disadvantaged child) and to compensate for higher costs in large cities. Urban schools at first glance seem in a better position because, while their property tax roles are declining (especially as middle-income families leave to enroll their children in suburban schools), the large concentration of commercial and industrial property makes the total property tax valuation seem higher. And compared to their larger population, they have a smaller percentage of their population in school than the suburbs do.

Large cities face a greater burden, however, in that their property tax revenue must go much more to pay for a series of "poverty-linked" services,²⁶ leaving less to spend on schools, an obligation which has come to be known as "municipal overburden."

26. Dick Netzer, The Urban Fiscal Problem (Pittsburgh, University of Pittsburgh, 1967).

72-A

+

+

PHOTOGRAPH

1/1 1

+

+

High school students.

The "municipal overburden" stems from the fact that the central city is forced to put first things first -- thus the demands of law and order and poverty-related means are reflected in extremely heavy outlays for police, fire, sanitation, and public health services. As much as two-thirds of all local tax revenue in the central city, therefore, may have to go for these "custodial" type services while many suburban districts with relatively light municipal burdens can put two-thirds of their property tax revenue into the "development" area -- education. Thus, municipal overburden and the generally lower income of central city residents place powerful constraints on the ability of central city school boards and make it virtually impossible for them to maintain the same in educational opportunities as their suburban neighbors.²⁷

But "municipal overburden" particularly hurts large urban schools; it is not recognized by the states as a reason for more aid.

The case for recognizing municipal burden in state school aid programs is further supported by the fact that no longer is it possible to view education as completely divorced from all other local governmental functions. The experience with federal "Title - I" money of the Elementary and Secondary Education Act of 1965 and experimental programs in central cities show that public schools by themselves cannot overcome deep-seated social and economic problems. Educators have begun to exhibit deep awareness of the need for coordinating school programs with welfare, health, and other essential social services provided at the local level. In view of the need for such activities and their impact on the environment in which the learning process operates, the demands they make on local resources should be recognized in the measure of local ability to support public schools.²⁸

-
27. State Aid to Local Governments (Washington, D.C.: Advisory Commission on Intergovernmental Relations, April 1969), A-34, p. 20.
28. Ibid., p. 20, Note 27.

Education is the leading but not the only poverty-related service for which urban populations pay disproportionately. Others include higher levels of health and public assistance payments, special facilities such as health clinics and neighborhood centers, and more intensive use of federal grant programs in transit, housing, urban renewal and the like. However, some state programs to alleviate the local government financial burden, as in education where aid is often determined by proportion of the population in the schools, do not take into account the special problems that central cities have.

The higher the property value per pupil the lower the state aid came in equalizing aid forms. Since cities tend to rate higher than other areas in property value because of the greater concentration of commercial and industrial property and the lower proportion of the pupils in the cities, they qualify for less state aid than do suburban and rural school districts. For almost any other recognized measure of fiscal capacity to be used (medium family income, percentage of families in poverty, property value per capita rather than per pupil), cities would not look so rich and they would qualify for more realistic amounts of aid. Their position would be even more improved were aid form redesigned to take into account factors [such as] higher urban costs level, higher demands for noneducational public services, and most costly pupil population. While the recent state and federal court cases, if upheld by the U.S. Supreme Court, will require revision of state school finance systems, such revision may or may not result in formulas more favorable to urban interest. Thus, the aid patterns described above may be characteristic of school finance for some time to come.²⁹

The poverty-related programs, supported by less powerful political coalitions at each level of government, vary widely from year to year and from jurisdiction to jurisdiction, while other programs with some stability, persistence and more political clout siphon off central city money from other more pressing needs.

29. Joel S. Berke, et al. "Federal Aid to Public Education: Who Benefits?" in Berke and Michael W. Kirst, Federal Aid to Education: Who Benefits? Who Governs? (Lexington, Mass.: D.C. Heath, 1972), p. 20.

Beyond the politics of reforming local government structure is the politics surrounding various functional areas relevant to city building. Highways are politically strong. They will continue to be built and, in many instances, will be the principal influence determining urban form. Education has its political strength and will undoubtedly continue to receive more funds, but whether educational aid will be pointed in the direction of solving central city ills is by no means clear. Welfare and air pollution are weak politically. Urban renewal has changed its political support from the liberal to the central chamber of commerce community. Whether this weakens or strengthens the program is not clear, but it does mean that it will be diverted to saving downtown rather than providing housing to low-income families.³⁰

Education shares another problem with other city services but, again, the problem for education is heightened. More and more economists are coming up with measurements that can be applied to services to determine the relationship of cost to product. In a period from 1948 to 1966, local government expenditures rose from \$13.4 billion to \$60.7 billion, much larger growth than that of the economy. Critics say that this results from the ineptness of much of urban and local government administration but some economists are inquiring into whether city services are such that productivity is hard to increase and cost is hard to assign for units of output that do not lead to easy designation. Education, though, seems particularly difficult to assess. Its benefits extend farther than the jurisdiction which supports one set of schools and it bears an indirect but strong relationship to the local economy.

A catalogue of the principal external benefits of primary and secondary education includes: (1) informed participation in democratic political system; (2) increased adaptability to changing economic and social conditions with consequential reduced costs of unemployment and social displacement; (3) reduction

30. John K. Campbell and Jess Burkhead. "Public Policy for
the United States," in Harvey S. Perloff and Lowden Wingo, eds.,
Public Policy in Urban Economics (Baltimore: Johns Hopkins, 1968),

in anti-social behavior for those who lack the skills to be viable members of society; (4) increased productivity of the whole labor force; (5) a more varied and pluralistic culture and humanistic life style; and (6) educational opportunity leading ultimately to reduced income inequality.³¹

Such a catalogue of educational benefits as the one above can only be a start toward measuring the effect the public education system has on a society.

Property tax revenues go not only to finance current operating expenditures but back bonds for capital construction, a process which affects urban services policy-making, includes important popular participation in local government affairs because many state bond issues and most local ones can proceed only after being approved by the voters at referendum, and illustrates the degree to which the United States relies on private investment in public affairs. Capital finance decisions are made by all the different governments discussed above, including special districts or as they are sometimes called, public authorities. Again, large city governments have lost power in the process of this balkinization of governmental responsibilities. Since many of the special districts are of extremely low political visibility to the average citizen, it is often impossible to tell where anyone's taxes really go. Following is a recent list of taxing jurisdictions within one state, Illinois, of which its largest city, Chicago, is only one.

Taxing Jurisdictions

1,444 townships
 112 road districts
 1,266 cities (including towns and villages)
 1,325 school districts

Like the local governments, special districts such as hospitals, airports, libraries, water authorities, mass transit, etc., come under the control of states, both in constitutional and statutory powers, commonly bear the ability to sue and be sued, to be considered as corporate entities, and to float bonds subject to

31. William B. Neenan, Political Economy of Urban Areas
 (Chicago: Markham, 1972), pp. 206-207.

certain restrictions. Many states make provisions for authorities at the state level to undertake more than one function and allow them to receive funds in various ways besides the older assignment of bonds backed by the pledged revenues of certain projects. A court test has developed, since many of these projects have been challenged, so that the activity in which state and local governments and public authorities engage must have a public purpose. Investment is stimulated because their marketability is enhanced since, bought by banks, institutional investors, and wealthy individuals, the U.S. tax laws allow exemption for interest payments. Furthermore, the bonds are marketed by a private and unregulated "municipal bond" industry.

This lack of regulation extends also to the ratings compiled by a small and highly influential number of private rating agencies which compile reports on public authorities, state and local government units and agencies, and local school districts, state and local governments. Data on tax rates, the success of bond referenda, and other indices showing growth and decline in each jurisdiction's fortunes go into judgments of bond marketability.

Large cities and rural areas have each made criticisms of the municipal bond industry's rating procedures. Rural areas were often without the sophisticated technical capacity to design and defend their financial objectives and fiscal rectitude, and their smaller dollar needs often have not attracted the large bond syndicates which are often operating at a geographical remove in the country's financial centers. The large cities argue that the bond industry has exaggerated their economic malaise; however, where urban schools are often operated as part of the municipal government, and school capital expenses must come out of the same resources as those for other services (hospitals, police stations, jails, transit facilities and the like), in effect, from property taxation, urban capital financing is in the same budgetary straight-jacket as are urban services. And, the present system of capital financing allows for influence by bondholders, lawyers, and investment bankers which is indirect and thus not very visible to the public.

4.4 Health Services.

Background: The principles of individual effort and local control shaped the early development of U.S. medicine and continue to be powerful today. The "family doctor" performed all medical services in his area, and was completely autonomous. As states moved further into public welfare programs, doctors became subject to local/state licensing and regulation, which procedures were controlled by the physicians themselves. Hospitals, clinics, disease control programs, and other public health measures were administered by physicians. They historically have retained the prerogative of being the best judges of health care needs and the delivery of related services.

Physicians have been shifting from the family-doctor-independent practitioner function to function as highly specialized members of an enormously complex health system. American goals in health care have been shifting, on a parallel course, from the concept of sickness or "crisis" care to the concept of preventive care.

The central institution in the health care system in the United States is the general hospital, a descendent of the English voluntary, nonprofit charitable institutions for the care of the poor. It was not transformed into a general community hospital, serving all economic segments, until after World War I. The nearly 6,000 general hospitals contained 48% of the hospital beds and 92% of all hospitalized patients in 1970. More than 57% of these hospitals are voluntary, nonprofit institutions, and, in terms of the division of responsibility for health care, they contain 59% of all general hospital beds and concentrate on short-term care. State and local government hospitals, on the other hand, have only 24% of the general hospital beds, but care for more than 90% of the patients with psychiatric illness, tuberculosis, and chronic diseases. Federal government hospitals, which cater to members of the armed forces, war veterans, seamen, and senior government officials, have 12% of the general hospital beds and account for 9% of the care of patients with psychiatric illness and chronic diseases. It is significant that in 1970 there were nearly as many nursing home beds (847,000) in proprietary (for profit) institutions as there were general hospital beds (872,000).¹

¹ John D. Thompson, "Health Care System: General Hospital," in *ENCYCLOPEDIA OF SOCIAL WORK* (Sixteenth Issue), ed. Robert Morris (New York: National Association of Social Workers, 1971), pp. 530-537.

Ambulatory or outpatient care has been associated with large general hospitals in urban areas from the beginning. Until recent years the service was provided free of charge by medical doctors who donated their services. Fee charging began on a limited basis after World War I and as services became more sophisticated and technologically oriented. Since World War II when the family doctor stopped making house calls, the outpatient departments of general hospitals have been serving a larger cross-section of all economic segments of the population; in fact, this is one reason that the service has been put on a fee basis and has become more expensive. This has raised the question of whether access to medical care is a right or a privilege. Ambulatory care continues to be given in comparatively overcrowded and unattractive facilities, but the service is provided by full-time, paid staff. The emphasis is on more comprehensive, continuous, family-centered care, addressing social and psychological as well as medical needs, and being more responsive to the needs of the patients and of the community.

Until World War I public medical care dealt with what might represent a threat or a hazard to the public health and, for the most part, was confined to providing services to recipients of public financial assistance. The expansion of medical care to the general public came with the change of philosophy which also transformed general hospitals to serving the total community. The government's role in health care was slight before the 1960's, but it has grown tremendously. The approach has continued to be fragmented and uncoordinated, while the coverage has become increasingly more comprehensive. In 1945, the official public health agency at the state and local levels had a "basic six" image -- *i.e.*, vital statistics, sanitation, communicable disease control, public health laboratories, maternal and child health, and public health education. By 1965, six additional program areas were added: accident prevention, mental health, community planning, environmental control, medical supplementalization, and operational research. The flood of health legislation during the 1960's perpetuated the existing fragmentation of services, while continuing to call for better planning and greater coordination.²

Maternal and child health has been a major focus of health care in the United States. First addressed by voluntary groups and the outpatient units of general hospitals, it became a principal program of the U.S. Children's Bureau from the creation of that institution.

² James R. Kimmey, "Health Services: Public Health Programs," in *ENCYCLOPEDIA OF SOCIAL WORK* (Sixteenth Issue), ed. Robert Morris (New York: National Association of Social Workers, 1971), pp. 560-565.

Except for the short-lived Maternity and Infancy Act of 1921, which expired in seven years and helped to establish the rudiments of a network of state maternal and child health programs, the federal and state governments' role was very limited until 1935. The Social Security Act of 1935 provided grants to states for establishing maternal and child health and crippled children's programs. In the 1950's a few states were given federal grants to start pilot clinics to treat mental retardation, and legislation creating a special projects program for state and local health departments was passed by Congress in the 1960's. Similar legislation was passed during this period to provide for comprehensive health services to children and youth and for family planning services.

Interest in particular medical and health problems of special groups has been promoted through voluntary, non-profit health organizations which were organized to find the cause and the cure and to eradicate tuberculosis, poliomyelitis, multiple sclerosis, mental retardation, cancer, heart disease, and other crippling diseases. Mounting public education and immunization campaigns, these organizations over the years have made effective use of nonmedical institutions, such as schools, churches, and club groups, to reduce epidemic diseases. They have financed research and pilot projects, whose results have become regular programs of official public health agencies. They have contributed significantly to the elimination of former scourges, such as smallpox, diphtheria, pneumonia, tuberculosis, measles, and poliomyelitis, and continue to address other health problems.

Problems. While there have been great strides in biomedical research and medical training, Americans rich and poor are critical of the quality and adequacy of their health care. The conclusions of all commissions, hearings, conferences, and task forces, including the landmark Committee on the Cost of Medical Care in 1932, have been that the U.S. health care community must deal with four major problem areas:

- Health care costs are increasing without a corresponding increase in the quantity and quality of services;
- The distribution of health services is uneven, to the serious detriment of many inner-city and rural areas;
- Fragmentation of services continues to block the need for health care as opposed to sickness care;

- A lack of coordination and comprehensive planning at all levels of government and within the medical professions has prevented effective organization for the achievement of the goals of affordable preventive care.

Health Care Costs. In 1950 expenditures for health care in the United States totalled \$12 billion, or 4.6% of the gross national product. These expenditures had risen to \$83 billion by 1972, or 7.6% of the GNP. Almost half of that increase resulted from price rises rather than from increased utilization of health services or increased productivity.³ Hospital care constituted the largest proportion (39%) of total expenditures in 1972. Hospital costs go up as hospitals pay increasing amounts for services and supplies, wages of hospital personnel, and improvements dictated by technology. Physicians use more intensive and costly services for their hospitalized patients. Table D-2 shows that every major element of health services has increased in price, at a rate much faster than the rise in the cost of living.

Per capita health expenditure was \$394 in 1972, the highest in the world, as compared with \$78 in 1950. The consumer continues to pay most of this bill (see Table D-3). Private expenditures for health, including payments made by private consumer and by private insurers in their behalf, constituted 60% of the total in 1972.

The biggest single spender, the Federal Government, is reassessing its programs in terms of cost effectiveness. Until the late 1960's there was little governmental involvement in the delivery system itself; the status quo was accepted. Now there is greater concern for the efficiency of the providers of health services. The trend since Medicare and Medicaid funds became available in fiscal year 1967 has been toward increasingly greater public financing of health. In one way these programs may have been counterproductive. Direct payments for medical services and hospital care may have added to inflated costs. There is some recognition that increasing funding is not the total solution to the nation's health care ills. An official of the Department of Health, Education, and Welfare, in a recent speech admitted that "the cost of health care is closely approaching the limit that the American economy can not afford."⁴

³ Ibid.

⁴ Charles Edwards, Assistant Secretary for Health, U.S. Department of Health Education and Welfare, speech before American College of Obstetricians and Gynecologists, May 1973.

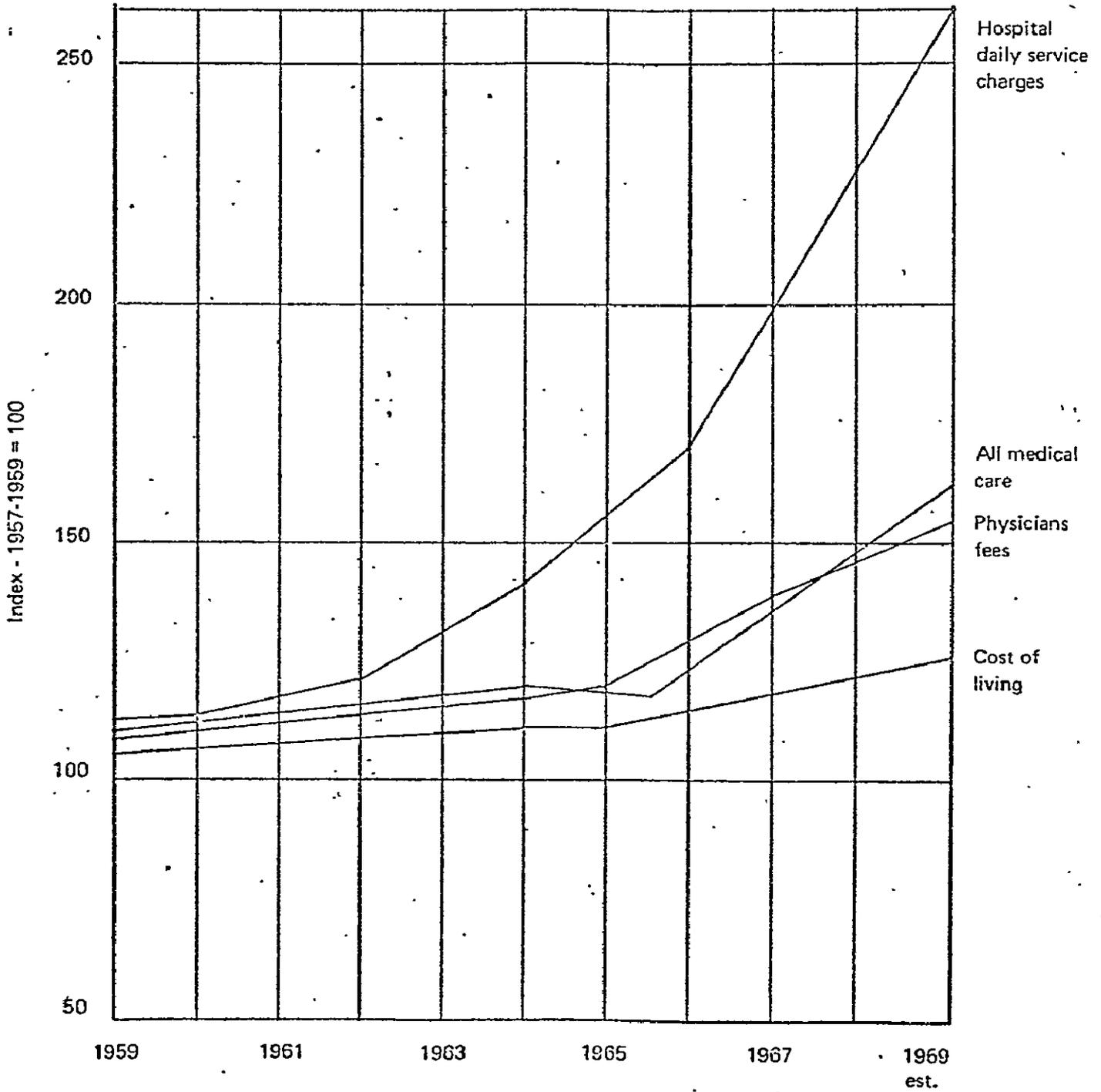


Table D-2

-Aggregate and per capita national health expenditures, by source of funds, and percent of gross national product, selected fiscal years, 1928-29 through 1971-72

Fiscal year	Gross national product (in billions)	Health expenditures								
		Total			Private			Public		
		Amount (in millions)	Per capita	Percent of GNP	Amount (in millions)	Per capita	Percent of total	Amount (in millions)	Per capita	Percent of total
1928-29	\$101.0	\$3,589	\$29.16	3.6	\$3,112	\$25.28	86.7	\$477	\$3.88	13.3
1934-35	168.7	2,816	22.04	4.1	2,333	17.81	80.9	513	4.21	19.1
1939-40	295.1	3,853	28.53	4.1	3,651	22.69	79.8	732	5.84	20.2
1944-45	423.4	12,023	78.35	4.6	8,962	58.39	74.5	3,055	19.97	25.5
1954-55	879.7	17,330	103.76	4.6	12,909	77.23	74.5	4,429	26.46	25.5
1959-60	1,095.6	25,876	141.63	5.2	19,400	107.63	76.3	6,395	35.03	24.7
1961-63	1,353.8	38,522	197.81	5.9	29,357	149.32	75.5	9,525	48.50	24.5
1965-66	1,718.5	42,519	211.61	5.9	31,279	157.21	74.3	10,830	51.43	25.7
1966-67	1,771.4	47,800	237.93	6.2	32,637	159.27	68.9	15,823	78.56	33.1
1967-68	1,827.0	53,583	263.49	6.5	33,523	161.91	62.6	20,040	98.58	37.4
1968-69	1,899.0	59,875	292.19	6.7	37,041	180.46	61.8	22,934	111.73	38.2
1969-70	1,955.1	68,658	325.17	7.1	42,823	205.49	62.9	25,235	121.68	37.1
1970-71	1,010.6	75,621	360.89	7.5	47,015	221.52	62.2	28,576	139.37	37.8
1971-72	1,095.9	83,412	391.10	7.6	50,560	248.90	60.6	32,837	153.25	39.4

Table D-3

quate shelter and clothing, awareness of potential health needs. As a result, about 30 percent of all families with incomes less than \$2,000 per year suffer from chronic health condition -- as compared with less than 8 percent of the families with incomes of \$7,000 or more.

Poor families have the greatest need for financial assistance in meeting medical expenses. Only about 34 percent of families with incomes of less than \$2,000 per year use health insurance benefits, as compared to nearly 90 percent of those with incomes \$7,000 or more.⁸

5 U.S. Department of Health, Education, and Welfare, Toward a Social Report. (Washington, D.C.: Government Printing Office, January 11, 1969), p. 5.

6 Ibid.

7 U.S. Department of Health, Education, and Welfare, Toward a Social Report. (Washington, D.C.: Government Printing Office, January 11, 1969), p. 5., Note 3.

8 Phillis Myers, "Report of the National Advisory Commission on Civil Disorders," New York: The N.Y. Times Co., 1968), p. 269.

The poor of the ghettos spend less on medical service and visit medical specialities less often. This is partly a result of inadequate health education and the lack of the cultural habit of using medical services. The dearth of medical facilities is also a factor. A 1971 study of U.S. health services charged, "Today's resident of slums like Brooklyn's Bedford-Stuyvesant, or Chicago's South Side, is as effectively removed from health services as his relatives who stayed behind in Mississippi."⁹

There are too few doctors practising in the ghetto. In Baltimore, Maryland, there are only 100 general practitioners for 550,000 slum dwellers. In one medical office building in Chicago's affluent North Side, there are more doctors than in the entire West Side ghetto of 300,000 people.¹⁰ In Cleveland, Ohio, there are 0.45 physicians per 1,000 people in poor neighborhoods, compared to 1.13 per 1,000 in non-poverty areas.¹¹

Federal recognition of the maldistribution problem led to the federal health acts of the 1960's. The several health manpower training acts were intended to address the speciality and geographic distribution problems. The number of physicians in the United States is increasing; the ratio of physicians to population in 1985 may reach nearly 220 doctors per 100,000 population, compared with 160 in 1970 and 140 in 1960.¹² However, quantity obviously is not the solution. Dr. Charles C. Edwards, Assistant Secretary of Health of the Department of Health, Education and Welfare, has pointed out that "the numbers of physicians entering specialty and subspecialty practice continues to rise at the expense of primary care, and low income areas, urban and rural, continue to attract far fewer physicians per capita than more affluent parts of the country."¹³ While becoming ever more dependent on federal funding, the medical schools of the United States have made few changes in their curricula and student selection processes, and have continued largely with the status quo and with little regard, if any, for the goals of increasing the number of general practitioners and the number of physicians willing to practice in rural and ghetto areas.

9 "Caution: Congress May be Hazardous to Your Health," CITY, March/April 1971, p.

10 Ibid., Note 12, p. 28.

11 Ibid., Note 11, p. 272.

12 Charles C. Edwards, Assistant Secretary of Health, U.S. Department of Health, Education and Welfare, speech before Association of American Medical Colleges, November 5, 1973, Note 15.

13 Ibid., Note 15.

Medicare and Medicaid have provided opportunities for care of the aged and the poor, but have increased the costs of medical care in the process.

Fragmentation. Within the medical community accelerated development, which advances in technology and increased funding have permitted, has been along traditionally autonomous lines. This has resulted in more and more fragmentation of services. The trend toward specialization means also that fewer physicians are available for "primary" (general) care; in fact, the general practitioner-patient ratio has been decreasing steadily.¹⁴

Facilities have been built with inadequate regard for the needs of the area they serve, little consideration for other physical, social, and economic conditions of the community, and with little coordination with other medical facilities of the area that might avoid duplication of effort and services. Consequently, some areas suffer an excess of hospitals, each having to charge its patients accordingly, while other areas remain without hospital facilities and services.

The concept of preventive care, public dissatisfaction with the inadequacies and limited responsiveness of the privately controlled health system, and a general public acceptance that adequate health care is a basic human right formed the basis for the federal health program initiatives of the 1960's. Three significant measures were passed by Congress in 1965.

Medicare was established under the Social Security Act to provide comprehensive health insurance for persons 65 years of age and older, including part of the cost of hospital and home nursing care. Medicare also offers a voluntary insurance plan to cover part of the cost of physician services and to pay for part of the insured's premiums on a matching basis.

Medicaid provides for hospital care and medical treatment of low-income families. Payments are made through state public welfare and health agencies.

The Regional Medical Program is designed to provide improved care for patients with heart diseases, cancer, stroke, and related illnesses. Its significance lies in the fact that it seeks to link geographically heretofore independent health resources, such as medical centers and physicians.

¹⁴ Ibid., Note 17.

Many of these and other federal programs have been of value in promoting specific health goals. However, they have done little to improve the overall health of communities. For example, the Regional Medical Program is cast in the traditional mold of disease control, and the Medicare and Medicaid programs are targeted for special categories of citizens. They address only pieces of the problem of how to make adequate health care available to all Americans, and are administered without adequate attention to their inter-relationships or to their impact on other segments of health care.

Planning. Comprehensive health planning, encouraged under the Partnership for Health Act of 1966, was an early recognition of the need to correlate and coordinate medical and health activities within an area. It calls for "the marshalling of all health resources -- federal, state, and local -- to assure comprehensive health services of high quality for every person." The involvement of the community and of local government is required in the comprehensive health planning process. Each state is required also to establish a comprehensive health planning agency which will develop regional or local level "total package" plans. Block grants are provided for health programs as a whole, rather than appropriations for specific categories of health services.¹⁵

Under Section 314 of the Public Health Service Act federally financed support for neighborhood health centers and certain systems of prepaid group practice made it possible to provide accessible and dignified personal health services to low-income families as part of a relatively small program of the Office of Economic Opportunity in the mid-1960's. An innovative feature was to organize the services in the interests of the consumers and with the maximum feasible participation of the residents in planning and operating the centers.¹⁶

¹⁵ Eveline M. Burns, "Health Care System," in ENCYCLOPEDIA OF SOCIAL WORK (Sixteenth Issue), ed. Robert Morris (New York: National Association of Social Workers, 1971), pp. 510-523.

¹⁶ Ibid.

All states, the District of Columbia, and four territories are participating in the Partnership for Health Act of 1966, and by 1970 there had been 127 project grants for areawide health planning.¹⁷ Nevertheless, the worthy goal of integrating the many facets of health care has not been realized.

... Most critics say the deficiencies lie in eight principal areas: (1) failure to define CHP (community health planning) goals properly; (2) under-representation of the constituency; (3) questionable legitimacy of the CHP agency and lack of real power; (4) jealousy and confusion among the agencies, the programs, and other health interests; (5) inadequate knowledge of what needs doing, how to go about doing it, and how to obtain adequate local funding; (6) lack of a true mandate (Congress asked that CHP "promote the highest level of health attainable" but "without interference with existing patterns of private practice"); (7) inability to push through a health plan locally; and (8) a sense that the old tools for measuring the needs are inadequate.¹⁸

Ways of Improving U.S. Health Care System. A major reason for the rising volume of criticism of health care in the United States is the consumer movement. America's affluence, level of social progress, and a tradition of rapid development have encouraged citizens to expect continuing improvements. When they have not been realized, citizen lobbies and other forms of protest have been used increasingly. Many in the health care community are listening to the complaints. A study in 1970, undertaken from the consumer/patient point of view, pointed up the concerns of the poor: Sporadic screening programs, little follow-up care, bad communication with doctors, long waits in clinics, inconvenient office hours, and their use for training in the hospitals.¹⁹ The affluent also have complaints: long waits in doctors offices, annoying and expensive referrals from internists to other specialists, and long lead-times to get an appointment.

¹⁷ Ibid.

¹⁸ "Health Planning: Some Alternatives for Change," (PLANNING :American Society of Planning Officials, July 1972), p. 114.

¹⁹ Dan Cordtz, "Change Begins in the Doctor's Office," Fortune, Vol. I, No. 1, January 1970, p. 134.

88-A

PHOTOGRAPH

Girl receiving medical checkup in Public Health Service Facility

Proposals for improvement are coming from consumer groups, the medical profession itself, and the federal government.

Solutions to High Cost. In an effort to cover all Americans with some form of health insurance, the Executive Branch of the federal government is considering a program which would broaden private insurance coverage through employers and provide federally-financed catastrophe protection. A corollary program to provide health care for low-income citizens would largely replace Medicaid. The combined programs, plus Medicare for the aged, would give all American families a basic, minimum coverage.²⁰

An alternative plan, commonly called National Health Insurance, would insure all Americans for almost all medical care through a federal program which would replace Medicare, Medicaid, and private insurance coverage. NHI is advocated by the AFL-CIO (the largest federation of labor unions in the United States) and the National Medical Association. Supporters of both plans feel that coverage should be limited to a package of basic services which would stop short of expensive special treatment. Debate over which services should be included is still going on. Some form of universal health insurance is certain to be enacted in the near future.

Other proposals to hold down health costs include the use of financing incentives to decrease hospital use and encourage instead outpatient and ambulatory services and home care. At present, private insurance carriers encourage high hospital use by offering full coverage of hospital costs, and only limited coverage of the alternatives.

Limiting the amounts physicians may charge has been tackled partially by the fiscal year 1971 changes in medicare reimbursement procedures. Medicare now recognizes only those charges that fall within the 75th percentile of the customary charges for similar charges, using calendar year 1970 as a base.²¹

New approaches to comprehensive, preventive health care delivery systems will also permit cost control through the unified budgetary system.

Approaches to Maldistribution of Services and Fragmentation. Both of these problems will be alleviated as the United States moves toward comprehensive, preventive care. Comprehensive health planning (begun under the Partnership for Health Act) is now firmly entrenched as a viable concept, in spite of attacks

²⁰ U.S. Department of Health, Education and Welfare, "National Health Insurance - A Partnership," (Washington, D.C.: Government Printing Office), P. 935-106.

²¹ Ibid.

on its past effectiveness. Through "block grants" which appropriate funds as a whole as opposed to appropriations for specific diseases or functions, health care delivery centers (e.g., clinics, medical clinics, medical center outpatient or ancillary programs) are able to offer more types of services in the area they serve. As all facets of care become better coordinated, preventive care as opposed to "crisis" care becomes more possible. The opportunity these agencies afford for consumer input and community-level direction makes them a necessary element in any future health care program.

A more immediate remedy has been the establishment over the past decade of Neighborhood Health Centers to meet the health needs of the poor. Eighty-four of these Centers were established under government demonstration programs. They proved popular because of a requirement for community involvement in directing the program. The more successful Health Centers contributed to a sense of community action, making possible more effective mobilization of all community resources in the resolution of a wide variety of interrelated health, social and economic problems.

Experience has pointed up certain inherent weaknesses in the basic organizational form. A manual designed to guide the conversion of Neighborhood Health Centers to the now-preferred Health Maintenance Organization (description below) explains:

"By their very nature, Neighborhood Health Centers help perpetuate a two-class system of health care -- one for the rich and middle class and one for the poor -- however "equal" the two separate systems may appear to be. Because Centers have been generally restricted to serving the poor, they have not been able to tap the additional (and generally more stable) resources available for financing the health care of the non-poor. Dependence on the largest of the prevailing political structure for year-to-year funding appropriations renders the Centers vulnerable to cutbacks resulting from the demands of competing priorities. The equitable allocation of funds to specific Centers and the effective management of each Center are made more difficult because of the lack of a predictable population base around which health resources can be efficiently mobilized."²²

22 Roger W. Birnbaum, "Guidelines for the Planning of or Conversion to a Health Maintenance Organization," Library of Congress Catalog No. 72-600130, 1972., Note 22.

These weaknesses led physicians and government officials to advocate alternate approaches to delivering health care to the poor. Some expansion of outpatient departments of hospitals to include preventive care and a group practice approach has been federally funded. The increased use of academic medical centers, located in or near deprived areas, is being proposed.

Distribution of services could be improved in other ways. Medical students could be offered loans and scholarships through a government program in exchange for a specific commitment to use his or her training where it is most needed. The same offers could be extended to allied health personnel -- nurses, medical technicians, dental assistants, and others.

A promising method of upgrading the quality of medical care for upper- and middle-income as well as for low-income patients already exists. In keeping with the growing emphasis in America on preventive medicine, the popularity of the prepaid group practice, Health Maintenance Organization (HMO) is increasing. Some have been operating in the U.S. under various labels for over forty years. The largest and best known is Kaiser-Permanent of California, which serves 2.5 million people across the country. Prepaid group practice is a medical care delivery system which organizes, finances, and delivers health care services for a defined population. The finances come from prepayments; care is comprehensive, from simple checkups to complicated surgery; the population is a voluntary enrolled group which has agreed to use the HMO as the principal source of health care.

The Department of Health, Education, and Welfare in 1971 established a Health Maintenance Organization Service, which had distributed \$26 million in planning and development grants by the end of 1972. Medicare patients are now allowed to enroll in HMO's. Several states have passed laws which will enable HMO's to organize and to solicit patients. Without a financial incentive, however, HMO's are unlikely to locate in low-income neighborhoods with the poor (and therefore more expensive) health profiles and related social problems. The low density in the underserved rural areas would also deter the establishment of HMO's. Because Americans will demand health care options, the fee-for-service arrangement will remain, along with its fragmenting specialization and independence.

Another impact of maldistribution is the considerable difference in the services bought from the outlays for health care between the public and private sector. As Table D-5 indicates, only about 30% of the \$50.6 billion spent during fiscal year 1972 from private sources went for hospital care,

DISTRIBUTION OF PUBLIC AND PRIVATE HEALTH EXPENDITURES BY TYPE OF EXPENDITURE, FY 1972

PRIVATE
EXPENDITURES

PUBLIC
EXPENDITURES

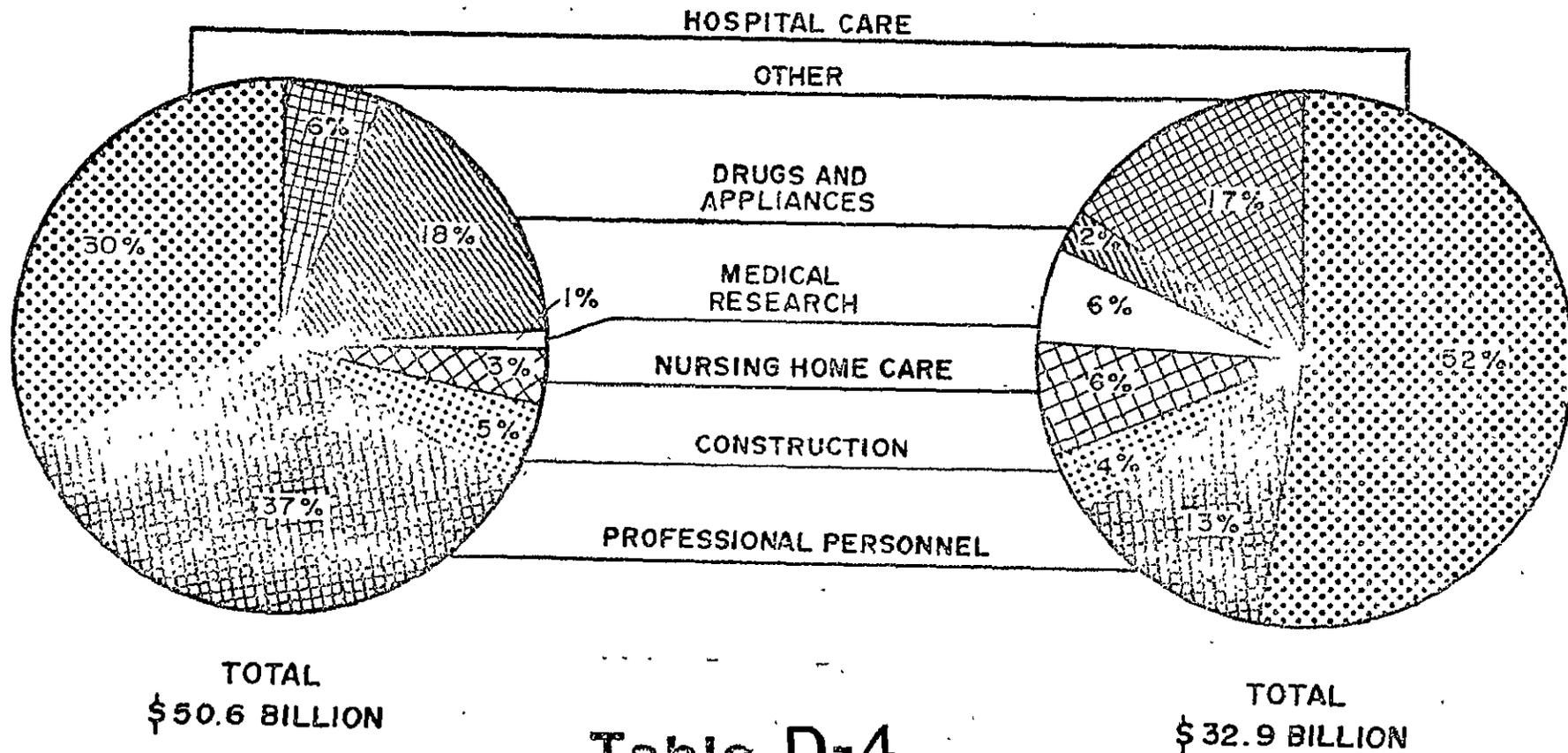


Table D-4

Source: Office of Research and Statistics of the Social Security Administration.

whereas over 50% of the \$32.9 billion spent from public funds went for the same purpose. In the case of nursing home care 3% of private expenditures went for this use compared to 6% from public spending. In purchasing out-of-hospital drugs, 18% of the private health care dollar was used compared to only 2% from the public dollar. In the area of purchasing services of health professionals, doctors, dentists, nurses, and other medical personnel, 37% was expended by the private dollar compared to 13% from the public dollar.

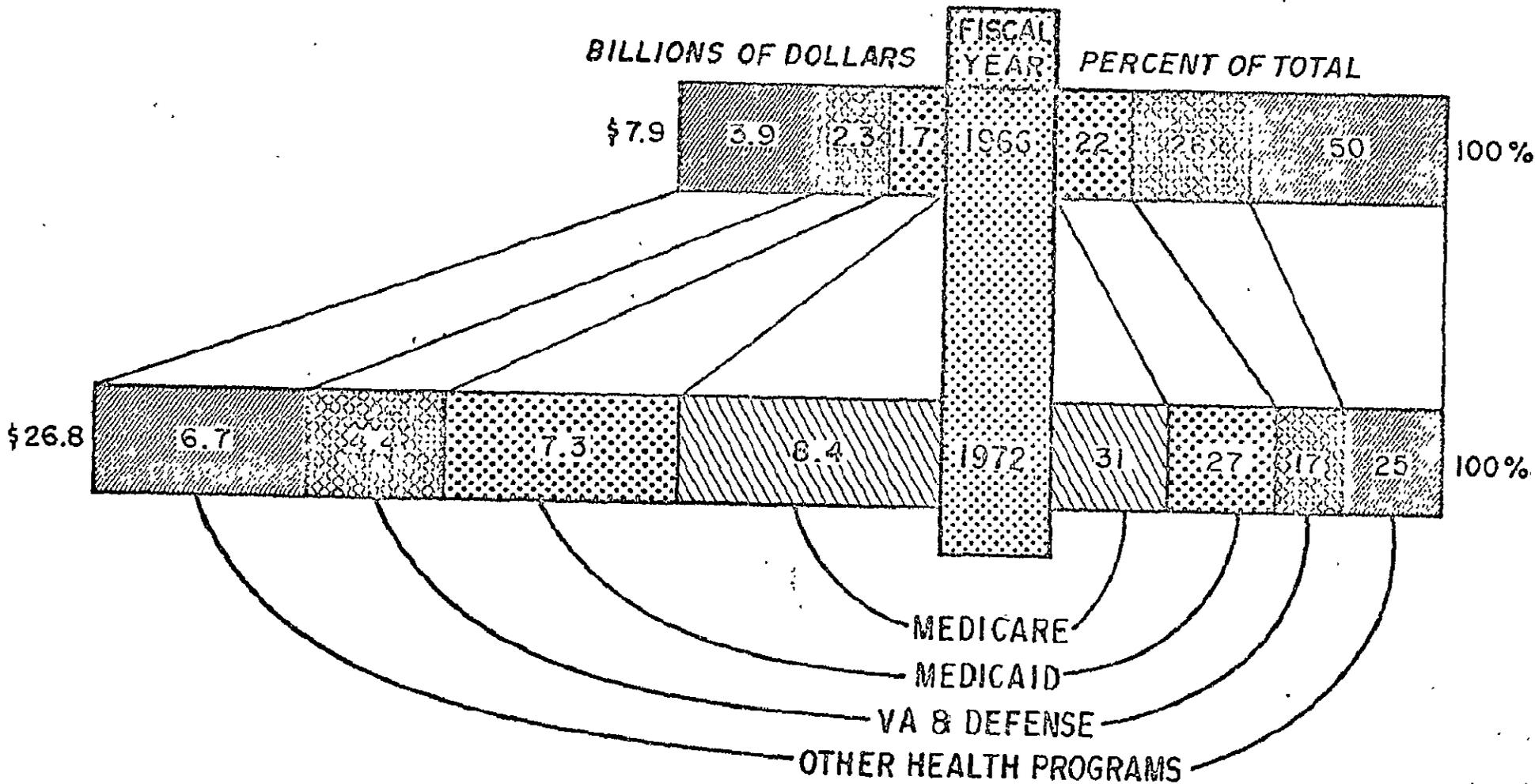
Government spending for personal health care increased from \$7.9 billion in 1966 to \$26.8 billion in fiscal 1972 with much of the growth resulting from the Medicare and Medicaid programs. About half of the increase in the Government's share came from the Medicare program which amounted to \$8.4 billion. The second largest contributor to the five-year increase was Medicaid, along with other vendor medical payments under public assistance. During fiscal year 1972, twelve different public programs contributed to the financing of health services and supplies. The majority of the programs pay for care provided by the private sector and several, like the Defense Department and the Veterans Administration, provide direct health care services.

Expenditure for and distribution of personal health care under public programs are indicated in Table D-7. The difference in the proportion is that the patient pays for health care charges. During 1972, the government alone paid over half of the patient's hospital bill, and private health insurance paid for another 38%, resulting in an out-of-pocket cost of only 8% to the patient. Private insurance paid 36% percent of the patient's doctor bill; however, with less assistance from the government, the direct payment was about two-fifths of the physician's bill. For other types of health services such as dental, nursing, drugs, eye glasses, and appliances, health insurance covered only about 5% of these expenses.

Techniques of Planning. The health care system in the United States is a pluralistic one to match the pluralistic society, according to some observers.²³ The medical profession has maintained its autonomy in the face of multiplying government health programs, and has insisted that it should have the final word on how a patient is treated. Government funds, while ultimately expended by the medical profession, have been earmarked for the programs deemed important through the political process, and therefore have become a separate system somewhat reflecting the public will. Overlaid on this is the American tradition of voluntary and nonprofit organizations that support many health services and manage many of the hospitals.

²³ Others call it a "nonsystem" of health care delivery. See Burns, op. cit., p. 517.

DISTRIBUTION OF EXPENDITURES FOR PERSONAL HEALTH CARE UNDER PUBLIC PROGRAMS, BY PROGRAM, FISCAL YEARS 1966 AND 1972



Source: Office of Research and Statistics of the Social Security Administration.

Table D-5

Today's huge costs and increased demands are partly the result of this pluralism. The federal government and many in the medical profession recognize that some uniformity of goals must be devised. However, as federal dollars become more proscribed, they will carry more controls -- controls which desirably are part of a master plan that has been developed by all segments of the health system.

Within the federal government, health programs are being regrouped into the areas of research, services, resource development, consumer protection, and preventive health. The difficult goal is to develop a single, articulate voice in the development of federal health policy.

A second goal is to make use of the guidance of the private sector while developing policy. The medical profession, the medical schools, hospitals, third-party payment organizations, voluntary groups, industry, and the people who use the health care system all should be heard. Assistant Secretary for Health Charles Edwards has said, "We meet with representatives of these interests, but almost invariably they come to us at a time when budget planning has reached the stage where one or more of these groups feel threatened. That's not planning, it's confrontation. And it doesn't make for effective budgeting."²⁴

A move in the direction of correlating pluralistic activities is the recent establishment by Congress of Professional Standards Review Organization (PSRO) under the 1972 Amendments to the Social Security Act. These organizations in every state will determine whether care given to patients under Social Security programs (including Medicare and Medicaid) is "medically necessary." The Department of Health, Education and Welfare will determine "whether such care was or will establish the norms for judging the professional care."²⁵

Organized medicine sees these organizations as a major threat to the traditional autonomy of the medical profession, although PSRO's will be made up of physicians. The creation of PSRO's is an important step, which reflect government's determination to effect greater control over its programs. PSRO's also reflect the trend toward application of sound planning and management principles to the health care field. Guidelines for comprehensive health planning have built requirements for budget accountability. This and other management tools will, for the first time, allow the user of the system -- the patient -- to make some assessments and choices, and will allow the policy planners to fit health care more effectively into the overall scheme of social services.

²⁴ Charles Edwards, Speech before the American College of Obstetricians and Gynecologists, May 22, 1973.

²⁵ Ibid.

Relevant Lessons to be Learned from U.S. Experience:

The delivery of social services is an exceptionally difficult area to discuss and one that will probably present considerable problems in terms of being able to transfer the United States' experience to developing countries. However, there are certainly approaches that have worked in the United States that are worth giving serious consideration by developing nations. An illustrative example is the utilization of non-medical institutions such as the public school system to coordinate, keep records and provide immunization shots for the nation's schoolchildren.

This institutionalized process contributed significantly towards stamping out small pox, polio, diphtheria and typhoid.

Sanitation campaigns such as the anti-spitting campaign conducted by the National Tuberculosis and Respiratory Disease Foundation stopped the spread of tuberculosis, and the March of Dimes campaign stamped out polio.

Much of what is said about the conditions of health, welfare, safety and the general well-being of citizens in the United States is subjective. In a publication issued by the U.S. Department of Health, Education and Welfare in 1969, TOWARD A SOCIAL REPORT, it was noted that "The nation has no comprehensive set of statistics reflecting social progress or retrogression. There is no government procedure for periodic stock-taking of the social health of the nation. The government makes no social report." In contrast, the President has a Council of Economic Advisors, and an Economic Report is required by statute.

MANPOWER AND LABOR MOBILITY

5.0 MANPOWER AND LABOR MOBILITY

- 5.1 Historical Background: The need to develop manpower resources has long been recognized and dealt with in the United States. The land grant colleges, dating from 1862, had as one of their objectives to assure a qualified labor force for agriculture. To assure a supply of skilled workers in construction, metal work, printing and other trades, specialized vocational schools (private and public) have existed in major cities for many years to train young people. Since the Smith-Hughes Act of 1917, federal funds have been provided to support such schools. Apprenticeship programs have been supported by the federal government since 1937. Efforts to assure a supply of trained workers, technicians, and professionals were expanded in the 1950's, first in response to the fear that the Soviet Union would surpass the technical capabilities of the United States, later to meet expected shortages of physicians and other health personnel.

The United States developed a set of manpower policies only in relatively recent times. The first significant federal manpower law, the Manpower Development and Training Act, was enacted in 1962. It was an effort to respond to problems, primarily urban-based, which had not been sufficiently recognized. This relative neglect in earlier periods can be explained as a result of (1) relatively recent urbanization of the U.S. labor force, (2) high prosperity during the post-war period, and (3) political power of non-urban areas.

The needs of the economy for skilled workers, technicians and professionals constitute one of the two thrusts of pre-1962 manpower policy. The other thrust embraces programs developed since the depression of the 1930's to combat unemployment and to assure high employment levels. These are primarily aggregative in nature, including fiscal and monetary measures intended to influence the level of aggregate demand. Linked to them have been measures of income maintenance, such as unemployment compensation, designed to enable workers to avoid impoverishment during periods of unemployment caused by changes in the level of business and economic activity. Fiscal measures include shifts in the level of taxation adapted to

phases of the business cycle, overall government expenditures which can be increased or decreased in response to changes in the level of overall demand, and specific spending programs -- such as public works -- intended to provide jobs for unemployed workers during economic downturns. While these are not specific manpower measures, they have a major manpower impact and thus deserve attention.

Until the late 1950's, most economists and policy makers believed that effective programs to sustain high levels of employment were sufficient to deal with manpower needs except for those mentioned earlier which focus on meeting specific skill needs. The need for further measures only began to appear important when the economy encountered the phenomenon of persistent and worsening high unemployment among certain groups in the labor force during periods of overall prosperity. Analysis revealed that some workers were "disadvantaged," experienced unemployment and underemployment to a disproportionate degree, and were unable to utilize the labor market to find and keep jobs. These include young people, blacks, Puerto Ricans, Spanish-speaking workers of Mexican origin (Chicanos), women, and others. Beginning in 1964, special programs were developed for what President Johnson called a "war on poverty," focussing attention on the disadvantaged. The urban riots which began in Watts, Los Angeles in 1965 and spread later to Newark, Detroit, and other cities, added urgency to the search for remedies for unemployment and underemployment with special focus on the large cities.

The 1962 manpower legislation had been designed to meet the needs of older unemployed workers, victims of what was termed "structural" unemployment caused by changes in technology, shifts in the location of plants, reduced employment in older industries such as mining and textiles, and similar factors. But the need to meet the problems of the disadvantaged and to effectuate the "war on poverty" shifted the focus of the act, so that the bulk of activities under that law and its amendments since 1962 have been conducted in urban labor markets, and have identified the "disadvantaged" as the primary group to serve. In the 1963-1971 period, \$6.8 billion were expended on federally funded work and training programs.

5.2 Urban Manpower Problems of the 1960's: Three factors can be identified which played major roles in producing the urban manpower problems which have been the focus of recent programs and policy efforts.

.. The changing population and labor force of cities.

In 1910, 73 percent of the black population lived outside of cities; in 1967, 69 percent lived in or close to cities. In 1910, 91 percent lived in the south; now 45 percent live in the north and west. American cities have experienced a massive in-migration of blacks, Puerto Ricans and other minority groups, coincident with the steady shift of middle-class whites from city to suburb. Both the population and the urban labor force have changed as a result. Minority members now occupy substantial -- and in some cases the majority -- shares of the lower occupational rungs in most urban labor markets. This flow of populations was largely unnoted, with the result that little was done to anticipate and plan for the consequences which would flow from this change. Whether schooled in the south or in urban schools of the north, large numbers of these workers were badly educated, ill-equipped, or totally unprepared to compete for any but the lowest jobs on the occupational scale.

.. The changing urban economy. During the same period, for reasons largely unrelated to these population shifts, the number and character of jobs in cities was changing. Older cities in particular, which once housed the bulk of manufacturing activity, began to lose industrial jobs to outlying and rural areas. Better transportation made it easier and cheaper to reach urban markets from a greater distance. Power was available everywhere. Most important, new plants needed space to house more efficient plant layout, new machinery and new processes. Scarcity of prime urban land caused cities to become relatively uneconomical places for these decentralized and space-consuming industrial operations. Even cities like Chicago and Detroit, once famous as the centers for whole industries, were losing industrial jobs.

At the same time the distribution of employment for the economy was shifting in the direction of white collar employment in business, services and government - jobs located largely

in the central city. Since 1955, a majority of the labor force has been white-collar. Many of these jobs required higher levels of formal education and education-related skills than did industry, yet the urban labor force was composed of black and other migrants unable to qualify for these jobs. The result was a mismatch in many cities, with scarcities at upper level jobs coexisting with surpluses of unskilled and semi-skilled workers unable to find adequate employment and earnings opportunities, and unable to take jobs in industry which were too far away.

- .. Rising stress on educational credentials. The shift in the urban job mix, outlined above, led in part to the increasing stress placed by employers on educational achievement as a criterion of employability. At the same time, the overall level of education in the labor force rose steadily with the expansion of the educational system and the increase in school-leaving age, so that since 1959 the median level of education completed by workers had exceeded 12 years, the equivalent of completing high school. This has meant that in competing for available jobs at all levels, growing numbers of workers have been able to offer a high school diploma or better as a qualification. In response, employers have increased their own educational requirements in order to have the advantage of selecting from among those most qualified. This stress on the educational credential has made it more difficult for those without credentials to compete. In addition, they have been forced farther down the occupational ladder than in the past, when education was less widely available and school-leaving occurred at an early age for more of the labor force than is now the case. Workers with more education expect and may demand recognition in the form of access to better paying and more prestigious jobs.

- 5.3 U.S. Approaches to Manpower Problems of the 60's:
 Manpower policies have historically aimed at achieving the following basic objectives: (a) to anticipate and limit or reduce shortages of specific skills and technical competence; (b) to retain those whose skills or occupations have been made obsolete or redundant by shifts in the patterns of employment; and (c) to reduce unemployment and underemployment among the least skilled and least educated, through educational training programs.

In the 1960's, the last of these objectives dominated. Manpower programs developed during this period used four approaches:

- .. On-the-job training to equip disadvantaged young people to compete successfully for entry-level jobs in both industrial and white-collar employment;
- .. Education programs to enable young people to qualify for an equivalent to the high school diploma by passing examinations given by state educational authorities;
- .. Special programs combining pre-employment training, preparation for high school equivalency, and on-the-job training, for the "hard-core" unemployed, the most disadvantaged and least able to compete in the labor market;
- .. Limited special programs to create jobs linked to promotional paths in public services or subsidized private services, such as social services, schools, health, hospitals, mental health and similar "human services."

Weaknesses of These Programs: The focus of these programs has been on the disadvantaged groups themselves, and the purpose has been to help them get and hold jobs in the labor market more effectively than in the past. This focus has produced imbalance in manpower program planning, and has emphasized short-run goals at the sacrifice of more effective long-run planning and execution. Problems can be seen in examining these programs from this perspective.

- .. Lack of Integrated Planning: Manpower programs have been designed and carried out in relative isolation from other aspects of economic planning and policy-making. For the historical reasons cited earlier, overall economic planning deals primarily with problems of stabilization with the focus on the relationship between inflation and the overall level of unemployment. Indeed, the consumer price index and the rate of unemployment are the two most closely watched economic indices of all.

The U.S. still has not integrated manpower planning into overall economic planning.

- .. Supply-side Emphasis: Most major manpower programs have focussed on the supply-side of the labor market rather than on the demand side. That is, they have sought to reduce unemployment or underemployment by increasing what economists call human capital; they attempted through education and training, to improve the ability of workers or would-be workers to meet standards of employability and thus their ability to compete in the labor market for available jobs. These programs, with certain short-run exceptions, did not seek either to increase the total supply of jobs, or to alter the selecting and hiring processes which employers use to allocate job opportunities in the labor market.

- .. Short-run Focus: The programs of the 1960's sought to reduce unemployment among specific urban groups on almost an emergency basis, in order to reduce the likelihood of further urban unrest and to meet political goals of elected officials. Thus, temporary reduction in unemployment, or increases in job placement rates, were interpreted as program successes, with little attention being paid to the prospects or continued employment over the long run, or to the ability of those newly trained and placed to sustain employment when economic change would lead to changes in the level of demand for labor.

- .. National Programs Not Balanced Within Local Needs: In the early 60's, the guidelines and standards for manpower programs were established by the federal government with the emphasis placed on broad categories of people, i.e., youth, minorities, aged, poor, etc., and organizing states and localities to conform to these nationally stated goals and procedures. While the federal government planned and financed these programs, it relied on local agencies to implement them. It became clear in the late 60's that it was difficult for the federal government to acquire accurate, comprehensive feedback of program operations in order to determine whether manpower funds were being used to meet stated program objectives. It also became clear that many cities and towns had difficulty in adapting these programs to their own needs, and in creating a unified and balanced manpower program from these separate components which were often separately administered from Washington.

.. Reliance on Labor Market Mechanisms: Generally, it has been assumed that the best manpower policies are those which maximize freedom of choice on both sides of the labor market. Except in times of war, government policy is not to directly influence workers as to career choice or work location. In some exceptional situations, indirect influence, such as taxation may be expected. In principle, workers always have free choice of where they wish to work and at what jobs. The bulk of the expenses incurred in changing jobs rests on the worker. No public funds are provided to assist workers in changing job location, and only small amounts are made available to workers affected by shifts in the demand for skills or professions. Despite the fact that most federal manpower funds are reserved for retraining and skill development, the large numbers of workers who left agriculture for urban-based employment between 1950 and 1970 received relatively little assistance. Experimental programs indicate that mobility assistance programs are feasible and worthwhile.* However, no such programs have been initiated in this country.

5.4 Efforts to Overcome These Weaknesses: New manpower legislation adopted in 1973 attempts to remedy some of these defects. While it has not been in effect long enough to provide any lessons, some of the intentions embodied in the new law are worth noting.

.. Reduction in Categorical Programs: Cities will no longer be required to adapt specific manpower programs to their own needs even if such programs are inappropriate. Instead, they will receive funds based on measurements of comparative need, such as the rate and duration of unemployment, disadvantaged and low-income families as a proportion of the population, and prior level of funding for manpower programs. They will then be required to prepare and submit an overall plan for utilizing these funds to help solve their own manpower needs. Some funds are reserved to meet national needs, and provide additional funds to those cities who establish a superior record of planning and performance.

* Hansen, Moving to Work (Washington: U.S. Department of Labor, Employment Service, 1968), pp. 406-416.

- .. Stress on Demand-side Barriers: The new law calls for specific attention to artificial barriers to employment -- such as unjustified educational requirements, testing which is not related to job requirements, etc. It provides funds to help unemployed or underemployed workers to find new careers and to improve their career advancement. The legislation pays specific attention to civil service requirements and practices which may affect access to employment or to advancement.
- .. Broader Coverage: While retaining the stress on the disadvantaged, the law provides for assistance to middle-aged and older workers, as well as to young people.
- .. Direct Provision of Jobs: For the first time, manpower legislation includes funds to create jobs to provide needed public services in those places where substantial unemployment undermines the operation of labor markets and makes it difficult or impossible for those enrolled in manpower programs to find or keep jobs. In the past, such programs were separately enacted on an emergency basis; now they are integral parts of the national manpower mandate.

While these goals represent improvement in design and balance over previous manpower programs, there are some potential problems which may emerge in the future.

- .. Local governments may not be equipped to plan and administer manpower programs without federal guidelines and assistance;
- .. Those most in need of help may be bypassed or slighted in cities where they lack effective spokesmen or political representation;
- .. Cities and localities will not always be equipped properly to evaluate and assess the achievements and failures of their manpower efforts, and this in turn will limit the knowledge which is necessary for national manpower planning and policy-making.

5.5 Role of Non-Federal Institutions

Unions: Private institutions play a significant role in some areas of manpower policy. Collective-bargaining agreements, for example, often deal with aspects of manpower which are, in other countries, the exclusive responsibility of the State. An example is the system of apprenticeship -- the primary method of replacing and expanding the number of skilled workers in the construction, metal-working and printing trades. Apprenticeship programs receive federal support and are subject to federal guidelines and controls -- primarily to determine their financial practicability -- but, in all other aspects, are controlled by the parties themselves. Collective-bargaining agreements, other than the apprenticeship system, frequently provide for the training of workers, but most employers train their own foremen and supervisors, often recruiting from the ranks of the non-supervisory work force. In addition to training, collective-bargaining contracts may include provisions for the transfer of workers to new work locations in the event a plant closes or reduces operations, and employers may pay some or all expenses incurred. When workers lose their jobs, collective-bargaining usually provides for severance pay and, in some cases, aid in locating new jobs. In addition to collective-bargaining agreements, many contract provisions regulate the layoff of workers, provide for pensions and supplementary unemployment payments, and so forth.

Provisions such as these create a subsystem of manpower policies, for some organized workers, with wider and somewhat richer benefits than those provided by public policies to the country's work force as a whole. In the same way, when collective-bargaining allows certain unions to deny or limit access to members of specific groups, to the ranks of skilled workers or apprentices, the responsibility of providing these workers with training and employment opportunities shifts to public agencies.

Educational Institutions: Traditionally, most higher and technical education was provided by private institutions, which were free to design their own admissions policies and curriculum. Publicly-operated educational institutions provided opportunities for those who could not qualify or afford private education.

Public institutions were less-adequately funded and offered more strictly-vocational programs. Graduates generally filled lower-level positions, such as technicians or managers, while the bulk of upper-managerial and professional positions was filled by graduates of private institutions.

In recent years, however, public support of higher, professional and technical education has increased. Enrollment in post-secondary institutions has increased dramatically, and the gap between the two has been reduced. As a consequence, public policy is now able to affect and influence the directions taken by private institutions, thus reducing the qualitative differences between the two and expanding access to quality education for groups hitherto excluded or limited. Of particular importance are the growing number of two-year colleges, which now represent the majority of total enrollments (although not of total graduates) above the secondary-school level. The bulk of two-year enrollees comes from working-class or ethnic-minority groups and trains for lower-level technical and managerial positions.

On the other hand, public support of post-graduate education has increased the number of, and broadened access to, upper-level professional careers. Much remains to be done to equate the country's educational system with the manpower planning and projecting process, but more methods for accomplishing this end are now available as a result of the public authority's assumption of increasing portions of the total cost of post-secondary education.

At the primary and secondary level, however, serious problems remain. Many are the results of a highly-decentralized system in which tax funds, raised at the state or federal level, are controlled by local officials with little effective control by central authorities. In most major cities those most in need of education (in order to prepare them for careers) are those least able to influence the decisions of local authorities. The result has been a distribution of educational resources along class and racial lines, perpetuating the traditional patterns of unequal access to quality education at both secondary and post-secondary levels.*

* This was first documented by Sexton in 1961 in Class and Education. See also Colin Greer, The Great School Legend, Basic Books, 1972.

Business: Until 1968, all public manpower programs were funded and administered by the government. Then, in 1968, following a one-year test of the ability of the business sector to provide jobs for the young unemployed in the central city, the federal government initiated the Job Opportunities in the Business Sector (JOBS) program. Under the JOBS program, training costs are fully-reimbursed to the private sector by the federal government.

In 1971-1972, this program cost the government 118 million dollars. Sixty-thousand trainees were enrolled. Private employers, operating through the National Alliance of Businessmen (NAB), were given direct responsibility for finding job openings, recruiting, training and placing the disadvantaged and providing needed supportive services to trainees. During its early phases, the program seemingly made an important contribution in the effort to improve employment prospects for the disadvantaged. However, the increase in unemployment, which began in 1969, slowed progress considerably. Like many other manpower programs, JOBS could only function effectively in a climate of economic growth and expanding job opportunities. Without these prerequisites, such programs tend to give certain unemployed persons a comparative advantage over others, with little or no net gain in employment or income for the target population they are designed to aid.

State and Local Governments: Even when cities seek to improve education and job opportunities for the disadvantaged they are often frustrated by their inability to take decisive action. Cities and towns hold only the powers ceded to them by the states; historically, the balance of power in state government has been held by non-urban groups distrustful of cities, and reluctant to accept programs which would tax non-city residents for the benefit of those living in the cities.

States and cities now employ 13 percent of all government employees in the United States. The bulk is covered by civil service processes and standards. These have been little affected by the movement toward greater equality of access for the disadvantaged; they still place primary stress on educational qualifications and test facility. Cities which seek to modernize and improve their civil service procedures still depend on the permission of the state; so far, little has been accomplished to change civil service practices.

5.6 Special Manpower Programs

Upgrading for "Career Development:" In every advanced society, and many that are less developed, a number of occupations make up the overall occupational structure. These can be categorized by variety -- in terms of skills and knowledge -- as well as hierarchy. This interrelationship is reflected by the wide range of wages and salaries, from subsistence or below, to affluence.

A relatively new, but promising, aspect of manpower policy aims at providing a transition between levels in the occupational structure, enabling workers to improve skills and earnings during their working years. Such improvement can be achieved in one of two ways: Employees can move upward within a single organization or advance by changing jobs and employers. The latter system is called the "internal labor market," meaning the matching of employers and potential employees.

The "internal labor market" approach offers unique advantages to employees with low skills and high vulnerability to the risks normally involved in changing jobs. These risks are crucial considerations to workers with family and financial obligations, and to those who, for some other reason, are unwilling or unable to leave a job, however low its status or wage rate and however dull its content. For employers (public as well as private), an upgrading approach provides the opportunity to meet future manpower needs by selecting from currently-employed, rather than unknown workers. The overall costs of the upgrading approach are often lower, and the returns higher, than the costs of recruiting and training new employees to fill middle or upper-level posts. In order to carry out upgrading policies, an enterprise must be large enough, and its functions varied enough, to provide a vertical range of jobs, though it is possible to join smaller enterprises in order to create a common labor pool for upgrading purposes. In such cases, various internal changes can be made to create upgrading opportunities for employees. This type of program can best be described as a "career-development system."

Paraprofessionals: One school of thought, called a "decredentialling" view of jobs and education, has been most effective in efforts to implement the upgrading system.* Experimental programs have demonstrated that non-credentialed workers can be trained and equipped to carry out tasks which traditionally have required formal and/or professional education. In the civilian sector, these experiments have been confined to the "human services" areas of health, mental health, education, social welfare, and so forth, but the American military has developed programs designed to train workers to perform complex jobs in many fields, mechanical, technical, and even medical. While their impact on manpower programs has so far been minimal, these experiments provide a basis for further inquiry.

The decredentialling approach is particularly applicable to the developing countries, where the relationship between the educational system and the economy is still in the process of being shaped.

New Careers in Human Services: One variant of the decredentialling approach is called "New Careers." Its focus has been the human-services field, where so-called paraprofessionals, or new professionals are trained to perform and assist in areas previously relegated to those with formal professional training. New Careers stresses upward mobility and career ladders and addresses two problems: (1) a dearth of good jobs in cities for those without educational credentials (particularly in human-service areas traditionally dominated by those with professional credentials), and (2) inadequate and unresponsive services provided to inner-city communities, partly as a consequence of inadequate trained manpower.

To those who initiated the New Careers concept, it seemed feasible to attempt to solve problems at the same time. If, as some experiments (carried out in the early 1960's) indicated, it was possible to recruit and train residents of local communities, who lacked educational credentials, to provide services within their own communities, employment opportunities could be expanded and service needs met at the same time, particularly in the inner-city areas where there were the largest number of urban unemployed or underemployed and the most inadequate services.

* The principal spokesmen of this school are Miller, "The Credential Trap," in Miller and Reissman, Social Class and Social Policy (Basic Books, 1968), pp. 69-77; and Ivar Berg, Education and Jobs -- The Great Training Robbery (Praeger, 1970).

Thus, New Careers was not simply a manpower program, although it did have important manpower implications. New Careers programs were federally-supported as part of anti-poverty legislation adopted in 1964. While the enrollment in these programs was never large (111,000 overall out of a total of more than 7.7 million enrolled in all manpower programs in the period between 1963-1972), the results achieved were often impressive validations of the basic concept.

These programs were often expensive to implement because each single element of a New Careers program requires a great deal of time and effort to effect. The basic program elements of New Careers include:

- .. Introduction and integration of non-credentialed indigenous workers into a school system, health facility, court, social service agency, prison, psychiatric clinic, or other human-service agency.
- .. Development of career ladders, or networks, which provide upward mobility without requiring workers to retrace each step of the professional education and training normally required.
- .. Adaptation of educational institutions to provide usable education, plus recognized credentials, for paraprofessional workers.

Although difficult to achieve, these goals have proven both attainable and worthwhile in selected instances. However, manpower agencies are not equipped to deal with those aspects of the program which do not relate directly to recruiting and placement, and, while service agencies lack expertise in precisely those two functions, they may be well-equipped to deal with the career-ladder and educational aspects of the program. Because the New Careers program was developed during a period when problems of employment dominated public-policy discussion, they were treated primarily as manpower programs. Consequently, effective recruitment and placement records left much to be desired in the areas of retention, career development, education and training. These obstacles proved surmountable, however. Paraprofessionals from several mental-health agencies participated in a large-scale program in New York City in 1970-72 and the concept of New Careers became firmly established as the preferred approach of the City agency responsible for allocating the majority of funds for mental health and mental retardation programs.

Similar projects have been undertaken by the New York City schools and hospitals. As a result of their success, they have been integrated into the city's manpower and service policies, with relation to criteria for college enrollment and credit, civil service standards for entry and promotion and budgeted personnel lines.

5.7 Job Creation

The Emergency Employment Act: Manpower measures are most effective when dealt with in conjunction with other aspects of economic planning. Economic policy must, in turn, be cognizant of the need to stabilize employment levels in relation to the business cycle and other economic factors, such as shifts in geographic location or structure of employment. U.S. manpower measures have traditionally ignored provisions for job-creation as a method of offsetting unemployment and stagnation of employment levels.

In 1971, the Emergency Employment Act was enacted. It authorized \$2.25 billion over a two-year period with \$1 billion appropriated in the first year to create jobs in state and local government. In 1972-73, 226,000 persons were placed in such jobs or in allied training programs. During its first years of operation, the Public Employment Program, better known as PEP, indicated mixed results. Both the act and the program had been implemented in a remarkably short time. All available funds were committed within six months, and individual state and local governments were given broad discretion as to methods for carrying out the program. This program demonstrated a rare degree of federal-state-local cooperation.

But two important program goals -- civil service reform and the upgrading of disadvantaged workers -- were not achieved. Even at this early date, however, it would appear that both the congressional and executive branches of the government now recognize the need for direct job creation as a necessary manpower measure during periods of relatively high unemployment. Without inclusion of this crucial function, other manpower measures cannot be expected to yield effective results.

Equal Opportunity Laws: Beginning with the Civil Rights Act of 1964, federal and judicial legislation has applied pressure on employers and employment practices, both public and private, to equalize employment opportunities available to racial and ethnic

minorities and more recently, women. Employment and manpower practices in cities, where most racial and ethnic minorities live and work, are beginning to reflect the impact of such measures. Initially, the options available to official bodies responsible for enforcing these measures were limited to persuasion and conciliation. However, recent legislation has empowered the Equal Employment Opportunities Commission (EEOC) to levy fines and enforce mandates through court orders directed at those who ignore these measures. Of late, fines have become substantial enough to convince employers to incorporate these measures in order to integrate employment patterns and open access to groups and individuals who were, until now, excluded.

These powers have been reinforced by court decisions which make it illegal for employers to establish examinations or educational prerequisites that are not directly related to the content of the specific job. Such validation has so far proven difficult to define, except in some of the professions such as medicine or law. Such a measure should substantially alter recruitment and promotional practices in both the public and private sectors.

5.8 Lessons to be Learned from U.S. Experience

The Need to Plan Ahead: It is obvious, then, that even complex manpower approaches can be applied effectively, providing they receive adequate political support and funding and their administration is undertaken by competent professionals. Too often programs are too hastily introduced and implemented. Public authorities are slow to recognize the need for careful development and improvement based on experience.

In response to urgent calls for action (particularly following the urban riots which began in Watts in 1965), city, state and federal authorities allocated considerable funds to manpower programs without first examining them to determine whether they were adequately designed to meet specific needs and yield desired results. These programs were hardly under way when pressure was brought to bear on their administrators demanding evidence of success. In order to comply, administrators selected, from the target population, those with the best prospects of success and neglected to account for dropout or failure rates. Job placements were not followed up in order to determine how many employees hired remained at their jobs. The contents of training

programs did not always meet labor-market needs or utilize methods well-adapted to the needs of the trainees.

American manpower analysts must look backward in an effort to understand and learn from this experience and apply their findings to future projects.

The Limits of Market Processes: The results of a decade of experience in manpower planning suggests that if market processes alone are permitted to determine major trends of urban economic life, the problems which result may well be insoluble by remedial manpower measures.

The expenditure of several billions of dollars on manpower programs during the years since 1962 has not appreciably improved the employment opportunities or earning prospects of the disadvantaged in urban areas for whom these programs were designed. Future manpower measures will cost less and yield more if they are: (1) preventive or anticipatory rather than remedial, and (2) dealt with in conjunction with other dimensions of economic and urban planning.

PLANNING, GOVERNANCE AND GROWTH POLICY

PLANNING, GOVERNANCE AND GROWTH POLICY

6.0 PLANNING, GOVERNANCE AND GROWTH POLICY

6.1 Comprehensive Planning:

Background: In 1920, Fredrick Law Olmstead defined City Planning as being "concerned with the territory occupied or to be occupied by any community and with prospective physical alterations in that territory and the objects upon it, in so far as such alterations can wisely be controlled or influenced by concerted action in the interest of the community as a social unit."

Another definition is that City Planning is simply the exercise of such foresight as will promote the orderly and sightly development of a city and its environs along rational lines with due regard for health, amenity and convenience and for its commercial and industrial advancement.

Today, within the United States, there is an outstanding question among the planning profession as to what planning actually is, both in process and function. The complexity of urban dynamics, the gaps that exist in the law, and a lack of public awareness have all added to the difficulty in coming up with a precise definition that will satisfy planners, politicians, lawyers, developers, citizens and the like. The term Comprehensive Planning is becoming more widely used, perhaps in an attempt to focus on the full range of activities that must be dealt with, and at different levels of government, to effect a larger degree of rationality and environmental control.

Colonial Efforts: Early settlements within Colonial America such as Philadelphia, Pennsylvania (1682); Williamsburg, Virginia (1699); Savannah, Georgia (1733) and Annapolis, Maryland (1718), were planned following the principles of English town planning and reflected the grid pattern. To some extent, Annapolis, the small state capitol of Maryland, departed from these principles with its large traffic circles which later appeared in the plan for Washington, D.C. (1791), which was based more on the ideas of the French. Many of the early initiatives, such as those of Savannah, were successful in that the plans sustained the cities for over a hundred years. During the 19th century, the colonial planning

efforts were constrained by an anti-urban political theory; economic competition among cities; the decline of municipal government; and the rise of land speculation. Interestingly enough, these four factors, which led to the demise of the colonial planning efforts, are still operative in American urban policy-making.

Post-Colonial Efforts: Except where the topography worked against it, and in a few isolated cases such as Boston, Massachusetts; lower New York city; and Detroit, Michigan, the development of American cities followed a grid pattern with large open spaces or mall areas near the center. This pattern can be observed throughout the United States in such cities as New Orleans, Louisiana; Chicago, Illinois; Minneapolis, Minnesota; Tacoma, Washington; Salt Lake City, Utah; Tulsa, Oklahoma and Fort Worth, Texas. Most of these cities were planned during the 19th century and today have become disfigured by freeways, slums, shopping centers and the like.

20th Century Efforts: During the early part of the 20th century, decision-making affecting land use was being taken more seriously and in some instances was relegated to commissions made up primarily of the well-to-do and influential citizens. City Planning Commissions were established in Hartford, Connecticut (1907); Milwaukee, Wisconsin (1908); and Chicago, Illinois (1909). In 1913, the Massachusetts Legislature made it mandatory for all cities with a population of over 10,000 to have plans. In 1916, zoning was effected in New York City. In 1926, zoning was upheld in the Supreme Court of the United States (*Euclid vs. Ambler* 272 US 365).

Federal Support: In 1954, under the Housing Act, the federal government began to provide financial assistance for comprehensive planning to states, metropolitan-wide agencies, and to cities below 50,000 population. This assistance was provided "in order to assist state and local governments in solving planning problems, including those resulting from the increasing concentration of population in metropolitan and other urban areas and the out-migration from and lack of coordinated development of resources and services in rural areas; to facilitate comprehensive planning for urban and rural development, including coordinated transportation systems on a continuing basis by such governments; and to encourage such governments to establish and improve planning staffs

and techniques on an area-wide basis, and to engage private consultants where their professional services are deemed appropriate by the assisted governments," etc. During the period 1954 to 1973, over \$300 million was provided in the form of matching grants to eligible recipients. This assistance gave rise to the organization of Councils of Government throughout the United States. "Between 1968 and 1969, the National Service to Regional Councils reported that COG's grew from 100 to 175 in number. By 1971 there were over 300 COG's." In contrasting the planning systems in England and the United States, Urbanologist Carlos C. Campbell stated before the Housing Subcommittee of the United States Congress: "New Towns (in England) were part of a comprehensive planning system, of which the process of planning normally involves the following elements: roads and utilities; sanitation, health, education, day-care services; transportation; and commercial, industrial, residential and recreational land use. Development control is normally effected through zoning, a somewhat restrictive two-dimensional device for regulating land use; building codes; housing codes; and subdivision controls."

Relevance for Developing Countries: It is probably most instructive to the lesser developed countries to conclude that Comprehensive Planning in the United States has resulted in too little, too late; that we have not been able to effect time-sensitive land use controls within the framework of our "free enterprise" economic system; and that we have not been able to effectively integrate the development fabric within metropolitan areas to include the growth that has been realized in the last three decades in an orderly manner. A good example of this is the Washington, D.C., area. Within this area, there are micro-cities like Rosslyn, Crystal City, and Skyline Center ... all in Virginia; regional shopping centers dispersed around the circumferential beltway ... Tysons Corner, Landmark, Montgomery Mall, Landover and Springfield Mall; and then there are the New Towns of Reston, Virginia; Columbia, Maryland, and St. Charles, Maryland. These areas of development are not linked with the development of the rapid rail system which is under construction. In contrast to the Washington area, is the development in metropolitan Stockholm, Sweden.

Within the Stockholm area, the regional shopping centers are the principal focus of the centers of the New Towns, which are in turn linked to the Stockholm central business district by a rapid rail system. Through sound planning on regional, metropolitan, and

had moved into these slums and then moved on, frequently leaving their poorest members behind. Crime rates were high, the poor abounded, schools were old, parks were few. The cycle continued and many felt that only major surgery (slum clearance) could solve the problem.

To assume that urban renewal actually would help the poor, Congress wrote in two safeguards: (1) the requirement that a project area must be "predominantly residential either when acquired or after it was redeveloped," and (2) "that there are or are being provided, in the project area or in other areas not less desirable, decent, safe, and sanitary dwellings equal in number to the number of displaced families."

There were two main problems: the lack of incentive to private investors and developers and the problems attendant to the relocation of displaced families. The former could not easily afford to pay for the land, the building to be demolished, and the new building and the improved site. Also, since they did not have the right of eminent domain, it was difficult for private citizens to assemble a sufficient quantity of land if they had to go on a voluntary sale basis. In spite of the efforts to encourage private enterprise, the federal government ended up paying the lion's share of the redevelopment costs. The housing goals of 1949 (810,000 units) were supposed to have provided housing for the displaced families.

During the 1950's, emphasis was shifted from demolition to rehabilitation due to many factors, not the least of which were problems with relocation and public antipathy for bulldozers. The administration's lack of enthusiasm for public housing and slum clearance in general was contagious. And the profit motive in private industry was still the strongest. Therefore, the thrust of urban renewal continued to be toward high-income residences and for commercial endeavors.

Accomplishments: Admittedly, there have been many successes from this approach. The urban renewal program has retained popular appeal and today, every state in the country has one or more projects. Commercial business and administrative groups have built offices within the central cities once more, strengthening the tax base of the city and increasing land values in the urban business area. Urban renewal has attracted the affluent and general civic improvement, and public organizations such as hospitals and university campuses have built more in the city. These projects have improved the physical appearance of many hundreds of American cities.

local levels, the Swedes have effected the rational development of this metropolitan area. If the lesser developed countries examine the misplanning that has occurred in the United States, they can benefit immeasurably by taking steps to develop the necessary institutional mechanisms, establish substantive growth policies, and formulate goals to effect a rational course for development.

- 6.2 Planning and Governance: Implicit in the American urban planning experience of the last 25 years is a question of boundaries, some between public and private efforts, some between levels of government and others between different agencies of the same government. In a sense, each set of American policy-makers has increasingly zeroed in on geographic areas because of the mandate of their program or responsibility. The federal government, states, counties, cities and other governments such as special districts, authorities and public corporations, all have different and sometimes overlapping jurisdictions. So, too, do administrative agencies of all of those above. The channeling of programs to geographic areas, because of the concentration there of people qualifying for the program, came to be seen as a series of independently targeted areas of concentration which increasingly focused public attention on the problem of cities and of specific problems within cities, but did not provide a coordinated tool for attacking these problems. Thus, for example, the Department of Labor's designated Concentrated Employment Centers; the Department of Housing and Urban Development's urban renewal areas, model neighborhoods and public housing projects; and the Office of Economic Opportunity's Community Action Programs.

Community residents dealt with half a dozen federal agencies directly, then many state agencies and another set of city agencies. Or, to look at the same problem from another angle, city officials, hard-pressed financially and anxious to obtain the needed federal money, were required to monitor and participate in an increasing number of administratively separate federal programs. And, as government officials, private groups and the members of these areas seeking federal programs became more knowledgeable about the problems, they recognized that housing and renewal programs, in addition to imposed federal guidelines, were too often dependent on policies of the private sector: e.g., the mortgage policies of the banking industry, hiring practices of business and industry and insurance company's actuarial tables.

118-A

Photo # 1

Urban legend

Urbanologists team up to help solve problems of the cities.
Photo by DSI.

The accumulated literature on the United States' urban experience of the last 25 years describes the multiplicity of governmental institutions, approaches and programs.

This multiplicity increased the problems of coordination. Several efforts were undertaken to streamline this coordination, such as reorganization of agencies and of governments; revenue sharing (channeling money directly to local governments rather than making grants in support of specific programs); bringing private groups and residents of the target area into the planning and administration of programs; and the establishment of regional planning authorities.

Several of the most notable U.S. efforts to orchestrate the complexities of urban planning, development and problem-solving are its urban renewal, model cities, and new towns programs. We have learned a great deal from our experiences with these programs and, although in many ways these experiences are distinctly American, there is still much that other countries can learn by examining U.S. pitfalls and triumphs.

6.3 Urban Renewal

Definition: The definition of urban renewal was expressed in Title I of the Housing Act of 1949:

The "Urban Renewal Fund ... shall be available for advances, loans and grants to local public agencies for urban renewal projects ... In entering into contracts for advances, HUD shall give consideration to the extent to which appropriate local public bodies have undertaken positive programs through the adoption, modernization, administration, and enforcement of housing, zoning, building, and other local laws, codes, and regulations relating to land use and adequate standards of health, sanitation, and safety for building, including the use and occupancy of dwellings, for preventing the spread or recurrence in the community of slums and blighted areas."

Background: Urban renewal attracted public support when first proposed because the deterioration of neighborhoods of the central cities was so obvious. The waves of immigrants and of poorer migrants of the rural areas.

TABLE B-1
 TOTAL TIME ELAPSED. IN COMPLETION OF
 URBAN RENEWAL PROJECTS

TIME TAKEN IN YEARS	NUMBER	PERCENT
0 to 3	27	9.4
3 to 6	71	24.6
6 to 9	85	29.5
9 to 12	64	22.2
12 to 15	31	10.7
Over 15	10	3.5
TOTAL	288	100.0

Source: Commission staff study from HUD statistics.

Weaknesses: Unfortunately, urban renewal takes too long. The tremendous lag between tenant evacuation of old units in the project area and the construction of new units tended to leave a sizeable housing deficit over prolonged periods. The prevalence of this lag-time is illustrated starkly by Table B-1.

But the main weakness is that it has failed to help the poor and the near-poor who make up most of those who have been displaced. Relocation efforts have brought mixed results. Under the 1968 Housing Act, at least half of the new housing on approved renewal sites in the future must be for the low and moderate-income groups, but because of long delays in the process, the effects will not be felt for years. Very few displaced persons are able to return to the renewed areas: not only because they have had to seek other quarters before demolition; but more importantly because the new rent has been too high. They have been priced out of their homes.

6.4 Model Cities

Background: The problem with most programs has been that they have been piecemeal. If social services were implemented, then housing didn't get built. If housing was the primary focus, then too little was being done about schools, garbage collection, street lighting, open space, playing fields, health clinics, neighborhood organizations, police protection and cultural opportunities. It was an either/or approach to problem-solving. Also, too little was done at the state and local levels, especially the latter. The federal government over-involved itself, creating a dependent situation between itself and the municipalities. The overlapping of jurisdictions (the result of rapid growth) was also an obstacle to effective city-initiated action.

Program Elements: The Model Cities program was defined by Congress as a demonstration in the Demonstration Cities and Metropolitan Development Act of 1966. The act called for the cities, all cities, to:

- ..rebuild or revitalize large slum and blighted areas
- ..reduce dependence on welfare payments
- ..expand housing, jobs and income opportunities

- .. improve education facilities and programs
- .. combat disease and ill health
- .. reduce the incidence of crime and delinquency
- .. enhance recreation and cultural opportunities
- .. establish better access between homes and jobs
- .. improve living conditions for the people who live in such areas
- .. accomplish these objectives through the most effective and economical means possible and to coordinate efforts on all levels to improve the quality of urban life.

Scope: The program was a cooperative one. For federal funding, the cities had to submit plans of "sufficient magnitude to make a substantive impact on the physical and social problems" peculiar to their areas. Under the direction of the Office of the Mayor or another responsible city official, the cities would have to integrate all resources in the area to solve local problems, not only from the state and federal levels, but from the private sector as well. With the help and input of citizens, the cities would then submit a five-year estimate of costs with an outline of the proposed community programs. The incentive for a good plan was money: the federal government would not only pay for 80% of the costs involved in studying problems and setting up proposals, but would also fund up to 80% of the administrative costs once the program got under way. By 1968, HUD had approved 63 cities and was planning to recognize 70 more. By 1973, HUD had approved a total of 148 "Model Cities."

Problems: The crucial problems involved in this plan are the dangers of getting bogged down in the planning stage -- and getting a program under way only to find no funding available. The skepticism which greeted the plan is reflected in this editorial which appeared at the time of the Model Cities Program announcement.

Before the committee can get to work the little people have to get their money, and before that: "We have to think of an idea, take it to the planning committee, then work on it some more, then take it back to the planning committee, get them to approve it, take it to the citizens

board, get them to approve it, take it to the city commission, get them to approve it, send it to the powerful people, get them to approve it, then write a contract, get it approved by the legal staff, the planning committee and the citizens board, take the contract to the city commission and get them to approve it and then send it back to the powerful people to get them to approve it. Then we can start to work."

Accomplishments: The accomplishments, in spite of the headaches, are heartening. Dozens of programs, small and large, have been set up in cities across the nation. The following listing is illustrative:

Hoboken, New Jersey:

A family planning center has been set up.

Rock Hill, South Carolina:

A city-coordinated housing project.

Winooski, Vermont:

An integrated family services center which eliminates duplication of efforts by dealing as teams with multi-problem families.

Minneapolis, Minnesota:

A police community program which has contributed to a 12% drop in crime.

Plainfield, New Jersey:

A training program for the disadvantaged which prepares people for public service careers as truck drivers, sanitation workers, etc.

Atlanta, Georgia:

A pre-school program for minorities and a hot lunch program for all school children.

Nonetheless, there were others who advocated a still more comprehensive approach. As Jim Rouse, builder of Columbia, Maryland, a New Town, has said: "The biggest single thing that could happen in the United States would be to produce one good city. If you produced one good city in America, the chain reaction, the generating force that it would have on this country would be incredible."

6.5 New Towns

Background: The development of comprehensively planned towns to accommodate residential, commercial, industrial and recreational land uses is relatively new in the United States. The federal government did, however, effect a demonstration program in 1936 which resulted in three "Greenbelt" towns (Greenbelt, Maryland; Greendale, Wisconsin; and Greenhills, Ohio). These were residential in character and did not follow the broad criteria for New Town development which exist today. In the Housing Act of 1968, the federal government was authorized to guarantee up to \$50 million for the development of New Towns. This legislation resulted in two New Towns. In 1970, a much more comprehensive and substantive piece of legislation was enacted to effect both the development of New Towns and a National Growth Policy. The Urban Growth and New Community Development Act of 1970 was designed "to promote the general welfare and properly apply the resources of the federal government in strengthening the economic and social health of all areas of the nation and more adequately protect the physical environment and conserve natural resources," etc., and further, to "refine the role of the federal government in revitalizing existing communities and encouraging planned, large-scale urban and new community development." The 1970 legislation has resulted in 13 additional New Towns being approved or guaranteed by the federal government, which brings the total to 15 since 1968. The private sector has clearly led and set the pace in the development of New Towns in the United States.

Federally-Assisted New Towns: The 15 New Towns assisted by the federal government are listed in Table B-2. Of those indicated, twelve are satellite New Towns, located on the fringes of metropolitan areas; two are New-Towns-In-Town, located within large central cities; and one is a rural area New Town, not dependent on any major city for its growth. These New Towns represent a projected population range of 18,000 to 150,000 on sites normally of about 5,000 acres, except for the New-Town-In-Town locations. These sites are usually below 350 acres. A major concern in the New Towns Program is the extent to which the locations are based on a National Growth Policy. To date, the locations have not been part of the Congressionally-mandated growth policy, in that all of the locational decisions represent a first-come, first-served decision-making process.

TABLE B-2
HUD NEW TOWNS

	SMSA	1963-70 Growth	# Acres	Population	Amount of Guarantee	Date
Jonathan, Minnesota	Minneapolis	22.4%	5,000	50,000	\$21	Feb '70
Park Forest South, Illinois	Chicago	12.2%	8,291	110,000	\$30	Jul '70
St. Charles, Maryland	Washington, D.C.	37.8%	7,900	75,000	\$24	Jul '70
Flower Mound, Texas	Dallas	39.0%	6,156	60,000	\$18	Dec '70
Maumell, Arkansas	Little Rock	18.9%	5,319	45,000	\$ 7.5	Dec '70
Cedar Riverside, Minnesota	Minneapolis	22.4%	340	30,000	\$24	Jun '71
Riverton, New York	Rochester	20.5%	2,350	25,600	\$12	Dec '71
San Antonio Ranch, Texas	San Antonio	20.6%	9,318	87,972	\$18	Feb '72

	SMSA	1963-70 Growth	# Acres	Population	Amount of Guarantee	Date
Woodlands, Texas	Houston	40.0%	17,000	150,000	\$50	Apr '72
Granada, New York	Rochester	20.5%	8,705	50,000	\$22	Apr '72
Soul City, North Carolina	--	--	5,180	50,000	\$14	Jun '72
Lysander, New York	Syracuse	12.9%	2,700	18,000	N.A.	Aug '72
Harbison, South Carolina	Columbia	23.8%	1,740	23,000	\$13m	Oct '72
Roosevelt Island	New York City	8.2%	143	17,000	--	Dec '72
Shenandoah, Georgia	Atlanta	36.7%	7,200	70,000	\$40	Feb '73

Another area of concern is the extent to which New Towns will result in providing a range of housing choices for low and moderate-income families. To date there has been only minimal success in this area. In addition to providing the housing, there is an outstanding question as to whether the "poor" ought to be housed in identifiable units or provided with subsidies or individual "allowances" to enjoy market-rate housing. Of the decisions made to date, the states of New York, Texas and Minnesota have reaped most of the results, in that nine of the seventeen New Towns approved are located in these jurisdictions. The locations that probably will produce the greatest social benefits are those that result in serving the central cities, namely the New-Towns-In-Town.

This concept of locating high-density developments in areas where an employment base exists may be of special significance to the lesser developed countries where settlements are already in existence. The principal difference between the New-Town-In-Town and the strictly residential developments are mainly in scale, purpose and level of service. The scale or size tends to be in the area of 300 acres with projected populations in the 20,000 to 30,000 range; the purpose to provide a framework for a community of broad socio-economic range and distinct urban character to unfold; and the service to encompass the required support for recreational, educational, health, and commercial activities.

Privately-Funded New Towns: The first New Town built in the United States after World War II was Reston, Virginia. This development was initiated in 1962 in Fairfax County, Virginia, about 20 miles from the nation's capitol, Washington, D.C. It has a planned population of about 80,000 and covers a site of about 7,400 acres. Reston has provided a challenge to the government of Fairfax County as it deals with growth in one of the nation's fastest-growing counties. Fairfax County grew by about 75% between 1960 and 1970 while the metropolitan area of Washington grew by about 39% in the same period, and the nation grew by about 13%.

About 25 miles north of Washington, D.C., is the New Town of Columbia, Maryland, which was started in 1965. The Columbia site is over 10,000 acres, and the projected population is 110,000 by 1985 or thereabouts. Both Columbia and Reston have present populations of nearly 30,000 and both have effected racial integration. Reston has a black population of about 9% and Columbia has a black population of nearly 17%. Other privately-

funded New Towns are located in Florida, Texas, and California. Within the span of about 150 miles in the Southern California area between Santa Barbara and San Diego, there are eight New Towns representing a projected population of nearly one million people. The largest of these is Irvine, located 40 miles south of Los Angeles. Irvine is on a site of over 70,000 acres and projects a population of 430,000 by the year 2020. This is the largest privately-funded Master-Planned Development in the world. Within the Irvine Complex is an industrial park which is the fastest-growing facility of its kind in the United States, and the campus of a major university.

Relevance for Developing Countries: The development of New Towns in the United States must not be overlooked by the lesser developed countries because they can provide the basis for rational development, as opposed to the strip development and uncontrolled growth that takes place in the absence of effective planning and land use controls. The financial relationships that have developed between the public and private sector must also be examined. The government, under present legislation, guarantees the indebtedness of the developer for the New Town in an amount not to exceed \$50 million. The developer in turn raises money in the private market through the sale of bonds, which in turn is used for the building of infrastructure and acquisition of land. The normal debt-to-equity ratio for developers seeking federal assistance is about 4:1. The usual period for guarantees is 20 years. Perhaps more important than the other elements is the extent to which New Towns can effect positive social interaction between different economic and racial groups. To date, most of the success in this area has occurred in the New Towns of Columbia, Maryland, and Reston, Virginia.

It is also important to consider the use of New Towns as a part of a National Growth Policy. The British and the Swedes have made very good use of New Towns in this regard. No doubt, New Towns will also figure in U.S. National Growth Policies, although efforts to design such a policy in this country are still very new, as explained in the next section.

6.6 Urban Growth Policy

Overview: Although the character of development would suggest otherwise, recognizing the need to develop a National Growth Policy is a very recent occurrence in the United States. In the Housing and Urban Development Act of 1970, the President was required to report to the Congress, on subsequent even-numbered years, on "National Growth." The first biennial report on national growth dealt with understanding the "forces shaping communities;" articulating some of the "challenges that must be confronted;" identifying "recent developments at the state and local level;" identifying major actions of the federal government; and advancing recommendations for federal action to strengthen the "nation's ability to deal with the challenges of growth more effectively."

Metropolitan Area Growth: There were 243 metropolitan areas with populations in excess of 50,000 at the time of the 1970 census, representing a population of 139 million, or 69% of the total U.S. population. These metropolitan areas varied in size from 56,000 to 11.5 million.

Federal Actions: In an effort to strengthen the federal system to deal more effectively with the growth issue, the following actions were reported in 1972, namely, the increased decentralization of decision-making authority; the reduction of red tape and processing time and the consolidation of grants; the establishment of uniform regional boundaries for all federal agencies; and the establishment of the Environmental Protection Agency. While the United States' efforts are relatively new in this area and certainly not as instructive as in England and Sweden, some of the institutional relationships between the federal and state governments might warrant further investigation from the lesser developed countries, particularly as they relate to the establishment of priorities.

Conclusion: Whether considering policy development or planning, U.S. experience has indicated that there is no ideal and fully-specified model. Each government must adapt the basic functions of policy and planning -- determining objectives, identifying alternatives, estimating benefits and costs and measuring performance -- to its own unique needs.

APPENDIX

APPENDIX

Sources of Information

	Page
HOUSING	
Organizations.....	1
Bibliographies.....	3
Periodicals.....	5
Building Codes.....	7
High-Rise Versus Sprawl Housing.....	10
Zoning.....	13
Adequacy of Supply to Demand and Market Structure.....	17
Design and Construction Techniques.....	18
Evolution of Policy.....	20
TRANSPORTATION	
Organizations.....	25
Bibliographies.....	28
Periodicals.....	29
Gasoline Tax, Revenue Bonds; Transportation Funding Technique.....	30
Mass Transportation Subsidies.....	33
Interstate Highway Systems and Extension into Cities.....	35
URBAN FACILITIES AND SERVICES	
Organizations.....	36
Bibliographies.....	37
Periodicals.....	39
Physical Infrastructure: Water, Sewers, Utilities.....	41
Social Services.....	44
Governance and Levels of Government.....	46
Civic Participation.....	53
MANPOWER AND LABOR MOBILITY	
Organizations.....	55
Bibliographies.....	58
Periodicals.....	59
National Growth and Migration.....	60
Labor Mobility and the Evolving National Labor Market....	63
Manpower Resources.....	70
Training and Accessibility to Training.....	72
Under Employment.....	79
MANAGEMENT CAPABILITY AND INSTITUTIONAL DEVELOPMENT	
Organizations.....	80
Bibliographies.....	81
Periodicals.....	82
Credit and Financial Institutions.....	84
Municipal Manpower Needs.....	86
Tax Administration.....	92
Decentralized Programs Management.....	94
Responsiveness to Political and Social Needs.....	96

SOURCES OF INFORMATION ON HOUSING

1. Organizations.

American Institute of Architects
1735 New York Avenue
Washington, D.C. 20006

American Institute of Planners
917 Fifteenth Street, N.W.
Washington, D.C. 20005

American Society of Planning Officials
1313 East 60th Street
Chicago, Illinois 60637

Building Research Advisory Board
2101 Constitution Avenue
Washington, D.C. 20036

Center for Housing and Environmental Studies
Cornell University
Ithaca, New York 14850

Housing Assistance Council
1601 Connecticut Avenue, N.W.
Washington, D.C. 20009

International Council for Building Research,
Studies and Documentation
P.O. Box 299
Rotterdam, Netherlands

International Federation for Housing and Planning
Wassenaarseweg 43
The Hague
Netherlands

National Association for Community Development
1424 Sixteenth Street, N.W.
Washington, D.C. 20036

National Association of Home Builders
1625 L Street, N.W.
Washington, D.C. 20036

National Association of Housing and Redevelopment Officials
2600 Virginia Avenue, N.W.
Washington, D.C. 20037

National Tenants Organization
425 Thirteenth Street, N.W.
Washington, D.C. 20004

National Urban Coalition
2100 M Street, N.W.
Washington, D.C. 20037

National Urban League
1424 Sixteenth Street, N.W.
Washington, D.C. 20006

Nonprofit Housing Center
1717 Massachusetts Avenue, N.W.
Washington, D.C. 20003

Rural Housing Alliance
1346 Connecticut Avenue, N.W.
Washington, D.C. 20036

United States Savings and Loan League
111 E. Wacker Drive
Chicago, Illinois 60601

The Urban Institute
2100 M Street, N.W.
Washington, D.C. 20037

Urban Land Institute
1200 Eighteenth Street, N.W.
Washington, D.C. 20036

2. Bibliographies.

- Bestor, George C. and Holway R. Jones. City planning bibliography: a basic bibliography of sources and trends. New York. American Society of Civil Engineers, 1972. (3d ed.) 518 p.
- Kessler, Mary Z. Industrialized housing. Monticello, Ill., Council of Planning Librarians, July 1970. (Exchange bibliography no. 137) 9 p.
- Listokin, David, and Robert Burchell. Housing rehabilitation: restraints, prospects, policies. Monticello, Ill., Council of Planning Librarians, January 1973. (Exchange bibliography no. 356) 45 p.
- National Association of Housing and Redevelopment Officials. Housing code: bibliography. Washington, D.C., 1972. (NAHRO pubn. no. N556) 39 p.
- Onibokun, Adepoju. Housing need; an annotated bibliography. Monticello, Ill., Council of Planning Librarians, September 1973. (Exchange bibliography no. 454) 42 p.
- Sanoff, Henry. A bibliography and critical review of industrialized housing. Monticello, Ill., Council of Planning Librarians, November 1970. (Exchange bibliography no. 158) 13 p.
- Schiffman, Irving. The politics of land-use planning and zoning: an annotated bibliography. Davis, Institute of Governmental Affairs, University of California, 1970. 62 p.
- Seymour Kroll & Associates. The U.S. housing market bibliography. Chicago, Ill., 1970. 143 p.
- Silzer, Vykki J. Housing problems, government housing policies and housing market response; an annotated bibliography. Monticello, Ill., Council of Planning Librarians, December 1972. (Exchange bibliography no. 344) 34 p.
- Toizer, Alfred. Survey of recent housing studies. Monticello, Ill., Council of Planning Librarians, July 1970. (Exchange bibliography no. 138) 39 p.

U.S. Dept. of Housing and Urban Development Library. Information sources in housing and community development. Washington, U.S. Govt. Print. Off., 1972. 44p.

U.S. Dept. of Housing and Urban Development Library. Operation Breakthrough; mass produced and industrialized housing: a bibliography. Washington, U.S. Govt. Print. Off., 1970 72p.

U.S. Housing and Home Finance Agency. Library. Housing markets, selected references. Washington, U.S. Govt. Print. Off., 1967 40 p.

Wellar, Barry S. and Thomas O. Graf. Introduction and selected bibliography on the quality of housing and its environment. Monticello, Ill., Council of Planning Librarians, March 1972. (Exchange bibliography no. 270) 35 p.

3. Periodicals.

American City. Bittenheim Publishing Corp., Berkshire Common,
Pittsfield, Mass. 01201. monthly.

American Institute of Planners Journal. American Institute of
Planners, 917 Fifteenth Street, N.W., Washington, D.C. 20005.
bi-monthly.

Appraisal Journal. American Institute of Real Estate Appraisers,
115 East Superior Street, Chicago, Ill. 60611. quarterly.

Architectural Forum. Whitney Publications, Inc., 130 East 59th St.,
New York, N.Y. 10022. ten times a year.

Architectural Record. P.O. Box 430, Hightstown, N.J. 08520.
monthly plus mid-May issue.

Community Planning Review. Community Planning Association of Canada,
425 Gloucester Street, Ottawa, 4, Ontario, Canada. quarterly.

Construction Review. U.S. Dept. of Commerce, Govt. Printing Office,
Washington, D.C. 20402. monthly.

House & Home. McGraw-Hill, Inc., 330 West 42d St., New York, N.Y.
10036. monthly.

Housing and Planning References. Library and Information Division,
U.S. Dept. of Housing and Urban Development, Govt. Printing
Office, Washington, D.C. 20402. bi-monthly.

Housing and Planning Review. National Housing and Town Planning
Council, 11 Green Street, London, W1Y 4ES, England. bi-monthly.

Journal of Housing. National Association of Housing and Redevelopment
Officials, The Watergate, 2600 Virginia Avenue, Washington, D.C.
20037. eleven times a year.

Journal of Urban Law. University of Detroit Law Students,
651 East Jefferson, Detroit, Mich. 48226. quarterly.

Land Economics. Journals Department 129, University of Wisconsin
Press, Box 1379, Madison, Wis. 53701. quarterly.

NAHB Journal of Homebuilding. National Association of Home
Builders, 1625 L Street, N.W., Washington, D.C. 20036.
monthly.

Nation's Cities. National League of Cities, 1612 K Street, N.W.,
Washington, D.C. 20006. monthly.

Urban Affairs Quarterly. State Publications, Beverly Hills, Cal.
90212.

Urban Land. Urban Land Institute, 1200 18th Street, N.W.,
Washington, D.C. 20036. monthly.

HOUSING AND BUILDING CODES

American Insurance Association. National building code, New York, 1967. 399 p.

A code prescribing regulations governing the construction, alteration, equipment, use and occupancy, location and maintenance, moving and demolition of buildings and structures. A new edition is planned for 1974.

Grad, Frank P. Legal remedies for housing code violations. Washington, U.S. Govt. Print. Off., 1968 (U.S. National Commission on Urban Problems, Research report no. 14) 264 p.

The subject of this report are the legal aspects of achieving minimum living standards in existing housing. The effectiveness of various tools used to deal with violations of housing codes is examined; traditional criminal penalties, civil penalties, orders to vacate and repair, demolition orders, injunctions, receivership, repair by the local government, rent strikes, tenant unions and landlord-tenant bargaining agreements.

Gribetz, Judah and Frank P. Grad. "Housing code enforcement: sanctions and remedies." Columbia Law Review, vol. 66, no. 2, November 1966, pp. 1254-1290.

Early housing codes were to a great extent concerned with correcting obvious evils. The code problem is now a more difficult matter of correcting an accumulation of relatively minor but nonetheless distressing violations.

International Conference of Building Officials. Uniform building code, 1970. Pasadena, Cal., 1970.

Lieberman, Barnet. Local administration and enforcement of housing codes: a survey of 39 cities. Washington, D.C., National Association of Housing and Redevelopment Officials, 1969. 73 p.

The recommendations for possible action by the federal government is based on 1965-66 data, but still valuable and pertinent.

Manvel, Allen D. Local land and building regulation: how many agencies, what practices, how much personnel. Washington, D.C., U.S. Govt. Print. Off., 1968. (U.S. National Commission on Urban Problems, Research report no. 6) 48 p.

This report is limited to the presentation of statistical data and an explanation of their development and coverage. Data show that building regulation powers are exercised by many thousands of jurisdictions.

National Association of Housing and Redevelopment Officials. Course manual for the orientation workshops on environmental health and related housing code administration. Washington, D.C., 1966. 83 p.

Contents: Historical overview of housing code enforcement; legal aspects of code compliance; common problems in code enforcement and their solution; new federal programs for code enforcement; URA policies and requirements for assistance under Section 117; elements of an effective housing code; organization and administration, planning and developing a city-wide enforcement program; and, new techniques for effective code administration.

New York (State) Division of Housing. Housing codes: the key to housing conservation. New York, 1960. 3 v.

Contents: v. 1: Background of code enforcement; v. 2: Model housing code applicable to one- and two-family dwellings, multiple dwellings, mobile homes and mobile home courts; v. 3: Administrative guide. This work is still one of the most important reference sources for housing codes and enforcement.

Sanderson, Richard L. Codes and code administration: an introduction to building regulations in the United States. Chicago, Building Officials Conference of America, 1969. 241 p.

This book is an overview of codes and code enforcement in the United States and does not provide in depth technical details. It does list accepted engineering practice standards and standards on specific materials or tests of units or assemblies.

Slavet, Joseph and Melvin R. Levin. New approaches to housing code administration. Washington, U.S. Govt. Print. Off., 1969. (U.S. National Commission on Urban Problems, Research report no. 17) 217 p.

The authors recommend new "neighborhood improvement and housing service agencies," which would provide a service operation to assist housing improvement rather than a police operation of code enforcement.

U.S. Advisory Commission on Intergovernmental Relations. Building codes: a program for intergovernmental reform. (A-28) Washington, U.S. Govt. Print. Off., 1966.

This report is a study of intergovernmental problems stemming from the preparation, adoption, and enforcement of building codes. It identifies problems in the relationships between Federal, state and local governments and elements of the building industry.

U.S. Commission on Urban Problems. Housing code standards: three critical studies. Washington, U.S. Govt. Print. Off., 1969; (Research report no. 19) 107 p.

Contents: "The development, objective, and adequacy of current housing code standards," by Eric W. Mood; "Administrative provisions of housing codes" by Barnet Lieberman; and "Inadequacies and inconsistencies in the definition of substandard housing," by Oscar Sutermeister.

U.S. Public Health Service. APHA-PHS recommended housing maintenance and occupancy ordinance. Washington, U.S. Govt. Print. Off.; 1969. 101 p.

The requirements of this model ordinance represent the opinion of housing and health experts as to what constitutes reasonable minimum standards.

HIGH RISE VERSUS SPRAWL HOUSING

Aregger, Hans and Otto Glaus. Highrise building and urban design. New York, Praeger, 1967. 200 p.

History, design and planning of high-rise buildings and their future in the community is discussed.

Brugman, Bruce and Greggar Sletteland. The ultimate high-rise: San Francisco's mad rush toward the sky. San Francisco, San Francisco Bay Guardian Books, 1971. 255 p.

The authors list nine major criticisms directed toward the municipal policy of allowing highrise building developments: cost-revenue loss, actual decline of property tax payments; excessive growth in downtown land values; failure to provide white collar jobs and cause of a decrease in blue collar jobs; increase in the cost of transportation service and displacement of middle income San Franciscans to the suburbs thus damaging the demographic balance of the city.

Burchell, Robert W. Planned unit development; new communities American Style. New Brunswick, N.J., Center for Urban Policy Research, Rutgers University, 1972. 254 p.

What is almost established doctrine for the PUD advocate is the notion that the land use control inherent in PUD is an effective counter to urban sprawl. "In fact, PUD ultimately may accelerate present tendencies toward continual sprawl."

Hoffman, Hubert. Row houses and cluster houses: an international survey. New York, Praeger, 1967. 176 p.

Jensen, Rolf. High density living. New York, Praeger, 1966. 245 p.

The author argues the advantage of high-rise residential construction. Economic and social elements are considered in many examples from many parts of the world.

Katz, Robert D. Design of the housing site - a critique of American practice. Urbana, Ill., Small Homes Council - Building Research Council, University of Illinois, 1966. 223 p.

The study concentrates on the subjects of housing types and residential density, private and communal aspects, site planning regulations and design incentives.

Intensity of development and liability of multifamily housing projects: design qualities of European and American housing projects. Washington, U.S. Govt. Print. Off., 1963. 115 p.

Regional Plan Association, New York. Spread city; projections of development trends and the issues they pose: the tri-state New York metropolitan region, 1960-1985. New York, 1962. 47 p.

Rothblatt, Donald. "Housing and human needs." Town Planning Review, vol. 42, April 1971, pp.130-144.

Impact of large scale, high density housing on low income families in Marlboro houses, a New York City housing authority project and a housing estate in The Hague, Netherlands.

Senn, Charles L. Health implications of space density and noise in the residential environment. A synthesis of position papers prepared for the First Invitational Conference in Health Research in Housing and its Environment. Cincinnati, Ohio, U.S. Public Health Service, 1971. v.p.

So, Frank S. Row houses. Chicago, American Society of Planning Officials, November 1962. (Planning advisory service information report no.164) 26 p.

Older developments where "town houses", "row-houses" or "maison-ettes" are usually found, are currently being re-evaluated. The advantages and disadvantages in relation to zoning, block design and open space are discussed.

Taeuber, Conrad et al. Density: five perspectives.
Washington, D.C. Urban Land Institute, 1972. 63 p.

Papers presented at the third annual Land Use Symposium, New Orleans, 1971. Contents: Density in the urban fringe area (P. Ylvisaker); A density impace zoning model (L. Wolfe); An overview of the problems of density (C. Taeuber); Toward a national growth policy (F. Hyde); Urban densities in the U.S. and Japan (B. Hanke).

ZONING

Babcock, Richard F. The zoning game: municipal practices and policies. Madison, University of Wisconsin Press, 1966. 202 p.

The author analyzes the motives and biases of each of the "players" in the zoning game and then examines the myths of zoning, emphasizing suburban municipal zoning practices.

Bingham, Charlotte. Regulating public uses. Chicago, American Society of Planning Officials, November 1967. (Planning advisory service information report no. 228) 20 p.

Review of current effectiveness of alternative methods for regulating public uses in zoning ordinances.

Charkoudian, Leon. "Massachusetts" anti-snob zoning law." State Government, vol. 45, Spring 1972, pp. 106-109.

Discusses legislation aimed at increasing the supply and improving the regional distribution of low- and moderate-income housing by allowing a limited suspension of existing local regulations which are inconsistent with such housing.

Faraci, Piero. The authority of the zoning administrator. Chicago, American Society of Planning Officials, September 1967. (Planning advisory service information report no. 226) 17 p.

The position of zoning administrator in some cities is the direct consequence of complex zoning regulations.

Feiler, Michael H. "Zoning: a guide to judicial review," Journal of Urban Law, vol. 47, no. 2, 1970, pp.319-343.

Under the American system of property and zoning law there are numerous challenges which find their way to the judiciary. Two major categories of substantive challenges are set forth in this article: claimed invalidity of the zoning ordinance as a whole, and, claimed invalidity of the ordinance insofar as it affects a particular parcel.

Haar, Charles. Land use planning; a casebook on the use, misuse, and re-use of urban land. Boston, Little, Brown, 1959. (Supplement 1966). 790 p.

This is a series of law case studies divided into eight parts covering with great competence land use planning problems.

Makielski, Stanislaw J., Jr. The politics of zoning: the New York experience. New York, Columbia University, University Press, 1966. 241 p.

This study covers the history of comprehensive zoning (to approximately 1960) concentrating on the political processes that develop and influence it.

Mandelker, Daniel R. The zoning dilemma; a legal strategy for urban change. Indianapolis, Bobbs-Merrill, 1971. 196 p.

The author examines the American planning and zoning processes through an in-depth study of apartment zoning in the suburbs of Seattle, Washington.

Marcus, Norman and Marilyn W. Groves (eds). The new zoning; legal, administrative and economic concepts and techniques. New York, Praeger, 1970. 263 p.

The emphasis in this study is on the affirmative uses of innovative zoning concepts and techniques.

New York (City) Urban Design Council. Housing quality: a program for zoning reform. New York, 1973. 90 p.

A new approach to zoning for urban residential construction is proposed: same standards for subsidized as well as for private housing that would transcend the traditional boundaries of the individual zoning lot to recognize the primacy of the neighborhood.

New York (State) Office of Planning Coordination. Local planning and zoning: a manual of powers and procedures for citizens and governmental officials. Albany, 1972.

This handbook is revised annually to reflect changes introduced during the legislative session. It is an excellent reference source for technical guidance for New York State cities and towns.

Raleigh, James C. "What price zoning?" Appraisal Journal
vol. 32, October 1964. pp. 602-604.

The author contends that the two examples used by him in this article prove that zoning has a definite monetary value.

Raymond and May Associates; Zoning controversies in the suburbs: three case studies. Washington, U.S. Govt. Print. Off., 1968. (U.S. National Commission on Urban Problems, Research report no. 11) 82 p.

An attempt to provide a behind-the-zoning-map look at the process by which land-use decisions are made. Cases examined: industrial zoning in a residential suburb; multi-story apartments in a single-family area; cluster development in exurbia.

"Segregation and the suburbs: low income housing, zoning and the Fourteenth amendment." Iowa Law Review, vol. 56, June 1971, pp. 1298-1322.

Theiss, William R. "The validity of zoning designed to control population or destiny." Appraisal Journal, vol. 39, pp. 622-625.

Two recent court cases are discussed involving traditional zoning definitions and the problem of total exclusion of some legitimate use in a particular community.

Toll, Seymour I. Zoned American. New York, Grossman, 1969. 370.

Wolfe, Lenard L. New zoning landmarks in planned unit developments. Washington D.C. The Urban Land Institute, 1968. (Technical bulletin 62) 29 p.

"a description and discussion covering a land-mark decision by the Supreme Court of Pennsylvania on the constitutionality and validity of the planned unit development concept and, of equal importance, the adoption by the State of New Jersey of an enabling statute which specifically authorizes local governments to adopt PUD ordinances."

Metcalfe, Richard et al. Housing market analysis in Latin America. Washington, U.S. Dept. of Housing and Urban Development, Division of International Affairs, D.C., 1965. v.p.

This is a manual of instructions designed and prepared for the Agency for International Development setting forth techniques to estimate housing requirements in terms of the ability of families to afford shelter at various price levels.

Rodwin, Lloyd. Housing and economic progress; a study of the housing experience of Boston's middle-income families. Cambridge, Mass., Massachusetts Institute of Technology Press, 1961. 321 p.

Using data on Boston, new evidence on housing costs, expenditures and standards for middle-income families is presented. The thesis of this book is that most of our problems of housing stem from rising family income coupled with inequities in the mechanism for supplying housing.

Social Science Panel. Freedom of choice in housing: opportunities and constraints. Washington, D.C., National Academy of Sciences, National Academy of Engineering, 1972. 62 p.

Partial contents: Racial mixing in housing at the neighborhood level with special reference to Operation Breakthrough; The metropolitan housing market: a web of discrimination; Socioeconomic mixing in metropolitan areas.

Wheaton, William L. et al. Urban housing. New York, Free Press, 1966.

Discussion of housing and the neighborhood, the housing market, requirements of special groups, the housing industry, financing, standards and controls and renewal.

ADEQUACY OF SUPPLY TO DEMAND AND MARKET STRUCTURE

- Cochran, Clay and George Rucker. "Every American family housing need and non-response." Papers submitted to Subcommittee on Housing Panels, Part II, Committee on Banking and Currency, United States House of Representatives. Washington, U.S. Govt. Print. Off.; 1971, 00. 525-541.
- Coons, Alvin E. and Bert T. Glaze. Housing market analysis and the growth of nonfarm home ownership. Columbus, College of Commerce and Administration; Ohio State University, 1963. 174 p.
- Cooper, James R. Can the 1968-78 National Housing Goals be achieved: an examination of the economic, social, and political forces which affect the efficient production of housing to meet the needs of all Americans. Urbana, Ill., Committee on Housing Research and Development; University of Illinois. 1971. 56 p.
- Grigsby, William. Housing markets and public policy. Philadelphia. University of Pennsylvania Press; 1963. 346 p.
- "This book studies the structure and operation of the housing market with special reference to the problems of maintaining adequate levels of new construction, improving housing standards, and rehewing or eliminating decayed portions of the residential inventory."
- Hartshorn, Truman A. "Inner city residential structure and decline." Annals of the Association of American Geographers, vol. 61, 1971. pp. 72-96.
- "Housing, Part I: Perspectives and problems." Law and Contemporary Problems, vol. 32, no. 2, Spring 1967. (entire issue)
- A collection of papers on the general subject of housing needs in the United States and.
- Kristof, Frank S. Urban housing needs through the 1980's: an analysis and projection. Washington, U.S. Govt. Print. Off., 1968. (U.S. National Commission on Urban Problems report no. 10) 92 p.

DESIGN AND CONSTRUCTION TECHNIQUES IN HOUSING

Cleeve-Barr, A.W. "The advantages and disadvantages of industrialized building." Housing, November 1968, pp. 29-38.

Cornell University. Center for Housing and Environmental Studies. The new building block: a report on the factory-produced dwelling module. Ithaca, N.Y., 1968. (Research report no. 8) 278 p.

Diamant, R.M.E. Industrialized building. London, Liffé Books, 1964. 197 p.

British, French, Scandinavian, Dutch, American and East European systems of heavy prefabrication, light weight prefabrication and new materials are the subject of this book.

"Finally: a low-cost component system for housing that really works." Architectural Record, March 1967, pp. 187-194.

Finger, Harold B. "Operation Breakthrough's approach to building codes, zoning and site design." George Washington Law Review, vol. 39, May 1971, pp. 746-788.

Hinds, George A. Perspectives on housing in a developing community. Chicago, Ill., Center for Urban Studies, University of Illinois, 1968, 173 p.

"A primary concern here is the new prefabricated housing technology and its potential value in communities needing low-cost, mass produced housing."

Pawley, Martin. Architecture versus housing. New York, Praeger, 1971. 128 p.

The emphasis of this book is on government policies and programs for the promotion of mass housing.

Pearl, Augusta. "First Operation Breakthrough project completed: Horizon Village, Kalamazoo, Michigan." Journal of Housing, vol. 29, no. 4, May 1972, pp. 166-168.

Brief report on the first of nine Operation Breakthrough sites to be completed.

Randall, Stanley J. et al. "Systems building: the big breakthrough?" Ontario Housing, vol. 15, no. 2, 1969. Entire issue.

Robinson, Michael J. "Industrialized housing: what is it;.. really - and where is it going?" House and Home, vol. 44, no. 5, November 1973, pp. 64-71.

The author tries to differentiate between real industrialized housing techniques and construction techniques currently called industrialized, in reality modifications of on site assembling of parts that do not produce any real cost savings.

"Thamesmead: at the edge of London a community for 60,000 people is being built of prefabricated parts." Architectural Forum, Vol. 131, July/August, 1969, pp. 53-65.

Trevino, Alberto F. Some insights into systems building." Urban Land, vol. 29, July/August 1970, pp. 3-10.

United Nations Economic and Social Council. Modular coordination in building: Asia, Europe and America. New York, 1966. 67 p.

United Nations. Report of the Seminar on prefabrication of houses for Latin America, Copenhagen, Denmark, 1967. New York, United Nations, 1972. 109 p.

U.S. Congress. Joint Economic Committee. Industrialized housing: material compiled and prepared for the Subcommittee on Urban Affairs of the Joint Economic Committee, Congress of the United States. Washington, U.S. Govt. Print. Off., 1969. 257 p.

U.S. Dept. of Housing and Urban Development. Division of International Affairs. Industrialized building: a comparative analysis of European experience. Washington, U.S. Govt. Print. Off., 1968. 67 p.

EVOLUTION OF POLICY IN HOUSING

Aaron, Henry J. Shelter and subsidies; who benefits from Federal housing policies? Washington, D.C. Brookings, 1972. 238 p.

Butler, Edgar W. et al. Moving behavior and residential choice; a national survey. Washington, D.C., Highway Research Board, National Research Council, 1969. 129 p. (National Cooperative Highway Research Program report 81)

The study is concerned with consumer behavior in the residential development process and focuses on both the mobility of households and on the processes of housing and neighborhood choice. Accessibility to work, and employment opportunities, transportation and travel distance are some of the considerations discussed in this report.

Beckman, N. "Development of national urban growth policy: legislative review 1970." Journal of the American Institute of Planners, vol. 37, no. 3, May 1971, pp. 146-161.

This article tries to bring together a wide variety of legislative action and points out that the cumulative effect of recent law-making in planning, housing, and urban development is starting to form a framework for a loosely coordinated, but nevertheless operational, national urban growth policy.

"Housing, Part II: The Federal role." Law and Contemporary Problems, vol. 32, no. 3, Summer 1967, (entire issue)

A collection of articles on rent supplements, model cities program, HUD, public housing, housing assistance, monetary market and housing policy, brought together under the general subject of government institutions and programs constitute the federal government's response to housing needs.

Macey, John. Publicly provided and assisted housing in the U.S.A.: report on HUD's housing management policies and programs. Washington, D.C., Urban Institute, 1972. 80 p.

O'Block, Robert P. and Robert H. Kuehn, Jr. An economic analysis of the Housing and Urban Development Act of 1968. Boston; Graduate School of Business Administration, Harvard University, 1970. 82 p.-

Taggart, Robert III. Low-income housing: a critique of Federal aid. Baltimore, Johns Hopkins Press, 1970. (Policy studies in employment and welfare no. 8) 146 p.

U.S. Congress, House, Committee on Banking and Currency, Basic laws and authorities on housing and urban development. Washington; Govt. Print. Off.;, 1971 1132 p.

A compendium of Federal laws pertaining to housing periodically revised and reprinted to reflect changes and amendments in legislation.

U.S. Congress, Senate, Committee on Commerce. The inner city environment and the Environmental Protection Agency. Hearings before the Subcommittee on the Environment, February - May 1972, Washington, Govt. Print. Off., 1972. (92nd Cong; 2d sess.) 197 p.

U.S. Council on Environmental Quality. Environmental quality: fourth report of the Council. Washington, U.S. Govt. Print. Off., 1973. 499 p.

While the Council discusses the urban environments in the first chapter of this report in terms of total environment, Chapter three on economics and environmental management discusses the question of pollution incidence and environmental degradation in urban area.

U.S. Library of Congress. Congressional Research Service. The central city problem and urban renewal policy. A study prepared for the Subcommittee on Housing and Urban Affairs, Committee on Banking, Housing and Urban Affairs, United States Senate. Washington, U.S. Govt. Print. Off., 1973 (93rd Cong., 1st sess.) 370 p.

"Until recently the efficacy of our national efforts aimed at the renewal and redevelopment of cities had been largely unmeasured and unevaluated, albeit challenged from time to time; but in the face of mounting criticism of renewal policies, fundamental questions have been raised anew. The purpose of this report is to clarify, with facts and analyses, what those fundamental questions are, in order to assist in policy formulations that will deal with the real, not the supposed, issues."

U.S. National Commission on Urban Problems. Building the American City. Washington, U.S. Govt. Print. Off., 1969. 504 p.

U.S. President. National housing goals. Report and message from the President to the Congress pursuant to the provisions of the Housing and Urban Development Act of 1968. Washington, U.S. Govt. Print. Off., 1969 - (Annual)

U.S. President's Committee on Urban Housing. A decent home; report. Washington, U.S. Govt. Print. Off., 1969. 252 p.

Technical studies. Washington, U.S. Govt. Print. Off., 1968-69. 2v.

Wendt, Paul F. "The determination of National housing policies." Land Economics, vol. 65, no. 3, 1969, pp. 323-333.

Two decision techniques which any developing nation's policy makers can use to evaluate alternative housing programs within the national investment allocation to select the program resulting in the highest rate of return in terms of market price.

Housing policy - the search for solutions. Berkeley, University of California Press, 1963. 203 p.

A comparison of United Kingdom, Sweden, West Germany and the United States since World War II - in terms of government action.

Wingo, L. Jr. Transportation and urban land. Washington, D.C., Resources for the Future, 1961.

Discussion of certain critical considerations to arrive at the amount, distribution, and value of land required for residential uses, namely, the spatial pattern of employment centers, the organization and technology of transportation, marginal valuation of leisure by the worker, and the marginal valuation of residential space by the household.

Lowry, Ira. Housing assistance for low-income urban families: a fresh approach. New York, New York Rand Institute, 1971. 57 p.

"The proposal is designed to respond to what is the critical housing problem of most central cities today: not a shortage of housing units; but too little effective demand to support adequate maintenance of older buildings.

Nevitt, Adela Adam. (ed.) The economic problems of housing; Proceedings of a conference held by the International Economic Association. New York, St. Martin's Press, 1967. 329 p.

The discussions of this conference included both theoretical issues and major practical problems pertaining to housing policy in many countries: Denmark, Great Britain, Czechoslovakia, Africa, Israel; USSR and the U.S.

Ross, William B. "A proposed methodology for comparing Federally assisted housing programs." American Economic Review, Papers and Proceedings, vol. 57, no. 2, May 1967, pp. 91-100.

A comparison of U.S. federally assisted housing programs in terms of distribution of subsidized housing among different population sub-groups.

Samuelson, Don S. "The housing finance agency." State Government, vol. 44, Summer 1971, pp. 134-141.

Examination of the nature, benefit and limitation of the State housing finance agency concept.

United Nations. Report of the Interregional seminar on the financing of housing and urban development, Copenhagen, Denmark, 1970. New York, United Nations, 1972. 94 p.

_____. Dept. of Economic and Social Affairs. Financing of housing and community improvement programmes. New York, United Nations, 1957. 61 p.

Whener, Harrison G. Sections 235 and 236: an economic evaluation of HUD's principal housing subsidy programs. Washington, D.C., American Enterprise Institute for Policy Research, 1973. 46 p.

Welfeld, Irving H. European housing subsidy systems: an American perspective. Washington, U.S. Dept of Housing and Urban Development, Office of International Affairs, 1972. 52 p.

Given the combination of control and subsidies prevalent in Europe following the Second World War, publicly owned and aided housing, by the mid-sixties, became the dominant form of housing in Europe. Forms of production programs and assistance in housing are discussed in reference to Denmark, Sweden, the Netherlands, and the United Kingdom.

SOURCES OF INFORMATION ON TRANSPORTATION

1. a. Non-governmental Organizations.

American Institute of Planners
917 Fifteenth Street, N.W.
Washington, D.C. 20005

American Public Works Association
1313 E. 60th Street
Chicago, Ill. 60637

American Society of Planning Officials
1313 E. 60th St.
Chicago, Ill. 60637

American Society of Traffic and Transportation
22 W. Madison St., Room 404
Chicago, Ill. 60602

American Transit Association
815 Connecticut Ave., N.W.
Washington, D.C. 20006

Association of American Railroads
1920 L Street, N.W.
Washington, D.C. 20006

Batelle Memorial Institute
Columbus Laboratories
505 King Ave.
Columbus, Ohio 43201

Canadian Transit Association
1138 Bathurst St.
Toronto 4, Canada

Highway Research Board
2101 Constitution Ave., N.W.
Washington, D.C. 20418

International Road Federation
1023 Washington Bldg.
Washington, D.C. 20005

National Bus Traffic Association
506 S. Wabash Ave.
Chicago, Ill. 60605

National Highway Users Conference
202 National Press Bldg.
Washington, D.C. 20004

National Parking Association
1101 17th St., N.W.
Washington, D.C. 20036

National Safety Council
425 Michigan Ave.
Chicago, Ill 60611

Transportation Association of America
1101 17th St., N.W.
Washington, D.C. 20036

Union International Des Transports Publics,
International Union of Public Transport
19, av. de l'Uruguay
Bruxelles 5
Belgium

1. b. Governmental Organizations.

Department of Transportation
800 Independence Ave., S.W.
Washington, D.C. 20590

Federal Highway Administration
Federal Highway Administrator
Room 5000
Donohue Building
400 7th St., S.W.
Washington, D.C. 20591

Urban Mass Transportation Administration
400 7th Street, S.W.
Washington, D.C. 20590

Federal Railroad Administration
800 Independence Avenue, S.W.
Washington, D.C. 20591

Transportation and Communications Service
Small Business Administration
811 Vermont Avenue, N.W.
Washington, D.C. 20003

2. Bibliographies.

California University. Institute of Transportation and Traffic Engineering. Selected references on mass transit. Berkeley. September, 1966. 28 p.

Dickey, John W. Mass transit. Monticello, Ill., Council of Planning Librarians, Sep. 1969. 96p.

International Union of Public Transport. Metro 1967-1968-1969: bibliography. Brussels. 1970. 199p.

National Research Council. Highway Research Board. Highway research abstracts. Washington. monthly.

Northwestern University. Transportation Center. Library. Bus transit systems and operations; a bibliography. Evanston, Ill., Sep. 28, 1968. 45p.

Northwestern University. Transportation Center. Library. Urban transportation: developments outside the United States; a bibliography prepared by... Evanston, Ill., March 1970. 37p.

Northwestern University. Transportation Center. Library. Current literature in traffic and transportation. Evanston, Ill. monthly.

U.S. Department of Housing and Urban Development. Library. Urban public transportation: selected references. Washington, GPO 1966. 20p.

U.S. Department of Transportation. Library Services Division. Urban mass transportation; a bibliography, by Dawn E. Willis. Washington, September 1971. 140p.

U.S. Department of Transportation. Library Services Division. Urban transportation research and planning; current literature. bi-weekly.

U.S. National Technical Information Service. Government reports and announcements. Springfield, Va. semi-monthly.

3. Periodicals.

City and Suburban Travel. Transit Research Foundation of Los Angeles, Box 3542, Terminal Annex Station, Los Angeles 90051. monthly.

High Speed Ground Transportation Journal. Planning-Transport Associates, Box 4824 Duke Station, Durham, N.C. 27706. 3/yr.

Highway Research Record. National Research Council, Highway Research Board, 2101 Constitution Ave., Washington 20418. By membership and special subscription.

Highway Statistics, U.S. Department of Transportation. U.S. Government Printing Office, Washington, D.C. annual.

IRT Digest. Institute for Rapid Transit, 1612 K St. N.W., Washington 20006. bimonthly.

Metropolitan. 1155 Waukegan R., Glenview, Ill. 60025. 6/yr.

Modern Railroads. 5 S. Wabash, Chicago 60603. monthly.

Passenger Transport. American Transit Association, Suite 2900, 465 L'Enfant Plaza W., S.W., Washington 20024. weekly.

Revue de l'UITP. International Union of Public Transport, 19 avenue de l'Uruguay, B-1050 Brussels. 4/yr.

Traffic Quarterly. Eno Foundation for Transportation, Saugatuck, Conn. 16880. quarterly.

Transitrends. 1155 Waukegan Rd., Glenview, Ill. 60025. weekly.

Transportation Journal. American Society of Traffic and Transportation, 22 W. Madison, Chicago 60602. quarterly.

Transportation Research. Pergamon Press Inc., Maxwell House, Fairview Park, Elmsford, N.Y. 10523. quarterly.

EARMARKED GASOLINE TAX, REVENUE BONDS,
USER CHARGES: TRANSPORTATION FUNDING
TECHNIQUES

Buchanan, James M. , "The economics of earmarked taxes." Journal of Political Economy, vol. 71, no. 5, October 1963, pp. 457-469.

This paper develops a theory of earmarking and constructs a mathematical model to trace effects of earmarking process.

Burch, Philip H., Jr. Highway revenue and the expenditure policy in the United States. New Brunswick, N.J., Rutgers University Press, 1962.

The author has collected information on highway taxation, state and local highway administration, federal aid to states, and state aid to local units. He discusses laws and practices of individual states in highway affairs and state allocation of revenues.

The environment and California's highways: go back you are going the wrong way. Stanford, Cal. Stanford Environmental Law Society, 1971.

A thorough study by the student organization of the Stanford Law School that examines the conflict between a transportation approach which heavily favors highways and one which would favor maximum satisfaction of transportation needs.

Gr. Britain. Ministry of Transport. Road pricing: the economic and technical possibilities. (The Smeed report) London, Her Majesty's Stationery Office, 1964.

A major report that suggests an imaginative zone pricing scheme and increased fuel taxes to relieve commuter traffic congestion.

Mastelman, S. "Highway use fees and vehicle transport modes: an old rule defended." Journal of Political Economy, vol. 81, no. 3, June 1973, pp. 786-795.

Unless the various modes of transportation utilizing highways make equal contributions to maintenance, capacity, and highway technology costs, different use fees for marginal units of highway utilization by different modes of highway transportation have to be charged.

Owen, Wilfred et al. Financing highways. Symposium conducted by the Tax Institute, Princeton 1956. Princeton, N.J., Tax Institute, 1957. 217 p.

The recent passage of the Federal Aid Highway Act of 1956 and the impact of the new program in this connection is discussed. The role of highway user revenues and problems arising from specific taxes are part of the subject of the symposium.

Roth, Gabriel. Paying for roads. London, Penguin Books, 1967.

_____. "The pricing of road transport services in developing countries." Highway Research Record, no. 296, pp. 5-11.

This survey attempts to apply the economic principles that govern the optimal use of resources to the determination of the prices appropriate to road transport services.

Sprenkel, Case M. and William Habacich. "Earmarking." Report of the Commission on Revenue of State of Illinois. Springfield, 1963.

Chapter 24 describes earmarking practices in Illinois and discusses the problem of dissolving earmarked funds.

U.S. Advisory Commission on Intergovernmental Relations. Tax overlapping in the United States, 1964. Washington, D.C. 1964.

Chapter on "Automotive taxes" traces the history and development of the "highway-user taxes," including motor fuel taxes, motor vehicle and operator's license and special taxes on motor carriers. It provides summary of various kinds of automotive taxes by level of government. This report and tables were updated in 1967.

U.S. Advisory Commission on Intergovernmental Relations. Tax overlapping in the United States, 1964. Washington, D.C., 1964. (M-23)

_____. Supplement. Washington, D.C., 1966.

Chapter 11 of the Commission's report deals with automotive taxes levied by the federal, state, and local governments. In addition to the highway-user taxes, it discusses a variety of generally applicable property and sales and gross receipts taxes.

U.S. Bureau of Public Roads. Road-user and property taxes on selected motor vehicles, 1968. By Laurence L. Liston and Frank E. Leach. Washington, U.S. Govt. Printing Office, 1968.

Information derived largely from motor fuel taxes and motor vehicle registration.

_____. Office of Research and Development. The role of third structure taxes in the highway user tax family. Washington, U.S. Govt. Printing Office, 1968. 331 p.

Concerned with all special taxes on highway users which are levied in addition to the basic registration fee and motor fuels tax, particularly on those vehicles in the added-weight category.

Walters, A.A. "The cost of using roads." Finance and Development, v. 6, March 1969, pp. 16-22.

Discussion of various means of taxing road use. Contains the authors basic argument against the thesis that the costs of the road improvement must be covered by the charges on the road-user.

_____. The economics of road user charges. (World Bank Staff Occasional paper no. 5) Baltimore, John Hopkins Press 1968.

MASS TRANSPORTATION SUBSIDIES

"Center city transportation". Nations Cities, vol. 8, no. 2, February 1970, pp. 9-32.

Summary of a report prepared for the Department of Transportation. It discusses various ways to overcome the nontechnological barriers to better mass transit. Research was conducted by the Center for Policy Analysis of the National League of Cities and the United States Conference of Mayors.

Deweese, Donald N. and Michael J. Hines. Mass transit and the Highway Trust Fund. Cambridge, Mass. Harvard Law School Urban Mass Transportation Study, 1970.

Moses, Leon, N. and Harold F. Williamson, Jr. "Value of time, choice of mode and the subsidy issue in urban transportation." Journal of Political Economy, v. 71, June 1963, pp. 247-264.

Reading, James E. "Federal aid to transit: the industry viewpoint." in Urban Transportation Policy Seminar, Syracuse University, 1970: Urban transportation, Lexington, Mass., Lexington Books, 1972, pp. 67-76.

This paper reflects the American Transit Association's concern with the pending legislation (Urban Mass Transportation Act of 1970) which provided UMTA with authority to assist funding of major capital projects.

Smerk, George M. "An evaluation of ten years of Federal policy in urban mass transportation." Transportation Journal, vol. 11, no. 2, Winter 1971, pp. 45-57.

The author suggests that efforts to solve urban transportation problems have been too feeble. Within the existing legislation the Congress is asked to declare some workable objectives for urban mass transportation and provide more money possibly allowing the Transit Trust Fund to become a source of funds.

_____. Urban transportation: the Federal role. Bloomington, Ind., Indiana University Press, 1965. 336 p.

U.S. Department of Commerce. Bureau of Public Roads. Supplementary report of the Highway cost allocation study; prepared pursuant to section 210 of the Highway Revenue Act of 1956. (House Doc. no. 124) Washington, U.S. Govt. Print. Off., 1965.

The main body of this report presents and discusses the allocation of Federal-aid highway tax responsibility by the incremental and the differential-benefit methods.

U.S. Dept. of Transportation. Feasibility of federal assistance for urban mass transportation operating costs. Washington, D.C., November 1971.

U.S. Federal Highway Administration. Final report of the Highway cost allocation study; prepared pursuant to section 210 of the Highway Revenue Act of 1956 as amended (House doc. no. 54) Washington, U.S. Govt. Print. Off., 1961.

The object of this research report is to provide the Congress with information that will assist it in making, if needed, an equitable revision in the provisions for tax support of the Federal highway program. It discusses the current fiscal situation with respect to the highway program and probable effects of the Federal-aid program on transportation trends.

INTERSTATE HIGHWAY SYSTEM AND EXTENSION INTO CITIES.

Mowbray, A.Q. Road to ruin; a critical view of the federal highway program. New York, Lippincott, 1969.

Chicago Transit Authority. Skokie Swift; "the commuter's friend." Chicago 1968. 65 p.

Rail rapid transit shuttle service between suburbs of Skokie, Ill., and rapid transit system of Chicago, Shuttle service coordinated with central city transit network and with suburban buses.

Mumford, Lewid. The highway and the city; essays. New York, Harcourt, Brace and World, 1963. 246 p.

Howard, Needles, Tamman & Bergendoff. Concept of rapid transit system serving KCI. Kansas City, Mo., 1968. 76p.

Report prepared for the Kansas City Area Transportation Authority. Subjects covered: traffic analysis, transit corridors, transit freeway - initial and future systems.

"Metro-mode; a new approach to rapid transit." Metropolitan, May-June 1967, pp. 34-35.

Plans for a new system hinge on the use of an exclusive bus-only expressway along a seven-mile route linking Milwaukee's western suburbs and highways with the central business district.

Patrassi, Angelo. "Balancing road transit systems." Traffic Quarterly, July 1969, 441-460.

Road capacity and transport capacity; balanced transportation system, twin road and transport balanced system; intercity linkage are discussed.

Peat, Marwick, Livingston and Co. Status of the transportation system and plans for improving intercity transportation in the Northeast Corridor. Washington, U.S. Office of High Speed Ground Transportation, 1969. v.p.

SOURCES OF INFORMATION
ON
URBAN FACILITIES AND SERVICES

1. a. Organizations.

American Public Works Administration
1313 East 60th Street
Chicago, Ill. 60637

Center for Governmental Studies
1701 "K" St., N.W.
Washington, D.C. 20006

Center for Urban Education
105 Madison Avenue
New York, New York 10016

International City Management Association
1140 Connecticut Avenue, N.W.
Washington, D.C. 20036

International Union of Local Authorities
45 Wassenaarseweg
The Hague 2018
Netherlands

Municipal Finance Officers' Association of the U.S. and Canada
1313 E. 60th St.
Chicago, Ill. 10637

National Commission on Productivity
Executive Office Building
17th & Pennsylvania Avenue, N.W.
Washington, D.C. 20506

U.S. Advisory Commission on Intergovernmental Relations
726 Jackson Place, N.W.
Washington, D.C. 20575

Urban Institute
2100 "M" Street, N.W.
Washington, D.C. 20037

Urban Land Institute
1200 18th Street
Washington, D.C. 20036

2. Bibliographies.

Barnett, Jr. Ross. Political structure, urban spatial organization and the delivery of municipal services. Monticello, Ill., Council of Planning Librarians, December 1973. (Exchange bibl. no. 507) 81 p.

Bollens, John C. American county government; with an annotated bibliography. Beverly Hills, Cal., Sage 1969. 433 p.

For services performed by government see pp. 392-416

Branch, Melville C. Comprehensive urban planning: a selective annotated bibliography with related materials. Beverly Hills, Cal., Sage Publications, 1970.

Growth of city planning from the spatial emphasis on location, to incorporation of economic, political, social, legal, environmental, communicative, and scientific-technological considerations. Utilities and services are included as subsystems.

Hawley, Willis D. and James H. Svara. The study of community power: a bibliographic review. Santa Barbara, Cal., ABC-CLIO, 1972, 123 p.

Annotated bibliography dealing with community power (inclusive of doctoral dissertations) and analysis of the topic in terms of research, methodology and measurement of political power and influence. Lists material for fifty years preceding 1971.

Hunt, Florine E. Public utilities information sources; an annotated guide to literature and bodies concerned with rates, economics, accounting, regulation, history, and statistics of electric, gas, telephone, and water companies. Detroit, Mich., Gale, 1965. 200 p.

Hutcheson, John D. and Frank X. Steggert. Organized Citizen participation in urban areas. Atlanta, Center for Research in Social Change, Emory University, 1971? pp. 139-172.

Literature analysis is given in chapter one of the text, and bibliography follows its topical arrangement from access to the decision-making process to federally initiated programs.

Marshall, Dale Rogers. "Who participates in what? a bibliographic essay on individual participation in urban areas." Urban Affairs Quarterly, vol. 4, December 1968, pp. 201-223

Mathews, Vincent. Citizen participation: an analytical study of the literature. Washington, D.C., Community Relations Service, U.S. Department of Justice, 1968.

Metropolitan communities: a bibliography, 1956-1970. Chicago, Public Administration Service, 1956-1972. 5 v.

Recent Publications on Governmental Problems. Chicago, Joint Reference Library. (by subscription)

U.S. Dept. of Housing and Urban Development. Library. Citizen and business participation in urban affairs: a bibliography. Washington, U.S. Gov't. Printing Office, 1970. 84 p.

U.S. Dept. of Labor. Productivity: a selected, annotated bibliography, 1965-1971. Washington, D.C., U.S. Gov't. Printing Office, 1973. 106 p.

3. Periodicals.

The American City. Bittenheim Publishing Corporation, Berkshire
Common, Pittsfield, Mass. 01201 (monthly)

The American County: (National Ass'n. of Counties) a supplement to
County News., 1001 Connecticut Avenue, N.W., Washington,
D.C. 20036 (monthly)

Governmental Finance. (Municipal Finance Officers Ass'n.), 1313 East
60th Street, Chicago, Ill. 60637 (quarterly)

Journal of the American Institute of Planners. Box 546, Montpelier,
Vermont. 05602 (bi-monthly)

Journal of the Royal Town Planning Institute. 26 Portland Place,
London, WIN 4BE (ten issues a year)

Journal of Urban Law. (Published quarterly by the University of
Detroit law students.) 651 East Jefferson Avenue, Detroit,
Michigan 48226

Management Information Service (International City Management Ass'n.)
1140 Connecticut Ave., N.W., Washington, D.C. 20036 (monthly)

National Civic Review, National Municipal League, 47 East 68th St.,
New York, N.Y. 10021 (11 issues a year)

Nation's Cities. National League of Cities, 1612 "K" St., N.W.,
Washington, D.C. 20006 (monthly)

Public Management. International City Management Association. 1140
Connecticut Avenue, N.W., Washington, D.C. 20036 (monthly)

Public Welfare: the Journal of the American Public Welfare Ass'n.
1313 East 60th Street, Chicago, Ill. 60637 (quarterly)

Studies in Comparative Local Government. International Union of Local
Authorities, 45 Wassenaarseweg, The Hague, Netherlands
(semi-annual)

Urban Affairs Quarterly. Sage Publications, Inc., 275 South Beverly
Drive, Beverly Hills, Cal. 90202

Urban and Social Change Review. Graduate School of Social Work,
Boston College, Chestnut Hill, Mass. 02167 (semi-annual)

Western City Magazine: the official municipal magazine of the West.
(League of California Cities), 702 Hilton Center Building,
Los Angeles, Cal. 90017.

PHYSICAL INFRASTRUCTURE: WATER, SEWER, UTILITIES

American Public Works Association. Institute of Solid Wastes. Municipal refuse disposal. 3rd ed. Chicago, Public Administration Service, 1970. 538 p.

This manual reviews past and present disposal practices with regard to 3.5 billion tons of solid waste generated each year (17.5 tons per capita) broadly indicating the best current practices, the administration and management problems, and costs. Companion volume: Refuse collection practice.

Blair, Louis H. and Alfred I. Schwartz. How clean is our city. A guide for measuring the effectiveness of solid waste collection activities. Washington, D.C., Urban Institute, 1972. 67 p.

One of a series of studies on developing methodologies for evaluating local government services with regard to solid waste collection activities.

Black, Ralph J. and Anton J. Muhich. The national solid wastes survey. Washington, D.C., Environmental Control Administration, 1968. 53 p.

DeTorres, Juan. Government services in major metropolitan areas: functions, costs, efficiency. New York, Conference Board, 171 p.

Infrastructure services (e.g. water supply, sewerage, sanitation, etc.) are likely to remain as city government responsibilities rather than evolve into metropolitan area responsibilities. Discussion of education, health and welfare as possibilities for metropolitan area involvement.

Deuel, Orville P. "Financing utility operations and extensions." Municipality (Wisconsin), vol. 64, February 1969, pp. 34 plus.

The emphasis is on sewer and water facilities.

Friesema, H. Paul. "Interjurisdictional agreements in metropolitan areas (extent and utility of agreements to provide public services in the Quad-city area of Iowa and Illinois)" Administrative Science Quarterly, vol. 15, June 1970, pp. 242-252.

Interjurisdictional cooperative agreements to provide public services in metropolitan areas are assessed in terms of utility and types of services. Agreements, planning and zoning, sewage disposal, bridge patrol, law and order, and public health.

Hayes, Gary G. Institutional alternatives for providing programmed water and sewer services in urban growth areas: a case study of Knoxville-Knox County, Tenn. Knoxville, Water Resources Research Center, University of Tennessee, 1972. 218 p.

Hirsch, Werner F. "Cost Functions of an Urban Government Service." Review of Economics and Statistics, vol. 47, February 1965. pp. 87-92

Stocks, Anthony H. Considerations of scale in providing state and local public goods, with applications to West Virginia. Morgantown, W.V.A., Bureau of Business Research, West Va. University, 1968. 41 p.

Concerned with fundamental services such as air pollution control, water supply, sewage treatment, land use planning and solid waste collection and disposal.

"SURSAN: an expanding experience." Conjuntura Económica (Int'l. ed.), vol. 17, April 1970, pp. 25-29.

"Evolution in Brazil of the superintendence of urbanization and sanitation, a government corporation, with its own juridical personality and financial autonomy, responsible for sewage systems and other municipal public works."

U.S. Advisory Commission on Intergovernmental Relations. Performance of urban functions: local and areawise. Washington, D.C., U.S. Gov't. Printing Office, 1963. 281 pp.

The focus of this study is on the optimum handling of typical urban services rather than on local government organization or reorganization. The heart of the study is the use of a number of economic, administrative and political criteria in evaluating optimum performance in 15 governmental functions - fire protection, public education, refuse collection and disposal, libraries, police, health, urban renewal, housing, parks and recreation, welfare, hospitals and medical care facilities, transportation, planning, water supply and sewage disposal, and air pollution control.

Webb, Walter L. "Managing municipal refuse services." Management Information Service, vol. 1, no. S-10, October 1969, pp. 3-14.

"A successful program of refuse service must begin with citizen awareness of proper refuse practices, backed up by an effective ordinance, rules and regulations."

Weicher, John C. "Determinants of central city expenditures: some overlooked factors and problems." National Tax Journal, vol. 23, December 1970, pp. 379-396.

This study is "based on an analysis of 1960 per capita expenditures of 206 central cities of Standard Metropolitan Areas, in each of four service categories: police protection, sewers and sanitation, and highways." Based in part on doctoral thesis-University of Chicago.

SOCIAL SERVICES

Aberbach, Joel D. and Jack L. Walker. "Citizen desires, policy outcomes, and community control." Urban Affairs Quarterly, vol. 8, no. 1, September 1972, pp. 55-75.

This essay deals with urban reform in terms of school decentralization and the conflict which took place in Detroit during 1969, 1970, 1971.

Adrian, Charles R. and Charles Press. Governing urban America. 3rd ed. New York, McGraw-Hill Book Company, 1968. 530 p.

The city is discussed as a governing unit in terms of services - inclusive of health, education and welfare - and the problems of creating a viable jurisdictional unit from the fragmented intergovernmental authorities. Selected references.

Ballabon, Maurice B. "The self-service group in the urban economy." Journal of the American Institute of Planners, vol. 38, January 1972, pp. 33-42.

This article is about "Urban planning and the large segments of population who select and support private alternatives to many public facilities and services, particularly evident in education, recreation, and urban transportation."

Evans, Barry R. and Frank Fitzpatrick. "Health services in small cities." Management, vol. 1, no. 9, September, 1969. pp. 3-8.

"Health department programs, formerly limited to the 'basic six' have expanded greatly in recent years as a result of rising educational and income levels, advances in medical technology, and better professional understanding of the interrelatedness of health problems with the entire environmental context."

Georgetown University, Washington, D.C. Public Services Laboratory Services to people. Services to people: state and national urban strategies. Washington, D.C. 1973. 263 p.

Disparity between DHEW's grants-in-aid and state and local administration of program goals is discussed. Intergovernment relation case studies in various states are also the subject of this study.

Gittell, Marilyn and Alan G. Hevesi (eds.) The politics of urban education. New York, Frederick A. Praeger, 1969. 386 p.

"Education policy, long considered a self-contained, non-political specialty of the professional educator, has lately become the center of wide-spread controversy...and elected officials are now focusing close attention on the participants and conflicts in the education policy-making process. Out of this new concern has come...an increasingly rich literature on the subject." This book features selections from the best of the literature.

Hummel, Raymond C. and John M. Nagle. Urban education in America: problems and prospects. New York, Oxford University Press, 1973. 298 p.

What is there about a modern urban setting that is significant to its public schools? The authors point to the fact that an urban school system is an interdependent subsystem and can be effective only as it relates itself to the city as a system. Therefore, the entire urban setting is considered as it interacts with its subsystems - in particular the school subsystem.

International City Management Association, Committee on Human Resource Development. "Managing human resources: report." Public Management, vol. 55, no. 9, September 1973, pp. 12-18.

A definition of human resources, says the report, is that which encompasses the needs and services addressed by government programs in education, public health and welfare, and other people-oriented programs. The change which is required is that which moves local government from a benign neglect of said resources, to aggressive leadership in development of people.

Metropolization and the public services. Washington, D.C., Resources for the Future, 1972. 69 p.

This is number three in a series entitled Governance of Metropolitan Regions." In these papers, and those that will follow, the authors are concerned not only with the apparatus and process of government in the ordinary sense but also with the total interaction among people in their public capacities and interests, and between people and the public institutions."

Miller, Harry L. and Marjorie B. Smiley. Education in the metropolis. New York, Free Press, 1967. 295 p.

Urban education, the author says, has come to mean the special adjustments which need to be made by the school attempting to prepare the city slum child for an overwhelmingly technical society in a state of rapid change.

"Prospects for change in American social welfare policy." American Behavioral Scientist, vol. 15, no. 5, May-June 1972, pp. 643-799 (entire issue)

American citizenship has acquired a social as well as political meaning or the right to a decent home, job, health care and diet as well as the right to vote, to free speech and to free assembly. History has demonstrated that the private sector cannot or will not guarantee these rights and that government must intervene if there is to be social stability. The issue is not if the federal government will expand welfare services, but how fast, and under what organizational aspect.

GOVERNANCE AND LEVELS OF GOVERNMENT

1. Responsibility.

Alesch, D.J. and L.A. Dougharty. The feasibility of economics-of-scale analysis of public services. Santa Barbara, Calif., Rand Corporation, 1971. 28 p.

The report was prepared for the California Council on Intergovernmental Relations and concerns relationships between the unit costs of producing a service and the size of the organization producing it: California.

Bradford, D.F. and others. "The rising cost of local public services: some evidence and reflections." National Tax Journal, vol. 22, June 1969, pp. 185-202.

Friedman, Robert et al. "Administrative agencies and the publics they serve." Public Administration Review, vol. 26, no. 3, September 1966, pp. 192-204.

Based on an interview of top level officials in eleven agencies at the federal, state and local levels. Most officials perceived their agencies serving particular groups, as opposed to the general public; and that the main source for the initiation of a new policy is the agency itself.

Graham, Robert L. and Jason H. Kravitt. "The evolution of equal protection - education, municipal services and wealth." Harvard Civil Rights-Civil Liberties Law Review, vol. 7, January 1972, pp. 105-213.

The author attempts to assess the impact of the continually expanding use of the equal protection clause on the financing of education and other municipal services in the United States.

Hatry, Harry P. and Donald M. Fisk. Improving productivity and productivity measurement in local governments. Washington, D.C., Urban Institute, 1971. 73 p.

Prepared by the authors for the National Commission on Productivity, established by President Nixon in June 1970 to develop recommendations and policies to improve the productivity of the U.S. economy. Background papers in theoretical and practical problems.

Hill, Kermit E. "Fair share government: Monroe County, New York." American County Government, Vol. 33, November 1968, pp. 33-35.

"Provides a broad range of new urban-suburban services to Rochester and the nineteen towns and ten villages within the county, tapping resources of the suburbs to help support services which suburbanites use within the central city."

Kent, Calvin A. "Users' fees for municipalities." Governmental Finance, vol. 1, February 1972, pp. 2-3 plus.

The author believes that accident or tradition most often determine municipal fees, but that neither is sound procedure, and that users' fees might partially solve financial problems in the cities.

New Jersey. County and Municipal Government Study Commission. A practical guide to reaching joint services agreements. (Bureau of Local Management Services, Department of Community Affairs) Trenton, N.J., 1971. 87 p.

Reports issued by this Commission since 1968 include: Creative localism; County government, challenge and change; joint services, a local response to area wide problems; Beyond local resources; consolidation, prospects and problems.

Novak, Terry L. "A model special assessment law." Governmental Finance, vol. 1, February 1972, pp. 8-11.

"Financing techniques used to build American cities can be re-employed to rebuild them," the author says. "One such technique, the special assessment, can, with modification, be deployed to meet contemporary needs." The article reflects mostly Minnesota's experience.

Perloff, Harvey S., ed. The future of the United States government toward the year 2000. New York, Braziller, 1971. 388 p.

"What are the most significant problems and critical issues that government in the United States will have to face in the future; and what changes in institutions and processes will have to be made to enable government to cope effectively with these problems and issues. The major problem in the years ahead will be to define the effective size and scope of the appropriate social units for coping with the different levels of problems." Urbanized areas and their services, backed by concepts of public rights and analyzed and discussed.

"The provision and delivery of urban services," in John P. Crecine, ed., Financing the metropolis, Beverly Hills, Sage, 1970, pp. 519-576. (Urban Affairs Annual Review no. 4).

Schaller, Howard (ed.) Public expenditure decisions in the urban community. Baltimore, Johns Hopkins Press, 1963. 198 p.

Papers presented at a conference under the sponsorship of the Committee on Urban Economics of the Resources of the Future, Inc. Selected contents: "Urban services: Interaction of public and private decisions," by W.J. Baumol; "General and specific financing of urban services," by W.W. Vickrey; "Quality of government services," by W.Z. Hirsch.

"Urban woes: municipal services grow more costly - and less predictable." Wall Street Journal, vol. 177, May 10, 1971, pp. 1

There is a focus on unnecessary employment as one factor in keeping costs high.

Williams, Lawrence A. "The urban observatory approach: a decade of conceptualization and experimentation." Urban Affairs Quarterly, vol. 8, no. 1, September 1972, pp. 5-20.

The urban observatory network, with a grant from HUD, was begun on a national basis in 1969. This was an attempt to shift from theory to "grubby" data gathering activities, assemble local government information and experience, and compare findings. This study is followed by three additional studies in the Journal concerned with evaluation of the program, and the summary and conclusions of the National Academy of Public Administration with regard to the program.

2. Effectiveness.

Anderson Bond, III. "A ninety degree turn." Governmental Finance, vol. 2, no. 4, November 1973, pp. 14-16.

"The 'turned corner' referred to is the ability properly to record, measure and report services provided for dollars received."

Caldwell, Kenneth S. "Efficiency and effectiveness measurement in state and local government." Governmental Finance, vol. 2, no. 4, November 1973, pp. 19-26.

While efficiency comes from the organization and use of resources, effectiveness focuses on the pros and cons of results. Discussion of federal guidelines (GAO guidelines of June 1972) as point of departure for state and local governments. Effectiveness is important from the viewpoint of service recipients as well as the agency providing them.

Davis, Robert H. "Measuring effectiveness of municipal services." Management Information Service, vol. 2, LS-8, August 1970, pp. 2-26.

"Measuring the effectiveness of municipal functions has long been an elusive objective of urban administrators. Yet while the difficulties of measuring effectiveness should not be minimized, performance of virtually all municipal functions depends on evaluation of past and future efforts."

Good, David A. Cost-benefit and cost effectiveness analysis: their application to urban public services and facilities. Philadelphia, Penna., Regional Science Research Institute, 1971. 56 p.

"At the risk of perpetuating the law of the instrument, this paper will attempt to examine the techniques of cost-benefit and cost-effectiveness analysis and their applicability to the evaluation of urban public services and facilities."

- Hanson, L.A. "Intergovernmental cooperation a community approach." Public Management, vol. 55, no. 5, May 1973, pp. 14-15.

In the past cooperative efforts have been hamstrung by boundary debates, petty jealousies and empire building. Arlington Heights, Ill. organized ad hoc committees and in this way developed the idea among the citizenry that increased cooperation among units of governmental services.

Hatry, Harry P. and Diana R. Dunn. Measuring the effectiveness of local government services: recreation. Washington, D.C., Urban Institute, 1971. 47 p.

Richard E. Winnie and Donald D. Fisk. Practical program evaluation for state and local government officials. Washington, Urban Institute, 1973. 134 p.

The steps in evaluation outlined in this report are to identify specific program objectives; specify criteria for measuring progress toward these objectives; and identify the population segments that are likely to be affected. The report is designed to help state, county, and city governments develop and improve their program evaluation capabilities.

Ridley, Clarence E. and Herbert A. Simon. Measuring municipal activities: a survey of suggested criteria and reporting forms for appraising administration. Chicago, International City Managers Association, 1938. 128 p.

A classic in the field of measurement techniques and one which forms a base for current studies with regard to efficiency and effectiveness in government.

Tietz, M.B. "Cost effectiveness: a system approach to analysis of urban services." Journal of the American Institute of Planners, vol. 34, no. 5, September 1968, pp. 303-311.

Cost-effectiveness, which relates output to achievement by objectives, without necessarily describing output in dollars, appears to be a promising approach in measuring urban services.

Winnie, Richard E. and Harry P. Hatry. Measuring the effectiveness of local government services: transportation. Washington, D.C. Urban Institute, 1972. 84 p.

The authors of this study construct a consumer-oriented measurement system which indicates the effectiveness of a transportation system for a jurisdiction, a neighborhood, and for various segments of a population.

3. Responsiveness.

Anderson, R. Dennis. "Toward the equalization of municipal services." Journal of Urban Law, vol. 50, November 1972, pp. 177-197.

In the bringing of a law suit by a citizen or a neighborhood against municipal officials, the question of responsiveness comes to the fore, as the plaintiff and/or plaintiffs must consider whether he or they have enough influence so that a strong case may be made. In *Hawkins versus the town of Shaw, Mississippi*, the federal district court decided in favor of the plaintiff and enjoined the town officials against discrimination.

"Are city services breaking down? complaints multiply about garbage pickup, transit lines, snow removal." U.S. News & World Report, vol. 70, May 24, 1971, pp. 26-28.

"City taxes and services: citizens speak out." Nation's Cities, vol. 9, August 1971, pp. 9-24.

"Responses to 4300 in-depth interviews conducted under the Urban Observatory program in ten major United States cities: summary report."

Frederickson, H. George. "Exploring urban priorities: the case of Syracuse." Urban Affairs Quarterly, vol. 5, no. 1, September 1969, pp. 31-58.

Municipal and local resources are scarce and, in general, officials set priorities. This study is an attempt through a questionnaire interview, to ascertain how well citizen response dovetails with public expenditures. In the light of the results, government would then attempt to tilt its priorities to fit citizen priorities.

International City Managers Association. Committee on the Quality of Municipal Services. "Achieving quality local government." Public Management, vol. 55, no. 9, September 1973, pp. 19-23.

Along with increased professional interest in quality services have come pressures which include public demand for greater responsiveness by governments to their needs during a time of scarce financial or energy resources; federal transfer of responsibility to local government; and programs which transfer public accountability to local officials. Committee concepts are based on 1938 book by Clarence E. Ridley and Herbert A. Simon entitled Measuring Municipal activities.

Kotler, Milton. Government: the local foundations of political life. Indianapolis, Ind., Bobbs-Merrill, 1969. 111 p.

"A simple reason why our cities (and so the nation) are ungovernable is that there aren't enough citizens who care about them. He (the author) presents us with convincing evidence that restoration of democracy to the neighborhood level is essential if our cities are to survive."

Marando, Vincent L. and Carl Reggie Whitley. "City-country consolidation: an overview of voter response." Urban Affairs Quarterly, vol. 8, no. 2, December 1972, pp. 181-203.

"This paper provides an assessment of factors which influence voter reactions to city-county consolidation referenda. An understanding of these factors is paramount since, with few exceptions, voter approval is a necessary step in achieving city-county consolidation." Citizens and professional observers respond to the concept of city-county consolidation and it is regarded as having great current interest.

Soysal, Mumtaz. Public relations in administration: the influence of the public on the operation of public administration. Brussels, International Institute of Administrative Sciences, 1966. 132 p.

The author discusses the influence of the public on the operation of public administration as it converges and thus strengthens the administration, or diverges and thus tends to weaken the process of government. The operation of public administration is broadly interpreted as a stage where public policy is shaped, or the management of public services. The response of the government is also included as it reacts to the citizen response.

U.S. Housing and Home Finance Agency. Metropolis in transition: local government adaptation to changing urban needs. Washington, D.C. Gov't. Printing Office, 1963. 159 p.

Government responsiveness to changing needs depends not so much on a jurisdictional approach - that of traditional government - as on a focus concerned with an activity such as health, education, recreation, etc. Each study represents a basic memorandum on a local development selected for case examination.

4. Civic participation.

Benson, Charles Scott and Lund, Peter B. Neighborhood distribution of local public services. Berkeley, University of California, Institute of Governmental Services, 1969. 181 p.

Brager, George A. and Harry Specht. "Mobilizing the poor for social action: prospects, problems, and strategies," in George A. Brager and Francis P. Purcell (eds.) Community Action against poverty. New Haven, College and University Press, 1967, pp. 133-150.

Social workers or other community professionals support by lip service the idea that all the people and especially those of the lower income groups must participate in community action programs, but in reality they doubt the effectiveness of such participation. The value system, however, has pushed to the fore the political aspects of the underlying issues. The emphasis on quantitative rather than qualitative approaches are evident in the struggle for power which is involved.

Center for Governmental Studies, Washington, D.C. Neighborhood facilities and municipal decentralization. Washington, D.C. 1971. 2 v.

Comparative analysis of twelve cities with regard to the creation and functioning of little city halls or neighborhood service centers. Volume 1 is a comparative analysis of twelve cities. Volume 2 is an individual case study of each city.

Field, Arthur J. Urban power structures: problems in theory and research. Cambridge, Mass., Schenkman Publishing Company, 1970.

Why power is significant in relation to urban services and techniques for identification of those in the community who have power as against those who have the reputation for having it. Location and distribution of power within institutions and organizations as well as among individuals.

Hallman, Howard W. Government by neighborhoods. Washington, D.C., Center for Governmental Studies, 1973. 67 p.

Neighborhood government - a subunit of city government - has features of political and administration decentralization, according to the author. This would mean devolvement from a more centralized unit of decision-making processes and discretionary authority. Decentralization in terms of values and practicality is analyzed, together with organizational theories relative to specific situations.

Hutcheson, John D. and Frank X. Steggert. Organized citizen participation in urban areas. Atlanta, Center for Research in Social Change, 1970. 197 p.

This is an urban observatory record from Atlanta which coordinates the research done by Emory University, Georgia State University and the Atlanta Urban Observatory. Since specialists trained to study and interpret urban conditions remain few in number and are scattered among many institutions, cooperative efforts of this kind are more in line with social problem-solving.

U.S. Advisory Commission on Intergovernmental Relations. The new grass roots government; decentralization and citizen participation in urban affairs. Washington, D.C., 1972. 21 p.

"To improve the responsiveness and effectiveness of city services and to restore citizen support and confidence in local government, municipal reformers have prescribed decentralization of public service delivery and participation of citizens in the planning and execution of city programs."

Washnis, George J. "Implementing decentralized city services." Management Information Service, vol. 3, no. L-8, August 1971. pp. 3-26.

"The implementation of decentralized city services depends in large measure on: the degree and quality of citizen participation permitted by city officials; the ability of governments to coordinate and to manage the performance of decentralized offices; how well complaints are handled; decisions on the level of citizen participation." See also June 1971 large-city MIS report.

Webb, Kenneth. Obtaining citizen feedback. Washington, D.C., Urban Institute, 1973.

Survey techniques furnish means whereby public agencies learn of the likes or dislikes of the public regarding specific programs while citizens learn of public services. Feedback process is important in the formulation of programs.

Yin, Robert K. Participant-observation and the development of urban neighborhood policy. New York, The New York City Rand Institute, 1972. 36 p.

"The application of participant-observation to issues concerning the neighborhood delivery of municipal services in selected New York City neighborhoods."

SOURCES OF INFORMATION ON MANPOWER AND
LABOR MOBILITYI. a. Non-governmental Organizations.

African-American Labor Center
345 East 46th St., Suite 200
New York, N.Y. 10017

American Federation of Government Employees
400 1st Street, N.W.
Washington, D.C. 20001

American Federation of Labor & Congress of Industrial
Organizations
815 16th Street, N.W.
Washington, D.C. 20006

American Federation of State, County and Municipal
Employees
1155 15th Street, N.W.
Washington, D.C. 20005

Conference Board
845 Third Ave.
New York, N.Y. 10022

International Labor Organization
1211 Geneva 22, Switzerland

Joint Commission on Correctional Manpower and Training
1522 K. Street, N.W.
Washington, D.C. 20005

Labor Research Center
80 East 11th Street
New York, N.Y. 10003

National Institute of Labor Education
American University
Mary Graydon Center 231
Massachusetts and Nebraska Aves., N.W.
Washington, D.C. 20016

National Manpower Policy Task Force
818 18th Street, N.W., Room 240
Washington, D.C. 20006

National Manpower Training Association
137 E. Wilson Street
Madison, Wisc. 53702

Tamiment Institute and Library
165 W. 46th Street
New York, N.Y. 10036

1. b. Governmental Organizations.

U.S. Employment Service
14th Street and Constitution Ave., N.W.
Washington, D.C. 20210

U.S. Job Corps
1111 8th Street; N.W.
Washington; D.C. 20210

U.S. Dept. of Labor Library
3340, Main Labor Bldg.
14th and Constitution Ave.; N.W.
Washington, D.C. 20210

U.S. Labor-Management Services Administration
Public Documents Room
8757 Georgia Ave.
Silver Spring, Md.

U.S. Information Office
Room 1539
GAO Building
441 "G" Street, N.W.
Washington; D.C. 20212

U.S. Employment Standards Administration
Constitution Ave. and 14th Street, N.W.
Washington, D.C. 20210

2. Bibliographies.

- Brooks, Thomas R. Labor and migration; an annotated bibliography. Brooklyn, N.Y., Brooklyn College of the City University of New York, 1970. n.p.
- Jones, Dorothy and Laura Miles. Career development: selected references. rev. ed. Washington, U.S. Dept. of Health, Education and Welfare, 1968. 34p.
- Laquian, Aprodicio A. and Penny Dutton. A Selected bibliography on rural-urban migrants' slums and squatters in developing countries. Monticello, Ill., Council of Planning Librarians, April 1971. 26p. (Exchange Bibliography no. 182)
- Lewis, Christopher G. Manpower planning; a bibliography. New York American Elsevier, 1969. 96p.
- Mesics, Emil A. Tranining and education for manpower development: business, industry, government, service organizations, educational institutions; an annotated bibliography on education and training in organizations. Ithaca, New York State School of Industrial and Labor Relations, 1964. 99p.
- PHRA: Poverty and Human Resources Abstracts. Beverly Hills, Ca. Sage Publications. 1966-
- Pezdek, Robert V. Public employment bibliography. Ithaca, New York State School of Industrial and Labor Relations, Cornell University, 1973. 185p. (Bibliography series no. 11)
- Sharma, Prakash C. Migration: a selected international research bibliography. Monticello, Ill., Council of Planning Librarians, December 1973. 68p.
- Sinha, Nageshwar P. Manpower planning: a research bibliography. rev. ed. Minneapolis, Industrial Research Center, University of Minnesota, 1970. 59p.
- U.S. Civil Service Commission. Library. Manpower planning and utilization. Washington, U.S. Gov't. Print., Off., 1971. 58p. (Personnel bibliography series no. 39)
- Wood, W. Donald and H. F. Campbell. Cost-benefit analysis and the economics of investment in human resources: an annotated bibliography. Kingston, Ont., Industrial Relations Centre, Queens' University, 1970. 211p.

3. Periodicals.

American Federation's and American Federation of Labor & Congress of Industrial Organizations, 815 16th St., N.W., Washington, D.C. 20036. monthly.

Bulletin of Labor Statistics, International Labor Office, 917 15th Street. N.W., Washington, D.C. 20005. monthly.

Employment and Earnings, U.S. Bureau of Labor Statistics, Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. monthly.

Employment and Wages, U.S. Dep't. of Labor, 14th & Constitution Ave., N.W., Washington, D.C. 20025. quarterly.

Industrial and Labor Relations Review, New York State School of Industrial and Labor Relations, Cornell University, Ithaca, N.Y. 14851. quarterly.

International Labor Review, Labor Office, 917 15th St., N.W., Washington, D.C. 20005. monthly.

Journal of Human Resources, University of Wisconsin Press, P.O. Box 1379, Madison, Wis. 53701. quarterly.

Manpower, U.S. Dept. of Labor, Manpower Administration, Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. monthly.

Monthly Labor Review, U.S. Bureau of Labor Statistics, Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. monthly.

Occupational Outlook Quarterly, U.S. Bureau of Labor Statistics, Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. quarterly.

Personnel Literature, U.S. Civil Service Commission Library, Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. monthly.

Poverty and Human Resources Abstracts, Institute of Labor and Industrial Relations, University of Michigan-Wayne State University, Sage Publications, 275 South Beverly Drive, Beverly Hills, Ca. 90212. monthly.

NATIONAL GROWTH AND MIGRATION:
RURAL-URBAN AND CENTRAL CITY-SUBURBAN

Beckman, Norman and Bruce Langdon. National growth policy: legislative and executive actions 1970-71. (Research Monograph 18) Washington, D.C., Urban Land Institute, 1972. 127p.

The Housing and Urban Development Act of 1970, Agriculture Act of 1970 and later federal and state legislative and executive deliberations are discussed in terms of rural and metropolitan development, special revenue sharing, distribution of health manpower, new communities, and the war on poverty.

Beijer, G. Rural migrants in urban setting. The Hague, Martinus Nijhoff, 1963.

Ford, William F. and Lewis E. Hill. "Reverse migration and population dispersion: a partial solution for urban problems." Nebraska Journal of Economics and Business, vol. 10, Autumn 1971, pp. 45-60.

Hunter, Lawrence C. and Graham L. Reid. Urban workers mobility. Paris. Organization for Economic Cooperation and Development, 1961.

Mabogunje, Akin L. Regional mobility and resource development in West Africa. Montreal, McGill University, Centre for Developing Area Studies, 1972. 154p.

A study of social and economic aspects in the migration of West Africans seeking jobs or other economic opportunity across national boundaries or into areas of different ethnic groups.

Moynihan, Daniel P. "Toward a national urban policy." Appalachia, vol. 2, no. 10, August 1969, pp. 1-9.

To ease the plight of the big cities and make the continuing urbanization tolerable, the author suggests remedies, arranged in order of priority.

Perline, Martin M. and Ronald W. Presley. "Mobility of unemployed engineers: a case study." Monthly Labor Review, vol. 96, no. 5, May 1973, pp. 41-43.

This study examines the factors which affected the willingness of unemployed engineers and technical workers in the Wichita, Kansas area to move following severe cutbacks in the aerospace industry in the late 1960's and early 1970's.

"The returns to geographic mobility: a symposium." Journal of Human Resources, vol. 2, no. 4, Fall 1967, pp. 427-537.

Papers of the symposium examine the non-economic costs of mobility: the returns to personal and social investment in manpower relocation.

Sanders, Thomas G. Internal migration: Brazil, Colombia, Chile, Peru. American Universities Field Staff Reports, vol. 19; no. 1, December 1971. 19p.

Internal migration in Brazil, Chile, Columbia and Peru forms the link between change and modernization in agriculture, urbanization, industrialization, education, and support for populist and military political movements. The individual migrant views migration as a form of social mobility as well as a means of improving livelihood.

Skyrock, Henry S. Jr. Population mobility within the United States. Chicago, Community and Family Study Center, University of Chicago, 1964. 470p.

This study is based on statistics on population mobility from the 1940-1950 census and the successive Current Population Survey data: trends in types of mobility, population redistribution and streams of migration, differentials according to personal characteristics are some of the topics covered.

Urban growth policies in six European countries. A report by the Urban Growth Policy Study Group to the Subcommittee on Housing of the House Committee on Banking and Currency. Washington, Office of International Affairs, U.S. Dept. of Housing and Urban Development, 1972. 75p.

"European growth policies are intended to ameliorate disparities in income and welfare between regions for the country and to a lesser extent to minimize deleterious effects of economic growth on the natural environment." Surveyed countries: United Kingdom, France, Sweden, Finland, Poland and Hungary.

National growth and its distribution. Symposium on communities of tomorrow, Washington, December 1967. Washington, D.C., U.S. Dep't. of Agriculture, 1968. 89p.

Symposium sponsored by six U.S. Secretaries in the Johnson Administration to discuss with scholars, industrial leaders, and government officials their common concern at the continuing exodus of people from country-side to big city; and the views and visions expressed in the USDA pamphlet "Communities of tomorrow."

U.S. National Advisory Commission on Rural Poverty. The people left behind, a report. Washington, U.S. Gov't. Printing Office, 1967. 160p.

Wertheimer, Richard F. II. The monetary rewards of migration within the U.S. Washington, D.C., The Urban Institute, 1970. 62p.

The study maintains that from the point of view of the migrant, migration has been overrated as a problem and that even from the point of view of the receiving areas, many assessments seem to have exaggerated the problem. It seems clear that the private return to migration for many important categories of migrants is substantial.

LABOR MOBILITY AND THE EVOLVING
NATIONAL LABOR MARKET

1. U.S. Employment Service and information exchanges.

Adams, Leonard Palmer. The public employment service in transition, 1938-1968; evolution of a placement service into a manpower agency. Ithaca, New York State School of Industrial and Labor Relations, Cornell University, 1969. 246p. (Cornell studies in industrial and labor relations, v. 16).

Ginzberg, Eli. "Employment Service - chosen instrument of the manpower revolution." Employment Service Review, March-April 1967, pp. 7-9.

Discussion of the state of current thinking and exaggerated expectations held for the Employment Service.

Gordon, Margaret S. and Margaret Thal-Larsen. Placement and counseling in a changing labor market: public and private employment agencies and schools. Berkeley, Ca., Institute of Industrial Relations, University of California, 1971. 84p.

This school occupational guidance study of the San Francisco Bay Area labor market information, and employment agency - private and public - concludes that neither had accomplished their assigned missions, nor did they possess the necessary resources.

Haber, William and Daniel Kruger. The role of the United States Employment Service in a changing economy. Kalamazoo, Mich., The W. E. Upjohn Institute for Employment Research, 1964. 122p.

Historical survey of the United States Employment Service since its inception by the original Wagner-Peyser Act of 1933.

Lowry, Ira S. Migration and metropolitan growth: two analytical models. San Francisco, Chandler, 1966. 118p.

The objective of this study is to bring into closer relationship some independent methods of forecasting regional economic growth and regional population growth using migration models as a key link between the two "growth systems".

MacRae, C. Duncan and Stuart O. Schweitzer. "Help-wanted advertising, aggregate unemployment, and structural change," in Proceedings of the twenty-third annual Winter meeting, Industrial Relations Research Association, Detroit, December 1970; Madison, Wis., IRRA, 1971, pp. 87-96.

Medvin, Norman. "The job market: filling the corporate information gap," in The Development and use of manpower; Proceedings of the twentieth annual winter meeting of the Industrial Relations Research Association, Washington, D.C., December 1967; Madison, Wis. IRRA, 1968, pp. 207-216.

A major dilemma in the manpower information sense is that the government needs data from employers which are either unavailable or technically inadequate and the corporation, in turn, looks to the government for manpower data for its own manpower planning.

Nelson, James and Luther Tweeten. "Subsidized labor mobility - an alternative use of development funds." The Annals of Regional Science, vol. 7, no. 1, June 1973, pp. 57-66.

Several labor mobility projects recently have subsidized movement of workers from areas of excess supply of employment to areas of excess demand. This study estimates rates of return on public funds to promote labor mobility which can be compared with rates of return on other public investments.

Nemore, Arnold L. and Garth L. Mangum. Reorienting the Federal-State employment service. Ann Arbor, Mich., Institute of Labor and Industrial Relations, University of Michigan-Wayne State University, 1968. 67p. (Policy papers in human resources and industrial relations, no. 8).

The Employment Service currently has specific operating assignments and cooperative relations with federal agencies. The implementation of manpower programs and policies has depended heavily on established state and local institutions including the Employment Service.

Ruttenberg, Stanley H. and Jocelyn Gutchess. The Federal-State employment service; a critique. Baltimore, John Hopkins Press, 1970. 105p. (Policy studies in employment and welfare, no. 5)

The authors discuss the federal-state employment service, the manpower institution which they believe has been a formidable roadblock to social change, but could be the key to the achievement of national manpower objectives. They stress the effect of the reliance of the unemployment insurance tax; the competition with the unemployment insurance system, the lack of clearly defined goals and purpose; the inadequacy of training and the influence of the Interstate Conference of Employment Security Agencies.

U.S. Congress. House Committee on Education and Labor. Readings on public employment services; compiled for the Select Subcommittee on Labor. Washington, U.S. Gov't. Printing Office, 1964. 766pp.

"This volume of readings on public employment services has been compiled with a view to presenting a balanced sampling of the literature on agencies providing such services and their activities."

White, Constance. Help-wanted index. New York, National Industrial
Conference Board; 1970. 50p.

2. Industrial incentives.

Bjorklund, Robert L. et al. "Project STEP-UP: a system approach to upgrading laid-off disadvantaged workers," in Proceedings of the twenty-third annual winter meeting of the Industrial Relations Research Association, Detroit, December 1970, Madison, Wis., IRRRA, 1971, pp 286-295.

"To achieve true economic equality for the previously hard-core unemployed, a system must be developed that will either eliminate the lay-off or use it to maintain and upgrade both the employee's skill and socialization levels that have been improved through prior training and hiring programs."

Brecher, Charles. Upgrading blue collar and service workers. Baltimore, Johns Hopkins, 1972. 113p.

A study of upgrading practices in apparel industry, food services, public transit and health services in New York City. Conclusions drawn about occupational mobility: the occupational structure is the major determinant of the availability of upgrading opportunities within an industry; regardless of the proportion of better-paying positions within an industry, upgrading is presently the dominant means of filling them; formal training frequently is not required for occupational mobility.

Committee for Economic Development. Training and jobs for the urban poor; a statement on national policy by the Research and Policy Committee. New York, 1970. 78p.

Among other recommendations, CED points out that financial incentives for training and hiring hard-core workers should be provided to business under special contracts rather than by tax incentives that go beyond those already provided by the corporate income-tax structure.

Riessman, Frank, Lee Jacobsen and Leonard Granick. "Upgrading: the next priority in manpower policy." Urban Affairs Quarterly, vol. 6, no. 1, September 1970, pp. 33-51.

The Oxford Plan developed for the Oxford Chemicals Company by New Careers Systems Institute, New Brunswick, N.J. is presented. "In its approach, the NCSI attempts to combine all the new approaches to upgrading in a highly intensive systematic fashion directed toward providing job ladders, from entry-level positions, even into middle management."

3. Local preferences.

Burt, Everett J. Jr. Plant relocation and the core city worker; commuting and housing decisions of relocated workers: the Boston experience. Washington, Gov't. Printing Office, 1967. 161p.

Fox, Karl A. "A new strategy for urban and rural America," Appalachia, vol. 2, no. 10, pp. 10-13.

The author proposes that rural multi-country areas and metropolitan sub-areas be delineated and encouraged as functional economic units.

Galloway, Lowell E. Interindustry labor mobility in the United States, 1957-1960. Washington, U.S. Gov't. Printing Office, 1967. (Social Security Administration, Office of Research and Statistics, Research report no. 18).

The data used in this study comes from the Social Security Administration's continuous work history sample file. It focuses on both theoretical and empirical aspects of the movement of workers between industries.

Henderson, James M. and Anne O. Krueger. National growth and economic change in the Upper Midwest. Minneapolis, University of Minnesota Press, 1965. 231p.

"The authors analyze economic change in the region from 1950 to 1960 and possible future development through 1975, with projections of employment, income, population, and migration for 1975." The total employment opportunities in resource-based industries have declined and future employment growth generally will have to be based on the region's advantage in human resources.

Mann, Michael. Workers on the move: the sociology of relocation. Cambridge, England, Cambridge University Press, 1973. 265p.

A study of the complete relocation move of an industrial unit in which a large proportion of the existing labor force was successfully transferred. The focus is on relocation decisions made by the individual employees in the Birmingham area.

Newman, Monroe and Eli P. March. "Pattern of Appalachian growth in the urban economy." Appalachia, vol. 2, no. 10, August 1969, pp. 14-16.

Based on data on population, migration and income patterns related to urbanization within the region this article, which is an excerpt from a larger paper presented at the American Agricultural Economics Association meeting (1969), stresses the growth of moderately urban areas in Appalachia as an alternative to "metropolitanization."

Labor mobility and economic opportunity. Essays by E. Wight Bakke and others. Cambridge, Technology Press of MIT, 1954. 118p.

Contents: Mobility in labor force participation, by P. M. Hauser; Interpreting patterns of labor mobility, by G. L. Palmer; Labor mobility in two communities, by C. A. Myers; Manpower mobility; two studies, by D. Yoder; and, the balkanization of labor markets, by G. Kerr.

Touche Ross & Co. Upgrading low income workers-costs and benefits;
a prototype information system. Toronto, Canada, 1973. 171p.

In trying to measure the investment of a fixed and variable nature in people; the cost of the program interventions which seek to increase upward mobility and report the cost savings in terms of turnover, absenteeism; and increases in productivity, the research team has drawn on the disciplines of accounting, economics, finance and behavioral science. This study was conducted in conjunction with the Training Incentive Payments Program (TIPP) sponsored by the Manpower Administration, U.S. Dept. of Labor.

U.S. Congress. Senate. Committee on Labor and Public Welfare. The JOBS program (Job Opportunities in the business sector). Background information prepared for the Subcommittee on Employment, Manpower and Poverty. Washington, U.S. Gov't. Printing Office, 1970. 177p.

U.S. General Accounting Office. Evaluation of results and administration of the job opportunities in the business sector (JOBS) program in five cities; report. Washington, 1971. 111p.

Upward mobility of low-income workers; a research report to the U.S. Department of Labor from the Institute of Public Administration, New York. New York, 1973. 123p.

A report of the Training Incentive Payments Program (TIPP) whose purpose is to work with employers to develop incentives that will result in the upgrading of the skills and/or economic levels of low-income workers they employ.

MANPOWER RESOURCES

Blau, Peter M. and Otis D. Duncan. The American occupational structure. New York, Wiley, 1967, 520p.

Conference on the Evaluation of the Impact of Manpower Programs, Ohio State University, 1971. Evaluating the impact of manpower programs; proceedings. Edited by Michael E. Borus. Lexington, Mass., Lexington Books, 1972. 280p.

Ginzberg, Eli. Manpower agenda for America. New York, McGraw-Hill, 1968. 250p.

The author tries to explain the problems and policies that precipitated manpower into a position of national priority, delineates the various manpower programs which have been designed, and evaluates the directions in which they are moving.

Levitan, Sar, Garth L. Mangum and Ray Marshall. Human resources and labor markets; labor and manpower in the American economy. New York, Harper and Row, 1972. 619p.

This book represents an effort to integrate labor market economics, and economic theory with the acquired experience in the field of human resources development. Most of the materials we gathered during the course of Ford Foundation-funded evaluations of federal manpower programs.

Lecht, Leonard A. Manpower requirements for national objectives in the 1970's. Prepared for the U.S. Department of Labor, Manpower Administration. Washington, D.C., National Planning Association, 1968. 471p.

Hansen, Niles M. Urban and regional dimensions of manpower policy. Prepared for the U.S. Department of Labor, Manpower Administration. Lexington, Ky., University of Kentucky, 1969. 472p.

"The present study attempts to examine the interrelationships among lagging, intermediate, and congested regions, and to suggest what kind of policies should be applied to each kind of region in view of the relevant opportunity costs that face decision-makers responsible for the location of both public and private investment."

Patten, Thomas H. Manpower planning and the development of human resources, New York, Wiley-Interscience, 1971. 737p.

The author tries to provide a framework for placing developments in industrial education and training in perspective. The private practice and policies of organizations are explained and related to the public policies of government.

Rappeport, Michael. "Jobs: get them where they ain't." Washington Monthly, vol. 3, no. 1, January 1972, pp. 52-54.

In spite of the decline in manufacturing jobs, the planners in Washington continue to act as if the economic future were based on the assembly line. The Price and Wages Board represent goods-producing unions and not trade, although one-fifth of the American labor force is involved with wholesale or retail trade.

U.S. President. Manpower report of the President, a report on manpower requirements, resources, utilization, and training, transmitted to the Congress March 1973. Washington, U.S. Gov't. Printing Office, 1973. 253p.

Work in America; report of a special task force to the Secretary of Health, Education, and Welfare. Cambridge, Mass., MIT Press, 1973. 262p.

TRAINING AND ACCESSIBILITY TO TRAINING

1. On the Job.

Bass, Bernard and James A. Vaughan. Training in industry: the management of learning. Belmont, Ca., Wadsworth Pub., 1966. 164p.

A review of empirically based concepts and principles of learning that have special relevance for training; and, a strategy of training in the light of what is known about the learning process.

Button, William H. and William J. Wasmuth. Employee training in small business organizations. Ithaca, New York State School of Industrial and Labor Relations, Cornell University, 1964. 43p.

"A bulletin describing the basic steps that small business organizations may take to install, conduct and evaluate planned training activities aimed at development of critical job skills required of operative and clerical employees."

Craig, Robert L. and Lester R. Bittel. (eds.) Training and development handbook. New York, McGraw-Hill, 1967. 650p.

Myers, Charles A. The role of the private sector in manpower development. Baltimore, Johns Hopkins Press, 1971. 101p.

Business-Civic Leadership Conference on Employment Problems, Chicago, 1967. Putting hard-core unemployed into jobs; a report. Washington, D.C. National Citizens' Committee for Community Relations, 1968. 2 parts.

Extensive report of the Conference offered in assistance to employers and other community leaders who are considering starting or improving employment, recruitment, or training projects in this field. The second part contains specific case studies, techniques and information.

E.F. Shelley and Company, Inc. Private industry and the disadvantaged worker. Prepared for the Urban Coalition. New York, Urban Coalition, 1969. 106p.

This report summarizes the information and conclusions resulting from a survey and analysis of recruiting and training of low skilled minority group members by selected corporate programs.

Tickner, Frederick James. Training in modern society; an international review of training practices and procedures in government and industry. Albany, Graduate School of Public Affairs, State University of New York at Albany, 1967. 180p.

U.S. Bureau of Labor Statistics. On-the-job training and wage hour standards in foreign countries; Washington, U.S. Gov't. Printing Office, 1968. 54p.

U.S. General Accounting Office. Evaluation of results and administration of the job opportunities in the business sector (JOBS) program in five cities; report to the Congress on the Department of Labor. Washington, 1971. 111p.

The five cities surveyed are Detroit, Michigan; Oakland, California; Portland, Oregon; San Francisco, California; and Seattle, Washington. The JOBS Federal manpower program is designed to assist disadvantaged persons in achieving self-sufficiency through employment in private enterprise.

U.S. Task Force on Occupational Training in Industry. A government commitment to occupational training in industry; report. Washington, Manpower Administration, U.S. Dept. of Labor, 1968. 114p.

The Task Force was asked to recommend federal policies with respect to training in business and industry which would be addressed to their role in meeting the long-term economic and social objectives of the nation rather than to propose solutions only to "crisis" situations.

2. Institutional.

Calkins, Hugh. "Paper passports to employment: a challenge to credentialism," in The courage to change: new directions for career education, Roman C. Pucinski and Sharlene Pearlman Hirsh. Englewood Cliffs, N.J., Prentice-Hall, 1971. pp. 23-33.

The national enthusiasm for the college degree has for the most part been because of the widespread awareness of it by employers as a basic screening mechanism. Performance standards are proposed as replacement for selecting, promoting, and retraining employees.

Education in a changing world of work. Report of a Panel of Consultants on Vocational Education. Washington, U.S. Gov't. Printing Office, 1963. 121p.

Main, Earl D. "A nationwide evaluation of MDTA institutional job training." Journal of Human Resources, vol. 3, no. 2, Spring 1968, pp. 159-170.

The evaluation of 1,200 MDTA trainees and 1,600 other persons who were unemployed about the time the training course started found that the employment rate of "completers" was 78% compared with 55% for nontrainees.

National Conference on the Need for a Renewed Conception of Vocational and Technical Education, Lake Mohonk, N.Y., 1965. New conceptions of vocational and technical education. Jerry M. Rosenberg, ed. New York Teachers College Press, Columbia University, 1967. 86p.

National Manpower Council. A policy for skilled manpower; a statement by the Council with facts and issues prepared by the research staff. New York, Columbia University Press, 1954. 299p.

O'Keefe, Terrence and John F. Baum. "Equal educational opportunity for vocational education: a state supported loan program," in Proceedings of the Twenty-fourth Annual winter meeting of the Industrial Relations Research Association, New Orleans, December 1971; Madison, Wis., IRRR, 1972, pp. 398-405.

The paper points out that the post-secondary vocational students do not have equitable access to financial aid programs. The state of Indiana is considering the institution of a state supported and administered loan program.

Rosenberg, Jerry M. Automation, manpower, and education. New York, Random House, 1966. 179p.

Somers, Gerald G. (ed.) Retraining the unemployed. Madison, University of Minnesota Press, 1968. 351p.

"The studies described in this volume are among the first to evaluate the recent retraining programs for unemployed workers established under federal, state, municipal and union-management auspices." It has been estimated that there are currently twenty-nine different federally-supported job training programs in operation.

Somers, Gerald G. and Graeme H. McKechnie. "Vocational retraining programs for the unemployed," in The Development and use of manpower; Proceedings of the twentieth annual winter meeting of the Industrial Relations Research Association, Washington, D.C., December 1967; Madison, Wis., IRRA, 1968, pp. 25-35.

The established system of vocational-technical education will require a marked reorientation in the thinking of local school authorities, spurred by liberal increases in federal funds.

U.S. National Advisory Council on Vocational Education. Vocational Education: the bridge between man and his work; general report of the Council. Washington, U.S. Gov't. Printing Office, 1968. 220p.

3. Special programs for the disadvantaged.

Cain, Glenn and Robinson G. Hollister. Evaluating manpower programs for the disadvantaged. Madison, Institute for Research on Poverty, University of Wisconsin, 1970. 151p.

Diamond, Daniel E. and Hrach Bedrosian. Industry hiring requirements and the employment of disadvantaged groups. New York, School of Commerce, New York University, 1970. 390p.

Ferman, Louis A. Job development for the hard to employ. Ann Arbor, Mich., Institute of Labor and Industrial Relations, University of Michigan, 1969. 85p. (Policy papers in human resources and industrial relations, no. 11)

"This report is an attempt to specify, clarify, and evaluate the forms of job development that would serve to bridge the gap between the hard-core unemployment and work opportunities in the labor market."

Janger, Allen R. Employing the disadvantaged; a company perspective. New York, Conference Board, 1972. 76p.

Company efforts to employ and develop the disadvantaged as effective employees; with special attention to role of the National Alliance of Businessmen.

Janger, Allen R. and Ruth G. Shaeffer. Managing programs to employ the disadvantaged. New York, National Industrial Conference Board, 1970. 122p. (Personnel policy study no. 219)

This report is based on more than 100 programs. Most of the material came from interviews and discussions with company executives, although the experience of training consultants and the community is also included.

"Manpower training programs and the central city." in The central city problem and renewal policy, a study prepared by Congressional Research Service, Library of Congress, for the Subcommittee on Housing and Urban Affairs, Committee on Banking, Housing and Urban Affairs, U.S. Senate; Washington, U.S. Gov't. Printing Office, 1973, pp. 225-294.

This paper discusses the evolution of federal manpower training programs, presents the overall impact of the programs administered by the Department of Labor on the central city, and the highlights of various evaluation studies prepared by the General Accounting Office and private consulting firms.

Ryan, Michael N. and Lionel S. Lewis. "The theory and practice in educating the disadvantaged: a case study." Education and Urban Society, vol. 4, February 1972, pp. 155-176.

Discusses the college preparatory training for individuals supported by the various welfare laws known as Aid to Dependent Children under the Work Incentive Program.

Taylor, Vernon R. Employment of the disadvantaged in the public service; guidelines for an action program for state and local governments in the United States. Chicago, Public Personnel Association, 1971. 43p. (personnel report no. 711).

U.S. Manpower Administration. Breakthrough for disadvantaged youth. Washington. U. S. Gov't. Printing Office, 1969. 256p.

U.S. General Accounting Office. Federal manpower training programs. GAO conclusions and observations. Report to the Committee on Appropriations, United State Senate. Washington, D.C. 1972. 52p.

4. assimilation.

Fuller, Varden. Rural worker adjustment to urban life; an assessment of the research. Ann Arbor, Mich., Institute of Labor and Industrial Relations, University of Michigan, 1970. 87p.

"Concern about rural-urban population adjustment was very late in coming. Meanwhile, unsolved rural poverty problems were flowing into urban ghettos and there being transmuted into the second and third generations..."

Graves, Theodore and Charles A. Lave. "Determinants of urban migrant Indian wages." Human Organization, vol. 31, no. 1, Spring 1972, pp. 47-61.

A study of Navajos has been in progress for eight years in Denver in an attempt to understand factors associated with their decision to migrate and the quality of their urban adjustment.

The isolated Indians, in Human Resources and labor markets, by Sar A. Levitan, Garth L. Mangum and Ray Marshall; New York, Harper, 1972, pp. 464-482.

Unemployment, underemployment and seasonal employment are very high among Indians on the reservations. Obstacles to economic development are many. Some of the Bureau of Indian Affairs employment and some by the U.S. Department of Labor programs are discussed in this article.

Shannon, Lyle and Magdaline Shannon. Minority migrants in the urban community; Mexican-American and Negro adjustment to industrial society. Beverly Hills, Ca., Sage, 1973. 352p.

"The researches present a broad and detailed picture of minority migrants' intergration into the Anglo host society, closely examining the factors of economic absorption, cultural integration, social mobility and relations with agencies."

Taylor, Benjamin J. "The reservation Indian and mainstream economic life." Arizona Business Bulletin, vol. 17, December 1970, pp. 12-22.

This article is based on a research study which surveyed five reservations in Arizona and New Mexico. It discusses the economic conditions, employment and the assimilation potential of Indians living on reservations.

UNDEREMPLOYMENT

Gordon, David M. Theories of poverty and underemployment: orthodox, radical and dual labor market perspectives. Lexington, Mass., Lexington Books, 1972. 177p.

Harrison, Bennet. "Education and underemployment in the urban ghetto." American Economic Review, vol. 62, no. 5, December 1972, pp. 796-812.

A study of 18 urban ghettos shows that education has a very high opportunity cost for blacks living in the urban ghetto. For ghetto whites, education is translated into substantially higher earnings and significantly lower risks of unemployment.

Miller, Herman P. "Measuring subemployment in poverty areas of large U.S. cities." Monthly Labor Review, vol. 96, no. 10, 1973, pp. 10-18.

This report is based on data collected in the Census Employment Survey during the latter part of 1970 and early 1971. Twelve largest cities in the U.S. are examined on the basis of the subemployment concept as used by the Senate Subcommittee on Employment, Manpower, and Poverty (1972).

Miller, Herman. "A new look at inequality, poverty, and underemployment in the United States - without rose-colored glasses." Review of Black Political Economy, vol. 3, no. 2, 1973, pp. 19-36.

The perception of the employment problem would change dramatically if the subemployment measure were used in addition or instead of unemployment measure in the presentation of official figures of income distribution.

Rosen, Carol. "Hidden unemployment and related issues." Monthly Labor Review, vol. 96, no. 3, March 1973, pp. 31-37.

Sheppard, Harold L. The nature of the job problem and the role of new public service employment. Kalamazoo, Mich., The W. E. Upjohn Institute for Employment Research, 1969. 30p.

The paper discusses the estimates of unemployment and underemployment and offers suggestions for the solution to the problem of "hard-core" unemployment and underemployment.

SOURCES OF INFORMATION ON
MANAGEMENT CAPABILITY AND INSTITUTIONAL DEVELOPMENT

1. Organizations.

Academy of Management (AM)
1808 Newton Drive
Norman, Okla. 73069

American Institute of Management (AIM)
125 East 38th St.
New York, N.Y. 10016

American Management Association (AMA)
135 West 50th St.
New York, N.Y. 10020

American Society for Public Administration
1225 Connecticut Avenue, N.W.
Washington, D.C. 20036

Civil Service Reform Association
315 Fifth Avenue
New York, N.Y. 10016

The Council of State Governments
Iron Works Pike
Lexington, Kentucky 40505

International City Management Association
1140 Connecticut Avenue, N.W.
Room 201
Washington, D.C. 20036

National Academy of Public Administration
1225 Connecticut Ave., N.W.
Suite 300
Washington, D.C. 20036

National Assembly for Social Policy and Development
345 East 46th Street
New York, N.Y. 10017

National Civil Service League
1825 "K" Street, N.W.
Washington, D.C. 20036

National Management Association (NMA)
333 West First St.
Dayton, Ohio 45402

2. Bibliographies.

- Danak, Jagdish T. and William H. Keown. Administration and management; a selected and annotated bibliography. Norman, Okla., Regional Rehabilitation Research Institute, University of Oklahoma, 1969. 60 p.
- Harvard University. Graduate School of Business Administration. Business reference sources; an annotated guide. By Lorna M. Daniells. Cambridge, 1971. (Ref. list no. 27) 108 p.
- Liboiron, Albert A. Federalism and intergovernmental relations in Australia, Canada, the United States and other countries; a bibliography. Kingston, Ontario, Institute of Intergovernmental Relations, Queen's University, 1967. 231 p.
- Kohn, Vera. A selected bibliography on evaluation of management training and development programs. New York. American Foundation for Management Research, 1969. 24 p.
- "Management by objectives." Business and Technical Sources. vol. 42, January/March 1971, pp. 1-4.
- Olive, Betsy Ann. Management; a subject listing of recommended books, pamphlets and Journals. Ithaca, N.Y., Cornell University, Graduate School of Business and Public Administration, 1965. 222 p.
- Peterson, Richard. Bibliography on comparative (international) management. Seattle, Wash., Graduate School of Business Administration, University of Washington, 1969. 20 p.
- Suljak, Nedjelko. Administration in a world of change; an annotated multidisciplinary bibliography. Davis, Institute of Governmental Affairs, University of California, 1969. 135 p.
- U.S. Civil Service Commission. Guide to Federal career literature. Washington, U.S. Gov't Printing Office, 1969. 32 p.
- U.S. Civil Service Commission. Library. Federal Civil Service - history, organization, and activities. Washington, D.C., 1971 (Personnel bibliography series no. 43) 55 p.
- _____. Manpower planning and utilization. Washington, D.C., 1971 (Personnel bibliography series no. 39) 58 p.
- _____. Personnel policies and practices. Washington, D.C., 1972. (Personnel bibliography no. 46) 113 p.
- U.S. National Aeronautics and Space Administration. Management; a continuing literature survey - with indexes. Washington, D.C., 1968
- U.S. Veterans Administration. Executive leadership in the public service; an annotated list of selected monographs. Washington, D.C., 1969. 23 p.

3: Periodicals.

Academy of Management Journal. Department of Management, Georgia State University, 33 Gilmer St., S.E., Atlanta, Ga. 30303. quarterly.

Administrative Science Quarterly. Ithaca, N.Y., Cornell University, Graduate School of Business and Public Administration.

Advanced Management Journal. New York, Society for the Advancement of Management. quarterly.

Business Management. GCM Professional Magazines, Inc., (Subsidiary of Crowell, Collier and Macmillan Inc.), 22 W. Putnam Ave., Greenwich, Conn. 06830. monthly.

Canadian Public Administration. Toronto, Ont., Institute of Public Administration of Canada. quarterly.

Civic Affairs. Toronto, Ont., Bureau of Municipal Research. tri-annually.

Civil Service Journal. Washington, D.C., U.S. Civil Service Commission. quarterly.

Conference Board Record. New York, National Industrial Conference Board. monthly.

Economic Bulletin for Asia and the Far East. United Nations, N.Y., U.N. Economic Commission for Asia & the Far East. (3 issues plus annual survey).

Economic Bulletin for Latin America. United Nations, N.Y., U.N. Economic Commission for Latin America. (2 issues plus annual survey).

Good Government. Washington, D.C., National Civil Service League. quarterly.

Harvard Business Review. Boston, Mass., Harvard University, Graduate School of Business Administration. bi-monthly.

International Review of Administrative Sciences. Brussels, Belgium, International Institute of Administrative Sciences. quarterly.

Journal of Administration Overseas. London, England, H.M. Stationary Office. quarterly.

Management Information Service. Washington, D.C., International City Management Association. monthly.

Management Services in Government. Civil Service Dept., Whitehall, London SW1AZ, Eng. quarterly.

Occupational Outlook Quarterly. Washington, U.S. Dept. of Labor.

Public Administration Review. Washington, American Society for
Public Administration. bi-monthly.

Public Management. Chicago, Ill., International City Managers
Association. quarterly.

Quarterly Journal of Management Development. College of Business
Administration, Kent State University, Kent, Ohio 44240.
quarterly.

CREDIT AND FINANCIAL INSTITUTIONS.

Boskey, Shirley. Problems and practices of development banks. Baltimore. Published for the International Bank for Reconstruction and Development by the Johns Hopkins Press, 1959. 201 p.

Report of a conference that had two principal objectives: One was to provide an opportunity for development bank managers to talk over common problems and to learn how those problems were being dealt with by institutions in other countries; The other objective was to add to the Bank's own knowledge and understanding of the problems which confront development banks.

Clarke, William Malpas. Private enterprise in developing countries. New York, Pergamon Press, 1966. 59 p.

A study of the role of private investment in British aid to less developed countries.

Emery, Robert F. Financial institutions of Southeast Asia; a country-by-country study. New York, Praeger, 1971.

"Financial intermediation in Latin America." Economic Bulletin for Latin America, vol. 16, no. 2, 1971, pp. 1-56.

An extensive study on the topic of financial development as part of the wider issue of the mobilization of resources in Latin America and individual Latin American countries in the public and private sector.

International Bank for Reconstruction and Development. World Bank operations; sectoral programs & policies. Baltimore, Published for the International Bank for Reconstruction and Development by the Johns Hopkins University Press, 1972. 513 p.

A look at the aggregation of Bank operations by sector of activity (agriculture, industry transportation, etc.) to determine the main problems and policy issues faced by the Bank in the various fields. The papers describe the distinctive economic and developmental characteristics of each sector and review the approach and scale of Bank operations in each field.

Massaro, Vincent. "The expanding role of federally sponsored agencies: a new force develops in U.S. credit markets and policy." The Conference Board Record, vol. 7, no. 4, April 1971, pp. 14-20.

The Federal Land Bank System began with initial loans of less than \$40 million in 1917 (its first year of operation) and now federally sponsored agencies have grown to a point where their activities affect not only the programs for which they were formed, but also other important sectors of the economy.

Pan American Development Fund. Credit for marginal groups.
Washington, 1969. 252 p.

A study of the principal private sector credit institutions providing loans to marginal groups in the countries of the Dominican Republic, Chile, Ecuador, Colombia and Guatemala.

Policies for a more competitive financial system; a review of the Report of the President's Commission on Financial Structure and Regulation; proceedings of a Conference held at Nantucket, Mass., June 1972. Boston, Federal Reserve Bank of Boston, 1972. 221 p.

U.S. President's Commission on Financial Structure and Regulation. The report. Washington, U.S. Gov't. Printing Office, 1971. 173 p.

Focuses on regulatory problems relating to commercial banks, savings and loans associations, mutual savings banks, credit unions, life insurance companies and pension funds.

Weidenbaum, Murray L. "A reevaluation of federal credit programs." Tax Review, vol. 31, no. 11, November 1970. pp. 47-50.

A discussion of several of the major problems stemming from the current treatment of credit activities in the Federal budget.

White, John. Regional development banks: the Asian, African and Inter-American Development Banks. New York, Praeger, 1972. 204 p.

This study based on research carried out under aegis of the Overseas Development Institute, London, in the late 1960's argues a case for a transfer of resources away from global institutions, notably the World Bank group, to regional institutions, notably regional banks.

MUNICIPAL MANPOWER NEEDS AND THE RESPONSE

1. Career development and tenure.

DeWald, Franklin K. "Evaluation for promotion." In: Public Personnel Association: Strengthening employee performance evaluation. Chicago: 1966, pp. 31-37. (Personnel report no. 663).

Experience in Michigan Civil service is reported including changes in the system and characteristics of the present system, how to start a promotional potential rating plan and qualities to be rated.

Howell, Margaret A. and Anne M. Elledge. "Evaluating merit promotion plans in federal government." Public Personnel Review, vol. 33, no. 4, October 1971, pp. 223-227.

"Although a promotion program is designed to insure equitable promotions, one of the most difficult problems is evaluating program effectiveness in achieving equity."

International Labour Organization. Joint Committee on the Public Service. Career problems in the public service. Geneva, 1970. 63 p.

"At its 173rd Session (Geneva, November 1968), the Governing Body of the International Labour Office decided to include in the agenda of the First Session of the Joint Committee on the Public Service a question entitled: "Career Problems in the Public Service." The report deals in turn with the concept of the career service, conditions of appointment, training, advancement and promotion, and discipline. There is also a brief reference to the problems of non-established staff."

Logue, Frank. Who administers? Access to leadership positions in the administration of government. A survey and report for the Division of National Affairs of the Ford Foundation. New Haven, 1972. 112 p.

Lyal, E.A. "Promotions appeals in the Commonwealth public service: a critical assessment." Public Administration (Australia), vol. 27, no. 3, September 1968, pp. 237-255.

Historical review and critique of the promotions appeals system in the Commonwealth Public Service (Australia) with suggestions for revisions.

McGregor, Eugene B., Jr. "Problems of public personnel administration and manpower: bridging the gap." Public Administration Review, vol. 32, no. 6, November/December 1972. pp. 889-899.

The thesis of this paper is that there is much to be learned from the last 10 years of social science research and writing on manpower, especially as it pertains to career mobility and the idea of public service employment as a tool of public policy.

Shafritz, Jay M. Position classification; a behavioral analysis for the public service. New York, Praeger, 1973. 133 p.

U.S. Advisory Committee on Merit System Standards. Progress in inter-governmental personnel relations; report of the Advisory Committee. Washington, U.S. Government Printing Office, 1969. 130 p.

2. Changes in civil service.

Blackburn, G.A. "A bilingual and bicultural public service." Canadian Public Administration, vol. 12, no. 1, Spring 1969, pp. 36-44.

The article relates the achievements and problems of the Canadian federal government agencies programs in promoting the bilingual objectives of the Civil Service Act (1961) and subsequent regulations of the Civil Service Commission.

Couturier, Jean. "Governments can be the employers of first resort." Good Government, vol. 47, no. 2, Summer 1970, pp. 4-9.

This address by the Executive Director of the National Civil Service League relates some thoughts derived from a project of technical assistance, policy guidance, workshops and research into the programs of public employment of the disadvantaged.

Graham, Lawrence. Civil service reform in Brazil; principles versus practices, Austin, University of Texas Press, 1968. 233 p.

The emphasis of this study is on the 1945 to 1964 period.

Harvey, Donald. The Civil Service Commission. New York, Praeger, 1970. 233 p.

The former director of the Commission's Bureau of Recruiting and Examining discusses the Commission "as a human institution reflecting the problems, abilities, successes, and failures... since its establishment."

Lekachman, Robert. Public service employment; jobs for all. New York, Public Affairs Committee, 1972. 28 p.

The concept of the public employment programs is explained as a method of reducing unemployment, upgrading the quality of life and providing the disadvantaged with opportunities for acquiring useful training and meaningful employment.

Mosher, Frederick C. Democracy and the public service. New York, Oxford University Press, 1968. 219 p.

Oganovic, Nicholas J. "Civil service on the move; recent developments in Federal personnel administration." Civil service journal, vol. 10, no. 1, July-September 1969, pp. 1-5.

Some of the high priority programs "that will be testing the capacity of Federal managers to manage change" are in the areas of labor relations, equal employment opportunity, skills training, appeals and grievances, salary administration, merit promotion and incentive awards.

Sproat, John G. The best men: liberal reformers in the Gilded Age.
New York, Oxford University Press, 1968. 356 p.

United Nations. Dept. of Economic and Social Affairs. Report of the
United National Interregional Seminar on the Employment
Development and Role of Scientists and Technical Personnel in
the Public Service of Developing Countries, Tashkent USSR.
1-14 October 1969. New York, 1970. 117 p.

The report of the first world-wide meeting on the subject.

3. Adaptation to developmental needs and priorities.

Attir, Aryeh. Adaptation of public personnel to changes in society: general report. Brussels International Institute of Administrative Sciences, 1971. 192 p. (International Congress of Administrative Sciences, 14th, Dublin, 1968).

Bassett, Glenn A. "Manpower forecasting and planning: problems and solutions." Personnel, vol. 47, no. 5, Sept.-Oct. 1970, pp. 8-16.

The author maintains that business competition and the complexities of modern society are necessitating programs in manpower forecasting and planning which calls for changes in the skills and attitudes of those who man the personnel departments.

Clague, Ewan. "Government employment and manpower planning in the 1970's." Public Personnel Review, vol. 31, no. 4, October 1970, pp. 279-282.

Federal, state and local governments will have to consider and solve the problems raised by job redesign, union and increased salaries and demands.

Gabler, L.R. "Population size as a determinant of city expenditures and employment: some further evidence." Land Economics, vol. 47, no. 2, May 1971. pp. 130-138.

"The results of this present study suggest that large cities tend to employ and spend more per capita than the smaller jurisdictions and that this tendency is attributable - in part - to the effects of city size."

Golembiewski, Robert T., and Michael Cohen. People in public service: a reader in public personnel administration, Itasca, Ill., Peacock Publishers, 1968. 392 p.

International Management Congress. The new role of management: innovation, integration and internationalization. Proceedings 15th CIOS, Tokyo, Japan, 1969. Tokyo, Kogahusha Co., 1969. 489 p.

Kator, Irving. "Ombudsman for the Federal government?" Civil Service Journal, vol. 9, no. 3, January-March 1969, pp. 16-19.

In July 1968, the Civil Service Commission opened a Complaint Office to deal with complaints and inquiries related to the Federal personnel system. Mr. Kator describes its operation and compares and contrasts it with the Scandinavian ombudsman.

"Manpower for urban programs." Occupational Outlook Quarterly, vol. 13, no. 1, Spring 1969, pp. 12-25.

Contents: Is there really a shortage of manpower in government? Planning and administrative manpower for the cities; The search for urban manpower; The city and the computer.

Municipal Manpower Commission. Governmental manpower for tomorrow's cities; a report. New York, McGraw-Hill, 1962. 201 p.

The Commission presents a report in which it tries to formulate and provide guidelines to local governments in their search for trained and talented manpower.

Murray, Michael A. and Edwin T. Crego. (eds.) Higher education and public service careers; final report and background papers and speeches. Illinois Assembly on higher education and public service careers. Robert Allerton House, Monticello, Ill. April 5-7, 1972. Urbana, Ill., Institute of Government and Public Affairs, University of Illinois, 1972. 93 p.

New dimensions in urban America: implications for municipal administration and personnel. A project undertaken under the sponsorship of the Joint Center for Urban Studies of the Massachusetts Institute of Technology and Harvard University for presentation to the Municipal Manpower Commission. Cambridge, Mass., 1961. 116 p.

"PEP and the cities." Nation's cities, Vol. 11, no. 5, May 1973. pp. 58, 60-61, 64.

Brief summary of how the Public Employment Program has provided improved services to the cities and new job opportunities. Points to specific cities and their programs.

Romero, Frank. "Elements of a comprehensive employee development program." Public Personnel Review, vol. 33, no. 3, July 1971, pp. 169-170.

Puerto Rico's efforts to set up a program to provide adequate manpower for its private and public sector.

"A symposium towards an international civil service." Public Administration Review, vol. 30, no. 3, May/June 1970, pp. 206-263.

The growth and influence of the international civil service in the last 25 years has been considerable; the product of an inherent need for technological cooperation spawned by the creation and development of the United Nations.

United Nations. Public Administration Division. The central organs of the civil service in the developing countries. New York, 1969. 229 p.

TAX ADMINISTRATION

Break, George F. Agenda for local tax reform. Berkeley, Institute of Governmental Studies. University of California. 1970. 132 p.

One of the major tasks of this paper is to identify and analyze a variety of alternative local tax reform plans, and to suggest some federal and state fiscal changes that local voters should support if they wish to accelerate the pace at which the local financial crisis is to be solved.

Chaudhary, D.S. "Municipal tax administration in Rajasthan." Journal of Administration Overseas, vol. 10, no. 1, January 1971, pp. 43-48.

Conference on Tax Administration. Buenos Aires, 1961. Problems of tax administration in Latin America; papers and proceedings of a conference held in Buenos Aires, Argentina, October, 1961. Baltimore. Published for the Joint Tax Program by the Johns Hopkins Press, 1965.

"With tax evasion wide-spread in Latin America, the need for enforcing tax administration is urgent. Obstacles to an efficient tax administration of tax burden, and ways to eliminate tax evasion are some of the aspects explained in this record of the first of two pivotal fiscal conferences in the Americas."

Ecker-Racz, L.L. "Tax simplification in this federal system." Law and Contemporary Problems, vol. 34, no. 4 Autumn 1969. pp. 769-781.

The efforts in tax simplification of the intergovernmental arrangements here described are many but still totally absent in some states and very difficult in others. The difficulty stems from the complexity of relationships and the co-sovereign status the federal and state governments hold in taxation.

Harless, Raymond F. "Tax administration in a free society." Tax Executive, vol. 25, April 1973, pp. 169-178.

Rice, Ralph S. "Tax reform and tax incentives." Law and Contemporary Problems, vol. 34, no. 4, Autumn 1969, pp. 782-804.

Tax incentives do not arise from economics but from politics. The real question is this: Can the response of all the people and their government to the needs of the few be so swift and sure that the subterfuge of tax incentives can be abandoned?

Smith, William H. "Automation in Tax Administration." Law and Contemporary Problems, vol. 34, no. 4, Autumn 1969, pp. 751-768.

Tax Institute. Management's stake in tax administration, by Dana Latham and others. Symposium conducted by the Tax Institute. September 29-30. 1960. Princeton, 1961. 260 p.

The papers and discussion at the meeting indicate the mutual interests of administrators and taxpayers in maintaining and improving tax administration.

Thrower, Randolph W. "Administering the tax laws in a changing society." Taxes, vol. 47, December 1969, pp. 729-736.

Thrower, Randolph W. "The expanding role of business in tax administration." The Conference Board Record, vol. 8, no. 5, May 1971. pp. 41-43.

It is stated that business is a real partner of the tax administrator in making the American tax system the most effective and efficient in the world. Our system could not succeed without business' accurate and detailed recordkeeping, withholding taxes from employees, depositing, filing returns and estimates.

Woodworth, Laurence N. "Tax simplification and the tax reform act of 1969." Law and Contemporary Problems, vol. 34, no. 4, Autumn 1969, pp. 711-725.

DECENTRALIZED PROGRAM MANAGEMENT

Caputo, David A. and Richard L. Cole. "General revenue sharing: initial decisions." Urban Data Service, vol. 5, no. 12, December 1973.

"It is clear that revenue sharing may have profound implications for the distribution of political power in the United States." To measure the impact revenue sharing funds have on expenditure decisions and procedures by cities, a survey was undertaken by the International City Management Association.

Levy, Michael and Juan de Torres. Federal revenue sharing with the states: problems and promises. New York, The Conference Board, 1970. 103 p.

This study reviews and analyzes revenue sharing programs within the framework of the U.S. system of multiple and overlapping governments.

Midwest Research Institute. Federal aid program information; a survey of government needs. Kansas City, 1967. 97 p.

Pierson, Frank C. Community manpower services for the disadvantaged. Kalamazoo, The Upjohn Institute. 1972. 86 p.

As part of a general plan to decentralize many of its major functions, the federal government is delegating much of the responsibility for manpower training to state and local governments.

Problems and responses in the federalism crisis: a seminar, Hartford, Conn., June 1971. Hartford, Conn., John C. Lincoln Institute, 1971. 101 p.

Sayles, Leonard and Margaret K. Chandler. Managing large systems; organizations for the future., New York, Harper 1971, 332 p.

The authors find traditional managerial principles regarding controls, incentive systems, and planning to be inadequate in the context of large systems. They look to organization clusters to manage future projects in public sectors such as urban development, medical programs and econological improvements.

Sundquist, James L. Making federalism work; a study of program coordination at the community level. Washington, Brookings, 1969, 293 p.

The large new programs of federal aid in the 1960's have led to severe conflict between levels of government. This is a study of the federal system under stress while it is trying to coordinate various programs in Washington and in the field.

U.S. Congress. Senate. Committee on Government Operations. Criteria for evaluation in planning state and local programs; a study submitted by the Subcommittee on Intergovernmental Relations. Washington, U.S. Government Printing Office, 1967. 42 p.

U.S. General Accounting Office. Economic development programs in Bedford-Stuyvesant, Brooklyn, New York, under the special Impact Program; report to Congress. Washington, D.C. 1973. 47 p.

The Special Impact Program in the Bedford-Stuyvesant community was the first and the largest such program to be sponsored by the Federal Government.

RESPONSIVENESS TO POLITICAL AND SOCIAL NEEDS (GOVERNMENT)

Andrews, Edith W. and Maurice Moylan. "Scientific and professional employment by state governments." Monthly Labor Review, vol. 92, no. 1, January 1969, pp. 607-619.

State governments use only 3 percent of such workers, highly concentrated by occupation in one of three types of agencies: highways and public works, health and welfare or agriculture and conservation.

Drucker, Peter F. "What can we learn from Japanese management: decision by consensus, lifetime employment, continuous training, and the godfather system suggests ways to solve U.S. problems." Harvard Business Review, Mar./Apr. 1971, pp. 110-122.

Hersey, Paul and Kenneth H. Blanchard. Management of organizational behavior: utilizing human resources. Englewood Cliffs, Prentice-Hall, 1969. 147 p.

In managing for organizational effectiveness, the authors propose a tri-dimensional leader effectiveness model - one based on the use of a behavior style suited to the demands of the environment.

Macy, John W. "Government services: an urgent need for talent." Occupational Outlook Quarterly, vol. 10, September 1966, pp. 3-7.

This article is based on an address before the American Personnel and Guidance Association meeting, Washington, D.C., 1966.

Newland, Chester A. "Personnel concerns in government productivity improvement." Public Administration Review, vol. 32, no. 6, November/December 1972, pp. 807-815.

This article examines productivity bargaining, formal production incentive systems and manpower planning.

Pittsburgh University. Graduate School of Public and International Affairs. Career and educational opportunities in the urban professions. Pittsburgh, Pa., 39 p.

Career opportunities in nineteen professional fields; the required professional education available; fellowship assistance, internship and other career entrance opportunities and placement services offered.

Smith, Bruce, L.R. and D.C. Hague. (eds.) The dilemma of accountability in modern government. New York, St. Martin's Press, 1971. 391 p.

"This book is a pioneering effort to explore a new phenomenon of government: the area of activity which is neither clearly public nor clearly private." Papers in this book grew out of a conference held at Ditchley Park, England in 1969.

United Nations. Dept. of Economic and Social Affairs. Interregional seminar on administration of management improvement services; Copenhagen, September-October 1970. New York, 1971. 3 v.

The objectives of the seminar were to define the goals, formulate the strategy, design the machinery for management improvement activities to review international cooperation in this field.

Uris, Auren. Mastery of management; how to avoid obsolescence by preparing for tomorrow's management today. Homewood, Ill., Irwin, 1969. 265 p.