

Background Paper 79-9

STRUCTURE AND FUNCTION
OF STATE PLANNING

EXECUTIVE SUMMARY

It is becoming increasingly imperative that state government function as efficiently as possible. The activities of state government are spread throughout numerous departments, agencies and bureaus. A host of programs are being undertaken, and taxpayers and administrators are seeking greater governmental efficiency--the best services available for the least amount of money. State policy planning is a procedure that many states are using in an attempt to create a measure of order out of this seeming confusion.

The objective of state policy planning is to establish a central core of goals, priorities and policies and to organize the state government's programs around this core in such a way as to achieve a unified approach to issues of concern. Thus, the product of state policy planning is more than a book containing goals and policies. It is a continuously functioning system that includes defining of goals, priorities and policies, and management of state government in conformity with these guidelines.

The responsibility for defining goals, priorities and policies lies with the "policymakers"--primarily the legislators and the governor. It is the function of the state planning office to provide the actual structure or framework by which all state programs flow to the central policy core, are evaluated and then proceed out of the core in a unified, coordinated manner. Such "tools" as the budget, new program design, review of federal activities and grants, facility siting and environmental regulations can be utilized to insure implementation of the state goals, priorities and policies.

In those states which have enacted or considered more comprehensive policies, the legislature often has established committees that handle state planning or growth. The National Conference of State Legislatures concludes that state planning committees in each house or a joint committee is advisable. The Advisory Commission on Intergovernmental Relations recommends the joint legislative committee structure as being most effective.

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STRUCTURE AND FUNCTION OF STATE PLANNING

State planning has experienced a stormy evolution. It has changed significantly in the past and is still in the process of rapid transition. The simple model upon which a legislature or governor may pattern the state's program does not exist. However, the insight gained in looking at the trends and examining current and past efforts can be vital in defining the future of a state's planning efforts.

The purpose of this background paper is not to take the current point in time and attempt to portray "state planning." Nor is it to describe specifically each of the fifty states' planning programs. They are changing too rapidly. The purpose of this paper is to identify the trends in the field and explain types of state planning programs that are appearing to show positive results, even as they are evolving and in transition.

I. HISTORY AND TRENDS

Early efforts at state planning were an outgrowth of already established city planning techniques. The basic directions were toward comprehensive plans showing the physical layout of natural and man-made features. In a sense, an effort was made to move city planning techniques up to the more expansive state level. In this form, it was never possible to integrate state planning into the day-to-day administrative and policymaking machinery of government. Thus, state planning was essentially ineffective until relatively recent years.

The late 1960's brought a major new direction to state planning. Most states found that the comprehensive development plans of the city planning type were impractical at the state level. State planning began to become more closely allied with the actual administration of state government. The potential value of planning in policy definition, program

coordination, and state government management became apparent. In the last few years most state planning agencies have moved toward these activities.

Generally, state planning has evolved from an emphasis upon planning the physical aspects of the state to policy planning and management of the state government itself. The remainder of this background paper is devoted to explaining how state policy planning is being utilized to manage state government in a more efficient manner.

II. STATE POLICY PLANNING AND IMPLEMENTATION

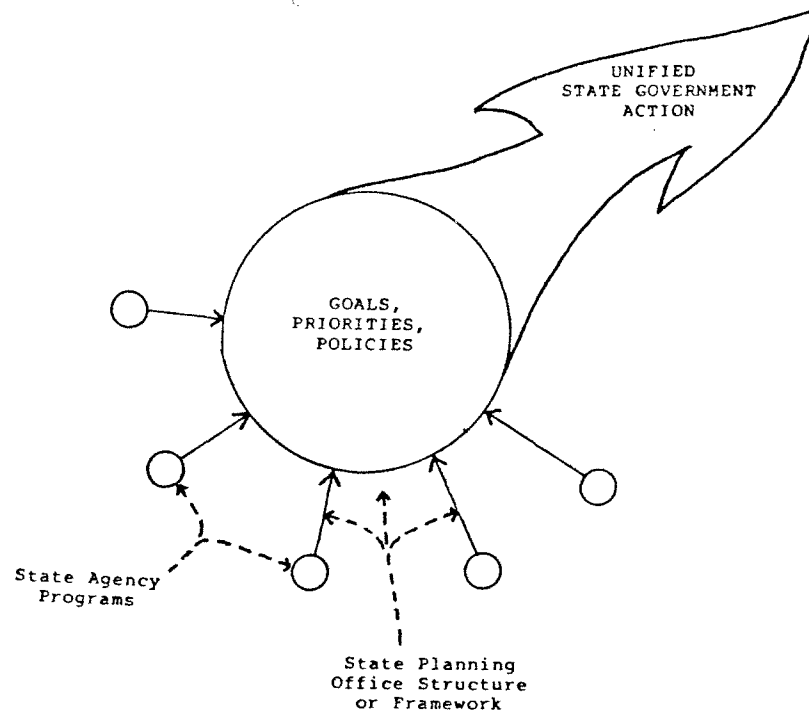
The activities of state government are spread throughout numerous departments, agencies and bureaus. A host of programs are being undertaken, and taxpayers and administrators are seeking greater governmental efficiency--the best services available for the least amount of money. State policy planning is a procedure that many states are using in an attempt to create a measure of order out of this seeming confusion.

The objective of state policy planning is to establish a central core of goals, priorities and policies and to organize the state government's programs around this core in such a way as to achieve a unified approach to issues of concern. Thus, the product of state policy planning is more than a book containing goals and policies. It is a continuously functioning system that includes defining of goals, priorities and policies, and management of state government in conformity with these guidelines.

The responsibility for defining goals, priorities and policies lies with the "policymakers"-- primarily the legislators and governor. In most cases, the various state agency programs are used to implement these policies. The state planning office provides staff assistance to the policymakers in their defining of goals, priorities and policies and coordinates or "orchestrates" the various programs used to implement the policies.

As in the illustration, the goals, priorities and policies form the central core around which the diverse state programs are located. Each state program is to flow into this

central core to make certain that it fits within the overall state approach. It is the function of the state planning office to provide the actual structure or framework by which the programs flow to the central core, are evaluated, and then proceed out of the policy core in a unified, coordinated manner.



In the early- and mid-1970's, state policy planning programs tended to emphasize the derivation and articulation of state goals and policies. In the mid- to later-1970's, the emphasis is shifting to implementation of the state goals and policies to assist in management of state government. Several states have found that simply identifying goals and policies is not effective unless the actual methods and structures for implementation of these goals and policies are specified and coordinated into a unified effort to address the issues facing the state.

The policy planning system, therefore, can be broken into two parts--(1) establishing state goals, priorities and policies, and (2) establishing and managing the structure through which these policies are implemented in a unified manner.

Establishment of State Policy

Methods which have been utilized to establish state goals, priorities and policies range from very simple to quite elaborate. One of the less complex is the North Carolina example in which the governor and his staff annually write down what he sees as the priorities and policies of his administration. These statements of direction are distributed and become the established policies and priorities of the executive branch of government. In a more elaborate example, the State of Washington has undertaken a multi-year effort that includes many local workshops, an appointed commission, newspaper surveys, and commercial television time.

In the states that have developed relatively sophisticated methods for defining state policy, three general "types" can be identified--(1) alternative futures analysis; (2) strategic issues identification; and (3) the governmental administration approach. However, it must be emphasized that the categories represent invented, arbitrary divisions and that elements from each of the "types" are found in virtually every state's method of formulating policy.

1. The "alternative futures" approach is usually comprehensive in nature. It is designed to develop a range of future scenarios based upon alternative courses of action and to seek public preferences relative to the scenarios. A framework of policies is derived from these preferences to guide executive and legislative governmental decisions. The success of the effort depends on the involvement of a broad base of citizens, local officials, voluntary organizations, business interests and legislators. When an appointed commission is utilized, the product is usually an advisory report to the governor or legislature or both. The Commission on Maine's Future is an example of a typical "alternative futures" approach. (See Appendix I for descriptions of various state policy planning programs.)
2. The focus of the "strategic issues" approach is on solving current problems. Current problems are identified and studied, and policies are developed to address these specific issues. Public participation activities

are also regarded as a necessary component in the process of choosing objectives and setting policies. Typical subject matter in the strategic issues approach includes city sprawl and land use conflict, community deterioration, economically distressed areas, adverse impacts of accelerated growth, and environmental pollution. However, the range of potential topics is as broad as the issues facing a state.

3. In the "governmental administration" approach, the goals and objectives are generated within the governmental framework. These goals and objectives are usually provided by the governor and the line agencies. The state planning office often is responsible for analyzing the relationship between agency goals/programs and the problems they are intended to address. Agency-defined missions are evaluated for consistency with the governor's priorities and for overall coherence. Crucial policy choices are presented to the governor in the form of options for operational and capital spending. Once these decisions are made, the state planning office usually has continuing responsibility for inter-agency and intergovernmental policy coordination, while the budget division monitors fiscal performance. Georgia is a typical example of the "governmental administration" approach. (See Appendix I.) This approach usually does not include a significant public participation component, and the legislature characteristically only provides review and final decision on executive recommendations. However, the process easily could include public input and legislative participation in definition of the broad goals and policies. It might also incorporate legislative decisions on the crucial policy choices and legislative analysis of alternative financial expenditures rather than the relatively less complex review of a set of executive recommendations.

In summary, it fairly may be stated that most state policy establishment programs are a combination of the three "types" described above. As the programs evolve, the lines of separation become hazy or obliterated. It has begun to appear that the "scenario" efforts may be too broad and comprehensive. It is turning out to be difficult to project broad pictures of the future with accuracy. As a result,

some studies are recommending that "alternative futures" programs begin by outlining categories of issues for which input will be sought. These categories of issues might include such things as growth, natural resource development, health, the aging, social services, water utilization, education, and any others that may be pertinent. Priorities, policies and alternative future scenarios could then be based upon a less comprehensive set of variables.

The goals, priorities, and policies developed through these efforts may be simply recommendations from a commission, they may be adopted by the governor, or they may be adopted by the legislature as is the case in Florida. It is acknowledged that, although it may be time-consuming to obtain adoption by the top policymaking institutions, their commitment to the goals, priorities and policies is directly linked to effectiveness. The possible roles and activities of the legislature are discussed more fully in a later section.

Implementation of State Policies

Many experts in the planning field maintain that choosing a method for establishing state goals, priorities and policies is not as crucial as designing a structure to implement these policies after they are established. The goals, priorities and policies are not an end within themselves. They are a means to an end, if they are implemented in a way that will produce a uniform state government approach to issues of importance. In many states, the state planning office provides the structure which insures meaningful implementation of the goals, priorities and policies.

The state planning office may directly utilize or participate in utilization of several "tools" to insure that state goals, priorities and policies are being implemented. Some of these "tools" already exist within state government, but it is important to understand the ways that they may be organized to achieve a unity of state government action. A list of possible tools is presented on the following page, and a concise discussion of each is contained in Appendix II. It should be emphasized that all tools need not be

utilized to achieve meaningful implementation of the state goals, policies and priorities, nor do all of the tools need to be placed directly in the state planning office.

1. Coordination of functional planning within state agencies-interagency coordinating councils; review of state agency plans for compliance with goals, priorities and policies; tailoring federally mandated planning programs to fit state goals, priorities and policies.
2. Budget preparation and review - allocation of funds to agencies based upon state goals, priorities and policies.
3. Program analysis and design - review of agency programs to ascertain if they fit within state goals, priorities and policies; new program design and obsolete program elimination; initially "start-up" programs can be placed in the state planning office to insure that they will be effective and fit within state goals and priorities when they are transferred into line agencies.
4. Preparation of legislation - write legislation to fill voids or to complete the package relative to implementation of state goals, priorities and policies.
5. Coordination of federal grants coming into state government - insure that state priorities rather than only federal priorities are being met.
6. Review of federal projects, programs and environmental impact statements - expansion of clearinghouse function (A-95 review process) to include analyses based upon state goals, priorities and policies.
7. Review of federal grants to entities other than state government - comparison of substate grant proposals and grant allocations to state goals, objectives and policies.
8. Mandated guidelines and review of local plans - definition of guidelines through "futures" program or statutes and subsequent review of local plan to insure compliance.

9. Technical assistance to local governments - planning assistance; "grantsmanship" assistance in conformity with state goals, priorities and policies.
10. Capital investments and facility siting - especially relevant to growth-related policies.
11. Taxation - tax incentives and disincentives usually associated with growth-related policies.
12. Environmental regulations and environmental impact statements - designing of air and water quality regulations to fit state goals, priorities and policies; state environmental impact statements especially relevant to growth-related policies concerning construction in flood plains, building on unstable soils, location of key facilities, etc.; coordination of these various agency regulations; can be incorporated into several previous categories.

It should be reemphasized that the preceding description of tools which can be utilized to implement state goals, priorities and policies is only a "shopping list" from which choices can be made. Many of the elements already exist in state government. However, the specific structure to pull these elements into a unified approach usually does not exist. The state planning office is evolving to perform this function in many states.

III. STATE PLANNING STRUCTURE

The placement of the state planning office within the overall state government organization is significant. Also of interest is the internal structure of the state planning office itself. Both factors influence the effectiveness with which the office can perform its functions.

Placement Within State Government Organization

There are four primary organizational locations for state planning. They include:

- (1) In the governor's office (34 states);

- (2) Within a department of administration, usually associated with budget and other administrative functions (9 states);
- (3) As a separate department (4 states); and
- (4) Within a department of community and/or economic affairs (5 states).

In addition, there are designated state planning divisions within the New York Department of State, the North Dakota Department of Accounts and Purchases, and the South Carolina Budget and Control Board. It should also be noted that five states (Colorado, Montana, Ohio, Rhode Island, and Tennessee) have two locations in state government where state planning functions are performed.

Appendix III contains a chart that specifies the location of state planning within each state government structure. The chart also outlines which states formally associate the planning and budget functions in some manner (22 states), and those states which associate planning with the typical community/economic affairs and/or technical assistance functions (18 states).

Research has shown that the state planning system performs most effectively when the administrator of the state planning office is organizationally close to the governor. Thus, a structure where the state planning function is located in the governor's office appears to be best. A separate department for state planning can be productive if the administrator has close ties with the governor. The structural arrangement of combining planning into the department of administration tends to put the planning function too far from the governor and limits the implementation tools to utilization of the budget.

Internal Structure of State Planning Office

In many cases the internal structure of the state planning office has been developed as the office evolved, and thus the organization can be traced to past activities of emphasis. The internal structure of the office is not nearly as important as the functions that are placed in the office and

the efficiency with which these functions are organized to achieve a unified product. It is usually considered the responsibility of the administrator to structure his organization in such a way as to most effectively produce this unity. States that emphasize coordination of agency planning and program evaluation/design often have a specialist in each field, such as natural resources, human resources, economics, transportation, etc., in the state planning office. States that emphasize utilization of the budget as a tool to implement policies traditionally do not exhibit this tendency to specialize by subject category.

The document entitled "State Planning - New Roles in Hard Times" summarizes an "idealized" state planning process and structure as follows:

In this idealized state planning process, the state planning agency is responsible for making the system perform with sustained effectiveness. The planning office director reports directly to the Governor. The state planning agency and the budget office have established lines of demarcation between their functions, while working out the basis of maximum collaboration. The community affairs agency provides the channel of communication between state and local governments, encouraged by the Governor to be the intermediary in regard to policy determination as well as program performance.

Formal interagency and intergovernmental councils provide the mechanism for communication among elements and ensure coordination. Through these committees, state agencies and regional councils participate in the formulation of state policy.

IV. ROLE OF THE LEGISLATURE

Traditionally, state planning has been within the province of the executive branch of government. However, as state planning has evolved into a policy definition and implementation function, the necessity of legislative involvement has become apparent. The legislature is the ultimate policy

body in the state, and the legislature is fundamentally interested in efficiency in state government.

Legislatures have always defined policy through such things as allocation of funds, establishment of programs and regulatory actions. However, comprehensive consideration of goals, priorities and policies for the state has rarely been undertaken. In most states, the legislatures have involved themselves to the extent of establishing the state planning office and authorizing its functions. In a few states, the legislatures have become active in the actual derivation and articulation of the policies and priorities that are to guide state government actions.

Establishment of State Planning Office and System

There are basically four types of legal approaches used by states to establish a state policy planning office and system--detailed legislative mandate, general legislative mandate, a combination of legislation and executive order, and executive order alone. The detailed legislative mandate provides for a strong role to be played by the legislature in the formulation of the responsibilities assigned to the state policy planning agency, its location in the government, its linkages with other state agencies and its relationship to the state budget process. Maryland offers an example of a detailed legislative mandate.

In the alternative involving a general legislative mandate, the legislature establishes the state planning office and some parameters, but basically delegates definition of specific state policy planning activities to the governor. The third alternative uses a combination of legislation and executive order. For example, the Vermont General Assembly assigned overall state planning responsibilities to the governor's office and specified that the governor by executive order may determine the duties, responsibilities and organization of the state planning office. In the fourth alternative, the governor assumes sole responsibility for establishing the state policy planning system through the use of an executive order. The legislature has no direct influence upon the characteristics of the system, but retains indirect influence through allocation of funds. This last approach,

less common than the others, has been taken in Mississippi. Appendix IV contains a listing of each state and the specific legal instruments used to establish state policy planning.

Forty-five states have detailed or general legislation establishing a planning system and creating a state policy planning agency or assigning this function to the governor. Executive orders are used as the sole authority for state policy planning by only three states. In 11 additional states, an executive order has been issued in response to a law requiring the governor to establish a policy planning system.

Legislative Role in Actual Policy Planning System

In some states, the legislature has become involved in the actual policy planning system. However, comprehensive legislative involvement is relatively recent and roles are not firmly established in very many states. Some legislatures retain "oversight" responsibility while others, like Florida, actively participate in development and/or adoption of the state goals and policies.

Several states have developed specific systems for oversight and evaluation of executive agency activities, especially those of the state planning agency. These efforts are often tied to the appropriations process, and certain agencies are mandated to report to specified committees relative to their activities. Executive planning agencies in 27 states are authorized or directed to provide assistance to the legislature. Additionally, in several states the legislature has authorized establishment of "futures" commissions, and legislators often sit as members of these commissions. In these ways, the legislature can "keep an eye" on the policies and priorities that are being established, and retain a measure of input.

In the area of growth policies, legislatures have become more involved in deriving and adopting state policies. The Florida legislature, through its committee structure in regular session, derived and adopted a state growth policy that is to be reviewed and revised annually by the legislature.

The Hawaii legislature has adopted a growth policy plan that was developed primarily within the executive branch. In 1976, the Connecticut legislature passed a law establishing a process for legislative adoption of a State Plan of Conservation and Development. The Commissioner of Planning and Energy Policy is to revise the existing plan and submit it for legislative adoption in 1979. In 1974, the Georgia legislature passed a law requiring the Office of Planning and Budgeting to develop a growth policy for the state. However, there is no requirement for the Georgia growth policy to be adopted by the legislature.

A major problem in the legislature's becoming involved in deriving, reviewing or adopting state policies is the comprehensive nature of these types of policies. Their comprehensive character does not parallel the divided, functional nature of legislative committees. In those states which have enacted or considered more comprehensive policies, the legislature has committees that handle state planning or growth. For example, Florida has given the responsibility to specific standing committees. Connecticut has established a joint Committee on State and Urban development to handle growth and planning legislation. Select, interim and study committees have been used frequently to consider growth and planning legislation, but their power and legislative authority varies. The following quote is taken from "The Legislature's Role in State Comprehensive Planning and Growth Management" which was compiled by the National Conference of State Legislatures:

It appears that establishment of state planning committees in each (house of the) legislature or a joint committee is a better mechanism (than joint bill referral or hearings). Such a committee structure would allow a legislature to assist in policy development and revision traditionally the prerogative of the executive branch planning department. It would also remove the legislature from the role of simply approving plans developed by the executive branch.

The Advisory Commission on Intergovernmental Relations (ACIR) has recommended the joint legislative committee on state planning as a mechanism for increased

legislative activity during a state's planning process. This committee would serve as the focus for development, revision, and implementation of that state's comprehensive plan. Members of the committee could include those legislators on committees or subcommittees having jurisdiction of the state planning office in the respective houses.

The ACIR further recommends this structure because it would improve coordination between the two houses in the legislature and would enhance legislative-executive interaction. In addition, ACIR recommends that this committee have powers commensurate with other legislative committees and that it be staffed adequately enough to shoulder its responsibilities.

V. OTHER STATES

Every state has some formal state planning program. In the different states, this program may be responsible for undertaking many various functions. However, the trend in state planning is toward policy definition and implementation with the objective of more efficient management of state government. The present background paper has been limited to those states that appear to be following this trend. However, it should be noted that states approach this effort in differing manners, and the policy coordination function is often combined with other types of responsibilities that have been assigned to the state planning office.

Several states, at least by reputation, have taken the lead in developing systems to derive and implement state policies. Outlines of some of these state programs are included in Appendix I.

VI. STATE PLANNING IN NEVADA

In the early 1960's when state planning was being redesigned nationwide, Nevada's Governor Grant Sawyer chaired the subcommittee on State Planning of the National Governors' Conference. This subcommittee prepared "State Planning: A Policy Statement" which initiated the major conceptual changes in the planning field of those years.

Meanwhile, in the State of Nevada the state planning function was beginning to be established. The responsibility for "the preparation of a comprehensive state plan for the economic and social development of the State" was given to the State Planning Board. The Urban Planning Division was instituted under the State Planning Board. However, the State Planning Board's activities centered upon planning for state capitol expenditures, and indeed its title was later changed to the State Public Works Board.

The 56th legislature in 1971 established the Governor's Committee on Efficiency and Economy. This committee prepared a report entitled "To Conduct the Public Business" which recommended that the state institute a planning coordination program. The governor initiated the program in 1972, and the 57th legislature concurred by continuing to fund the effort. The subcommittee's report further recommended that the Urban Planning Division be shifted from the State Planning Board to the Governor's Office to be under the supervision of a State Planning Coordinator.

By executive order of May 23, 1973, the governor established the office and specified the duties of the State Planning Coordinator. The 1973 state legislature transferred the responsibility for "the preparation of a comprehensive state plan for the economic and social development of the State" from the State Planning Board to the governor. And by executive order of July 1, 1973, the Urban Planning Division was officially transferred from the State Planning Board to the governor's office.

The duties of the State Planning Coordinator were established as follows in the executive order of May 23, 1973:

1. Prepare and revise from time to time, as necessary, the State Goals, Policies and Objectives Report. (The legislature has not funded this activity in recent years.)
2. Assist in preparation of recommendations for the Biennial Executive Budget and legislative program of the Governor.
3. Coordinate planning among federal, state and local levels of government and between the State of Nevada and other states.

4. Coordinate all state agency planning and programming activities.
5. Prepare or cause to be prepared any studies and reports, or interim and functional plans necessary or useful in the preparation and revision of the State Goals, Policies and Objectives Report.
6. Serve as the state planning and development clearinghouse and recommend designation of regional and area-wide clearinghouses.

The State Planning Coordinator's Office initiated in 1974 an effort to outline the goals and objectives of the state agencies. Proposals for a major state policy planning program were discussed by the legislature in 1975, but the proposals were not enacted at that time. Since that time, the Planning Coordinator's Office has emphasized the functions of policy assistance to the governor, clearinghouse for review of federal projects, grantsmanship, economic development planning, and general planning coordination.

In his 1979 State of the State speech, the governor has proposed a "futures"-type program which is designed to move Nevada into the first stages of an organized state policy planning program. If the "futures" program is initiated to provide state goals, priorities and policies, it will be necessary to organize several semi-related state programs into a specific system to implement the policies. (See "Implementation of State Policies" in section II of this paper.) Many of the "tools" necessary to implement state goals, priorities and policies are already functioning in the Nevada state government structure. However, they have never been directed toward an organized, structured state policy planning system. Some of these "tools" that are currently functioning within the Nevada state government may be outlined in the same format as was used in section II:

1. Coordination of functional planning within state agencies-- the state planning coordinator's office is charged with this responsibility, but no formal mechanisms have been developed. Interagency coordinating councils do not

exist, but exchange of information has been accomplished through the Nevada Resource Action Council and the State Study Team. The state goals, priorities and policies which would be the focus of this coordination do not exist.

2. Budget preparation and review--budgets are prepared on a program basis with the agency's goals and objectives outlined. Budgets are reviewed by the budget division of the department of administration and by the fiscal division of the legislative counsel bureau. However, neither of these reviewing entities has a comprehensive set of goals, priorities, and policies with which to evaluate the agency's budget requests.
3. Program analysis and design--this function has been left primarily to the executive divisions, and programs have not been evaluated in light of overall state government direction. A couple of programs have been "started-up" in the state planning coordinator's office to evaluate potential effectiveness.
4. Preparation of legislation--executive agencies recommend legislation relative to their programs, but no state office prepares legislation from the perspective of overall goals, priorities and policies.
5. Coordination of federal grants coming into state government--federal grants coming into state government are reflected in the budget document, but a lack of established state goals, priorities and policies makes it virtually impossible to insure that these grants meet state priorities rather than only federal objectives.
6. Review of federal projects, programs and environmental impact statements--the A-95 clearinghouse review process is handled through the state planning coordinator's office. However, the notices of federal actions are simply sent to state agencies for review; then the comments are accumulated and sent back to the federal agency. The state planning coordinator's office very seldom prepares a state position relative to the federal actions, and the federal actions cannot be analyzed in light of state goals, priorities and policies which do not exist.

7. Review of federal grants to entities other than state government--many grants flow through the state planning coordinator's office, and the governor through this office has significant influence over these substate allocations. Best judgment can be utilized in allocating these funds, but no unified state direction has been established.
8. Mandated guidelines and review of local plans--Nevada law states that the governor may prepare plans and zoning ordinances for those local entities that have not made progress in adopting these plans/ordinances. All except a couple of local governments have implemented master plans and zoning ordinances. The law also mandates/recommends certain elements for inclusion in local master plans. No formal guidelines are established, and no system for review of local plans has been instituted.
9. Technical assistance to local governments--technical planning assistance is provided through the Nevada state land use planning agency. "Grantsmanship" is provided through the state planning coordinator's office, but no staff is specifically assigned to this function.
10. Capital investments and facility siting--the Nevada public works board, the public service commission and the department of energy are responsible for various facility siting programs. However, no state goals, priorities and policies are available to guide these agencies' activities.
11. Taxation--the agricultural and open space tax deferral program is an example of taxation being utilized to achieve social objectives in Nevada.
12. Environmental regulations and environmental impact statements--Nevada does not require environmental impact statements on private or public projects. Environmental regulations are administered primarily through the division of environmental protection and the state health division. A combination of federal

and state guidelines from several sources influence the direction of these programs, but no overall state direction through goals, priorities and policies is available to provide guidance.

A correctly functioning state policy planning system would provide a structure through which these existing efforts could be made to address a unified set of state goals, priorities and policies.

SUGGESTED READINGS
(Available in the Research Library)

"State Planning: New Roles in Hard Times," The Council of State Governments, Lexington, KY, September 1976.

"State Planning Series" by the Council of State Planning Agencies, 1977, including the following:

Harold F. Wise, "History of State Planning--An Interpretive Commentary."

Lynn Muchmore, "Concepts of State Planning."

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The Research Group, Inc., "The Legal Basis for State Policy Planning."

Cogan and Associates, "Statewide Policy Instruments."

"The Legislature's Role in State Comprehensive Planning and Growth Management," The National Conference of State Legislatures, Washington, D.C., November 1976.

Robert N. Wise, "State Planning" in the Book of the States 1978-79, Vol. 22, The Council of State Governments, Lexington, KY, pp. 483-489.

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Earl M. Starnes, "A Legislative Growth Policy," in State Planning Issues by The Council of State Planning Agencies, 1975, pp. 46-48.

Leonard U. Wilson, "A State Solution to the Federal Program Dilemma," in State Planning Issues by The Council of State Planning Agencies, Vol. 2, No. 2, Summer 1978, pp. 15-18.

"An Executive Order by the Governor," State of Nevada, Executive Orders of May 23, 1973, and July 1, 1973.

APPENDIX I

SUMMARY OF SELECTED STATE
PLANNING PROGRAMS

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Georgia

Georgia provides one of the earlier examples of state planning and budgeting procedures being integrated through utilization of established state goals, priorities and policies. In 1972, Governor Jimmy Carter integrated Georgia's planning and budget process, creating the Office of Planning and Budget (OPB) and combining planning, management analysis, intergovernmental relations and budgeting. He also introduced zero-base budgeting. This system continues to be the principal instrument of policy coordination.

Reorganization of OPB has created functional divisions of physical and economic development, human development, education and intellectual development, energy resources, general government and protection, intergovernmental relations, and management review, which reflect the combining of planning and budgeting as management and policy sciences. Three products are central to the Georgia policy process: an annual governor's policy statement, his budget recommendations and his legislative package.

The Office of Planning and Budget directs the annual cycle of activities that produce the substance of these documents. The office analyzes key statewide issues. These are put into an order of priority by the governor and transmitted to the agencies for incorporation in the budgetary and other legislative requests. This means that each agency's submissions can be analyzed within the framework of overall policy guidelines related to the administration's objectives.

The governor's policy statement--in 1978 a 169-page printed document--outlines policies, analyzes problems of implementation and describes present and proposed programs to overcome obstacles and achieve specified objectives in seven major areas of statewide concern. The budget document identifies program objectives, effectiveness measures and recommended funding levels for various programs within the seven program areas.

Zero-base budgeting requires each agency to identify, cost and rank in order of priority every individual program in operation. Alternative methods of operating the programs must be explored, and the selected method justified. The budget request for each program is essentially a 1-year financial plan for incremental achievement toward long-term objectives.

The budget material is developed by the agencies responsible for service delivery and is reviewed by joint planning and budget teams. The OPB planning staff assists agency planners in developing objectives consistent with the governor's policy guidelines and in identifying measures of effectiveness. The legislative package is assembled through the same process. The legislature is presented with policy positions, budget requests and legislative proposals that are mutually supportive.

Recognizing the impact of federal programs on state planning and budgeting, OPB continually monitors federal agency and congressional activity. As is common to most state planning offices, it has the added responsibility of coordinating state, regional and local applications for federal funding through the Office of Management and Budget Circular A-95 process.

(Sources: Leonard U. Wilson, "A State Solution to the Federal Program Dilemma," State Planning Issues, Vol 2, No. 2, Summer 1978, p. 18.)

Hawaii

The State of Hawaii has been a leader in state planning, especially in relationship to growth management. Its unique physical situation fosters some planning techniques that would not be applicable under different circumstances, but many of the state's approaches could apply elsewhere.

Hawaii combines state planning and community affairs activities with economic development in a cabinet level department. The reason, according to an official state publication, is that "planning isolated from development can become a futile exercise; development isolated from good planning can bring helter-skelter growth." Growth and land use problems

preoccupy the Island government prompting the Department of Planning and Economic Development to emphasize the integration of economic and population analysis and land use and development planning with business and industrial programs.

The Hawaii Land Use Law was enacted in 1961. A nine-member Land Use Commission was established with power to divide the state into conservation, rural, urban, and agricultural districts. Land in the urban category could be used for purposes permitted by local zoning ordinances, but land in the rural and agricultural districts has to comply with the commission's regulations, and land in the conservation district is governed by regulation of the State Department of Land and Natural Resources.

Hawaii's planning since 1961 has emphasized the "alternative futures" process and state policy planning. The Hawaiian planners laid out a number of goals and objectives based on four alternative future scenarios ranging from continuation of present policies to policies designed to accelerate growth. Although the original recommendations fell short of providing decisionmakers with the detailed information to facilitate the implementation of a rational program, they did provide some indication of the impact of the four alternative futures. From this information, Hawaii has opted for a program designed to encourage selective growth through attempting to moderate and change the past trends and location of growth in order to create a rational development program for achieving economic progress while preserving the unique environmental character of the Islands. The primary objective of the planning effort is growth management through the prescribed implementation of state policies. In addition, the adoption of these policies by the governor and the legislature is designed to provide policy direction and the basis of policy coordination throughout state government in, for example, the budgeting and A-95 clearinghouse processes.

In 1975, the Hawaii legislature mandated development of a state comprehensive planning policy by the department of planning and economic development. The Hawaii State Plan, which outlines goals, policies, objectives and priorities

for the state's future development, was adopted by the legislature and signed into law on May 21, 1978. The plan was developed primarily by the department of planning and economic development, under the guidance of a policy council which included planning directors from each county and state departmental and agency heads. Public meetings and formal hearings were held on all major islands to obtain public participation in shaping the plan. The plan, said Governor Ariyoshi, is "second in importance only to the Hawaii State Constitution in asserting the sovereign rights of the people of Hawaii * * * ."

The plan addresses five major areas of state concern: population, economy, the physical environment, facility systems, and sociocultural advancement. Part I lays out the overall theme, goals and policies. Part II establishes the components and processes of the planning system. Part III lists priority directions for the state.

The department of planning and economic development will administer and maintain the plan, but overall policy guidance will come from an expanded policy council. Council membership will include nine public members appointed by the governor for staggered 4-year terms, 13 departmental heads, and county planning directors.

The sharpest initial criticism of the plan was by the counties which objected to a proposal to require county plans to conform to the detailed state functional plans. The legislature responded by providing that county general plans serve as the basis for the state functional plans. County general plans indicating desired population and development patterns will be drawn within the guidelines of statewide priorities. In addition, county general plans will address specific problems and needs within the county. The county general plans will in turn serve as the basis for state functional plans in agriculture, conservation lands, education, energy, higher education, health, historic preservation, housing, recreation, tourism, transportation, and water resources development.

State agency heads will be charged with preparing functional plans. These plans will be reviewed by the policy council

and then submitted to the legislature for adoption by concurrent resolution.

One of the most controversial aspects of the plan is its population growth policy. The state plan lists eight points geared to meet the objective of population growth management. On the day following enactment of the state plan, the governor approved several pieces of legislation designed to discourage immigration from other states and countries.

(Sources: The Council of State Governments, "State Government News," September 1978, p. 6, and U.S. Dept. of Housing and Urban Development, "State Planning: Intergovernmental Policy Coordination," August 1976, pp. 23, 67.)

Minnesota

Community affairs and state planning are combined in Minnesota which has a highly centralized planning organization. The office has divisions of development, transportation, environmental, human resource, and health planning; federal relations; financial and administrative services; and local and urban affairs. The Minnesota State Planning Agency provides staff support for the Commission on Minnesota's Future which was established by the legislature to propose a state growth and development policy. Minnesota state planning aspires to be comprehensive in the sense that it concerns itself with every aspect of state life that government itself is concerned with, and attempts both to coordinate and integrate functional planning. Functional planning is a shared responsibility; state planning agency planners work with functional agency planners, in many instances with planners from several agencies which have common or overlapping functional areas. The state planning staff approaches its functional and program planning involvement from the point of view of management design, not program delivery. They concentrate on those issues and areas of particular importance to the governor so that state effort is pointed in the direction of his agenda. At the same time, the agency maintains very close working relations with the Minnesota legislature and legislative staffs. Another approach used by the agency to broadly involve itself in state government is through membership on and staffing of

interagency bodies such as the Manpower Council, Environmental Quality Council, Council of Economic Advisors, Housing and Finance Agency, Rural Development Council, Interdepartmental Transportation Task Force and Human Service Council.

Minnesota's "futures" program was initiated in 1971 "to prepare, for consideration by the Governor and the Legislature, a proposed state growth and development strategy; to prepare reports assembling relevant information regarding the state's future; to examine the long range plans of state departments and agencies, including the University of Minnesota, state colleges and junior colleges, and to assess their possible impact on state growth and development; and to report to the governor and the legislature at regular intervals on the development implications of major state decisions."

A joint legislative committee was assigned to review commission reports, evaluate alternatives, identify legislative priorities and "develop a planning capability consistent with the task of this commission." The State Planning Agency was instructed to provide staff support.

The commission is made up of 66 members including legislators, chairmen of regional planning commissions and 40 citizens appointed by the governor from lists of nominees submitted by political parties, labor, agriculture, industry and environmental groups. The commission began meeting in October 1973. It sets its own agenda. It has divided itself into committees on the natural, human, man-made and governmental environments, in order to focus on the interaction of these environments with people. Out of their discussion will have come analysis of alternative futures and of what is needed to achieve them for consideration by the legislature.

In January 1975, the Minnesota State Legislature joined with the State Planning Agency and the Commission on Minnesota's Future in sponsoring a 3-day legislative symposium, Minnesota Horizons. The seminar provided the opportunity for the legislators to participate in an extensive review of the significant issues confronting the state and how these issues could be addressed. Members of the commission,

citizen experts, and members of the state planning staff briefed the legislature on the status of the state--people, economy, natural and man-made environments--and examined important trends and developments that could be expected to influence the future of the state. The program was covered live by public television and radio. Both attendance and written comments from legislators indicate a very high degree of acceptance and appreciation. The overall effort is designed to provide a policy framework for the future of Minnesota.

(Source: U.S. Dept. of Housing and Urban Development, "State Planning: Intergovernmental Policy Coordination," August 1976, pp. 33-36, 66-67.)

Florida

In 1974, the Florida legislature, through its committee structure in regular session, derived and adopted a state growth policy. This state growth policy is to be reviewed and revised annually by the legislature.

The legislature had already passed the Environmental Land and Water Management Act in 1972, modeled upon the American Law Institute's Model Land Development Code, which gives the state control over land use decisions with a regional or statewide significance. Under this law, certain areas of the state may be designated as areas of critical state concern, with two restrictions: that only 500,000 acres can be designated the first year and that only 5 percent of the entire state land area can be ultimately designated. This act also outlines a number of responsibilities for regional planning agencies, including review of those developments with greater-than-local impact.

Also passed in 1972 was the Florida Comprehensive Planning Act, which established the Division of State Planning and mandated the development of a comprehensive planning process. The plan has been divided into 19 functional elements (agriculture, health, energy, housing, and others) and system elements (economic development, growth, urban and rural development, and others). During the 1976 session, several of the functional element sections were submitted

by the planning division to the appropriate legislative committees, but the legislature felt that individual action on each of the elements would be cumbersome. Therefore, the planning division will consolidate the elements into a single document which will then be submitted to the legislature.

Still other pieces of legislation have been passed to further implement the growth policy. The Land Conservation Act allows the state to acquire environmentally fragile lands, and the Florida Water Resources Act, which applies to both underground and surface waters, requires that a water management program be administered by the Department of Environmental Regulation and implemented by water districts in the state.

(Source: The National Conference of State Legislatures, "The Legislature's Role in State Comprehensive Planning and Growth Management," November 1976, pp. 2-3.)

Washington

The State of Washington has instituted an extensive "futures" program entitled "Alternatives for Washington." With the objective of public participation, the effort has involved an estimated 65,000 people in policymaking through surveys, media questionnaires and conferences. Citizens participated first in formulating goals and later in attempting to focus on the tradeoffs necessary to accomplish their goals.

To implement its goals, the State of Washington has instituted a "state program decision system." This effort embodies the concepts of the management-by-objectives approach to government and business management.

(Sources: Harold F. Wise, "History of State Planning--An Interpretive Commentary," p. 23, and Cogan and Associates, "Statewide Policy Instruments," p. 8, in State Planning Series by The Council of State Planning Agencies, 1977; and U.S. Dept. of Housing and Urban Development, "State Planning: Intergovernmental Policy Coordination," August 1976, pp. 44-46.)

Utah

Utah also has made significant progress in the area of alternative future analysis. The Utah Process, initially an experiment in forecasting and evaluating alternative policies, has evolved to become the state's overall comprehensive planning methodology. Using a series of demographic and economic projections, tied together with a modeling process that allows examination of the land-use and fiscal impacts of alternative policies, the Utah Process is a sophisticated instrument for planning and decisionmaking. The Office of State Planning Coordination qualifies the exactitude of this instrument in the following statement:

The advantage of the alternative futures technique is that it provides an alternative to the "best estimate" approach by assuming at the outset that no accurate prediction is possible. The alternative is the development of a variety of estimates, each of which is plausible but none of which is identified as most likely. Emphasis is not placed on producing a forecast, but on identifying the effects of change, specifically as such change creates problems or opportunities for State Government, and the requirements State Government must meet in delivering services to a population that is changing in size, distribution and economic characteristics.

Such a technique emphasizes the planning process over creation of a single plan for the future, and offers to decision makers the opportunity to, by their decisions, facilitate the good while mitigating the bad aspects of future events. Planning becomes an "active" tool, rather than a required reactive response. The objective, is therefore, not a fixed plan, but a guide for decision making relative to government service.

The objective of the Utah Process is thus not only to generate analyses of policy impacts, but to establish "a vehicle for eliciting and sustaining decisionmaker participation in the planning process."

Administratively, Utah has structured its planning activities so as to engage all governmental levels, all state programs and the citizens of the state. The governor, as the chief state planning and budget officer, presides over the system. Within his office, the state planning coordinator and the director of community affairs orchestrate the day-to-day functioning of the system. Functional planning is the responsibility of the line agencies and of the seven multicounty Associations of Government.

The Utah State Planning Advisory Committee, acting through interdepartmental coordination and work groups, deals with the specific issues, proposals and conflicts generated by departments and divisions. The governor's Advisory Council on Local Affairs, representing the multicounty associations, serves a parallel function concerning matters of more than local significance originating at local, county, and regional levels. All plans, programs, and projects involving federal funds must be cleared through the system in accordance with state law, Circular A-95, and environmental impact statement requirements.

In 1965, the Utah Federal Assistance Management Act was enacted, giving the state planning coordinator responsibility for identifying federal funds coming into the state, and for coordinating information within the state planning process so that such funds would be best utilized in terms of state goals and policies. Later the governor designated the coordinator's office as the statewide clearinghouse for review of applications for federal assistance and for review of environmental impact statements in accordance with Circular A-95 and the Environmental Policy Act of 1969. The governor has designated the state planning coordinator to serve as the state-federal liaison representative for the purpose of dealing with policy and program issues concerning planning coordination. Primary liaison is performed in conjunction with the Federal Regional Council and individually with other federal agencies as required.

In 1971, the Utah legislature created the Department of Community Affairs (previously the Office of Local Affairs in the coordinator's office) and gave the department prime responsibility for working with local government organizations in the state. The state planning coordinator's

office maintains close liaison and working relationships with the Department of Community Affairs in carrying out a coordinated program for planning between state and local units of government.

To deal with federal-state coordination, the governor, through the Office of State Planning Coordination, established a state-federal task force to evaluate and coordinate federal planning and resource development in the state.

(Sources: Harold F. Wise, "History of State Planning--An Interpretive Commentary," pp. 24-25, in State Planning Series by The Council of State Planning Agencies, 1977; and U.S. Dept. of Housing and Urban Development, "State Planning: Intergovernmental Policy Coordination," August 1976, pp. 72-73.

Wisconsin

The Office of State Planning and Energy (OSPE), a principal component of the planning and executive management system of Wisconsin state government, is within the Department of Administration which also includes budgeting and other management functions. This proximity allows the OSPE to maintain a close working relationship with the budget office. The principal role of OSPE is to support the governor in the areas of policy development and implementation. Functional planning, with the exception of coastal zone management and state economic development, is carried out by the appropriate state agencies.

The Office of State Planning and Energy employs a wide range of mechanisms to assist in the executive decisionmaking process. It both prepares initiatives and aids the governor in determining where and when he must respond.

Some of the mechanisms which are employed include:

- Informal interagency groups to deal with specific problems;
- Preparation of issue papers;
- Ongoing assistance to the governor in developing and reviewing legislation and budget proposals;
- Goals development;

- Monitoring and coordinating state plans and programs;
- Preparing background information and developing analytical tools (i.e., modeling) with orientation toward specific issues and priorities; and
- Assisting agencies in the organization and implementation of programs.

In addition, the Office of State Planning and Energy uses a variety of techniques for providing information for decision-making. For example, the techniques used for the purposes of development planning include identification of key economic issues, econometric modeling, examination of case studies, specific sectoral analyses, and examination of specific economic tools.

One of the major objectives of the Wisconsin Office of State Planning and Energy is to work closely with the Governor's office, legislators and other agency administrators to "analyze key issues and develop policy and implementation alternatives in order to provide timely and useful information for decisionmakers." It provides an analytical capability and coordinates administrative orders, speeches and other gubernatorial functions related to planning.

(Source: Cogan & Associates, "Statewide Policy Instruments," State Planning Series by The Council of State Planning Agencies, pp. 17-18, 1977.)

Idaho

Idaho is another example of the administrative association of policy planning and budgeting. The establishment of the Idaho Division of Budget, Policy Planning and Coordination resulted from executive reorganization in 1974 which was intended to coalesce the state functions essential for an effective comprehensive planning process: state policy planning and coordination, community affairs, budget and management analysis.

One of the principal tasks of the Division of Budget, Policy Planning and Coordination is to prepare a statewide comprehensive planning process that coordinates local, state,

federal and private agency actions, as well as the functional planning activities of all state agencies. Goals, objectives and performance measurements are prepared for each agency of state government. Interdepartmental coordination is fostered through the assignment of a budget analyst and a planner to monitor activities in each of the state's six major functional areas: human resources, education, criminal justice, natural resources, economic development and general government. Programs, projects and activities are reviewed either through the budget or the A-95 review process which are tied closely to state allotment procedures.

The Division of Budget, Policy Planning and Coordination has direct input into the governor's policy formulation and decisionmaking process through its powers to review and comment upon budgets, evaluate issue and policy studies, and maintain a close working relationship with the governor and his staff. Policy directives prepared by the division for the governor have enabled him to exert influence upon most state agencies.

The establishment of planning and budgeting teams has provided a means for integrating the two functions of policy planning and budget analysis and has assisted in the development and implementation of zero-base budgeting, revenue projection as a part of the governor's responsibility to prepare a balanced budget, and a state program review process.

The Idaho Tomorrow Program is a major public participation effort which already has involved thousands of citizens in identifying goals for the state's future. The results of this continuing effort are being used in developing policy recommendations for the governor. Results from Idaho Tomorrow activities have been communicated to all state agencies for their consideration in preparing budget requests.

In summary, the Idaho Division of Budget, Policy Planning and Coordination enables the governor to utilize a wide variety of instruments, formulate strategies, influence state administrative actions, implement a coordinated executive program, integrate planning and budgetary functions, and evaluate agency performance.

(Source: Cogan & Associates, "Statewide Policy Instruments," State Planning Series by The Council of State Planning Agencies, 1977, p. 20.)

Maine

Typical of a goal-setting institution was the Commission on Maine's Future established in 1974 by legislative action to propose a growth and development policy and recommend actions to carry out such a policy. The 40-member commission was made up of citizens appointed by the governor and of legislators named by the leaders of their respective chambers. The commission studied demographic, natural resource and economic projections and the implications for the future of these forecasts. They also considered reports prepared by each state agency on the agency's expectations for the future, including an analysis of probable future consequences of current policies and programs.

The Maine commission sponsored regional public forums, circulated citizen questionnaires, sent speakers to meetings, produced and broadly disseminated a preliminary report and a slide show. Based on the public reaction to its proposals, the commission produced a final report in December 1977. The report covers a broad range of economic, social and environmental issues and contains problem analysis, commission recommendations, suggested means of implementation and samplings of citizen opinion.

In January 1978, Governor James B. Longley issued an executive order directing state agencies to evaluate the feasibility, financial impact and timing implication of proposals in the commission report. Each agency was told to indicate how it would act on the recommendations relating to its mission.

(Source: Leonard U. Wilson, "A State Solution to the Federal Program Dilemma," in "State Planning Issues," Vol. 2, No. 2, Summer 1978, p. 17.)

Oklahoma

Oklahoma employs a mini-cabinet process for goal formulation. The statewide program to identify 5-year goals for five principal areas--economic development, education, human services, natural resources and law enforcement is an important component of the state's policy-planning and decision-making processes. The goals for the period 1977-82 are being formulated in mini-cabinet meetings, which are designed to provide an opportunity for citizens, business leaders, academicians, governmental officials and others to work together to define future courses of action.

Draft goals for each of the functional areas are formulated by the mini-cabinets and will be presented to the public for review, discussion and modification in a series of open meetings throughout the state. "The recommendations will then be modified as appropriate, programs of executive action will be developed and proposals prepared for legislative consideration as required, on the basis of statewide citizen input."

One of the main principles of this process is to develop goals which can be realized within 5 years with a realistic expenditure of resources. General statements such as "improve the employment security of all citizens" are being avoided in favor of operational goal statements such as the following:

Computerized Job Matching: Remote terminals will be installed in all local offices with links to national networks to match workers to existing job openings and assure immediate exposure of jobs to all applicants
* * * .

The Oklahoma policy development process thus emphasizes the formulation of operational goals which are open to citizen review and modification.

(Source: Cogan & Associates, "Statewide Policy Instruments," State Planning Series by The Council of State Planning Agencies, 1977, pp. 18-19.

APPENDIX II

DESCRIPTION OF PROGRAMS ("TOOLS") THAT MAY
BE USED TO IMPLEMENT STATE GOALS,
PRIORITIES AND POLICIES

APPENDIX II

DESCRIPTION OF PROGRAMS ("TOOLS") THAT MAY BE USED TO IMPLEMENT STATE GOALS, PRIORITIES AND POLICIES

1. Coordination of functional planning within state agencies--
Specifically organized structure to insure coordination. Eighteen states employ interagency coordinating councils managed through the state planning office. Council functions are to exchange information to resolve conflicts, to discuss compliance with state goals and policies, and to recommend alterations in state policies. As a separate mechanism, the state planning office may be required to review all state agency functional plans to certify compliance with state goals, priorities and policies prior to plan adoption or implementation by the line agency. Special potential seems to lie in tailoring federally mandated planning programs to fit state goals and policies.
2. Budget preparation or review--
The budget is currently the primary tool being used in state governments to translate goals, priorities and policies into reality. In most cases, agencies are required to prepare budget proposals so as to isolate each program and project its future needs. In highly simplified explanation, the budget and planning staff compares program proposals and projections with established priorities and policies, and budget funds are allocated. Zero-based budgeting is often utilized in connection with this type of process.

In several states (including Idaho, North Carolina, Georgia and Virginia) the legislatures have created agencies which give budget and planning equal status. Others, like Texas, have created combined operations in the Governor's office through executive order. Thirty-one states provide some formal, legal relationship between the state policy planning function and the state budget process. Recent experience indicates that

planning and budgeting offices should be separate but retain officially established working relationships. For the overall policy program to function efficiently, the state planning office needs to provide the structure to utilize more implementation tools than only the budget. However, if the budget tool is used, the state planning office virtually always plays a role in reviewing agency proposals and projections in light of the established goals, priorities and policies.

3. Program analysis and design--
Similar to coordination of functional planning and budget review, the tool of program analysis and design provides a system whereby the state planning office reviews state programs in light of the established goals, priorities and policies. Each program may be analyzed to ascertain if it is functioning within the goals and policies. Likewise, the overall effect of the cumulative programs may be monitored to see if goals are being met and broad priorities are really receiving the major portion of state governmental thrust. Associated with this effort, new programs may be designed to meet priorities and policies, and obsolete programs may be recommended for abolishment. Some states have also instituted a "start-up" effort whereby some new programs are initially run by the state planning office to evaluate whether they will actually be effective in meeting the established goals and priorities.
4. Preparation of legislation--
Upon analyzing the state government's situation in relationship to the goals, priorities and policies, some state planning offices are placing an emphasis upon drafting of legislation for executive introduction. The legislation may deal with new programs or revisions in existing tools (programs) being used to implement the state policies. The common factors are that the proposals are in the form of legislation and the state planning office which is responsible for overall functioning and overview of the policy implementation effort prepares the legislation.

5. Coordination of federal grants coming into state government--

A host of federal grants come to a wide variety of agencies within state government. The programs that spring from these grants supposedly meet federal objectives, but they may or may not meet state priorities and policies. Some states, such as Utah, have chosen to assign the state planning office the responsibility of reviewing all federal grants coming to state agencies to insure that state priorities are being attained. The cumulative state matching portion for these federal grants is substantial, and an analysis of priorities and policies is seen as a means of most efficiently utilizing this state matching money (or time) to meet state rather than federal objectives.

6. Review of federal projects, programs and environmental impact statements (EIS's)--

Federal activities directly affect the state. Specific mechanism to review these actions and programs as to whether they meet the established state goals and policies may be administered through the state planning office. The federal Office of Management and Budget (OMB) Circular A-95 requires that environmental impact statements for federally funded projects be submitted to a state "clearinghouse" which is typically the state planning office. Most often the "clearinghouse" distributes the EIS's and collects agency comments for submittal to the appropriate federal agency. However, some states are requiring and staffing the state planning office to make assessments of whether the EIS's comply with state goals, priorities and policies.

The Bureau of Land Management "Organic Act" requires that this federal agency's plans comply with state and local plans, or that the agency explain the discrepancies. A specific structure within a state office such as the state planning office could be utilized to point out discrepancies and insure that this provision is followed with relationship to state goals, priorities and policies.

7. Review of federal grants to entities other than state government--
Most federal grants to substate entities go to the state "clearinghouse" for review. Structures within the "clearinghouse" to compare these substate grant proposals to state goals, objectives and policies have been established in some states that are implementing policy programs. However, this tool gets away from the concept of management of state government, and this is somewhat more controversial.
8. Mandated guidelines and review of local plans--
Some states have utilized this tool to insure compliance with state goals and policies. Oregon has utilized state planning guidelines and review of local planning by the state planning office to implement a "futures"-type program. California has placed planning guidelines in the statutes and requires local planning conformity. Again, this tool gets away from management of state government, but it is especially useful if the state goals and policies specifically address the issue of growth management.
9. Technical assistance to local governments--
Most states provide technical planning assistance to local governments. Types of assistance often include help in preparing master plans, writing ordinances, reviewing proposed projects, provision of information, and "grantsmanship." "Grantsmanship" includes identification of available grants and procedures necessary to obtain these grants, assistance in preparing applications, setting up meetings between federal agencies and local governments, and tracking grants within the federal bureaucracy. Technical assistance is usually provided through a department of community affairs or a line agency. The on-the-ground type of planning assistance provides a coordinative structure for influencing local governments to follow state goals, priorities and policies.
10. Capital investments and facility siting--
Capital investments programming and facility siting provide a very direct tool to implement state policy,

especially if this state policy addresses growth issues. The influence of capital investments and facility sites upon growth patterns has been documented.

Funding priorities and siting of such facilities as schools, state buildings, parks, and highways are managed through several different agencies. In most states, location of investments is based upon projected needs, cost/benefit and efficiency criteria. Incorporation of state goals, priorities and policies into this analysis can be effectively accomplished if the specific structure to undertake this activity is developed in the state planning office.

11. Taxation--

Taxation measures can be coordinated to achieve unified state goals and policies. This tool is also typically used to influence location of growth and development. If state policies are defined, a tax department can analyze the overall direction of the tax system and suggest alterations that will most effectively address the state priorities. Taxes which conflict with state goals can be eliminated and tax incentive can be used to achieve state goals. These proposals may be implemented through the administrative authority of the tax department, or they may be combined into the legislative package discussed in number 4 above.

12. Environmental regulations and environmental impact statements--

In most states, many agencies are responsible for promulgation and enforcement of environmental regulations. An organized structure within the state planning office can function as the focus for coordination to insure that the cumulative effect of these various regulations follows the established priorities. This tool may address general policies and priorities as well as locational or growth-related policies.

State environmental impact statements have been implemented in some states. This tool, for which guidelines and coordination are provided through the state planning office, is usually employed in relationship to growth management.

APPENDIX III

LOCATION OF STATE PLANNING
WITHIN EACH STATE GOVERNMENT STRUCTURE

APPENDIX III

LOCATION OF STATE PLANNING WITHIN EACH STATE GOVERNMENT STRUCTURE

<u>State</u>	<u>Planning Office</u>	<u>In Governor's Office</u>	<u>Within Dept. of Administration</u>	<u>As a Separate Department</u>	<u>Within Dept. of Community and/or Economic Affairs</u>	<u>Associated with Budget Function</u>	<u>Associated with Community and/or Economic Affairs Function</u>
Alabama	Development Office, Planning Division	X					X
Alaska	Div. of Policy Development and Planning	X					
Arizona	Office of Economic Planning and Development	X					X
Arkansas	Office of Management and Planning	X					
California	Office of Planning & Research	X					
Colorado	Office of State Planning & Budgeting Division of Planning	X			X	X	X
Connecticut	Office of Policy & Management	X				X	
Delaware	Office of Management, Budget & Planning	X				X	
Florida	Division of State Planning		X			X	
Georgia	Office of Planning & Budget	X				X	
Hawaii	Dept. of Planning & Economic Development			X		X	X
Idaho	Division of Budget Policy Planning & Coordination	X				X	X
Illinois	Bureau of the Budget	X				X	
Indiana	State Planning Services Agency	X					
Iowa	Office for Planning & Programming	X					X
Kansas	Division of Planning & Research		X			X	
Kentucky	Office for Policy & Management		X			X	
Louisiana	State Planning Office	X					
Maine	State Planning Office	X					
Maryland	Dept. of State Planning			X		X	
Massachusetts	Office of State Planning		X			X	
Michigan	Dept. of Management & Budget			X		X	X
Minnesota	State Planning Agency	X					X
Mississippi	Office of Planning & Coordination	X					
Missouri	Division of Budget & Planning		X			X	
Montana	Office of Budget & Program Planning Division of Planning, Dept. of Community Affairs	X			X	X	X
Nebraska	Office of Planning & Programming	X					
Nevada	Office of State Planning Coordinator	X					

APPENDIX III

LOCATION OF STATE PLANNING WITHIN EACH STATE GOVERNMENT STRUCTURE

State	Planning Office	In Governor's Office	Within Dept. of Administration	As a Separate Department	Within Dept. of Community and/or Economic Affairs	Associated with Budget Function	Associated with Community and/or Economic Affairs Function
New Hampshire	Office of Comprehensive Planning	X					
New Jersey	Division of State & Regional Planning				X		X
New Mexico	State Planning Office	X					X
New York	Division of State Planning Dept. of State						X
North Carolina	Office of Policy Development		X			X	
North Dakota	State Planning Division, Dept. of Accounts & Purchases					X	X
Ohio	Program Coordination Section Office of the Governor Dept. of Economic & Community Development	X			X		X
Oklahoma	Dept. of Economic & Community Affairs				X		X
Oregon	Intergovernmental Relations Div.	X					X
Pennsylvania	Office of State Planning & Development	X					
Rhode Island	Statewide Planning Program Executive Assistant to Governor for Policy and Program Review	X	X			X	
South Carolina	Office of State Planning Budget and Control Board					X	
South Dakota	State Planning Bureau, Office of Executive Management	X					X
Tennessee	Special Assistant to the Governor for Policy Planning State Planning Office	X		X			
Texas	Office of Budget & Planning	X				X	
Utah	Office of State Planning Coordinator	X					
Vermont	State Planning Office	X					
Virginia	Dept. of Planning & Budget			X		X	
Washington	Office of Fiscal Management	X				X	
West Virginia	Governor's Office of Community & Economic Development	X					X
Wisconsin	Office of State Planning & Energy		X			X	
Wyoming	State Planning Coordinator	X					

APPENDIX IV

LEGAL INSTRUMENTS ESTABLISHING
STATE POLICY PLANNING

APPENDIX IV

LEGAL INSTRUMENTS ESTABLISHING STATE POLICY PLANNING

From: The Research Group, Inc., "The Legal Basis for State Policy Planning," in State Planning Series compiled by the Council of State Planning Agencies, 1977.

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Council

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Executive Orders

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Maine State Policies Plan
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