

SMALL AREA PLANNING AS PRACTICED BY THE LOUISVILLE  
AND JEFFERSON COUNTY PLANNING COMMISSION

by

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## ABSTRACT

In recent months, the Louisville and Jefferson County Planning Commission has reorganized its planning staff and work program toward a commitment to small area planning as a means to realize a comprehensive planning capability. While most communities in the country try to be comprehensive in their planning and equitable in their treatment of the public, many agencies fall short of this mark. A comprehensive plan needs continual reexamination and periodic changes in a rapidly changing environment to retain its viability. Small area planning in the comprehensive context can provide for this.

The small area planning process can clarify and implement the policies of a comprehensive plan in specific areas of a community. It can also rectify deficiencies and inequalities of the plan as they arise, while providing sufficient data and interpretation to keep it a viable functional policy. Accompanying these benefits are those of the establishment of a community development guidance system and the formation of neighborhood planning councils. Small area planning, in essence, is a means to provide citizen and political responsiveness in the planning process to insure orderly community growth and the equitable distribution of municipal services.

## INTRODUCTION

Since the founding of the master's degree program in urban planning at The University of Arizona, the internship option has been an integral part of that program. While not a required "core" course, it has received encouragement and recommendation from faculty and students alike.

An internship program offers the student an opportunity to obtain "in the field" experience in urban planning. It represents a unique and rewarding experience, while broadening one's view of what planning is all about outside the confines of the academic world.

While offering abundant rewards to the prospective intern, the program can offer much to those agencies which participate. The internship program can offer enthusiastic workers to a planning staff, fresh insights into the planning process, allow the planning staff members to share their accumulated expertise and knowledge, offer competent workers to an agency's staff, and can be a learning experience for all involved.

As with most undertakings in an educational experience, the internship program is only as good as the intern and employer want it to be. With little enthusiasm on the part of the intern or the employer, the program can be little more than another in a long line of temporary summer jobs. On the other hand, with enthusiasm and cooperation on the

part of the intern and employer the program can offer invaluable rewards.

The Louisville and Jefferson County Planning Commission (L. & J. C. P. C.) has experienced both outlooks toward the internship program. The Summer of 1974 was only the second year in which the Commission engaged in such a program. A previous program was undertaken in conjunction with local planning schools, in or near Louisville, Kentucky (The University of Louisville and Kent State University). This program, deemed unfavorable and unproductive by the Commission, was characterized by: uncertainty and confusion as to the status of the interns, their relation to the agency's work program, and staff involvement with the interns; sparse benefits accruing to either the intern or the agency in relation to an educational standpoint or from a productive work program view; and insufficient results from the interns to warrant continuation of the program.

With guarded optimism and more realistic expectations, the Commission, through the urging of Director Don Ridings and in light of new administrative changes, engaged in an internship program in the Summer of 1974. In consideration of previous experience, the intern's status was specified as a regular staff member with all benefits and obligations accruing to a staff member. Of most importance in this new program was the designation of a specific work program for each intern and its subsequent relation to the overall work program.

## INTERNSHIP PROJECT

The project undertaken by two interns (Mark Gillis of The University of Arizona and William Ishmael of The University of Michigan) under the auspices of the L.&J.C.P.C. was a small area study. The Middletown Study, as it came to be known, represented a continuation of that agency's commitment to neighborhood or small area planning. The area under study was in a high growth corridor of expanding metropolitan Louisville, consisting of mixed land uses in and around a quarry site (Avoca Quarry) and subject to further growth pressure induced by the Jefferson Freeway. Such factors, it was felt, were sufficient to warrant comprehensive, small area study. The purpose of The Middletown Study was six-fold.

1. To examine growth trends and their effects.
  - a. examine population trends,
  - b. examine housing trends, and
  - c. determine the area's needs for community facilities: water, sewer, recreation areas, and others.
2. To examine possible development constraints.
3. To determine the need for development controls.



4. To determine the desirable land use patterns in the Avoca Quarry area.
5. To reduce the ambiguity inherent in the Comprehensive Plan.
6. To determine the need for industry within the study area in order to fulfill the Comprehensive Plan's goal of "home to work proximity."

The Middletown Study was begun on June 15 with completion of a preliminary report on August 15. Final publication is dependent on the completion of a county-wide traffic count inventory being performed by KIPDA (Kentucky Indiana Regional Planning and Development Agency), a county-wide water quality report by Shimpler-Corradino Consultants, and necessary public hearings. Preliminary recommendations will be considered in light of the forthcoming data, prior to final publication.

In recent months, the L. & J. C. P. C. has reorganized its staff and work program toward a commitment to small area planning as a means to realize a comprehensive planning capability. Following is a brief discussion of comprehensive planning in the context of the comprehensive plan and the relation of small area planning to that comprehensive planning process. Small area planning with its effects on citizen participation, political responsiveness, municipal services, and data bank guidance system will be presented, followed by a short discussion of the pitfalls to be confronted in small area planning.

## COMPREHENSIVE PLANNING

A comprehensive plan "is a document which contains the major official policies of a unit of government with respect to future physical development as well as future economic and social conditions." (Arizona Office of Economic Planning and Development, 1974, p. 19). The comprehensive plan by definition is comprehensive, covering the entire geographical and functional areas of that community, and long range, projecting growth, land use, development and population far into the future.

In essence, a comprehensive plan "provides the framework to guide the future development of a community. It is broadly designed also to preserve its natural resources and protect its heritage of the past. . . . The Plan is geographically comprehensive. . . . and comprehensive in content." (Louisville and Jefferson County Planning Commission, 1970). It is a policy statement by that community's government, a long range expression of development goals, objectives, and purposes. Further, a comprehensive plan is usually:

1. Long range, twenty or more years into the future.
2. Comprehensive in area and scope, covering the entire geographic area while covering all physical, social, and economic facets of development.

- a. Population and employment
  - b. Residential land uses
  - c. Commercial land uses
  - d. Industrial land uses
  - e. Open spaces and recreational land uses
  - f. Community facilities
  - g. Agricultural land uses
  - h. Central city
  - i. Transportation
3. Understandable, a comprehensive plan should be easily understandable and readable.
  4. Flexible, a comprehensive plan should be sufficiently flexible in its interpretation and structuring to be able to change and remain applicable as conditions and people's attitudes change over time.
  5. General, a comprehensive plan includes:

Policies rather than specific land use decisions. It does not prescribe, for instance, which street corners will have gas stations and which will have supermarkets. But it might prescribe which areas will have retail uses and which will have residential uses. (Arizona Office of Economic Planning and Development, 1974, p. 20).

Further, a comprehensive plan places general land use delineations in the context of general policy statements. For example:

We--all of us--should encourage adoption of sound principles for the development of all our land. . . .residential development should be regulated as to basic health and safety considerations, including:

- a. proper connections to public water supply and a sewage disposal unit;
- b. properly designed and constructed storm drainage system. . . .

Provisions should be made for a dispersed pattern of industrial development in order to promote a closer home-work relationship. . . . (Louisville and Jefferson County Planning Commission, 1970).

These characteristics of a comprehensive plan are usually the areas of deficiencies of that plan. A major deficiency of comprehensive planning is that the policies of the comprehensive plan usually focus on the physical development of the community. Until recently, comprehensive plans inadequately covered the effects of physical development on social and economic considerations. With such an emphasis on physical considerations, many planning agencies have found themselves engulfed in the mire of zoning and subdivision review processes. The L.&J.C.P.C. is no exception and is presently trying to divorce itself from this practice. Small area planning is a reflection of this commitment to break from zoning and subdivision review.

To improve the overall environment, to efficiently and thoroughly guide urban development requires actions usually lacking in a comprehensive plan. "Therefore the plan cannot be simply a collection of forecasts about the physical future of the community. It must be an attempt to do something about the future, to change it, and bring it into line with

the goals of the residents." (Arizona Office of Economic Planning and Development, 1974, p. 19). Being comprehensive in nature, the comprehensive plan frequently fails to address specific problems in specific areas. As are problems, goals and priorities are not stable throughout a community. To illustrate, we can use our previous example:

Residential development should be regulated as to basic health and safety considerations, including:

- a. proper connections to public water supply and a sewage disposal unit;
- b. properly designed and constructed storm drainage system. (Louisville and Jefferson County Planning Commission, 1970).

For a particular area: Can municipal services be economically extended into that particular area? If not, should package sewage treatment plants be provided or should septic tanks be allowed? Are the municipal water and sewer lines in the area too old to provide adequate services? The questions raised by a comprehensive plan are numerous and unanswered in the plan.

Other deficiencies inherent in a comprehensive plan can include the following:

1. A comprehensive plan presumes that the purposes, needs, and situation of a city can be projected far into the future and these considerations will remain fairly constant during that time.
2. It assumes that the public will commit itself and its resources for an extended period of time.

3. For all intents and purposes, it rules out any unexpected occurrence to change people's attitudes and the overall situation.
4. It is a capital intensive and time intensive process which is expected to have a long time span, thus it is exceedingly difficult to keep a comprehensive plan up to date or to remodel it to changing conditions. (For a further discussion of these points and others, refer to Arizona Office of Economic Planning and Development, 1974, pp. 16-20; Allaire, 1961, pp. 1-14; and Branch, 1973, pp. 1-24.)

Accompanying these deficiencies is the common tendency to rely too heavily on a comprehensive plan as a "cure all, solve all" document. Thus, it is frequently misunderstood as to what the comprehensive plan can do with decision makers relying too heavily on the plan. On the other hand, when the deficiencies and limits of the comprehensive plan are recognized it is frequently discarded as being outmoded, erroneous, and inefficient, with all decisions made in ignorance of the comprehensive plan and by rule of thumb. For such reasons, "few master city plans in the United States have significantly shaped the development of cities." (Branch, 1973, p. 1).

It must be recognized that in a rapidly changing and developing environment, a comprehensive plan must be regularly modified and amended. In light of new surveys, studies, changing personal behaviors,

and varying lifestyles, the comprehensive plan must have the capability to react and change to such circumstances. The plan should not be viewed as a "cure all, solve all" document and should not be expected to last forever. In theory, it should be a dynamic and constantly changing document.

Comprehensive planning then is an ongoing effort to apply, reinforce, alter, and change the comprehensive plan throughout the whole geographic area. Besides trying to maintain the comprehensive plan as a viable document, the purpose of comprehensive planning can include:

1. Maximizing individual opportunities.
2. Initiating and stimulating citizen participation.
3. Improving the environment of the community.
4. Promoting the public interest, not the private interest.
5. Coordinating public and private interests in urban growth.
6. Reminding decision makers of long range effects of short range decisions.
7. Facilitating the coordination of political and technical considerations in community development.

(For a further discussion of these and others refer to Arizona Office of Economic Planning and Development, 1974, p. 19; Kent, 1964, p. 26; and Louisville and Jefferson County Planning Commission, 1970.)

In light of such considerations, small area planning has become the backbone of the comprehensive planning process for the L.&J.C.P.C.



## SMALL AREA PLANNING

Factors affecting the Plan over time will change in a dynamic community. Therefore, it is well to consider the Plan ... as only a first step in a continuing planning process. ... As more information becomes available and can be studied in depth, various geographic parts of the Plan can be, and should be, detailed. The concepts expressed in the Plan should also be continuously evaluated, and as need appears, adjustments should be made in this basic document.

Too many plans have been prepared which have taken on the characteristic as a static instrument, resulted in reports which have become nothing more than inserts to the archives of government offices. If the planning process is to contribute to the well-being of our community, if its benefits are to be reaped, the Plan must be a viable instrument, used even daily and throughout the various decision making activities--both private and governmental--as a guideline for community improvement. It bears repeating that the Plan is a first step, upon which the process to follow can occur. ... (Louisville and Jefferson County Planning Commission, 1970).

To insure this, the L.&J.C.P.C. has embarked on a commitment to small area planning.

This commitment to small area planning in the comprehensive planning process is a direct reflection of Director Don Ridings' beliefs of planning; where it is and where it should be going. Such beliefs were reflected in his designation of the "seven sins of planning":

1. "Cocktail party planners" -- Discussing planning ideals but not doing anything actively to implement them.
2. Squandering money and time on reproduction and duplication.

3. Confusing planning and zoning, while zoning and subdivision review takes up most of the staff's time.
4. Stingy budget allocations from the city and county.
5. Suburban planning taking precedence over problems in the inner city.
6. Shortcomings in the state legislation and
7. Insensitivity to "real" community needs. (Courier Journal, June 24, 1973).

The product of these beliefs has been the commitment to small area planning in order to:

1. Give neighborhood groups more input into the planning process.
2. Apply and implement the policy and goals established in the comprehensive plan.
3. Shift emphasis onto the central city and neighborhood associations in order to escape from the agency's traditional county and suburban orientation.
4. Build mechanisms both in the commission's planning functions and in the community to enable the commission to know what to respond to: problem identification.
5. Build long range mechanisms into local neighborhood priorities for amending and altering the Comprehensive Plan.

6. Build mechanisms into the planning process to be more responsive to area needs and problems.

The Middletown Study was only the fourth effort by the staff in this commitment to small area planning. Due to the novelty of the process, a secondary objective of the study was to establish a format, a working outline, to follow for all future small area studies. While each area will differ, a basic format was developed, to be altered for each area in light of specific problems and priorities unique to that area.

#### Purpose

1. Examine growth trends and effects.
  - a. Examine population trends.
  - b. Examine housing trends and characteristics.
  - c. Determine needs for community facilities: water, sewer, recreation, etc.
2. Examine possible development constraints.
3. Determine the needs for development controls.
4. Determine desirable land use patterns.
5. Reduce the ambiguity of the Comprehensive Plan.

#### Goals

1. Maintain the area as a pleasing living environment.
2. Insure adequate services for all present and future residents.
3. Establish compatible land uses.

Benefits

1. Social -- Maintain and enhance social interaction, opportunities, and yet minimize anti-social behavior.
2. Economic -- Maintain and enhance the property owners' investment.
3. Environment -- Preserve the natural and man-made amenities of the neighborhood including the identity of the area and its relation to the past.

Description

1. Information collected.
2. Analysis performed.
3. Level of effort.
  - a. Planning commission.
  - b. Citizen participation.
4. Format of report:
  - a. Summary of problems, findings and recommendations.
  - b. Presentation by functional area:
    - (1) Population
    - (2) Housing
    - (3) Environment
    - (4) Infrastructure--water and sewer
    - (5) Land use and zoning
      - (a) Open space

- (b) Recreation
- (c) Industrial
- (d) Commercial
- (e) Transportation
- (f) Comprehensive Plan

(6) Implementation

All planning is an attempt to assist decision makers in the decision making process. To enable them to consider all significant factors--physical, social and economic--in dealing with urban growth and urban problems. Small area studies, for any particular area, allow for a fuller understanding of the impact of land uses and land use changes on the lives of different people in that area; allow for a fuller understanding of the interaction of social, economic, and physical factors on land use and the environment; allow for a fuller understanding and implementation of the goals and objectives of a comprehensive plan; allow for fuller involvement of residents in the planning process; allow for fuller political awareness and responsiveness to decision making; allow for the optimum installation and utilization of municipal services; and, by providing realistic and factual data to a data bank, allow for a fuller understanding for projecting future growth trends and the resultant costs for services and environmental deterioration.

According to Kaplan, planners must:

1. Mute a desire for comprehensive, long range vision in order to make selected efforts at problem solving in restricted, well defined, geographic areas,
2. substitute an increasing ability to provide immediate answers for the ephemeral endeavor to be a sooth-sayer for future problems and future populations,
3. replace an outmoded corporate or utilitarian view of urban life with a better understanding of the many and diverse game players now competing for scarce urban resources. . . . (Kaplan, 1973, p. 130).

Small area studies provide a mechanism for just that. Whether building a large plan from smaller plans or specifying an existing comprehensive plan with smaller plans, small area studies provide several key functions. They compliment and specify a comprehensive plan, stimulate citizen participation, increase political responsiveness, provide for the equitable distribution of municipal services, and provide a means to channel relevant data to a municipal data bank.

#### Comprehensive Plan

The purpose and characteristics of a comprehensive plan have been discussed previously and need not be repeated here. In previous pages, the most significant and evident deficiencies of a comprehensive plan were described. It is these deficiencies which small area planning addresses. Small area planning is a means of implementing, testing, refining and altering the comprehensive plan. It can induce fundamental changes in the nature and performance of the traditional comprehensive planning function (Kaufman, 1962, p. 20); force reconsideration of the

plan, pointing out its drawbacks, impracticalities, and falacies; and provide a more thorough examination of growth trends.

For example, one area in Jefferson County, in the vicinity of the subject quarry area (Avoca Quarry), was subject to six zoning cases in a ten year period. All involved rezoning from residential to manufacturing or industrial uses. Four of the cases were denied on merits of the Comprehensive Plan and to maintain the existing character of the area as agricultural and residential. Two cases, however, were approved even though the uses were in apparent contradiction to the existing character of the area and the Comprehensive Plan. To illustrate this ambivalence in the interpretation of the Comprehensive Plan, decision statements from two cases which were decided less than six months apart are cited.

The Holloway Concrete Plant as a non-conforming use (Docket 9-28-65) was approved by Fiscal Court's County Judge on August 9, 1973, for the stated reason, "This Fiscal Court does hereby find that there have been major changes of an economic and physical nature within the subject area which were not anticipated in the community's Comprehensive Plan and which have altered the basic character of the area. . . ." The Middletown Industrial Park which was to be located within the area, directly across English Station Road from the Holloway Concrete Plant, (Docket 9-91-73) was decided on January 24, 1974. In this case, the Fiscal Court denied the change on the basis "...that the proposed industrial development conflicts with the Comprehensive Plan, which

specifies medium density residential use to be appropriate for the property." The need for a consistent application of the Comprehensive Plan is evident. Small area planning can enforce the consistent application of the Plan, decide on the true character of the area, and determine its capability to support industrial, commercial, or residential development.

"Certain elements of the city are (and can be) projected far into the future, others for the middle range, some for short range, and a few not at all." (Branch, 1973, p. 5). Roads and freeways can be projected far into the future, parks and recreational areas for the middle range, and neighborhood youth centers and community facilities for the short range. Small area studies provide a means to plan for these middle range to short range projections; to continually keep a comprehensive plan up to date in a changing environment.

As with the comprehensive plan, small area studies are not designed to be inflexible, stagnate proposals. While covering middle to short range projections, as illustrated by Branch above, small area studies are designed to be monitored periodically. As with The Middletown Study, small area studies often provide for the scheduling of community services and indicate areas where further analysis is needed in the future. Small area studies should not be durable, long lasting projects but rather a flexible device to test the policies, goals, and objectives of a comprehensive plan.



A comprehensive plan, to be realistic and viable for a community, must be:

Maintained and displayed in such form that it can be revised regularly and completely and quickly changed when need be. . . . Above all, it must be sufficiently up-to-date to serve as the basic analytical simulation of the municipality and the official reference for discussing and deciding many different matters. . . . It is ahead of the game rather than running to catch up. (Branch, 1973, p. 6).

Small area planning provides for this.

In response to the first small area study performed by the L.&J.

C.P.C. (The Springdale Study), The Louisville Times Editorial stated:

The study offers . . . sound advice to the court, notably that it guard against piece-meal development that would leave large chunks of the area 'land locked,' making rezoning necessary later in order to use the land. Basically, the report follows recommendations of the county's 1970 Comprehensive Plan. That document has already developed numerous cracks. The danger now is that one more, particularly one in an area under heavy pressure for development such as the Springdale Region, would completely fracture the Plan. That is a risk Fiscal Court cannot afford to run. (The Louisville Times, June 24, 1974, p. A12).

It is this, the offering of alternatives to inequalities in a comprehensive plan and the reinforcement of that document that make small area studies a viable planning technique.

#### Citizen Participation

Citizen participation is, and should be, an integral part in the planning process. It provides not only problem identification and a means to relieve those problems, but also a strong and loyal constituency to

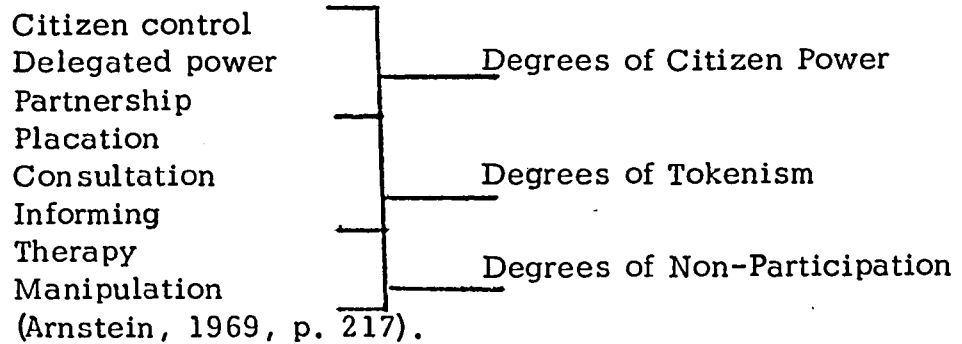
make such proposals enforceable. "Involvement of residents ... in the planning process is necessary not only to help the planner define problems, goals, and solutions, but also to help him set priorities."

(Kaplan, 1973, p. 130). Citizen participation enables the public to understand the need for planning, facilitates a better understanding of urban growth and problems, and creates a better working environment between planners and citizens.

Commonly advocated as serving fairly specific objectives, citizen participation is often predicated less upon value premises than upon practical considerations. In many cases, this is what makes it acceptable. It can, according to some claims, rebuild deteriorating neighborhoods, devise realistic and better plans, pave the way for the initiation of the poor and the powerless into the mainstream of American life, achieve support and sanction for an organization's objectives, end the drift toward alienation in cities, halt the rise in juvenile delinquency, and recreate small town democracy in a complex urban society. (Burke, 1968, p. 288).

The possible benefits and the need for citizen participation in any planning process are well documented and generally agreed upon. Problems, conflicts, and confrontations arise usually on two broad issues: what degree of citizen participation is desired and where does this citizen participation fit into the planning process?

Arnstein in her "Ladders of Citizen Participation," puts forth a ladder of citizen involvement in the planning process:



The degree of citizen participation allowed in the planning process is dependent on the city, the issues, and the planning agency. It can range from almost complete citizen control as in model cities to almost complete manipulation as in urban renewal. Planners, administrators, and city officials often speak of citizen participation and/or planning with people. Frequently, this is mere tokenism since, "the final decisions after the public hearings are made by those in power," (Goodman, 1971, p. 14) with little consideration given to the content of the public hearings.

While citizen participation is a functional part of the comprehensive planning process, it is often, by accident or by intention, merely a token gesture. An excellent example of this inability of citizen input into the planning process appeared during the Fall of 1973 in the "Tell Tucson Where To Go" publication. In this, the citizens, presented with minimum data and sketches, were asked to comment on and choose between four patterns of development for Tucson: peripheral expansion, activity centers, contained growth, and satellite cities. Although initiated with good intentions, this proposal raised more questions than

it answered. More than likely, those citizens most knowledgeable and concerned with Tucson's future land use refused to reply to such an ill-prepared document. A document such as that not only gets poor responses but more negatively deteriorates the public confidence in the planning process and further embeds public apathy.

Even the best prepared means for citizen input often suffer poor public response and involvement. "Perhaps the greatest difficulty with the (comprehensive planning process) . . . is that people do not perceive comprehensive planning as important to their lives." (Goldsmith). Usually those people most affected by the changes in the comprehensive plan, those with a high "stake in the system," will actively participate. The comprehensive plan, general and comprehensive in nature, usually doesn't affect a number of people specifically and strongly enough to create viable citizen input. Also, comprehensive planning being a long, extended process tends to desensitize the public's interest, overextends its attention span, and instills continued apathy. Thus those unaffected, unknowing, or only slightly interested in the comprehensive planning process will fail to actively participate.

All planning processes suffer from poor public involvement and apathy; small area planning is no exception. It is not the intention here to argue that small area planning will eliminate public apathy or stimulate full citizen involvement. Rather, small area planning, by directly affecting and directly touching more people specifically, may reduce

public apathy and generate more public involvement. Involving local planning, local issues, more concrete and closer problems and proposals, the people of an area can better relate to the planning process. For it is their area, their neighborhood, and their chance to see their values and goals expressed in proposals for guiding urban growth in their area. There will always be those people who simply don't care about their surroundings. For these, no planning or scheme for citizen involvement will affect them. For the others, small area studies offer a means to closer contact with the planning process and more effective input into the decision-making process.

As an effort to "plan with people," small area planning in the L. & J. C. P. C. is a:

...concerted effort to gain citizen participation in the planning process, to build a planning constituency within the community, and to access and evaluate the community's goals, values, objectives, and desired programs and solutions. (Louisville and Jefferson County Planning Commission, 1974).

The foundation of this process is the establishment of Neighborhood Planning Councils to serve as citizen planning groups during the planning and implementation process. These groups would then become the sounding boards or forum for small area or critical area problems, suggesting alternate proposals and implementing the proposed solutions. The council would then become a viable citizen planning group with the planning agency serving as initiator and advisor.

The Eastern Area Council and the Middletown Historical Society were approached by the interns in The Middletown Study. Due to time constraints on the part of the interns and scheduling flux of the groups, a suitable meeting time was unobtainable. Valuable information on historic background and general objectives was provided by those groups contacted but full citizen input was lacking. By mutual consent among the interns and the neighborhood planning councils, it was agreed that these groups would be contacted after the summer months by the planning staff to obtain their input concerning existing land use problems, future problems, and proposed solutions.

#### Data Bank

The objective of (the small area planning process) is to develop a community development guidance system that is responsive to the needs and wishes of the people within the community and responsive to their elected officials who are charged with the duty to effectively and efficiently manage the resources of the community and maintain its well-being. (Louisville and Jefferson County Planning Commission, 1974).

This community development guidance system is composed of two models, the Community Development Model and the Environmental Impact Model. Both models constitute "key elements of the overall comprehensive planning program " (Louisville and Jefferson County Planning Commission, 1973, p. 1), and provide needed information for small area studies.

The models would translate residential development, changing land uses, and population growth into demand for community services

and resultant environmental impacts. Benefits derived from such a guidance system are many.

1. A thorough analysis of development.
2. A determination of additional demand for community facilities which that community must bear as a result of development.
3. A systematic analysis of alternative courses of action.
4. A comprehensive cost estimate of proposed programs and changes in programs.
5. A specific delineation of the objectives of government programs.
6. A source of concrete and specific data on which management and decision-makers may base decisions.

(Louisville and Jefferson County Planning Commission, 1973; and Siegel, 1968).

Small area studies in this context, are supplied with the needed data for analysis purposes. When establishing such a guidance system, this small area planning process provides basic data for the system, tests the models, and adds more data when need arises.

#### Political Responsiveness

The political responsiveness of citizens to decision-makers and decision-makers to citizens is interrelated with citizen participation and the community guidance system. The quality of decisions made by

decision-makers is dependent on the information received as a basis for those decisions and the quality of the decision-makers. Probably, the only means to rectify the quality of individual decision-makers is through the ballot box. A factual, up-to-date, and meaningful source of information to decision-makers is provided by small area planning. Thus, small area planning in conjunction with citizen participation and data collection provides for a:

...better basis of information upon which the decision-makers can base their decisions--a guidance system ... (and) on the other hand ... effort would be directed toward building the tools to effectively implement the decisions of the city-county executives. (Louisville and Jefferson County Planning Commission, 1974).

Small area planning, in conjunction with Neighborhood Planning Councils and the community guidance system, can be and should be responsive to the needs and wishes of the people within the community, responsive to their elected officials, and responsive to the immediate problems with commitment of capital investments and resources in light of the long range desires and goals of the citizens. In essence, through the establishment of neighborhood planning councils and establishment of a vocal constituency in neighborhood areas, a means to channel public goals and values to the politicians will exist. The result will be that decision-makers, planners, and the public will be brought closer together.



### Municipal Services

As mentioned in the above section, the guidance system or data bank is designed to model residential development and land use changes to estimate needed municipal services and the costs of providing them. This can give planners and decision makers a fairly adequate estimate of the effects of development on the environment and also the need for municipal services.

While the comprehensive plan establishes municipal services to be provided throughout the entire community, i.e., schools, fire stations, water lines and sewers, small area planning establishes the priorities for each area for these services. While the comprehensive plan stresses all community facilities equally, one area may have different priorities than the neighboring area. For example, one area may have a stronger need for neighborhood youth centers than additional schools, while the opposite may be true in a neighboring area. Thus, small area planning serves as a means to establish priorities in each specific area.

In addition, small area planning can perform the useful function of testing municipal services in various parts of the community. For example, the Comprehensive Plan proclaims that:

A major urban park with maximum accessibility should serve each major section of the city and county ... Recreation areas should be centrally located in their service areas and easily and safely accessible to the age group they are designed to serve.

Using these objectives and criteria, the Comprehensive Plan designates

E. P. Sawyer State Park as a major urban park, established and satisfying present recreation demands in the subject area. As The Middletown Study discovered, E. P. Sawyer at the time of the study was not only inaccessible to the study area but, more importantly, was not developed. Therefore, it not only failed to satisfy existing demand but would fail to meet projected demands. Thus without the development of such parks, the need for park facilities is not rectified but rather aggravated. Small area planning then, can designate inequalities and deficiencies in municipal service provisions.

In the same vein, while a comprehensive plan designates some areas as parks, open spaces, and municipal services, small area planning makes such designations more definitive. While defining a more precise location, the need for municipal services, and the timing of installation of such services, small area planning further tests the impact of each location on surrounding land uses, traffic generation, congestion, and environmental consequences.

Small area planning can provide a reexamination of the way in which community facilities are really being used and delineate problems peculiar to a specific area in the use of those community facilities. Again, using The Middletown Study as an example, it was discovered by the interns that some places in this area lacked municipal sewer service and prohibited from utilizing septic tanks due to a county-wide ban on such use, were serviced by small, fragmented package treatment plants.

Some such plants, we found, provided inadequate service, most adding additional pollutants to already polluted streams and some being partially submerged during flood seasons. Small area planning can provide the means to identify and rectify such problem areas.

In short then, small area planning can establish priorities for needed community services in particular areas, establish a timetable for implementation, and test the adequacy of services to be provided. Such a process insures useful and efficient services, gives proof to the residents that their tax monies are being put to good use, and avoid additional environmental deterioration.

## PROBLEMS OF SMALL AREA PLANNING

As with any planning process there exists problems which must be confronted and coped with, small area planning in this sense is no exception. The problems confronted in L.&J.C.P.C.'s commitment to small area planning are: establishment of a basic format for the small area studies, monetary and time costs, city-county emphasis, determination of the areas to warrant small area study, failure to realize the most needy clientele, and the actual commitment of the Commission, Mayor and County Judge to the small area planning process.

Being a fairly new program policy, problems in the process abound. While some such problems of small area planning may be easily addressed and rectified over time, i.e., the basic format to be followed for each small area study, others warrant deeper consideration and offer no clear-cut solution. In light of the novelty of this program policy, the basic format to be followed by each small area study has not yet been established. While recognizing that each area has problems unique and significant to that area, a basic outline is desired. Once a basic outline is established which delineates a step-by-step operational procedure, small area studies may be performed with more efficiency and with a reduction in monetary and time costs. The working outline for The Middletown Study was molded by the interns from The Cherokee

Triangle Study and The Springdale Study. It appears that through the use of The Middletown Study outline, in conjunction with the commercial aspects of The Springdale Study, and the public participation aspects of The Cherokee Triangle Study, a workable outline for further small area studies is available. It bears repeating that such an outline must be flexible to incorporate problems and conditions unique to that particular area.

Cost is a major factor in the small area planning process. It is both a monetary and a time consumptive endeavor. While small area planning and the establishment of a guidance system are interrelated in this process, it is a major problem area right now. The lack of data necessitates the expenditure of staff time on inventory, compilation of data, and programming into the data bank. This lack of needed data has also necessitated the dependence on consultants and the regional agency for data and studies. Two studies underway presently will aid greatly the data bank and the small area studies. These are a county-wide water quality study (Shimpler-Corradino) and a county-wide traffic count study (KIPDA). The completion of these major studies will make small area planning a more meaningful and efficient process. At present, the agency must cope with delays in the completion of these studies, added time spent on each small area study, and added financial costs for each project. The Middletown Study, for example, undertaken by these two interns at a considerable savings to the commission, was postponed

indefinitely by the failure of Shimpler-Corradino consultants to complete the water quality study at the specified time and no doubt will be delayed further by the unwillingness of KIPDA to undertake the traffic count study. While originally representing a budget savings (by having the interns undertake the project), the study will eventually represent a deficit due to the above delays and the necessity of the staff to familiarize themselves with the area, work completed, and analysis done to complete the project. In light of this, extra care was taken by the interns in footnoting sources of information and rationale for basing recommendations.

Small area planning, being an integral part of the commission's work program, comprises a significant portion of the budget. Due to such factors as stated above (delays, data costs, etc.) the number of small area studies is limited by a fixed budget. With this in mind, the studies performed as of this date are those arising from confrontations in the Comprehensive Plan. These studies have been those designated by the commission during public hearings necessitating further information and clarification of the Comprehensive Plan. Thus, small area planning at this stage is a series of reactive studies to problem areas. Faced with a limited budget and other priorities--the establishment of a data bank, zoning and subdivision review, the legal and administrative strategies program, a housing program, and an urban design program--only a few small area studies can be performed as of now. Once the small area planning process is more firmly established, the agency may

be able to foresee future deficiencies in the Comprehensive Plan and land use patterns and initiate small area studies on their own. Through the establishment of neighborhood planning councils a more feasible means of problem identification may be provided and such councils may supplement the staff on analysis of problem areas and problem solving. At this time, it appears that those areas warranting small area study (with the exception of the Tornado Study) have been influenced by the middle to upper income nature of the areas and the strength of the existing neighborhood planning councils in those areas.

At present, the agency must cope with the realistic threat of a sizeable budget cut. The L.&J.C.P.C., being a joint city-county planning agency, is confronted with a political and financial dilemma. The agency, primarily county oriented, has received much pressure from the city for more action within the city limits. By holding the threat of a budget cut over the head of the agency and the establishment of a city neighborhood planning agency under the Mayor, the city is forcing the agency to look toward the city. With most growth occurring in the suburban county, land use problems are paramount in the county. Thus, the agency is faced with a dilemma. With further budget cuts not only will the small area planning program be in jeopardy, but the whole work program will be restricted. While following the dictates of the city decision-makers, the agency will find itself manipulated by the city and in disfavor with the county decision-makers. What must be worked out

is a more balanced approach to both the city and county problems. It appears that the L.&J.C.P.C. has relied too heavily on the urban renewal agency through their Neighborhood Development Program and business concerns to confront the problems of Louisville. With the NDP no longer financed by federal funds, the L.&J.C.P.C. must address the urban problems before the city is forced to make good on their threatened budget cuts.

Probably the most troublesome problem confronted by this intern in the L.&J.C.P.C. is that agency's failure to realize the most needy clientele and address their problems. At the present time, four small area studies have been undertaken by the L.&J.C.P.C.: The Springdale Study, The Cherokee Triangle Study, The Tornado Study and The Middletown Study. Of the four, it appears, to the author, that only one -- The Tornado Study -- addressed the most needy clientele. For their efforts in addressing the hardships and problems resulting from the tornado of 1974, the L.&J.C.P.C. must be applauded. The three remaining studies seem to have been influenced by: the relative strength and influence of the neighborhood planning councils, the dominant middle and upper income influence of the areas, the desire to prevent the influx of undesirables into the areas, i.e. low income and minorities, and the desire to prevent or stop the unwanted and undesirable land use changes undergoing or imminent in the area. It is the contention here that there exists in the Louisville and Jefferson County area, other areas more in need of immediate attention than those chosen for study. (Again, The Tornado Study is omitted.)



No better example is available than The Middletown Study. Tracing its founding to 1794 by Philip Buckner, Middletown--as its name implies--served as a rest stop at the halfway point along the Shelbyville to Louisville stagecoach route. Due to its ideal location, Middletown experienced a sound economy and bustling atmosphere. The surrounding rolling terrain was soon dotted with large sprawling estates (Middletown and Anchorage) and two clusters of Black service quarters (Berrytown and Griffytown).

After the Civil War, with the dawning of the industrial revolution, the popularity of the railroad, and later the popularity of the automobile, the dominance of Louisville overshadowed the influence of Middletown. As Louisville grew and prospered, dominating Jefferson County, and surrounding areas as the focus of migration, the economic base of Middletown weakened as children went elsewhere for their education, laborers derived their income from surrounding areas, and residents became dependent on Louisville. All that remained were the large estates of Middletown and Anchorage, the Black servant quarters of Berrytown and Griffytown, and a few commercial establishments of Middletown.

Today, Middletown is no longer the self-sufficient community of old but dependent on the expanding metropolitan Louisville. As Louisville loses its attractiveness as a residential area and with easy access to Louisville along major transportation routes, Middletown finds itself as a site for the spreading suburban growth away from the central city. This suburban growth into the Middletown and Anchorage area has been

predominantly of a middle to upper income nature, white, and of single family dwellings. Today, the Middletown-Anchorage area represents an area of high owner and renter value housing, an area of highest income in the county, and an area of highest quality housing in the county. Within this enclave of middle to high income and high quality housing remain Berrytown and Griffytown. These two areas have changed little since the early 1800's. Both areas are one hundred percent Black, have no sewers, minimal streets, inadequate recreation facilities, and illustrate up to eighty percent substandard housing.

Griffytown and Berrytown have been recognized by both the Urban Renewal and Community Development Agency and the L.&J.C.P.C. as severe problem areas. The L.&J.C.P.C. in past years has opted to relinquish its responsibility for Berrytown and Griffytown to the Urban Renewal and Community Development Agency. Both areas qualified for the Neighborhood Development Program in 1972 but little if anything has come from this due in large part to inadequate plans and insufficient funds. With the demise of the Neighborhood Development Program in early 1974, plans for construction in these two areas have been shelved.

As mentioned previously in this discussion, the major impetus for The Middletown Study was primarily to reduce the ambiguity in the Comprehensive Plan in relation to that Plan's use of the Avoca Quarry as a golf course in the not too distant future. Once confronted with the hardships and inequalities evident in Berrytown and Griffytown, it was

the contention of the intern to focus the major emphasis of The Middletown Study on Berrytown and Griffytown with other components of the study receiving adequate but far less emphasis. It was the personal belief of this intern that the residents of Berrytown and Griffytown deserved immediate attention in relation to better quality housing, sewers, roads, and recreation facilities than did the other residents of Middletown and Anchorage who would be using such a proposed golf course.

While recognizing the problems of Berrytown and Griffytown, it was decided by the project advisor that these two areas would be omitted from the study for two reasons. One, it was felt by the advisor, that given the time constraints of the interns, a sound and factual study of Berrytown and Griffytown would be impossible with the resulting recommendations weak and of little weight. Second, and more importantly, it was feared that such a study at that date in light of time constraints would jeopardize any future study by the L.&J.C.P.C. in that area of far more range and effect. While these reasons have merit, it seems reasonable to believe that in light of city-county bickerings, pending budget cuts, and time costs, the promised future study of Berrytown and Griffytown appears unlikely. It appears that the L.&J.C.P.C. will remain oriented to the established neighborhood planning councils and middle to upper income areas. The fate of Berrytown and Griffytown appears to be much more of the same treatment. The Eastern Area

Planning Council established in the Middletown and Anchorage area has taken it upon themselves, with the blessing of the L. & J. C. P. C. to be the watchdogs and "guardians" of Berrytown and Griffytown. The results can only be the continuing pitiful plight of the residents of Berrytown and Griffytown, the continued antagonism of these residents toward the planning process, and the continuation of the L. & J. C. P. C.'s orientation toward the wrong clientele. Surely the residents of Berrytown and Griffytown will get little satisfaction from the construction of a new golf course at the site of the Avoca Quarry!

Another paramount problem arising in the small area planning process is the actual commitment of the Commissioners, Mayor, and County Judge to small area planning. While small area planning is an established commitment by Director Ridings and the agency, the Commissioners, Mayor, and County Judge have been lax in their full support of this process. The prime example of this lack of commitment to the small area planning process and recommendations accruing from such studies is The Springdale Study mentioned in previous pages. While analyzing the impact of a proposed zoning change in the area at the request of the County Judge, the study recommended that the Comprehensive Plan in relation to this area be followed, that no zoning change be allowed due to traffic congestion and land use problems which would surely result. The County Judge preferred to disregard the recommendations of the study and to proceed with the rezoning change. Without

the commitment of the respective decision makers, no small area planning process will be effective.

## CONCLUSION

It has been seen from the discussion that small area planning provides a worthwhile planning function. While most communities in the country try to be comprehensive in their planning and equitable in their treatment of the public, many agencies fall short of this mark. A comprehensive plan has inherent deficiencies: it is capital and time intensive, comprehensive in scope and in geographic area; and projected and expected to remain viable for many years into the future. More often than not, the comprehensive plan, left on its own, falls short of its purpose. It needs continual reexamination and periodic changes in a rapidly changing environment to retain its viability. Small area planning in the comprehensive context can provide for just that.

The small area planning process offers much to an expanding community. It can clarify and implement the policies of the comprehensive plan in specific areas of a community. At the same time, it can rectify deficiencies and inequalities of the plan as they arise, while providing sufficient data and interpretation to keep it a viable functional policy. Added to these benefits are those of a more meaningful and beneficial process to insure citizen participation, political responsiveness, neighborhood control and input, a more equitable distribution and provision of municipal services, and a continued input into that

community's data bank, guidance system.

There are numerous hurdles to be overcome in the small area planning process, some unique to that process, but most common to all planning functions. The problems faced in The Middletown Study combined both of these. These problems included: a lack of a basic format or procedure to follow for analysis purposes; a general lack of data necessitating time and money to compile and sort available data; the dependence on consultants to complete a water quality study of which they failed to complete on time, the dependence on the regional planning agency for traffic counts and the resultant inter-agency bickerings and delays; and the eventual reorganization of the agency in which the authors of The Middletown Study were separated from their initial advisor and placed under the guidance of another unfamiliar with the area and progress being made (similar to changing horses in the middle of the stream).

Two areas of gravest concern for the small area planning process are the actual commitment of decision makers to the small area planning process and the dilemma of which area warrants small area planning. The actual lack of commitment on the part of the decision makers was painfully evident in the ruling on The Springdale Study. From The Springdale Study, Cherokee Triangle Study, and The Middletown Study, it is evident that the L.&J.C.P.C. has oriented itself toward the middle and upper income residents and to those established neighborhood planning councils with the loudest voices and most influence. The agency

has effectively divested itself of responsibility for severe downtown Louisville problem areas and severe minority problem areas, choosing to allow their responsibility to pass on to the Urban Renewal and Community Development Agency, business concerns, and any other interested bodies. The Commission must reevaluate its position in the community and decide where its true responsibility lies.

In theory, the small area planning process offers much to a planning agency in the context of comprehensive planning. In actuality, the hurdles to be overcome are significant and should not be minimized. Those benefits, though, must be made clear to the public, the staff, decision-makers, and the commissioners. Without the commitment of these individuals, small area plans, as with the comprehensive plan, will be of little if any value.

As stated in The Comprehensive Plan for Louisville and Jefferson County:

Too many plans have been prepared which have taken on the characteristics of a static instrument, resulted in reports which have become nothing more than inserts to the archives of government offices.

The Commissioners and respective decision-makers are offered the means through small area planning to make the comprehensive plan a viable functioning and more meaningful plan; not one that is nothing more than an insert "to the archives of government offices." It is hoped that the decision makers will recognize the benefits of this process and strengthen



their commitment to small area planning and cooperate in overcoming the many hurdles to be faced.

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